

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

1. Person Reporting (last name, first, middle initial) AFRICK, LANCE M.	2. Court or Organization USDC, EASTERN DISTRICT OF LA	3. Date of Report 08/11/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL-TIME U.S. DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 500 POYDRAS STREET ROOM C-405 NEW ORLEANS, LA 70130		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

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

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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> (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	CRESCENT DRILLING & PRODUCTION - WAGES
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. UBS BANK	VARIABLE RATE CREDIT LINE	P1
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

☐

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

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

1. Illinois State FGIC Bond 3D5 Municipal Bond	C	Interest	L	T					
2. Atlanta GA Water & Wastewater Rev Bond SER A CY4	C	Interest	M	T					
3. Kentucky Infrastruct Callable Bond 5A6 Municipal Bond	B	Interest			Redeemed	02/03/20	L		
4. Metropolitan Trans Auth Asur D (2) RL5 Municipal Bond	C	Interest	M	T					
5. Florida St G44 Municipal Bond	B	Interest	L	T					
6. John Hancock Variable Annuity Managed Volatility Growth Fund		None	N	T					
7. Blackrock MUN Target Term Trust BTT	C	Dividend	M	T					
8. Nuveen Inter Duration NID Municipal Term Fund	C	Dividend	L	T					
9. Pimco Dynamic Credit and Mortgage Income Fund PCI	C	Dividend	K	T					
10. Louisiana St H52 Municipal Bond	C	Interest	L	T					
11. Pueblo Cnty Colo CTFS Partn Cnty Judicial Complex CL4 Municipal Bond	B	Interest	K	T					
12. Boynton Beach Fla Util Sys Rev EF9 Municipal Bond	B	Interest	K	T					
13. New Jersey G96 Municipal Bond	D	Interest	M	T					
14. Midland Cnty TEX Fresh WTR Supply DIST (2) AS9 Municipal Bond	D	Interest	N	T					
15. Univ WI BZ5 Municipal Bond	C	Interest	L	T					
16. Apple Inc.	A	Dividend	M	T					
17. Nuveen Ltd Municipal Bond Fund Q822	A	Dividend			Buy (add'l)	02/14/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 29

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AFRICK, LANCE M.

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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18.					Sold	03/19/20	M	A	
19. Johnson & Johnson JNJ Common Stock	A	Dividend	J	T					
20. Procter & Gamble PG Common Stock	A	Dividend	J	T					
21. Apple Inc	A	Dividend	J	T					
22. Pennsylvania ST TPK Commn TPK REV for Issued DTD GFO Municipal Bond	C	Interest	M	T					
23. Boeing Company Symbol BA Common Stock	A	Dividend	J	T					
24. British Amer Tobacco PLC GB SPON ADR BTI Common Stock	A	Dividend			Sold	03/04/20	J		
25. Colgate Palmolive Co Symbol CL Common Stock	A	Dividend	J	T					
26. Crane Co Symbol CR Common Stock	A	Dividend	J	T					
27. Diago PLC New GB SPON ADR Symbol DEO	A	Dividend	J	T					
28. Home Depot Inc Symbol HD Common Stock	A	Dividend	K	T					
29. Illinois Tool Works Inc Symbol ITW Common Stock	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
30. Intel Corp Symbol INTC Common Stock	A	Dividend			Buy (add'l)	03/04/20	J		
31. Microsoft Corp Symbol MSFT Common Stock	A	Dividend	K	T					
32. Medtronic PLC Symbol MDT Foreign Stock	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
33. Novartis AG SPON ADR Symbol NVS	A	Dividend	J	T					
34. Nextera Energy Inc COM Symbol NEE Common Stock	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 29

