

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

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

1. Person Reporting (last name, first, middle initial) Nichols, Carl J.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 08/02/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 333 Constitution Ave, NW Washington, DC 20001		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i>		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2. 01/01/2020	THE ASPEN INSTITUTE, INC.
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. Bank of America	Mortgage on Rental Property	O
2.		
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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. 4511 Q PLACE NW, DC 20007 (RENTAL) (APPRAISED 5/15/2018]	F	Rent			Sold	10/14/20	P1	G	3RD PARTY ARMS LENGTH
2. CITIBANK CHECKING ACCT	A	Interest	K	T					
3. CITIBANK SAVINGS ACCT	B	Interest	K	T					
4. BANK OF AMERICA CHECKING ACCT		None			Closed	12/30/20	J		
5. MERRILL LYNCH DEPOSIT ACCT	A	Interest	M	T					
6. PSRP SPECIAL SITUATIONS ENHANCED-LIQUIDITY	A	Dividend	L	T					
7. PSRP PASSIVE US EQUITIES	A	Dividend	K	T					
8. PSRP PASSIVE NON-US EQUITIES	A	Dividend	J	T					
9. PSRP PASSIVE US BONDS	A	Dividend	J	T					
10. MPPP SPECIAL SITUATIONS ENHANCED-LIQUIDITY	A	Dividend	K	T					
11. MPPP PASSIVE US EQUITIES	A	Dividend	J	T					
12. MPPP PASSIVE NON-US EQUITIES	A	Dividend	J	T					
13. MPPP PASSIVE US BONDS	A	Dividend	J	T					
14. AXA EQUITABLE LARGE CAP VALUE VOLATILITY		None	K	T					
15. AXA EQUITABLE INTERNATIONAL CORE VOLATILITY		None	J	T					
16. AXA EQUITABLE LARGE CAP GROWTH		None	K	T					
17. AXA EQUITABLE MODERATE ALLOCATION		None	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

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

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. AXA EQUITABLE 2000 MANAGED VOLATILITY		None	K	T					
19. THIRD AVENUE VALUE FUND INSTL CLASS	A	Dividend	K	T					
20. BLACKSTONE REAL ESTATE INCOME TRUST CLASS S	D	Distribution	N	T					
21. COLUMBIA EMERGING MARKETS FUND-1	A	Dividend	J	T					
22. ACAP STRATEGIC FUND	E	Distribution	O	T					
23. BANK OF MONTREAL SER MTN 02.900% [REDACTED]	A	Interest	K	T	Buy	10/20/20	J		
24.					Buy (add'l)	12/01/20	J		
25.					Buy (add'l)	12/07/20	J		
26. FHLMC G0 8558 04%2042 [REDACTED]	A	Interest	J	T					
27. FHLMC G0 8669 04%2045 [REDACTED]	A	Interest	J	T					
28. FHLMC G0 8697 03%2046 [REDACTED]	A	Interest	J	T					
29. FHLMC G0 8732 03%2046 [REDACTED]	A	Interest	J	T					
30. FHLMC G0 0641 04 50%2042 [REDACTED]	A	Interest	J	T					
31. FHLMC SD 8057 03 50%2050 [REDACTED]	A	Interest	K	T	Buy	10/29/20	L		
32.					Sold (part)	11/09/20	K	A	
33. FHLMC SD 1322 05%2048 [REDACTED]	A	Interest	J	T					
34. FHLMC SD 8063 03 50%2050 [REDACTED]	A	Interest	K	T	Buy (add'l)	12/18/20	K		

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

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. FHLMC SD 8084 03%2050 [REDACTED]	A	Interest	J	T	Buy (add'l)	12/29/20	J		
36. FHLMC SD 8089 02 50%2050 [REDACTED]	A	Interest	K	T	Buy (add'l)	06/12/20	K		
37. FNMA PAL7953 05%2045 [REDACTED]	A	Interest	J	T					
38. FNMA PAR2263 03 50%2043 [REDACTED]	A	Interest			Sold	11/09/20	J	A	
39. FNMA PAB5511 03 50%2042 [REDACTED]	A	Interest			Sold	11/09/20	J	A	
40. FNMA PAS7343 03%2046 [REDACTED]	A	Interest	J	T					
41. FNMA PAU4293 04%2043 [REDACTED]	A	Interest	J	T					
42. FNMA PAJ9169 04%2048 [REDACTED]	A	Interest	J	T					
43. FNMA PMA2495 03 50%2046 [REDACTED]	A	Interest	J	T					
44. FNMA PMA2670 03%2046 [REDACTED]	A	Interest	J	T					
45. FNMA PMA3058 04%2047 [REDACTED]	A	Interest	L	T	Buy	10/29/20	K		
46.					Buy (add'l)	12/18/20	K		
47. FNMA PMA3692 03 50%2049 [REDACTED]	A	Interest			Sold	11/09/20	J	A	
48. FNMA PMA3746 04%2049 [REDACTED]	A	Interest	K	T					
49. FNMA PMA3833 02 50%2049 [REDACTED]	A	Interest	K	T	Buy	03/30/20	K		
50. FNMA PMA3835 03 50%2049 [REDACTED]	A	Interest			Buy	03/30/20	J		
51.					Sold	11/09/20	J	A	

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

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52. FNMA PMA3851 04 50%2049 [REDACTED]	A	Interest	J	T					
53. FNMA PMA3991 03%2050 [REDACTED]	A	Interest	K	T	Buy	03/30/20	L		
54. FNMA PMA4097 03%2050 [REDACTED]	A	Interest	K	T	Buy	12/18/20	K		
55. FNMA PMA4159 02 50%2050 [REDACTED]	A	Interest	K	T	Buy	10/29/20	K		
56. PEPSICO INC GLB 02.750% MAR 05 2022 [REDACTED]	A	Interest	J	T	Buy	06/10/20	J		
57. PMF TEI FUND, LP (ENDOWMENT - LONG TERM WIND-DOWN) [REDACTED]		None	K	T	Sold (part)	03/11/20	J		
58.					Sold (part)	05/12/20	J		
59.					Sold (part)	11/05/20	J		
60. BP CAPITAL MARKETS PLC (BP27B)	A	Interest	K	T	Buy (add'l)	06/11/20	J		
61.					Buy (add'l)	10/21/20	J		
62.					Buy (add'l)	10/21/20	J		
63.					Buy (add'l)	12/01/20	J		
64.					Buy (add'l)	12/01/20	J		
65.					Buy (add'l)	12/07/20	J		
66.					Buy (add'l)	12/07/20	J		
67. ACAP STRATEGIC FUND [REDACTED]	E	Distribution	O	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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68. ALTEGRIS KKR COMMITMENTS [REDACTED]	D	Distribution	M	T					
69. BLACKSTONE REAL ESTATE INCOME TRUST INC CLASS S [REDACTED]	D	Dividend	N	T	Buy	02/03/20	M		
70. PARTNERS GROUP PRIVATE EQUITY MASTER FUND LLC [REDACTED]		None	M	T	Buy	12/30/20	M		
71. PARTNERS GROUP PRIVATE EQUITY MASTER FUND [REDACTED]	C	Distribution	N	T	Buy	01/24/20	M		
72. TORONTO-DOMINION BANK SER MTN GLB 03.250% [REDACTED]	A	Interest			Sold	09/14/20	J	A	
73. TORONTO-DOMINION BANK SER MTN 00.750% [REDACTED]		None	K	T	Buy (add'l)	09/15/20	J		
74.					Buy (add'l)	09/16/20	J		
75.					Buy (add'l)	10/20/20	J		
76.					Buy (add'l)	11/17/20	J		
77.					Buy (add'l)	12/01/20	J		
78.					Buy (add'l)	12/07/20	J		
79. CPG CARLYLE COMMITMENTS [REDACTED]	C	Dividend	M	T					
80. IRONWOOD MULTI-STRATEGY FUND LLC [REDACTED]		None	M	T	Buy	12/30/20	M		
81. U.S. TREASURY BOND 3.000% MAY 15 2042 [REDACTED]	A	Interest	L	T	Buy (add'l)	04/30/20	J		
82.					Buy (add'l)	12/01/20	K		
83.					Buy (add'l)	12/07/20	J		
84. U.S. TRSY INFLATION BOND 1.375% FEB 15 2044 [REDACTED]	A	Interest	L	T	Buy (add'l)	11/13/20	J		

