

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Guzman, Ronald A.                                                                                                                    | <b>2. Court or Organization</b><br><br>Northern District of Illinois                                                                                                                                                                   | <b>3. Date of Report</b><br><br>05/12/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Senior Status Article III Judge                                               | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>219 S. Dearborn St.<br>Chambers 1886<br>Chicago, IL 60604                                                                                                     |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

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

☒ NONE (No reportable positions.)

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. |  |  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

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

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

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

| <u>DATE</u> | <u>SOURCE AND TYPE</u>           |
|-------------|----------------------------------|
| 1. 2020     | State University Retirement PPD. |
| 2.          |                                  |
| 3.          |                                  |
| 4.          |                                  |

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

| <u>SOURCE</u> | <u>DATES</u> | <u>LOCATION</u> | <u>PURPOSE</u> | <u>ITEMS PAID OR PROVIDED</u> |
|---------------|--------------|-----------------|----------------|-------------------------------|
| 1.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Guzman, Ronald A.        | 05/12/2021     |

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

# FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. (FKTIX) Franklin Federal Tax Free Inc. Fund (jt)                                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 2. (WBA) Walgreen Co. Common Stock (jt)                                                                                    | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. (CAIBX) Capital Income Builder Fund (jt)                                                                                | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. (MTIPX) Morgan Stanley Instl FD Portfol A                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. (ACSTX) Invesco Comstock Class A (sp) Exchange/merger                                                                   | B                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. (ACCBX) Invesco Corp Bond Fund Class A (sp) Merger/Exchange                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. (VGRAX) Invesco Mid Cap Grth Fnd Class A (sp)                                                                           | A                                      | Dividend                               |                                                |                                    | Merged<br>(with line 8)                   | 04/20/20         | J                        |                         |                                                            |
| 8. (OEGAX) Invesco Disc Md Cap Gwth Cl A (sp)                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. (ACEIX) Invesco Equity and Inc Class A (sp)                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. (AIIEIX) Invesco International Growth Fund Class A (sp)                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. (MSAVX) Invesco Amer Value Class A sp                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. (FSCDX) Fidelity Advisor Small Cap A                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. (FIIAX) Fidelity Advisor Mid Cap II A                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 14. (FAHDX) Fidelity Advisor High Inc Advt Class A                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. (FAIDX) Fidelity Advisor Intl Discovery A                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. (FGVMX) Fidelity New Mkt Inc.                                                                                          | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. (FNIAX) Fidelity Advisor New Insights A                                                                                | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. (QDERQ) JP Morgan Liquid Asset Fund                                                                                    | A                                      | Int./Div.                                     | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. JPMorgan Chase Bank, N.A. Account                                                                                      | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. JP Morgan Chase Bank Checking Checking X                                                                               | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 21. JP Morgan Chase Bank Probate Estate Checking Acct X                                                                    | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. (SCHH) CHARLES SCHWAB US REIT                                                                                          | A                                      | Int./Div.                                     | J                                              | T                                         | Sold (part)                                     | 06/24/20                | J                               | A                              |                                                                   |
| 23.                                                                                                                        |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 05/15/20                | J                               |                                |                                                                   |
| 24.                                                                                                                        |                                        |                                               |                                                |                                           | Sold (part)                                     | 03/16/20                | J                               | A                              |                                                                   |
| 25.                                                                                                                        |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 01/17/20                | J                               |                                |                                                                   |
| 26. (IAU) ISHARES GOLD ETF                                                                                                 | A                                      | Int./Div.                                     | J                                              | T                                         | Sold (part)                                     | 06/22/20                | J                               | A                              |                                                                   |
| 27.                                                                                                                        |                                        |                                               |                                                |                                           | Sold (part)                                     | 04/29/20                | J                               | A                              |                                                                   |
| 28.                                                                                                                        |                                        |                                               |                                                |                                           | Sold (part)                                     | 01/15/20                | J                               | A                              |                                                                   |
| 29. (SHYG) ISHARES * HIGH YIELD CORP BOND ETF :                                                                            |                                        |                                               |                                                |                                           | Sold (part)                                     | 05/29/18                | J                               | A                              |                                                                   |
| 30.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/16/18                | J                               | A                              |                                                                   |
| 31. (SCHE) SCHWAB EMERG MAKTS EQUITY ETF:                                                                                  | A                                      | Int./Div.                                     |                                                |                                           | Buy (add'l)                                     | 01/15/20                | J                               |                                |                                                                   |
| 32.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | J                               | A                              |                                                                   |
| 33. (FNDE) SCHWAB FUNDA EMG MKTS LARGE COM ETF SYMBOL:                                                                     | A                                      | Int./Div.                                     | J                                              | T                                         | Buy (add'l)                                     | 04/24/20                | J                               |                                |                                                                   |
| 34.                                                                                                                        |                                        |                                               |                                                |                                           | Sold (part)                                     | 02/28/20                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 01/15/20         | J                        |                         |                                                            |
