

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) Bloch, Alan N.	2. Court or Organization USDC/WDPA	3. Date of Report 8/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address Suite 10150, Courtroom 10A Joseph F. Weis, Jr. United States Courthouse 700 Grant Street Pittsburgh, PA 15219		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i>		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Emeritus Board of Directors	Make-A-Wish Foundation of Western Pennsylvania (non-profit corporation)
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

A. Filer's Non-Investment Income



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

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

1.		
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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

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

☒ NONE (No reportable gifts.)

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.		

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Name of Person Reporting

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Philadelphia PA Gas Works Bond (12th Series)	A	Interest			Redeemed	05/15/20	J	C	
2. Coatesville PA Area School District Bond	A	Interest			Redeemed	08/17/20	J		
3. TransCanada TR Co. Bond	A	Interest			Buy	01/27/20	J		
4. --					Sold (part)	02/24/20	J	A	
5. --					Sold (part)	02/25/20	J	A	
6. --					Sold	04/30/20	J		
7. Interest-PNC Bank- Checking; Virginia Manor Shops, Pgh.	A	Interest	L	T					
8. Gabelli Equity Trust	B	Dividend	K	T	Buy (add'l)	03/02/20	J		
9. AMG Funds (Yacktman Focused Funds) Class I	A	Dividend	J	T					
10. Columbia Dividend Inc. Fund Instit. Class	A	Dividend	J	T					
11. Federated Funds (Federated MDT Mid Cap Growth Fund - CL IS)	A	Dividend	J	T					
12. Fenimore Asset Mgmt. TR (Fam. Dividend Focused Fund)	A	Dividend	J	T					
13. First Eagle Funds (First Eagle Global - Class I)	A	Dividend	J	T					
14. Wasatch Funds (Small Cap Value Fund - Institutional Class I)	A	Dividend	J	T					
15. Parnassus Income (Core Equity Fund - Instit. Class Shares)	A	Dividend	J	T					
16. Pimco Invt. Grade Credit Bond Fund Inst.	A	Dividend	J	T					
17. Legg Mason Funds (Clearbridge Large Cap Growth Fund - Class I)	A	Dividend	J	T	Sold (part)	01/10/20	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	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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18. --					Sold (part)	07/10/20	J	A	
19. --					Sold (part)	10/09/20	J	A	
20. AIG Focused Dividend Strat. Fund CL W	A	Dividend	J	T					
21. Value Line Asset Allocation Fund (INC Class - Instit.)	A	Dividend	J	T	Sold (part)	04/09/20	J	A	
22. Eaton Vance Tax Adv. Div. Inome. Fund	C	Dividend			Buy	02/12/20	K		
23. --					Sold	12/30/20	K		
24. Cohen & Steers PFD Secs. and Inc. FD Inc. CL SMA	D	Dividend	M	T	Buy	01/27/20	L		
25. --					Buy (add'l)	02/03/20	K		
26. --					Buy (add'l)	02/11/20	J		
27. --					Buy (add'l)	02/24/20	J		
28. --					Buy (add'l)	02/28/20	J		
29. --					Buy (add'l)	03/06/20	J		
30. --					Buy (add'l)	04/30/20	J		
31. --					Sold (part)	06/15/20	J		
32. --					Buy (add'l)	08/26/20	J		
33. --					Buy (add'l)	10/06/20	J		
34. --					Sold (part)	10/23/20	J		

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

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	(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)
35. --					Sold (part)	11/30/20	J	A	
36. (Lines 37-612 are common stock unless otherwise noted)									
37. Abbvie Inc.	B	Dividend	K	T					
38. AT&T Inc.	B	Dividend			Sold	12/30/20	K		
39. Exxon Mobile Corp. XOM (Margin)	A	Dividend			Sold	02/28/20	J		
40. American Electric. 6.125% PFD	B	Dividend	K	T	Buy	08/24/20	K		
41. Essential Utils. Inc./Aqua America Inc. 6% PFD	B	Dividend	K	T					
42. AT&T Inc. 5.625% PFD (unsecured)	B	Dividend	K	T					
43. Becton Dickinson 6.125% PFD (Series A)	B	Dividend			Sold	05/14/20	K	A	
44. Becton Dickinson 6% PFD (Series B)	B	Dividend	K	T	Buy	06/02/20	K		
45. Broadcom Inc. 8% PFD (Series A)	B	Dividend	K	T	Buy	02/28/20	K		
46. Capital One FIN 6% PFD (Series H)	B	Dividend	K	T	Buy	03/19/20	K		
47. Crown Castle 6.875% PFD (Series A)	B	Dividend			Sold	07/06/20	K	D	
48. Dominion Energy Inc. PFD (Series A)	B	Dividend	K	T					
49. Ebay Inc. 6% PFD	B	Dividend	K	T					
50. Energizer Holdings Inc. 7.5% PFD (Series A)	B	Dividend			Sold	12/30/20	K		
51. GMAC Cap. Trust I PFD (Series 2)	B	Dividend	K	T	Buy	04/02/20	K		