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35. Occidental Petroleum CRP Symbol OXY Common Stock	A	Dividend			Sold	03/04/20	J		
36. Pepsico Inc Symbol PEP Common Stock	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
37. Rockwell Automation Inc NEW Symbol ROK	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
38. Texas Instruments Symbol TXN Common Stock	A	Dividend	K	T					
39. Union Pacific Corp Symbol UNP Common Stock	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
40. United Technologies Corp Symbol UTX Common Stock		None			Buy (add'l)	03/04/20	J		
41.					Merged (with line 327)	04/03/20	J		
42. VF Corp Symbol VFC Common Stock	A	Dividend	J	T					
43. Yum Brands Inc Symbol YUM Common Stock	A	Dividend	J	T					
44. Ecolab Inc Symbol ECL Common Stock	B	Dividend	M	T					
45. Tampa-Hillborough FL2 Municipal Bond	C	Interest	L	T					
46. Delaware VY ER3 Municipal Bond	A	Interest	K	T					
47. Miami-Dade Cnty GS4 Municipal Bond	C	Interest	L	T					
48. New York ST MY6 Municipal Bond	C	Interest	L	T					
49. Broward CO FL VC9 Municipal Bond	D	Interest	M	T					
50. Jacksonville FL KA3 Municipal Bond	A	Interest	J	T					
51. Deltona FL BZ2 Municipal Bond	B	Interest	K	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 29

Name of Person Reporting

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52. Tangipahoa Par DK5 Municipal Bond	A	Interest	K	T					
53. Memphis Ctr BL7 Municipal Bond	C	Interest	L	T					
54. California St YB4 Municipal Bond	B	Interest	L	T					
55. Daytona Beach FL CF2 Municipal Bond	B	Interest	L	T					
56. NJ ECO V26 Municipal Bond	D	Interest	M	T					
57. Southern ILL Univ Revs X89 Municipal Bond	A	Interest	J	T					
58. Tampa FL BH3 Municipal Bond	C	Interest	L	T					
59. Philadelphia PA WL1 Municipal Bond	A	Interest			Redeemed	08/03/20	J		
60. Connecticut ST JU7 Municipal Bond	C	Interest	M	T					
61. Daytona Beach CC9 Municipal Bond	D	Interest	M	T					
62. Will Co KL8 Municipal Bond	B	Interest	K	T					
63. NJ ECO T78 Municipal Bond	C	Interest	L	T					
64. Onondaga Cnty NY Indl AA4 Municipal Bond	B	Interest	K	T					
65. New York St Twy Auth St SR A VH3 Municipal Bond	D	Interest	M	T					
66. New Jersey Trans Trust SR AA U41 Municipal Bond	C	Interest	L	T					
67. New Jersey St A88 (Previously New Jersey St Tok Auth SER A)	B	Interest	K	T					
68. Mass St Wtr Res Au SR B W97 Municipal Bond	A	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 29

Name of Person Reporting

AFRICK, LANCE M.

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08/11/2021

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69. Blackrock Municipal Term Trust BKK	A	Dividend			Sold	03/04/20	K		
70. Blackrock Munivest Fund MVT	A	Dividend	K	T					
71. Blackrock Municipal Income Trust BFK	B	Dividend	K	T					
72. Invesco High Yield Municipal Fund	D	Dividend	M	T					
73. UBS Bank USA DEP	A	Interest	M	T					
74. Amazon Com Inc		None	K	T					
75. University TEX PERM UNIV FD SER A 4A4 Municipal Bond	C	Interest	M	T					
76. Southwest Higher ED AUTH INC TEX REV KV5 Municipal Bond	D	Interest	M	T					
77. Texas A&M UNIV REV FR1 Municipal Bond	D	Interest	M	T					
78. Port Auth NY & NJ RFDG WY6 Municipal Bond	D	Interest	M	T					
79. New York NY Q53 Municipal Bond	C	Interest	M	T					
80. Washington St for Issues 2017 YQ5 Municipal Bond	D	Interest	M	T					
81. New York NY CITY TRANS FIN AUTH N48 Municipal Bond REV	B	Interest	L	T					
82. Austin TX CMNTY COLLEGE DIST PUB FAC REV CX3 Municipal Bond	C	Interest	M	T					
83. Port ST Lucie FLA UTIL REV RFDG QD1 Municipal Bond	D	Interest	M	T					
84. Pennsylvania ST E57 Municipal Bond	D	Interest	M	T					
85. Miami-Dade CNTY FLA SER A RK8 Municipal Bond	D	Interest	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 29