| 36. (SCHC) SCHWAB INT SMALL CAP<br>EQY                                                                                     | A                                      | Int./Div.                              |                                                |                                    | Buy<br>(add'l)                            | 01/15/20         | J                        |                         |                                                            |
| 37.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 03/12/20         | J                        | A                       |                                                            |
| 38. (SCHX ) SCHWAB US LARGE CAP ETF                                                                                        | A                                      | Int./Div.                              | J                                              | T                                  | Buy<br>(add'l)                            | 01/16/20         | J                        |                         |                                                            |
| 39.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/09/20         | J                        |                         |                                                            |
| 40.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/17/20         | J                        | A                       |                                                            |
| 41.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/22/20         | J                        |                         |                                                            |
| 42. (SCHA ) SCHWAB US SMALL CAP ETF                                                                                        | A                                      | Int./Div.                              | J                                              | T                                  | Buy<br>(add'l)                            | 01/15/20         | J                        |                         |                                                            |
| 43.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/11/20         | J                        | A                       |                                                            |
| 44.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/22/20         | J                        |                         |                                                            |
| 45. (VNQI) VANGUARD GLBAL EX US<br>REAL ESTATE ETF                                                                         | A                                      | Int./Div.                              | J                                              | T                                  | Buy<br>(add'l)                            | 03/16/20         | J                        |                         |                                                            |
| 46.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/24/20         | J                        |                         |                                                            |
| 47.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/24/20         | J                        | A                       |                                                            |
| 48.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/22/20         | J                        | A                       |                                                            |
| 49.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/24/20         | J                        | A                       |                                                            |
| 50. (VTEB) VANGUARD MUNI BND<br>TAXEXEMPT ETF                                                                              | A                                      | Int./Div.                              | K                                              | T                                  | Buy<br>(add'l)                            | 01/15/20         | K                        |                         |                                                            |
| 51.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/09/20         | J                        | A                       |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
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# FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/11/20                | J                               | A                              |                                                                   |
| 53.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/12/20                | K                               |                                |                                                                   |
| 54.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/19/20                | K                               | A                              |                                                                   |
| 55.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/22/20                | J                               |                                |                                                                   |
| 56.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/24/20                | J                               |                                |                                                                   |
| 57. SCHWAB BANK SWEEPS ACCOUNT                                                                                             | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. (EBND) SPDR BLM BARCLY EMG.                                                                                            | A                                      | Int./Div.                                     |                                                |                                           | Buy<br>(add'l)                                  | 01/15/20                | J                               |                                |                                                                   |
| 59.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/18/20                | J                               | A                              |                                                                   |
| 60. (HYLB) XTRACKERS USD HIGH YLD<br>CORP BOND ETF                                                                         | A                                      | Int./Div.                                     |                                                |                                           | Buy<br>(add'l)                                  | 01/15/20                | J                               |                                |                                                                   |
| 61.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/12/20                | J                               | A                              |                                                                   |
| 62. (IPE) SPDR BLOOM BARC *                                                                                                | A                                      | Int./Div.                                     |                                                |                                           | Merged<br>(with line 63)                        | 09/23/19                | J                               | A                              |                                                                   |
| 63. (SPIP) SPDR PORTFOLIO TIPS                                                                                             | A                                      | Int./Div.                                     | J                                              | T                                         | Buy<br>(add'l)                                  | 03/12/20                | J                               |                                |                                                                   |
| 64.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/24/20                | J                               | A                              |                                                                   |
| 65. (PDN) INVESCO FTSE RAFI DEV. MKTS                                                                                      | A                                      | Int./Div.                                     | J                                              | T                                         | Buy<br>(add'l)                                  | 03/16/20                | J                               |                                |                                                                   |
| 66. (PRF) INVESCO FTSE RAFI US 1000 ETF                                                                                    | A                                      | Int./Div.                                     | J                                              | T                                         | Buy<br>(add'l)                                  | 02/28/20                | J                               |                                |                                                                   |
| 67.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/09/20                | J                               |                                |                                                                   |
| 68.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/24/20                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/24/20                | J                               | A                              |                                                                   |
| 70.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/29/20                | J                               | A                              |                                                                   |
| 71.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/22/20                | J                               | A                              |                                                                   |
| 72. (PRFZ) INVESCO FTSE RAFI 500<br>SMALL-MID ETF                                                                          | A                                      | Int./Div.                                     |                                                |                                           | Buy<br>(add'l)                                  | 03/06/20                | J                               |                                |                                                                   |
| 73.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/09/20                | J                               |                                |                                                                   |