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2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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85.					Buy (add'l)	12/01/20	J		
86.					Buy (add'l)	12/07/20	J		
87. U.S. TREASURY BOND 2.875% MAY 15 2049	A	Interest	K	T	Sold (part)	02/03/20	J	A	
88.					Buy (add'l)	03/26/20	J		
89.					Buy (add'l)	03/30/20	J		
90.					Buy (add'l)	06/09/20	J		
91.					Buy (add'l)	10/20/20	J		
92.					Buy (add'l)	12/01/20	J		
93.					Buy (add'l)	12/07/20	J		
94. U.S. TREASURY BOND 4.50% FEB 15 2036	A	Interest	K	T					
95. U.S. TREASURY BOND 1.125% MAY 15 2040	A	Interest	J	T	Buy	10/20/20	J		
96.					Buy (add'l)	12/01/20	J		
97.					Buy (add'l)	12/08/20	J		
98. U.S. TREASURY BOND 1.625% MAY 15 2026	A	Interest	K	T					
99. U.S. TREASURY NOTE 2.875% MAY 31 2025	A	Interest	K	T	Buy (add'l)	03/02/20	K		
100.					Sold (part)	03/26/20	K	B	
101.					Buy (add'l)	12/01/20	K		

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102.					Buy (add'l)	12/07/20	J		
103. U.S. TREASURY NOTE 2.875% AUG 15 2028 [REDACTED]	A	Interest	K	T	Sold (part)	02/24/20	J	A	
104. U.S. TREASURY NOTE 1.625% NOV 30 2020 [REDACTED]	A	Interest			Sold	04/30/20	J	A	
105. U.S. TRSY INFLATION NTE 0.125% APR 15 2021 [REDACTED]	A	Interest			Sold	03/12/20	J	A	
106. U.S. TREASURY NOTE 2.125% MAR 31 2024 [REDACTED]	A	Interest	J	T	Sold (part)	03/26/20	J		
107. U.S. TREASURY NOTE 1.500% MAY 31 2020 [REDACTED]	A	Interest			Sold	04/30/20	J		
108. U.S. TREASURY NOTE 1.750% JUN 30 2022 [REDACTED]	A	Interest	J	T	Sold (part)	05/01/20	J	A	
109.					Sold (part)	06/09/20	J	A	
110. U.S. TREASURY NOTE 1.625% AUG 15 2029 [REDACTED]	A	Interest	K	T	Sold (part)	02/03/20	J	A	
111.					Buy (add'l)	12/01/20	K		
112.					Buy (add'l)	12/07/20	J		
113. U.S. TRSY INFLATION NTE 0.125% JAN 15 2030 [REDACTED]	A	Interest			Buy	02/03/20	K		
114.					Sold	03/12/20	K	A	
115. U.S. TRSY INFLATION NTE 0.125% JUL 15 2030 [REDACTED]	A	Interest	J	T	Buy	08/17/20	J		
116.					Buy (add'l)	11/13/20	J		
117.					Buy (add'l)	12/01/20	J		
118. U.S. TREASURY NOTE 0.125% OCT 15 2023 [REDACTED]	A	Interest	K	T	Buy	12/01/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
119.					Buy (add'l)	12/07/20	J		
120. APPLE INC GLB 03.000% FEB 09 2024 (AAPL24)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
121.					Buy (add'l)	12/02/20	J		
122.					Buy (add'l)	12/07/20	J		
123. APPLE INC GLB 03.000% NOV 13 2027 (AAPL27)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
124.					Buy (add'l)	10/20/20	J		
125.					Buy (add'l)	12/01/20	J		
126.					Buy (add'l)	12/07/20	J		
127. ABBVIE INC GLB 03.375% NOV 14 2021(ABBV21A)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
128.					Buy (add'l)	10/20/20	J		
129.					Buy (add'l)	12/01/20	J		
130.					Buy (add'l)	12/07/20	J		
131. ABBVIE INC GLB 04.250% NOV 14 2028 (ABBV28A)	A	Interest	K	T	Buy (add'l)	02/21/20	J		
132.					Buy (add'l)	10/20/20	J		
133.					Buy (add'l)	12/01/20	J		
134.					Buy (add'l)	12/07/20	J		
135. ABBOTT LABORATORIES GLB 03.400% NOV 30 2023 (ABT23)	A	Interest	K	T	Buy (add'l)	06/10/20	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

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Name of Person Reporting

Nichols, Carl J.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
136.					Buy (add'l)	10/20/20	J		
137. AMERICAN INTL GROUP GLB 03.300% MAR 01 2021 (AIG21)	A	Interest	J	T	Buy (add'l)	06/10/20	J		
138. VANECK VECTORS FALLEN ANGEL HIGH YIELD B EXECUTED 100% (ANGL)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
139.					Sold (part)	03/12/20	J	A	
140.					Buy (add'l)	03/20/20	J		
141.					Sold (part)	04/14/20	J	A	
142.					Buy (add'l)	08/12/20	J		
143.					Buy (add'l)	10/19/20	J		
144.					Buy (add'l)	12/07/20	J		
145. AMER FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)	A	Dividend	L	T	Buy (add'l)	01/02/20	J		
146.					Buy (add'l)	01/02/20	J		
147.					Sold (part)	03/25/20	J	A	
148.					Sold (part)	07/06/20	J	A	
149.					Sold (part)	08/27/20	J	A	
150.					Buy (add'l)	09/16/20	J		
151.					Buy (add'l)	12/22/20	J		