Name of Person Reporting

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86. Houston TEX CMNTY COLLEGE SYS REV FX1 Municipal Bond	B	Interest	K	T					
87. Arizona ST TRANSN BRD RV XD2 Municipal Bond	D	Interest	M	T					
88. Allen TX INDPT SCH DIST RFDG LL6 Municipal Bond	C	Interest	M	T					
89. New York ST DORM AUTH ST SRB RV D46 Municipal Bond	C	Interest			Merged (with line 331)	05/04/20	M		
90. Indiana ST FIN AUTH WASTEWATER UTIL REV EZ5 Municipal Bond	D	Interest	M	T					
91. Univ HI JR8 Municipal Bond	D	Interest	M	T					
92. Texas WTR YG1 Municipal Bond	D	Interest	M	T					
93. Honolulu Hi Cnty -B SER B L36 Municipal Bond	D	Interest	M	T					
94. New York ST URBAN DEV SR A RV U97 Municipal Bond	D	Interest	M	T					
95. San Antonio TX WTR Syst SR B W66	D	Interest	M	T					
96. Lake Dallas TEX ISD Perma Q81 Municipal Bond	D	Interest	M	T					
97. Cameron CNTY TEX ISD Perma L70 Municipal Bond	D	Interest	M	T					
98. UNIV MI UNV RV QC7	D	Interest	M	T					
99. NO Harris GV2 Municipal Bond	D	Interest	M	T					
100. Bexar CNTY TX XW5 Municipal Bond	C	Interest	L	T					
101. Houston TX Util GU5 Municipal Bond	D	Interest	M	T					
102. Texas ST for Issues Q44 Municipal Bond	D	Interest	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 29