| 74.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/12/20                | J                               |                                |                                                                   |
| 75.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/24/20                | J                               |                                |                                                                   |
| 76.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/24/20                | J                               | A                              |                                                                   |
| 77.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/29/20                | J                               | A                              |                                                                   |
| 78.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/22/20                | J                               | A                              |                                                                   |
| 79. (PXF) INVESCO FTSE RAFI<br>DEVELOPED MARKETS                                                                           | A                                      | Int./Div.                                     |                                                |                                           | Buy<br>(add'l)                                  | 02/28/20                | J                               |                                |                                                                   |
| 80.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/09/20                | J                               |                                |                                                                   |
| 81.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/12/20                | J                               |                                |                                                                   |
| 82.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/24/20                | J                               |                                |                                                                   |
| 83.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/24/20                | J                               | A                              |                                                                   |
| 84.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/22/20                | J                               | A                              |                                                                   |
| 85. (PXH) INVESCO FTSE RAFI EMERGING<br>MKTS ETF                                                                           | A                                      | Int./Div.                                     | J                                              | T                                         | Buy<br>(add'l)                                  | 02/28/20                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/09/20         | J                        |                         |                                                            |
| 87.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/24/20         | J                        |                         |                                                            |
| 88.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/24/20         | J                        | A                       |                                                            |
| 89. (VEA) VANGUARD FTSE DEVELOPED MKTS ETF                                                                                 | A                                      | Int./Div.                              | J                                              | T                                  | Buy<br>(add'l)                            | 03/12/20         | J                        |                         |                                                            |
| 90.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/24/20         | J                        |                         |                                                            |
| 91.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/22/20         | J                        | A                       |                                                            |
| 92. (USHY) Ishares Broad USD HG YLD CRP BND ETF                                                                            | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 03/12/20         | J                        |                         |                                                            |
| 93.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/22/20         | J                        | A                       |                                                            |
| 94. (IEMG) ISHARES CORE MSCI EMERGING ETF                                                                                  | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 03/09/20         | J                        |                         |                                                            |
| 95.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/24/20         | J                        |                         |                                                            |
| 96. (FNDX) SCHWAB FUND INL LARGE CO ETF                                                                                    | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 01/15/20         | J                        |                         |                                                            |
| 97.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/28/20         | J                        | A                       |                                                            |
| 98.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/24/20         | J                        |                         |                                                            |
| 99.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/22/20         | J                        | A                       |                                                            |
| 100. (FNDX) SCHWAB FUND US LARGE CO ETF                                                                                    | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 01/15/20         | J                        |                         |                                                            |
| 101.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/28/20         | J                        |                         |                                                            |
| 102.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/24/20         | J                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/29/20         | J                        |                         |                                                            |
| 104. (FNDA) SCHWAB FUND US SMALL<br>COM ETF                                                                                | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 01/15/20         | J                        |                         |                                                            |
| 105.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/06/20         | J                        |                         |                                                            |
| 106.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/24/20         | J                        |                         |                                                            |
| 107.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/29/20         | J                        | A                       |                                                            |
| 108.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/22/20         | J                        | A                       |                                                            |
| 109.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/24/20         | J                        | A                       |                                                            |
| 110. (SCHP) SCHWAB US TIPS ETF                                                                                             | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 01/15/20         | J                        |                         |                                                            |
| 111.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/12/20         | J                        | A                       |                                                            |
| 112.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 06/22/20         | J                        |                         |                                                            |
| 113. (TFI) BARCLAYS MUNICIPAL BOND<br>ETF                                                                                  | A                                      | Int./Div.                              | K                                              | T                                  | Buy                                       | 03/12/20         | K                        |                         |                                                            |
| 114.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/19/20         | K                        |                         |                                                            |
| 115. (EMLC) VANECK VECTORS J.P.                                                                                            | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 03/16/20         | J                        |                         |                                                            |
| 116.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/22/20         | J                        | A                       |                                                            |
| 117. (VOO) VANGUARD S&P 500                                                                                                | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 03/17/20         | J                        |                         |                                                            |
| 118.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/26/20         | J                        |                         |                                                            |
| 119. (VB) VANGUARD SMALL CAP ETF                                                                                           | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 03/11/20         | J                        |                         |                                                            |