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

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Name of Person Reporting

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Date of Report

08/02/2021

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
152. AMERICAN EXPRESS CREDIT SER MTN 02.250% MAY 05 2021 (AXP 21A)	A	Interest			Sold	06/02/20	J	A	
153. AMERICAN EXPRESS CO GLB 02.650% DEC 02 2022 (AXP22)	A	Interest	J	T	Buy (add'l)	12/01/20	J		
154.					Buy (add'l)	12/07/20	J		
155. AMERICAN EXPRESS CO GLB 02.500% AUG 01 2022 (AXP22A)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
156.					Buy (add'l)	10/20/20	J		
157.					Buy (add'l)	12/01/20	J		
158.					Buy (add'l)	12/07/20	J		
159. BLACKROCK AGE 17 YEARS A (NAABF)		None	L	T					
160. BLACKROCK AGE 17 YEARS C (NAAGA)		None	J	T					
161. BLKROCK AGE 19+ YEARS A (NAABG)		None	L	T					
162. BLKROCK AGE 19+ YEARS C (NAAGB)		None	J	T					
163. BLKROCK AGE 8-11 YEARS A (NAABC)		None	L	T					
164. BLKROCK AGE 8-11 YEARS C (NAAFW)		None	J	T					
165. FRTEMP AGE 11-12 YEARS A EXCHANGE BUY FRAC SHR QUANTITY .587 (AZGIW)		None	L	T	Buy (add'l)	02/27/20	K		
166.					Buy (add'l)	03/02/20	J		
167.					Buy (add'l)	04/02/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
168.					Buy (add'l)	05/04/20	J		
169.					Buy (add'l)	06/02/20	J		
170.					Buy (add'l)	07/02/20	J		
171.					Buy (add'l)	08/03/20	J		
172.					Buy (add'l)	09/02/20	J		
173.					Buy (add'l)	10/02/20	J		
174.					Buy (add'l)	11/02/20	J		
175.					Buy (add'l)	12/02/20	J		
176. FRANK TEMP AGE 16 YRS A FRAC SHR QUANTITY .455 (AZGIY)		None			Buy (add'l)	02/03/20	J		
177.					Buy (add'l)	03/02/20	J		
178.					Buy (add'l)	04/02/20	J		
179.					Buy (add'l)	05/04/20	J		
180.					Buy (add'l)	06/02/20	J		
181.					Buy (add'l)	07/02/20	J		
182.					Buy (add'l)	08/03/20	J		
183.					Buy (add'l)	09/02/20	J		
184.					Buy (add'l)	10/02/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
185.					Buy (add'l)	11/02/20	J		
186.					Buy (add'l)	12/02/20	J		
187.					Sold	12/07/20	M	D	
188. FRANK TEMP AGE 19 YRS A EXCHANGE BUY FRAC SHR QUANTITY .772 (AZGIZ)		None	L	T	Buy (add'l)	10/29/20	L		
189.					Buy (add'l)	11/02/20	J		
190.					Buy (add'l)	12/02/20	J		
191.					Sold (part)	12/21/20	J	A	
192. MFS AGE 16 YEARS A FRAC SHR QUANTITY .065 FUND (AZGJA)		None			Buy (add'l)	02/03/20	J		
193.					Buy (add'l)	03/02/20	J		
194.					Buy (add'l)	04/02/20	J		
195.					Buy (add'l)	05/04/20	J		
196.					Buy (add'l)	06/02/20	J		
197.					Buy (add'l)	07/02/20	J		
198.					Buy (add'l)	08/03/20	J		
199.					Buy (add'l)	09/02/20	J		
200.					Buy (add'l)	10/02/20	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

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Name of Person Reporting

Nichols, Carl J.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
201.					Buy (add'l)	11/02/20	J		
202.					Buy (add'l)	12/02/20	J		
203.					Sold	12/07/20	L	D	
204. MFS AGE 17 YEARS A EXCHANGE BUY FRAC SHR QUANTITY .820 (AZGJB)		None	M	T	Buy (add'l)	12/07/20	L		
205. FRTEMP AGE 11-12 YEARS C EXCHANGE BUY FRAC SHR QUANTITY .033 (AZGJE)		None	J	T	Buy (add'l)	02/27/20	K		
206. FRANK TEMP AGE 19 YRS C EXCHANGE BUY FRAC SHR QUANTITY .097 (AZGJG)		None	J	T	Buy (add'l)	10/29/20	J		
207. MFS AGE 16 YEARS C EXCHANGE SELL FRAC SHR QUANTITY .280 (AZGJH)		None			Sold	12/07/20	J	C	
208. MFS AGE 17 YEARS C EXCHANGE BUY FRAC SHR QUANTITY .468 (AZGJI)		None	J	T	Buy (add'l)	12/07/20	J		
209. BLKRK AGE 16 YRS A FRAC SHR QUANTITY .248 FUND (AZJUL)		None			Sold	02/03/20	J	A	
210.					Buy (add'l)	03/02/20	J		
211.					Buy (add'l)	04/02/20	J		
212.					Buy (add'l)	05/04/20	J		
213.					Buy (add'l)	06/02/20	J		
214.					Buy (add'l)	07/02/20	J		
215.					Buy (add'l)	08/03/20	J		

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

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Name of Person Reporting

Nichols, Carl J.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
216.					Buy (add'l)	09/02/20	J		
217.					Buy (add'l)	10/02/20	J		
218.					Buy (add'l)	11/02/20	J		
219.					Buy (add'l)	12/02/20	J		
220.					Sold (part)	12/07/20	K	C	
221. BLKRK AGE 18 YRS A FRAC SHR QUANTITY .728 FUND (AZJUM)		None			Buy (add'l)	01/03/20	J		
222.					Buy (add'l)	02/03/20	J		
223.					Buy (add'l)	03/02/20	J		
224.					Buy (add'l)	04/02/20	J		
225.					Buy (add'l)	05/04/20	J		
226.					Buy (add'l)	06/02/20	J		
227.					Buy (add'l)	07/02/20	J		
228.					Buy (add'l)	08/03/20	J		
229.					Buy (add'l)	09/02/20	J		
230.					Buy (add'l)	10/02/20	J		
231.					Sold	10/29/20	L	B	
232. FRTEMP AGE 18 YEARS A FRAC SHR QUANTITY .164 FUND (AZJUY)		None	L	T	Buy (add'l)	01/03/20	J		

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

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Name of Person Reporting

Nichols, Carl J.