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103. New York NY for Previous A-1 FC8 Municipal Bond	D	Interest	M	T					
104. Pennsylvania St TPK SQ3 Municipal Bond	D	Interest	M	T					
105. Washington St for Issues SR C VM7 Municipal Bond	D	Interest	M	T					
106. Pennsylvania St TPK Comm Build AT BAM EU9 Municipal Bond	D	Interest	M	T					
107. Mi Mun Bd AV Clean Water 3V6 Municipal Bond	A	Interest	J	T	Redeemed (part)	11/02/20	J		
108. New Jersey Health Care F FDO Municipal Bond	A	Interest	J	T					
109. City of NY A-1 Z58 Municipal Bond	B	Interest	K	T					
110. Austin TX EH1 Municipal Bond	A	Interest	K	T					
111. Chicago IL O Hare Intl A MN9 Municipal Bond	A	Interest	K	T					
112. Dallas TX Indpt Sch RPO Municipal Bond	A	Interest	J	T					
113. Dutchess Cnty Assur RV HE4 Municipal Bond	A	Interest			Redeemed	10/01/20	J		
114. Flour Bluff TX CY1 Municipal Bond	B	Interest	L	T					
115. Ohio State Sr B Pt7 Municipal Bond	C	Interest			Sold	08/27/20	M	B	
116. Tanger Factory Outlet Centers Inc SKT Common Stock	A	Dividend	J	T					
117. Yum China Hldgs Inc YUMC Common Stock	A	Dividend	J	T					
118. Harris Co TX Hlth JC9 Municipal Bond	A	Interest			Redeemed	07/01/20	J		
119. Michigan Mun BD Auth F72 Municipal Bond	A	Interest			Redeemed	10/01/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. Columbia SC Wtrwks Swr Sr A TZ5 Municipal Bond	B	Interest			Sold	08/27/20	K	A	
121. Massachusetts St 5Q4 Municipal Bond	B	Interest			Sold (part)	08/27/20	L	A	
122. Illinois HSG Dev Au Mult QH7 Municipal Bond	A	Interest	J	T					
123. Oklahoma Agric & Mechani BR8 Municipal Bond	B	Interest			Redeemed	08/03/20	K		
124. Louisiana St Transn Auth SrA AH8 Municipal Bond	D	Interest	N	T					
125. Tennessee St SrA RN9 Municipal Bond	A	Interest	K	T					
126. North Carolina Estn Mun RV Radia VD9 Municipal Bond	A	Interest	J	T					
127. New Jersey Hlth FF5 Municipal Bond	A	Interest	K	T					
128. Conneticut St for Issue Sr A RBO Municipal Bond	B	Interest	L	T					
129. Albany Dougherty Municipal Bond AB6	A	Interest	J	T					
130. Univ HI Brd Reg Sr E JP2 Municipal Bond	B	Interest	K	T					
131. Texas St Univ Sys TV6 Municipal Bond	B	Interest	L	T					
132. Harris Co JD7 Municipal Bond	A	Interest			Redeemed	07/01/20	J		
133. Albany Dougherty Municipal Bond AA8	A	Interest	J	T					
134. New Jersey St EG1 Municipal Bond	B	Interest	K	T					
135. Beaumont Unified DG6 Municipal Bond	A	Interest	J	T					
136. Louisiana LDC Govt NG5 Municipal Bond	D	Interest	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Massachusetts H&E JS1 Municipal Bond	B	Interest	L	T					
138. Livonia MI Pub Sch SUO Municipal Bond	A	Interest	K	T					
139. Harris Co Tx HW7 Municipal Bond	A	Interest	J	T					
140. Cleveland OH Income KGO Municipal Bond	B	Interest	L	T					
141. Austin TX EL2 Municipal Bond	A	Interest	J	T					
142. Chi IL MVO Municipal Bond	A	Interest	J	T					
143. Douglass Co DF2 Municipal Bond	A	Interest	K	T					
144. Dallas TX RS4 Municipal Bond	A	Interest	K	T					
145. Pennsylvania St Tpk CW1 Municipal Bond	B	Interest	K	T					
146. Alameda Corridor Municipal Bond GN9	C	Interest	M	T					
147. Connecticut St Health 6U4 Municipal Bond	B	Interest	J	T					
148. City of NY NAO Municipal Bond	B	Interest	K	T					
149. Broward CO FL Arpt UE6 Municipal Bond	C	Interest	M	T					
150. Houston TX NL6 Municipal Bond	D	Interest	M	T					
151. Castle Rock CO DD1 Municipal Bond	B	Interest	L	T					
152. Idaho Health FACS VJ5 Municipal Bond	A	Interest			Redeemed	07/01/20	J		
153. Harris CO JE5 Municipal Bond	A	Interest	K	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 13 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. Miami-Dade Cnty UZ4 Municipal Bond	C	Interest	L	T					
155. Dallas Ft Worth SR2 Municipal Bond	B	Interest			Redeemed	11/02/20	K		
156. Hamilton Cnty OH YV5 Municipal Bond	A	Interest	K	T					
157. New York CItY X99 Municipal Bond	B	Interest	M	T					
158. Laredo TX GX5 Municipal Bond	B	Interest	K	T					
159. Franklin Cntty BN6 Municipal Bond	B	Interest	K	T					
160. Ohio St Pub DE1 Municipal Bond	C	Interest	M	T					
161. Mississippi St 7D5 Municipal Bond	B	Interest	L	T					
162. Atlanta GA Arpt RSO Municipal Bond	A	Interest	K	T					
163. Amgen Inc Common Stock	A	Dividend	K	T					
164. Bristol Myers Squibb CO Common Stock	A	Dividend	J	T					
165. Alphabet Inc CL A GOOGL Common Stock (Formerly Alphabet Inc. CL A)		None	K	T	Buy (add'l)	03/04/20	J		