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

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/12/20         | J                        |                         |                                                            |
| 121.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/24/20         | J                        | A                       |                                                            |
| 122. (VSS) VGRD FTSE ALL WRLD EX US                                                                                        | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 03/16/20         | J                        |                         |                                                            |
| 123.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/26/20         | J                        |                         |                                                            |
| 124. (HAUZ) XTRACKERS INTER REAL EST                                                                                       | A                                      | Int./Div.                              | J                                              | T                                  | Buy                                       | 01/17/20         | J                        |                         |                                                            |
| 125.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/16/20         | J                        |                         |                                                            |
| 126.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/18/20         | J                        | A                       |                                                            |
| 127.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/28/20         | J                        |                         |                                                            |
| 128.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/24/20         | J                        | A                       |                                                            |
| 129. (SNSXX) Schwab US Trsy Money Money<br>Mkt Fund X*                                                                     | A                                      | Int./Div.                              | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 130. (SWVXX) Schwab Value Advantage<br>Money Mkt Fund X*                                                                   | A                                      | Int./Div.                              | M                                              | T                                  |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

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

PART VII

Part VII, Line 29 (SHYG) ISHARES \* HIGH YIELD: As reported in Part VII, this asset was sold ompletely in two stages on 5/29/18 and 6/16/18 but was inadvertently never reported as such and deleted from the Part VII asset list.

Part VII, Line 62 & 63 (IPE) Spider Bloom Barc & (SPIP) Spider Portfolio Tips. Brokerage Account Statement describes this as a stock split/name change. This transaction occurred on 9/23/20 and should have been reported in the FDR of 2020 but was overlooked.

Part VII, Lines129 & 130 Schwab US Trsy Money Inv (SNSXX) and Schwab Value Advantage Money Fund (SWVXX): These funds were acquired in April 2018 but were not previously reported because of confusion over money market savings accounts and money market investment funds.

# FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Guzman, Ronald A.

Date of Report

05/12/2021

## 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/ Ronald A. Guzman**

**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