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
233.					Buy (add'l)	02/03/20	J		
234.					Buy (add'l)	03/02/20	J		
235.					Buy (add'l)	04/02/20	J		
236.					Buy (add'l)	05/04/20	J		
237.					Buy (add'l)	06/02/20	J		
238.					Buy (add'l)	07/02/20	J		
239.					Buy (add'l)	08/03/20	J		
240.					Sold (part)	08/13/20	K	B	
241.					Buy (add'l)	09/02/20	J		
242.					Buy (add'l)	10/02/20	J		
243.					Sold (part)	10/29/20	L	C	
244. BLKRK AGE 16 YRS C EXCHANGE SELL FRAC SHR QUANTITY .239 (AZJVE)		None			Sold	12/07/20	J	A	
245. BLKRK AGE 18 YRS C EXCHANGE SELL FRAC SHR QUANTITY .103 (AZJVF)		None			Sold	10/29/20	J	A	
246. FRTEMP AGE 18 YEARS C EXCHANGE SELL FRAC SHR QUANTITY .200 (AZJVP)		None			Sold	10/29/20	J	A	
247. SPDR BLOOMBERG BARCLAYS 1-3 MNTH T BILL ETF EXECUTED 100% (BIL)	A	Dividend	J	T	Buy	03/12/20	J		
248.					Buy (add'l)	03/13/20	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Nichols, Carl J.

Date of Report

08/02/2021

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
249.					Buy (add'l)	03/16/20	J		
250.					Buy (add'l)	03/17/20	J		
251.					Buy (add'l)	03/18/20	J		
252.					Sold (part)	03/19/20	J	A	
253.					Sold (part)	03/20/20	J	A	
254.					Buy (add'l)	04/14/20	J		
255.					Buy (add'l)	08/12/20	J		
256.					Buy (add'l)	10/19/20	J		
257.					Buy (add'l)	12/07/20	J		
258.	VANGUARD INTERMEDIATE TERM BOND ETF EXECUTED 100% (BIV)	A	Dividend	J	T	Sold (part)	01/14/20	J	A
259.					Sold (part)	03/02/20	K	B	
260.					Sold (part)	03/12/20	J	A	
261.	BERKSHIRE HATHAWAY INC GLB 02.750% MAR 15 2023 (BRKB23A)	A	Interest	J	T	Buy (add'l)	10/20/20	J	
262.					Buy (add'l)	12/03/20	J		
263.					Buy (add'l)	12/11/20	J		
264.	ANHEUSER-BUSCH INBEV FIN COMPANY GUARNT GLB 04.900% (BUD 46)	A	Interest	J	T	Buy (add'l)	10/20/20	J	

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
265.					Buy (add'l)	12/02/20	J		
266.					Buy (add'l)	12/07/20	J		
267. CITIGROUP INC GLB VAR%JUL 24 2028 (C 28)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
268.					Buy (add'l)	10/20/20	J		
269.					Buy (add'l)	12/01/20	J		
270.					Buy (add'l)	12/07/20	J		
271. CITIGROUP INC GLB 03.300% APR 27 2025 (C25E)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
272.					Buy (add'l)	11/13/20	J		
273.					Buy (add'l)	12/01/20	J		
274.					Buy (add'l)	12/07/20	J		
275. COMCAST CORP COMPANY GUARNT GLB 04.150% OCT 15 2028 (CMCS28)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
276.					Buy (add'l)	10/20/20	J		
277.					Buy (add'l)	10/20/20	J		
278.					Buy (add'l)	12/01/20	J		
279.					Buy (add'l)	12/01/20	J		
280.					Buy (add'l)	12/07/20	J		
281.					Buy (add'l)	12/07/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
282. CAPITAL ONE FINANCIAL CO GLB 03.300% OCT 30 2024 (COF24A)	A	Interest	K	T	Buy	06/10/20	J		
283.					Buy (add'l)	10/20/20	J		
284.					Buy (add'l)	12/01/20	J		
285.					Buy (add'l)	12/07/20	J		
286. COSTCO WHOLESALE CORP GLB 03.000% MAY 18 2027 (COST27)	A	Interest	K	T	Buy	06/10/20	J		
287.					Buy (add'l)	10/20/20	J		
288.					Buy (add'l)	12/01/20	J		
289.					Buy (add'l)	12/07/20	J		
290. CVS HEALTH CORP GLB 04.300% MAR 25 2028 (CVS28)	A	Interest	L	T	Buy (add'l)	06/11/20	J		
291.					Buy (add'l)	10/20/20	J		
292.					Buy (add'l)	10/20/20	J		
293.					Buy (add'l)	12/01/20	J		
294.					Buy (add'l)	12/01/20	J		
295.					Buy (add'l)	12/07/20	J		
296.					Buy (add'l)	12/07/20	J		
297. CHEVRON CORP GLB 02.100% MAY 16 2021 (CVX21)	A	Interest	J	T	Buy	06/12/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
298. WALT DISNEY COMPANY/THE COMP GUARNT SER MTN GLB 02.350% (DIS22)	A	Interest	J	T	Buy (add'l)	10/20/20	J		
299.					Buy (add'l)	12/01/20	J		
300.					Buy (add'l)	12/09/20	J		
301. DUKE ENERGY CORP GLB 03.750% APR 15 2024 (DUK24)	A	Interest	K	T	Buy	06/10/20	J		
302.					Buy (add'l)	10/20/20	J		
303.					Buy (add'l)	12/01/20	J		
304.					Buy (add'l)	12/07/20	J		
305. DOWDUPONT INC - 04.725% NOV 15 2028 (DWDP28A)	A	Interest	K	T	Buy	06/10/20	J		
306.					Buy (add'l)	10/20/20	J		
307.					Buy (add'l)	12/01/20	J		
308.					Buy (add'l)	12/07/20	J		
309. EATON VANCE FLOATING RATE FUND CL I (EIBLX)		None	J	T	Buy (add'l)	01/02/20	J		
310.					Buy (add'l)	08/27/20	J		
311.					Buy (add'l)	09/16/20	J		
312. VANECK VECTORS J.P MORGAN EM LOCAL CCY BOND ETF EXECUTED (EMLC)		None			Sold	01/14/20	J	A	
313. EOG RESOURCES INC GLB 02.625% MAR 15 2023 (EOG23)		None	K	T	Buy (add'l)	06/11/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
314.					Buy (add'l)	10/20/20	J		
315.					Buy (add'l)	12/01/20	J		
316.					Buy (add'l)	12/07/20	J		
317. ENTERPRISE PRODUCTS OPER COMPANY GUARNT 03.750% FEB 15 2025 (EPD 25)	A	Interest	J	T	Buy (add'l)	10/20/20	J		
318.					Buy (add'l)	11/13/20	J		
319.					Buy (add'l)	12/01/20	J		
320.					Buy (add'l)	12/07/20	J		
321. ENTERPRISE PRODUCTS OPER COMPANY GUARNT GLB 05.200% (EPD20A)		None			Sold	06/02/20	J	A	
322. FISERV INC GLB 03.200% JUL 01 2026 (FISV26)		None	K	T	Buy (add'l)	09/29/20	J		
323.					Buy (add'l)	09/30/20	J		
324.					Buy (add'l)	10/20/20	J		
325.					Buy (add'l)	11/16/20	J		
326.					Buy (add'l)	12/01/20	J		
327.					Buy (add'l)	12/07/20	J		
328. FIFTH THIRD BANCORP GLB 03.650% JAN 25 2024 (FITB24)		None	J	T	Buy (add'l)	12/02/20	J		
329.					Buy (add'l)	12/07/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
330. GOLDMAN SACHS GROUP INC GLB 04.000% MAR 03 2024 (GS24)		None	K	T	Buy (add'l)	06/10/20	J		
331.					Buy (add'l)	10/21/20	J		
332.					Buy (add'l)	12/01/20	J		
333.					Buy (add'l)	12/07/20	J		
334. GOLDMAN SACHS GROUP INC GLB 03.750% FEB 25 2026 (GS26O)		None	K	T	Buy (add'l)	10/20/20	J		
335.					Buy (add'l)	11/13/20	J		
336.					Buy (add'l)	12/01/20	J		
337.					Buy (add'l)	12/07/20	J		
338. HOME DEPOT INC GLB 02.000% APR 01 2021 (HD21A)		None			Sold	01/09/20	J	A	
339. HOME DEPOT INC GLB 02.625% JUN 01 2022 (HD22)		None	J	T	Buy (add'l)	06/10/20	J		
340. HOME DEPOT INC GLB 02.950% JUN 15 2029 (HD29)		None	K	T	Buy (add'l)	01/08/20	J		
341.					Buy (add'l)	10/20/20	J		
342.					Buy (add'l)	12/01/20	J		
343.					Buy (add'l)	12/07/20	J		
344. HP ENTERPRISE CO GLB 03.600% OCT 15 2020 (HPE20)	A	Interest			Sold	06/11/20	J	A	
345. ISHARES IBOXX\$ HIGH YIEL CORPORATE BOND EXECUTED 100% (HYG)	A	Dividend			Sold	01/14/20	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