166. Exxon Mobil Corp Common Stock	A	Dividend			Sold	03/04/20	J		
167. Lockheed Martin Corp LMT Common Stock	A	Dividend	K	T					
168. Mondelez Intl Inc		None	J	T					
169. Total SA France SPON ADR Symbol TOT		None			Sold	03/04/20	J		
170. United Parcel Service CL B Stock Symbol UPS	A	Dividend			Sold	03/04/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 14 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. UBS Bank USA Dep Acct	A	Interest	J	T					
172. JP Morgan Strategic Income	A	Dividend	K	T	Buy (add'l)	02/14/20	J		
173. Blackrock Strategic Income Opportunities (Previously Blackrock BSIX)	A	Dividend	K	T	Buy (add'l)	02/14/20	J		
174. Thornburg Limited Term Municipal	A	Dividend			Buy (add'l)	02/14/20	J		
175.					Sold	03/19/20	L		
176. Amgen Inc AMGN	A	Dividend	J	T					
177. Boeing Company BA (Y)									
178. Colgate CL	A	Dividend	J	T					
179. Alphabet Inc GOOGL		None	J	T					
180. Crane Co CR	A	Dividend			Sold	04/13/20	J	A	
181. Diageo PLC DEO	A	Dividend	J	T					
182. Home Depot Inc HD	A	Dividend	J	T					
183. Illinois Tool ITW	A	Dividend	J	T					
184. Intel Corp INTL	A	Dividend	J	T					
185. Lockheed Martin LMT	A	Dividend	J	T					
186. Microsoft Corp MSFT	A	Dividend	J	T					
187. Medtronic MDT	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Novartis NVS	A	Dividend	J	T					
189. Nextero NEE	A	Dividend	J	T					
190. Pepsico Inc PEP	A	Dividend	J	T					
191. Rockwell Automation ROK	A	Dividend	J	T					
192. Texas Instruments TXN	A	Dividend			Sold	04/13/20	J	A	
193. Union Pacific Corp UNP	A	Dividend	J	T					
194. Total SA France TOT		None			Sold	04/13/20	J	A	
195. United Parcel Service UPS	A	Dividend	J	T					
196. United Technologies UTX (Y)									
197. YUMI Brands YUM	A	Dividend	J	T					
198. Nuveen Short Duration NVHIX Q699	A	Dividend			Buy (add'l)	02/14/20	J		
199.					Sold	03/19/20	K		
200. Accenture PLC Ireland CL A Foreign Stock ACN	A	Dividend	J	T					
201. Amazon AMZN		None	K	T					
202. Chevron Corp	A	Dividend			Sold	04/13/20	J		
203. McDonalds Corp MCD Common Stock	A	Dividend	J	T					
204. Suncor SU	A	Dividend			Sold	04/13/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 16 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. Louisiana St Gas & Fuels SR6 Municipal Bond	B	Interest	K	T					
206. Louisiana St Gas & Fuels SZ8 Municipal Bond	C	Interest	L	T					
207. New York St Z87 Municipal Bond	B	Interest			Redeemed	10/01/20	K		
208. Univ Houston TX EA8 Municipal Bond	A	Interest			Redeemed	03/20/20	J		
209. Univ CA SR6 5Z4 Municipal Bond	A	Interest	K	T					
210. Univ CA RV 6S9 Municipal Bond	A	Interest	K	T					
211. Dallas Fort Worth TL4 Municipal Bond	C	Interest			Sold	08/27/20	M	A	
212. Florida St XU3 Municipal Bond	C	Interest	M	T					
213. Ohio St DD3 Municipal Bond	C	Interest	L	T					
214. Alabama Fed Aid Municipal Bond AQ3	C	Interest	L	T					
215. Dallas TX RMO Municipal Bond	C	Interest	J	T					
216. Univ OK NX2 Municipal Bond	C	Interest	M	T					
217. Austin TX JU1 Municipal Bond	C	Interest	L	T					
218. North TX PX5 Municipal Bond	B	Interest	L	T					
219. Ohio St QK3 Municipal Bond	B	Interest	L	T					
220. The Comwlth of MA KA3 Municipal Bond	A	Interest	L	T					
221. Massachuettis St YA3 Municipal Bond	C	Interest	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 17 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. Ohio St JW5 Municipal Bond	C	Interest	M	T					
223. Massachusetts ST EB8 Municipal Bond	C	Interest	L	T					
224. Atlanta GA ZW1 Municipal Bond	C	Interest	L	T					
225. Dutchess Cnty JV5 Municipal Bond	A	Interest	K	T					
226. Pennsylvania St S46 Municipal Bond	C	Interest	L	T					
227. Central Puget Sound GFO Municipal Bond	C	Interest	L	T					
228. District Columbia GJ8 Municipal Bond	B	Interest			Merged (with line 333)	09/11/20	K		
229.					Merged (with line 334)	09/11/20	K		
230. Utility Debt BT5 Municipal Bond	D	Interest	M	T					
231. Washington ST F86 Municipal Bond	C	Interest	M	T					
232. Texas A&M FNO Municipal Bond	C	Interest	M	T					
233. District Columbia ULO Municipal Bond	C	Interest	L	T					
234. Oregon St A72 Municipal Bond	C	Interest	L	T					
235. New Jersey R93 Municipal Bond	C	Interest	M	T					
236. Univ VA WM1 Municipal Bond	C	Interest	L	T					
237. Philadelphia PA ZBO Municipal Bond	C	Interest	M	T					
238. NB Strategic LP Invest	F	Distribution	M	T	Buy (add'l)	04/13/20	K		

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

Page 18 of 29

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239. AlphaKeys Tac Opp III Publicly Traded Ptnshp 9C2		None	M	T	Buy (add'l)	01/24/20	K		
240.					Buy (add'l)	03/04/20	J		
241.					Buy (add'l)	04/03/20	K		
242.					Buy (add'l)	09/21/20	J		
243.					Buy (add'l)	10/09/20	K		
244.					Buy (add'l)	11/30/20	J		
245.					Buy (add'l)	12/22/20	J		
246. District Columbia RR1 Municipal Bond	C	Interest	L	T					
247. Virginia Commnth Bond BD1 Municipal Bond	D	Interest	M	T					
248. Cucamonga VY CA BQ6 Municipal Bond	C	Interest	L	T					
249. Cucamonga VY CA CK8 Municipal Bond	B	Interest	K	T					
250. Pretium Residential 9D6 Publicly Traded Partnership	E	Distribution	M	T					
251. District Columbia DC1 Municipal Bond		None			Merged (with line 365)	03/03/20	J		
252.					Merged (with line 366)	03/03/20	M		
253. RI Clean Wtr GC6 Municipal Bond	C	Interest	M	T					
254. New York St 5A5 Municipal Bond	C	Interest	M	T					
255. Univ NE 4Z5 Municipal Bond	C	Interest	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256. Port Auth NY & NJ X41 Municipal Bond	C	Interest	M	T					
257. Walt Disney DIS Common Stock	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
258. SPDR S&P Exchange Traded Fund XBI	A	Dividend	K	T					
259. Accenture PLC ACN	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
260. Stryker Corp SYK Common Stock	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
261. Pfizer Inc. PFE Common Stock	A	Dividend	J	T					
262. Walt Disney CO DIS	A	Dividend	J	T					
263. Ecolab Inc ECL	A	Dividend	J	T					
264. Stryker Corp DE SYK	A	Dividend			Sold	04/13/20	J	A	
265. Comcast Corp CMCSA	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
266. Blackrock Inc BLK	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
267. Chubb LTD CB	A	Dividend			Buy (add'l)	02/18/20	J		
268.					Sold	04/13/20	J	A	
269. Amgen R AMGN	A	Dividend	J	T					
270. Comcast R CMCSA	A	Dividend	J	T					
271. Apple R AAPL Common Stock	A	Dividend	K	T					
272. Boeing R BA	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. Chevron R CVX	A	Dividend			Buy (add'l)	02/18/20	J		
274.					Sold	04/13/20	J	A	
275. Colgate R CL	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
276. Alphabet R GOOGL		None	J	T					
277. Crane R CR	A	Dividend			Buy (add'l)	02/18/20	J		
278.					Sold	04/13/20	J		
279. Diageo R DEO	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
280. Walt Disney Co R DIS	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
281. Ecolab R ECL	A	Dividend	J	T					
282. Home Depot R HD	A	Dividend	J	T					
283. Illinois Tool Works R ITW	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
284. Intel Corp R INTC	A	Dividend	J	T					
285. Johnson & Johnson R JNJ	A	Dividend	J	T					
286. Lockheed Martin R LMT	A	Dividend	J	T					
287. Microsoft Corp R MSFT	A	Dividend	K	T					
288. McDonalds Corp R MCD	A	Dividend	J	T					
289. Medtronic PLC R MDT	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290. Nextera Energy R NEE	A	Dividend	J	T					
291. Pepsico Inc R PEP	A	Dividend	J	T					
292. Rockwell Automation R ROK	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
293. Accenture PLC R ACN	A	Dividend	J	T	Buy (add'l)	02/18/20	J		
294. Stryker Corp R SYK	A	Dividend			Buy (add'l)	02/18/20	J		