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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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
346. XTRACKERS USD HIGH YIELD CORPORATE BOND ETF (HYLB)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
347.					Sold (part)	03/12/20	J	A	
348.					Buy (add'l)	08/12/20	J		
349.					Buy (add'l)	10/19/20	J		
350.					Buy (add'l)	12/07/20	J		
351. ISHARES TR CORE MSCI EAF ETF EXECUTED 100% (IEFA)	C	Dividend	N	T	Buy (add'l)	01/14/20	J		
352.					Buy (add'l)	03/02/20	K		
353.					Buy (add'l)	03/19/20	K		
354.					Buy (add'l)	03/20/20	J		
355.					Sold (part)	04/14/20	J	A	
356.					Buy (add'l)	08/12/20	K		
357.					Buy (add'l)	10/19/20	M		
358.					Buy (add'l)	11/30/20	K		
359.					Sold (part)	12/02/20	J	A	
360.					Buy (add'l)	12/07/20	J		
361. ISHARES 3-7 YEAR TREASURY BOND ETF EXECUTED 100% (IEI)		None			Sold	01/14/20	K	A	
362. ISHARES INC CORE MSCI EMERGING MKTS ETF EXECUTED 100% (IEMG)	C	Dividend	L	T	Buy (add'l)	01/14/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
363.					Buy (add'l)	03/02/20	K		
364.					Buy (add'l)	03/19/20	J		
365.					Sold (part)	03/20/20	J	A	
366.					Sold (part)	04/14/20	K		
367.					Sold (part)	08/12/20	J	A	
368.					Buy (add'l)	10/19/20	K		
369.					Buy (add'l)	11/30/20	J		
370.					Buy (add'l)	12/07/20	J		
371. ILLINOIS TOOL WORKS INC GLB 02.650% NOV 15 2026 (ITW26)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
372.					Buy (add'l)	10/20/20	J		
373.					Buy (add'l)	12/01/20	J		
374.					Buy (add'l)	12/07/20	J		
375. JPMORGAN CHASE & CO GLB 02.700% MAY 18 2023 (JPM23F)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
376.					Buy (add'l)	10/20/20	J		
377.					Buy (add'l)	12/01/20	J		
378.					Buy (add'l)	12/07/20	J		
379. JPMORGAN CHASE & CO GLB 03.875% FEB 01 2024 (JPM24A)	A	Interest	K	T	Buy (add'l)	10/20/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
380.					Buy (add'l)	11/13/20	J		
381.					Buy (add'l)	12/01/20	J		
382.					Buy (add'l)	12/07/20	J		
383. KINDER MORGAN INC COMPANY GUARNT GLB 02.000% FEB 15 203 (KMI31)		None	J	T	Buy (add'l)	12/01/20	J		
384.					Buy (add'l)	12/07/20	J		
385. COCA-COLA CO/THE GLB 02.875% OCT 27 2025 (KO25)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
386.					Buy (add'l)	10/20/20	J		
387.					Buy (add'l)	12/01/20	J		
388.					Buy (add'l)	12/07/20	J		
389. LORD ABBETT SHORT DURATION INCOME FD CL F FUND (LDLFX)	A	Dividend	J	T	Buy (add'l)	01/02/20	J		
390.					Buy (add'l)	09/16/20	J		
391. LOCKHEED MARTIN CORP GLB 02.500% NOV 23 2020 (LMT20)	A	Interest			Sold	06/22/20	J	A	
392. LOCKHEED MARTIN CORP GLB 03.550% JAN 15 2026 (LMT26A)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
393.					Buy (add'l)	10/20/20	J		
394.					Buy (add'l)	12/01/20	J		
395.					Buy (add'l)	12/07/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
396. ISHARES IBOX \$ INVT GRADE CORP BD (LQD)	A	Interest	J	T	Sold (part)	01/14/20	J	A	
397.					Sold (part)	03/02/20	J	A	
398.					Sold (part)	03/12/20	J	A	
399.					Sold (part)	03/19/20	J	C	
400.					Buy (add'l)	03/20/20	J		
401.					Sold (part)	04/14/20	J	A	
402.					Buy (add'l)	08/12/20	J		
403.					Buy (add'l)	10/19/20	J		
404.					Buy (add'l)	11/30/20	J		
405.					Buy (add'l)	12/07/20	J		
406. ISHARES MBS ETF EXECUTED 100% (MBB)	A	Dividend			Buy (add'l)	01/14/20	K		
407.					Sold (part)	03/02/20	K		
408.					Sold (part)	03/12/20	J	A	
409.					Sold	03/19/20	K		
410. MCDONALD'S CORP SER MTN GLB 02.625% SEP 01 2029 (MCD29)	A	Interest	K	T	Buy (add'l)	06/11/20	J		
411.					Buy (add'l)	10/20/20	J		
412.					Buy (add'l)	12/01/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
413.					Buy (add'l)	12/07/20	J		
414. MEDTRONIC INC COMPANY GUARNT GLB 03.500% MAR 15 2025 (MDT25)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
415.					Buy (add'l)	10/20/20	J		
416.					Buy (add'l)	12/01/20	J		
417.					Buy (add'l)	12/07/20	J		
418. MFS VALUE FD CL I FUND SUBJECT TO RED FEE. (MEIIX)	B	Dividend	L	T	Buy (add'l)	01/02/20	J		
419.					Buy (add'l)	01/02/20	J		
420.					Buy (add'l)	03/25/20	J		
421.					Buy (add'l)	07/06/20	J		
422.					Buy (add'l)	08/27/20	J		
423.					Buy (add'l)	09/16/20	K		
424.					Buy (add'l)	10/28/20	J		
425.					Buy (add'l)	12/22/20	J		
426. METLIFE INC GLB 04.550% MAR 23 2030 R (MET30)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
427.					Buy (add'l)	10/20/20	J		
428.					Buy (add'l)	12/01/20	J		
429.					Buy (add'l)	12/07/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
430. MARSH & MCLENNAN COS INC GLB 03.875% MAR 15 2024 (MMC24A)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
431.					Buy (add'l)	11/13/20	J		
432.					Buy (add'l)	12/01/20	J		
433.					Buy (add'l)	12/08/20	J		
434. MORGAN STANLEY SER GMTN GLB 03.700% OCT 23 2024 (MS24R)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
435.					Buy (add'l)	11/13/20	J		
436.					Buy (add'l)	12/01/20	J		
437.					Buy (add'l)	12/07/20	J		
438. MORGAN STANLEY - 03.625% JAN 20 2027 (MS27E)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
439.					Buy (add'l)	10/20/20	J		
440.					Buy (add'l)	12/01/20	J		
441.					Buy (add'l)	12/07/20	J		
442. MICROSOFT CORP GLB 01.550% AUG 08 2021 (MSFT21)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
443.					Buy (add'l)	10/23/20	J		
444. MICROSOFT CORP GLB 03.750% FEB 12 2045 (MSFT45)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
445.					Buy (add'l)	12/01/20	J		
446.					Buy (add'l)	12/07/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
447. FRNKTEM AGE 9-10 YEARS A FRAC SHR QUANTITY .578 (NAAAL)		None			Buy (add'l)	01/03/20	J		
448.					Buy (add'l)	02/03/20	J		
449.					Sold	02/27/20	K	A	
450. FRANK TEMP AGE 17 YRS A EXCHANGE BUY FRAC (NAAAN)		None	M	T	Buy (add'l)	12/07/20	M		
451. MFS AGE 10 TO 11 YEARS A FRAC SHR QUANTITY .566 (NAAAU)		None	L	T	Buy (add'l)	01/03/20	J		
452.					Buy (add'l)	02/03/20	J		
453.					Buy (add'l)	03/02/20	J		
454.					Buy (add'l)	04/02/20	J		
455.					Buy (add'l)	05/04/20	J		
456.					Buy (add'l)	06/02/20	J		
457.					Buy (add'l)	07/02/20	J		
458.					Buy (add'l)	08/03/20	J		
459.					Buy (add'l)	09/02/20	J		
460.					Buy (add'l)	10/02/20	J		
461.					Buy (add'l)	11/02/20	J		
462.					Buy (add'l)	12/02/20	J		
463.					Buy (add'l)	02/03/20	J		