295.					Sold	04/13/20	J		
296. Suncor Energy R SU	A	Dividend			Buy (add'l)	02/18/20	J		
297.					Sold	04/13/20	J		
298. Texas Instruments R TXN	A	Dividend			Buy (add'l)	02/18/20	J		
299.					Sold	04/13/20	J		
300. Union Pacific Corp R UNP	A	Dividend	J	T					
301. Untd Technologies Corp R UTX		None			Merged (with line 367)	04/03/20	J		
302. Blackrock Inc R BLK	A	Dividend	J	T					
303. Chubb LTD R CB	A	Dividend			Sold	04/13/20	J	A	
304. Truist Finl Corp TFC (Previously Suntrust Banks R STI)		None			Sold	02/28/20	J	A	
305. Pruco Life Insurance ILU Universal Whole Life		None	J	T					
306. PIMCO Energy & Tactical Credit Opportunities Fund NRGX	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 22 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. Blackrock Science & Technology BSTZ Fund	D	Dividend	O	T					
308. Blackrock Private Opp Fund IV 9G3 Limited Partnership	E	Distribution	M	T	Buy (add'l)	05/05/20	K		
309.					Buy (add'l)	07/29/20	K		
310.					Buy (add'l)	10/05/20	K		
311.					Buy (add'l)	12/01/20	K		
312. Chemed Corp New CHE Common Stock	A	Dividend	K	T	Buy (add'l)	01/24/20	J		
313. Barclays Bank PLC Structured Products	D	Int./Div.			Redeemed	12/09/20	L		
314. Morgan Stanley Financie MXEF SX5E Structured products	C	Int./Div.	L	T					
315. Morgan Stanley Finance SPX SX5E Structured Products	D	Int./Div.	L	T					
316. Pennsylvania ST TPK Comm WQ8 Municipal Bond	C	Interest	M	T					
317. Blackstone Real Estate Income Trust Inc.	D	Distribution	N	T					
318. UBS AG Deposit Account	A	Interest	J	T					
319. SPDR S&P Exchange Traded Fund KRE	A	Dividend			Sold	04/13/20	J		
320. Ohio St Hosp FAC Revenue Sr B KW1 Municpal Bond	B	Interest	M	T	Buy	01/17/20	M		
321. Blackrock Health Sciences BMEZ Closed End Fund	C	Dividend	K	T	Buy	01/29/20	L		
322. Comcast Corp CMCSA Common Stock	A	Dividend	K	T	Buy	03/04/20	K		
323. Citizens Financial Group Inc. CFG Common Stock	A	Dividend	K	T	Buy	03/04/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. McDonalds Corp MCD Common Stock	A	Dividend	K	T	Buy	03/04/20	K		
325. Royal Caribbean Cruises RCL Common Stock	A	Dividend	J	T	Buy	03/04/20	K		
326. Visa Inc V Common Stock	A	Dividend	K	T	Buy	03/04/20	K		
327. Raytheon Technologies Corp RTX Common Stock (X)	A	Dividend	J	T					
328. Otis Worldwide Corp OTIS Common Stock	A	Dividend	J	T	Spinoff (from line 40)	04/03/20	J		
329. Carrier Global Corp CARR Common Stock	A	Dividend	J	T	Spinoff (from line 40)	04/03/20	J		
330. Seattle WA Lt & Pwr LE2 Municipal Bond	B	Interest	M	T	Buy	04/24/20	M		
331. New York ST DORM AUTH ST SRB RV TX2 Municipal Bond (X)	C	Interest	M	T					
332. Nuveen Dynamic Municipal Opportunity Fund NDMO	D	Dividend	N	T	Buy	08/31/20	N		
333. District Columbia UD5 Municipal Bond (X)	A	Interest	K	T					
334. District Columbia TZ8 Muncipal Bond (X)	A	Interest	K	T					
335. New York St Dorm Auth FJ7 Municipal Bond (X)		None	M	T					
336. Austin TX Wtr & Wastewa Sr A S74 Municipal Bond (X)	B	Interest	M	T					
337. Chicago IL O Hare Intl A Sr B RF1 Municipal Bond (X)		None	K	T					
338. Mifflin Cnty PA Sch Build UY0 Municipal Bond (X)		None	L	T					
339. Washington ST for Issues 2017A YL6 Municipal Bond (X)		None	L	T					
340. San Antonio TX Wtr Syst Sr C 3V3 Municipal Bond (X)	B	Interest	M	T					