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

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Name of Person Reporting

Nichols, Carl J.

Date of Report

08/02/2021

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
464.					Buy (add'l)	03/02/20	J		
465.					Buy (add'l)	04/02/20	J		
466.					Buy (add'l)	05/04/20	J		
467.					Buy (add'l)	06/02/20	J		
468.					Buy (add'l)	07/02/20	J		
469.					Buy (add'l)	08/03/20	J		
470.					Buy (add'l)	09/02/20	J		
471.					Buy (add'l)	10/02/20	J		
472.					Buy (add'l)	11/02/20	J		
473.					Buy (add'l)	12/02/20	J		
474.					Sold (part)	12/21/20	J	A	
475. BLKROCK AGE 8-11 YEARS A FRAC SHR QUANTITY .230 (NAABC)		None	L	T	Buy (add'l)	01/03/20	J		
476.					Buy (add'l)	02/03/20	J		
477.					Buy (add'l)	03/02/20	J		
478.					Buy (add'l)	04/02/20	J		
479.					Buy (add'l)	05/04/20	J		
480.					Buy (add'l)	06/02/20	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Nichols, Carl J.

Date of Report

08/02/2021

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
481.					Buy (add'l)	07/02/20	J		
482.					Buy (add'l)	08/03/20	J		
483.					Buy (add'l)	09/02/20	J		
484.					Buy (add'l)	10/02/20	J		
485.					Buy (add'l)	11/02/20	J		
486.					Buy (add'l)	12/02/20	J		
487. BLACKROCK AGE 17 YEARS A EXCHANGE BUY FRAC SHR QUANTITY .060 (NAABF)		None	L	T	Buy (add'l)	12/07/20	J		
488. BLKROCK AGE 19+ YEARS A EXCHANGE BUY FRAC SHR QUANTITY .07 (NAABG)		None	L	T	Buy (add'l)	10/29/20	L		
489.					Buy (add'l)	11/02/20	J		
490.					Buy (add'l)	12/02/20	J		
491.					Sold (part)	12/21/20	J	A	
492. FRNKTEM AGE 9-10 YEARS C EXCHANGE SELL FRAC SHR QUANTITY .841 (NAAFG)		None			Sold	02/27/20	K	A	
493. FRANK TEMP AGE 17 YRS C EXCHANGE BUY FRAC SHR QUANTITY .205 (NAAFI)		None	J	T	Buy (add'l)	12/07/20	J		
494. BLACKROCK AGE 17 YEARS C EXCHANGE BUY FRAC SHR QUANTITY .519 (NAAGA)		None	J	T	Buy (add'l)	12/07/20	J		
495. BLKROCK AGE 19+ YEARS C EXCHANGE BUY FRAC SHR QUANTITY .351 (NAAGB)		None	J	T	Buy (add'l)	10/29/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
496. NEXTERA ENERGY CAPITAL COMPANY GUARNT GLB 02.750% (NEE 29A)	A	Interest	K	T	Buy (add'l)	07/28/20	J		
497.					Buy (add'l)	08/04/20	J		
498.					Buy (add'l)	08/12/20	J		
499.					Buy (add'l)	10/20/20	J		
500.					Buy (add'l)	12/01/20	J		
501.					Buy (add'l)	12/07/20	J		
502. INVESCO OPPENHEIMER DEVELOPING MRKT FD CL Y FUND (ODVYX)		None	K	T	Buy (add'l)	01/02/20	J		
503.					Buy (add'l)	01/02/20	J		
504.					Buy (add'l)	03/25/20	J		
505.					Sold (part)	08/27/20	J	A	
506.					Buy (add'l)	09/16/20	J		
507.					Sold (part)	10/28/20	J	A	
508. ORACLE CORP GLB 02.950% MAY 15 2025 (ORCL25F)	A	Interest	J	T	Buy (add'l)	10/20/20	J		
509.					Buy (add'l)	12/02/20	J		
510.					Buy (add'l)	12/07/20	J		
511. ORACLE CORP GLB 02.950% APR 01 2030 (ORCL30A)	A	Interest	K	T	Buy (add'l)	06/17/20	J		

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

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Name of Person Reporting

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Date of 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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
512.					Buy (add'l)	10/20/20	J		
513.					Buy (add'l)	12/01/20	J		
514.					Buy (add'l)	12/07/20	J		
515. INVESCO EMERGING MARKETS SOVEREIGN DEBT ETF EXECUTED 100% (PCY)	A	Dividend			Buy (add'l)	01/14/20	J		
516.					Sold	03/02/20	J	A	
517. PFIZER INC GLB 03.450% MAR 15 2029 (PFE29)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
518.					Buy (add'l)	10/20/20	J		
519.					Buy (add'l)	12/01/20	J		
520.					Buy (add'l)	12/07/20	J		
521. INVESCO PREFERRED ETF EXECUTED 100% (PGX)	A	Dividend			Sold (part)	01/14/20	J	A	
522.					Sold (part)	03/02/20	J		
523.					Sold (part)	03/12/20	J	A	
524.					Sold	03/19/20	J	A	
525. PNC FINANCIAL SERVICES GLB 03.450% APR 23 2029 (PNC29)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
526.					Buy (add'l)	10/20/20	J		
527.					Buy (add'l)	12/01/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
528.					Buy (add'l)	12/07/20	J		
529. SHELL INTERNATIONAL FIN COMPANY GUARNT GLB 04.000% (RDSA46)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
530.					Buy (add'l)	12/03/20	J		
531.					Buy (add'l)	12/07/20	J		
532. UNITED TECHNOLOGIES CORP GLB 03.950% AUG 16 2025 (RTX25)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
533.					Buy (add'l)	10/20/20	J		
534.					Buy (add'l)	10/01/20	J		
535.					Buy (add'l)	12/07/20	J		
536. SCHWAB SHORT-TERM U.S. TREASURY ETF EXECUTED 100% (SCHO)	A	Dividend			Buy (add'l)	01/14/20	J		
537.					Sold (part)	03/02/20	J	A	
538.					Sold (part)	03/12/20	J	A	
539.					Sold	03/19/20	J	A	
540. SOUTHERN CO GLB 02.950% JUL 01 2023 (SO23)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
541.					Buy (add'l)	10/20/20	J		
542.					Buy (add'l)	12/01/20	J		
543.					Buy (add'l)	12/07/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
544. SOUTHERN CO GLB 03.250% JUL 01 2026 (SO26)	A	Interest	J	T	Buy (add'l)	10/20/20	J		
545.					Buy (add'l)	12/01/20	J		
546.					Buy (add'l)	12/08/20	J		
547. AT&T INC GLB 04.250% MAR 01 2027 (T27)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
548.					Buy (add'l)	11/13/20	J		
549.					Buy (add'l)	12/01/20	J		
550.					Buy (add'l)	12/07/20	J		
551. AT&T INC SER * GLB 04.300% FEB 15 2030 (T30)	A	Interest	K	T	Buy (add'l)	08/19/20	J		
552.					Buy (add'l)	08/20/20	J		
553.					Buy (add'l)	10/20/20	J		
554.					Buy (add'l)	12/01/20	J		
555.					Buy (add'l)	12/07/20	J		
556. SHIRE ACQ INV IRELAND DA COMPANY GUARNT GLB 02.400% SEP 23 2021 (TAK21	A	Interest	J	T	Buy (add'l)	10/20/20	J		
557.					Buy (add'l)	12/01/20	J		
558.					Buy (add'l)	12/07/20	J		
559. TEMPLETON GLBL BOND FD ADV CL FUND SUBJECT TO RED FEE (TGBAX)	A	Dividend	J	T	Buy (add'l)	01/02/20	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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
560.					Buy (add'l)	07/06/20	J		
561.					Buy (add'l)	08/27/20	J		
562.					Buy (add'l)	09/16/20	J		
563. TARGET CORP GLB 02.500% APR 15 2026 (TGT26)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
564.					Buy (add'l)	10/20/20	J		
565.					Buy (add'l)	12/01/20	J		
566.					Buy (add'l)	12/07/20	J		
567. ISHARES TIPS BOND ETF EXECUTED 100% (TIP)	A	Dividend			Sold (part)	01/14/20	J	A	
568.					Sold (part)	03/02/20	J	A	
569.					Sold (part)	03/13/20	J	A	
570.					Sold	03/19/20	J	A	
571. ISHARES 20+ YEAR TREASURY BOND ETF EXECUTED 100% (TLT)	A	Dividend			Buy (add'l)	01/14/20	J		
572.					Sold	03/02/20	J	A	
573. ISHARES 20+ YEAR TREASURY BOND ETF EXECUTED 100% (TLT)	A	Dividend			Sold (part)	03/13/20	J	A	
574.					Sold (part)	03/16/20	J	A	
575.					Sold	03/19/20	J	A	
576. TOYOTA MOTOR CREDIT CORP SER MTN 01.150% MAY 26 2022 (TM22K)	A	Interest	K	T	Buy (add'l)	10/20/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
577.					Buy (add'l)	12/01/20	J		
578.					Buy (add'l)	12/07/20	J		
579. BLACKROCK LIQUIDITY FUND (TSTXX)	A	Dividend	K	T	Sold (part)	01/15/20	J		
580.					Sold (part)	03/12/20	J	A	
581.					Sold (part)	03/19/20	J	A	
582.					Buy (add'l)	06/09/20	J		
583.					Buy (add'l)	08/12/20	J		
584.					Buy (add'l)	10/19/20	J		
585.					Buy (add'l)	11/30/20	J		
586.					Buy (add'l)	12/07/20	J		
587. UNITEDHEALTH GROUP INC GLB 03.750% JUL 15 2025 (UNH25)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
588.					Buy (add'l)	10/20/20	J		
589.					Buy (add'l)	12/01/20	J		
590.					Buy (add'l)	12/07/20	J		
591. US BANCORP SER V 02.375% JUL 22 2026 (USB26B)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
592.					Buy (add'l)	10/20/20	J		
593.					Buy (add'l)	12/01/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
594.					Buy (add'l)	12/07/20	J		
595. VISA INC GLB 02.800% DEC 14 2022 (V22)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
596.					Buy (add'l)	10/20/20	J		
597. VISA INC GLB 04.300% DEC 14 2045 (V45)	A	Interest	J	T	Buy (add'l)	10/20/20	J		
598.					Buy (add'l)	12/01/20	J		
599.					Buy (add'l)	12/07/20	J		
600. VANGUARD SMALL CAP GROWTH ETF PER ADVISORY AGREEMENT (VBK)	A	Dividend	L	T	Sold (part)	01/14/20	J	A	
601.					Buy (add'l)	03/19/20	J		
602.					Sold (part)	04/14/20	J	A	
603.					Sold (part)	06/09/20	J		
604.					Sold (part)	08/12/20	J	A	
605.					Buy (add'l)	10/19/20	K		
606.					Buy (add'l)	11/30/20	J		
607.					Buy (add'l)	12/07/20	J		
608. VANGUARD SMALL CAP VALUE ETF PER ADVISORY AGREEMENT (VBR)	A	Dividend	K	T	Sold (part)	01/14/20	J	A	
609.					Buy (add'l)	03/02/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
610.					Buy (add'l)	03/19/20	J		
611.					Sold (part)	03/20/20	J	A	
612.					Sold (part)	04/14/20	J	A	
613.					Sold (part)	06/09/20	J	A	
614.					Buy (add'l)	08/12/20	J		
615.					Buy (add'l)	10/19/20	J		
616.					Buy (add'l)	11/30/20	J		
617.					Buy (add'l)	12/07/20	J		
618. VANGUARD INTRMEDIATE-TERM CORPORATE BOND EXECUTED 100% (VCIT)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
619.					Sold (part)	03/02/20	J		
620.					Sold (part)	03/12/20	J	A	
621.					Sold (part)	03/19/20	J	A	
622.					Buy (add'l)	04/14/20	J		
623.					Buy (add'l)	08/12/20	J		
624.					Buy (add'l)	10/19/20	J		
625.					Buy (add'l)	11/30/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
626.					Buy (add'l)	12/07/20	J		
627. VANGUARD SHORT-TERM CORPORATE BOND EXECUTED 100% (VCSH)	A	Dividend	J	T	Sold (part)	01/14/20	K		
628.					Sold (part)	03/02/20	J	A	
629.					Sold (part)	03/12/20	J	A	
630.					Sold (part)	03/19/20	J	A	
631.					Sold (part)	03/20/20	J	A	
632.					Buy (add'l)	04/14/20	J		
633.					Buy (add'l)	08/12/20	J		
634.					Buy (add'l)	10/19/20	J		
635.					Buy (add'l)	11/30/20	J		
636.					Buy (add'l)	12/07/20	J		
637. VANGUARD VALUE ETF EXECUTED 100% (VTV)	D	Dividend	N	T	Sold (part)	01/14/20	K	B	
638.					Buy (add'l)	03/02/20	K		
639.					Buy (add'l)	03/19/20	K		
640.					Sold (part)	03/20/20	J	A	
641.					Buy (add'l)	04/14/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
642.					Buy (add'l)	06/09/20	J		
643.					Buy (add'l)	08/12/20	J		
644.					Buy (add'l)	10/19/20	M		
645.					Buy (add'l)	11/30/20	K		
646.					Sold (part)	12/02/20	J	A	
647.					Buy (add'l)	12/07/20	K		
648. VANGUARD GROWTH ETF EXECUTED 100% (VUG)	A	Dividend	N	T	Buy (add'l)	01/14/20	K		
649.					Buy (add'l)	03/02/20	K		
650.					Buy (add'l)	03/19/20	K		
651.					Buy (add'l)	03/20/20	J		
652.					Buy (add'l)	04/14/20	K		
653.					Sold (part)	06/09/20	J	B	
654.					Sold (part)	08/12/20	K	D	
655.					Buy (add'l)	10/19/20	M		
656.					Buy (add'l)	11/30/20	K		
657.					Sold (part)	12/02/20	J	A	
658.					Buy (add'l)	12/07/20	K		