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
341. District Columbia Univ CX6 Municipal Bond (X)		None	L	T					
342. Metropolitan Tran Au NY Sr A 6L2 Municpal Bond (X)	B	Interest	L	T					
343. Univ VT&ST YQ6 Municipal Bond (X)		None	L	T					
344. Bexar Cnty TX 2018 F70 Municipal Bond (X)	B	Interest	M	T					
345. Memphis-Shelby Cnty TN AG7 Municipal Bond (X)	B	Interest	L	T					
346. Univ NM Univ RV W38 Municipal Bond (X)	B	Interest	L	T					
347. Grand River DAM VU8 Municipal Bond (X)	B	Interest	L	T					
348. Hawaii St SR FT WV4 Municipal Bond (X)		None	M	T					
349. Miami-Dade Cnty FL KF0 Municipal Bond (X)		None	L	T					
350. North TX Muni Wtr PW7 Municipal Bond (X)		None	M	T					
351. Mass St Go consol B74 Municipal Bond (X)		None	J	T					
352. New York St Environ FS9 Municipal Bond (X)	B	Interest	M	T					
353. Ohio State Sr B PT7 Municipal Bond (X)		None	K	T					
354. Pennsylvania St Higher E Sr B QS5 Municipal Bond (X)		None	L	T					
355. Ohio St SR A NY6 Municipal Bond (X)		None	L	T					
356. Portland OR TS0 Municipal Bond (X)	B	Interest	M	T					
357. Massachusetts St 5Q4 Municipal Bond (X)	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 25 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. Thermo Fisher Scientific Inc TMO Common Stock		None	K	T	Buy	12/10/20	K		
359. Citigroup Global Markets Fund		None	L	T	Buy	12/14/20	L		
360. Morgan Stanley Finance L/O Fund		None	L	T	Buy	12/14/20	L		
361. Clover PCO II Secondary A25 Limited Partnership		None	K	T	Buy	12/17/20	K		
362. Clover PCO II Origination A41 Limited Partnership		None	K	T	Buy	12/17/20	K		
363. Blackstone Private Credit Fund J00		None	L	T	Buy	12/29/20	M		
364. Nightdragon Growth I 9M8 Limited Partnership		None	L	T	Buy	12/29/20	L		
365. District Columbia Univ RV DG2 Municipal Bond (X)	A	Interest	J	T					
366. District Columbia Univ RV DH0 Municipal Bond (X)	A	Interest	M	T					
367. Raytheon Technologies Corp RTX (X)	A	Dividend	J	T	Buy (add'l)	04/09/20	J		
368. Otis Worldwide Corp OTIS Common Stock (X)	A	Dividend			Sold	04/09/20	J		
369. Cisco Systems Inc CSCO Common Stock	A	Dividend	J	T	Buy	04/13/20	J		
370. Intl Business Mach DE IBM Common Stock	A	Dividend	J	T	Buy	04/13/20	J		
371. Kimberly Clark Corp KMB Common Stock	A	Dividend	J	T	Buy	04/13/20	J		
372. Starbucks Corp DE SBUX Common Stock	A	Dividend	J	T	Buy	04/13/20	J		
373. Waste Mgmt Inc WM Common Stock	A	Dividend	J	T	Buy	04/13/20	J		
374. Wells Fargo Shortterm Municipal Bond Fund WSBIX	A	Dividend	K	T	Buy	07/23/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 26 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. Putnam Ultra Short Duration Income Fund PSDYX	A	Dividend	K	T	Buy	07/23/20	K		
376. Thornburg Limited Term Municipal Fund LTMIX	A	Dividend	K	T	Buy	07/23/20	K		
377. Nuveen Limited Term Municipal Bond Fund FLTRX	A	Dividend	K	T	Buy	07/23/20	K		
378. Federated Hermes Municipal Ultrashort Fund FMUSX	A	Dividend	K	T	Buy	07/23/20	K		
379.					Sold (part)	12/09/20	J	A	
380. Thermo Fisher Scientific Inc TMO Common Stock		None	J	T	Buy	12/10/20	J		
381. Quest Diagnostics Inc. DGX Common Stock	A	Dividend	J	T	Buy	04/08/20	J		
382. Citizens Financial Group INC DE CFG Common Stock	A	Dividend	J	T	Buy	02/28/20	J		
383. Quest Diagnostics Inc DGX Common Stock (X)	A	Dividend	J	T					
384. Raytheon Technologies Corp RTX Common Stock (X)	A	Dividend	J	T					
385. Starbucks Corp SBUX Common Stock (X)	A	Dividend	J	T					
386.									
387.									
388.									
389.									
390.									
391.									

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
392.									
393.									
394.									
395.									
396.									
397.									
398.									
399.									
400.									
401.									

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

FINANCIAL DISCLOSURE REPORT

Page 28 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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

United Technologies Corp UTX Common stock was exchanged on April 3, 2020 for the same number of shares of Raytheon Technologies Corp RTX Common Stock

FINANCIAL DISCLOSURE REPORT

Page 29 of 29

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

08/11/2021

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/ LANCE M. AFRICK

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544