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

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

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
659. VERIZON COMMUNICATIONS GLB 03.376% FEB 15 2025 (VZ25A)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
660.					Buy (add'l)	11/13/20	J		
661.					Buy (add'l)	12/01/20	J		
662.					Buy (add'l)	12/07/20	J		
663. VERIZON COMMUNICATIONS GLB 01.500% SEP 18 2030 (VZ30C)	A	Interest	K	T	Buy (add'l)	12/01/20	K		
664.					Buy (add'l)	12/07/20	J		
665. WELLS FARGO & COMPANY GLB VAR %APR 30 2026 (WELL26)	A	Interest	K	T	Buy (add'l)	04/30/20	K		
666.					Buy (add'l)	10/20/20	J		
667.					Buy (add'l)	12/01/20	J		
668.					Buy (add'l)	12/07/20	J		
669. WELLS FARGO & COMPANY SER MTN 03.300% SEP 09 2024 (WFC24)	A	Interest	K	T	Buy (add'l)	06/10/20	J		
670.					Buy (add'l)	10/20/20	J		
671.					Buy (add'l)	12/01/20	J		
672.					Buy (add'l)	12/07/20	J		
673. WALMART INC GLB 03.700% JUN 26 2028 (WMT28)	A	Interest	L	T	Buy (add'l)	06/10/20	J		
674.					Buy (add'l)	10/20/20	J		
675.					Buy (add'l)	10/20/20	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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
676.					Buy (add'l)	12/01/20	J		
677.					Buy (add'l)	12/01/20	J		
678.					Buy (add'l)	12/07/20	J		
679.					Buy (add'l)	12/07/20	J		
680. EXXON MOBIL CORPORATION GLB 02.610% OCT 15 2030 (XOM30A)	A	Interest	K	T	Buy (add'l)	10/20/20	J		
681.					Buy (add'l)	12/01/20	J		
682.					Buy (add'l)	12/07/20	J		
683. OWL ROCK CAPITAL CORP (ORCC)	D	Dividend	M	T					
684. VANGUARD SHORT-TERM CORPORATE BOND (VCSH)	A	Dividend	J	T					
685. COMCAST CORP COMPANY GUARNT GLB 3.55% MAY 01 2028 (CMCS28)	A	Interest	L	T					
686. DUKE ENERGY CORP GLB (DUK24)	A	Interest	K	T					
687. PEPSICO INC GLB 2.75% MAR 05 2022 [REDACTED]	A	Interest	J	T					
688. TORONTO DOMINION BANK [REDACTED]	A	Interest	K	T					
689.									
690.									
691.									
692.									

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

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
693.									
694.									
695.									
696.									
697.									
698.									

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

FINANCIAL DISCLOSURE REPORT

Page 47 of 48

Name of Person Reporting

Nichols, Carl J.

Date of Report

08/02/2021

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

1. PART VII - LINE 1 - 4511 Q PLACE NW, DC 20007 (RENTAL) (APPRAISED 5/15/2018] - VALUE METHOD, CODE V - APPRAISED VALUE

FINANCIAL DISCLOSURE REPORT

Page 48 of 48

Name of Person Reporting

Nichols, Carl J.

Date of Report

08/02/2021

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/ **Carl J. Nichols**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544