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(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		
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52. Goldman Sachs FLT RT Non-Cum PFD	A	Dividend	K	T	Buy	09/17/20	K		
53. Int'l Flavors & Fragrances PFD	B	Dividend	K	T	Sold (part)	09/30/20	K		
54. --					Buy (add'l)	11/25/20	K		
55. KKR & Co. Inc. 6% PFD (Series C)	B	Dividend	K	T	Buy	08/19/20	K		
56. Nextera Energy 6.219% PFD	A	Dividend	K	T	Buy	09/30/20	K		
57. PNC Fin. Svs. 5.375% PFD (Series Q)	B	Dividend			Redeemed	09/01/20	K	A	
58. Qwest Corp. 6.625% PFD	B	Dividend			Redeemed (part)	09/15/20	K	B	
59. --					Redeemed	10/26/20	J	B	
60. Southern Corp. 6.75% PFD (Series A)	C	Dividend	K	T	Buy	01/23/20	K		
61. --					Buy (add'l)	05/18/20	J		
62. Stanley Black & Decker 5.25% PFD	B	Dividend	K	T	Buy (add'l)	04/02/20	J		
63. US Bancorp 5.15% PFD (Series H)	B	Dividend			Sold	06/02/20	K	A	
64. Abbvie Inc.	A	Dividend			Sold	01/27/20	J		
65. Altria Group, Inc.	A	Dividend			Sold (part)	01/09/20	J	A	
66. --					Sold	01/27/20	J	A	
67. AIG	A	Dividend	J	T	Buy (add'l)	03/03/20	J		
68. --					Sold	10/01/20	J		

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69. --					Buy	11/02/20	J		
70. --					Buy (add'l)	11/25/20	J		
71. AmCorp	A	Dividend			Sold	01/27/20	J	A	
72. American Tower Corp. REIT	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
73. --					Sold (part)	04/13/20	J	B	
74. --					Buy (add'l)	08/19/20	J		
75. AmGen Inc.	A	Dividend			Sold (part)	01/23/20	J	A	
76. --					Sold	01/27/20	J	A	
77. Analog Devices Inc.	A	Dividend	J	T					
78. Anheuser-Busch Imbev.	A	Dividend			Buy (add'l)	01/22/20	J		
79. --					Sold (part)	03/13/20	J		
80. --					Sold (part)	03/16/20	J		
81. --					Sold (part)	03/17/20	J		
82. --					Sold (part)	03/18/20	J		
83. --					Sold	03/19/20	J		
84. Apollo Global Mgmt. - Class A	A	Dividend	J	T	Buy (add'l)	03/25/20	J		
85. --					Buy (add'l)	10/21/20	J		

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86. Apple Inc.	A	Dividend	K	T					
87. Ares Capital Corp.	A	Dividend	J	T					
88. AT&T Inc.	A	Dividend			Sold	01/27/20	K	C	
89. Bank of America Corp.	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
90. --					Sold (part)	04/09/20	J	A	
91. --					Sold (part)	04/15/20	J	A	
92. BCE Inc.	A	Dividend			Sold	01/27/20	J	A	
93. Becton Dickinson & Co.	A	Dividend	J	T	Buy	03/06/20	J		
94. --					Buy (add'l)	03/10/20	J		
95. --					Buy (add'l)	03/20/20	J		
96. --					Buy (add'l)	03/23/20	J		
97. --					Buy (add'l)	03/26/20	J		
98. --					Buy (add'l)	06/11/20	J		
99. Blackstone Group Inc. Class A	A	Dividend	K	T					
100. Boston Properties Inc. REIT	A	Dividend	J	T	Buy	03/20/20	J		
101. --					Buy (add'l)	03/23/20	J		
102. --					Buy (add'l)	03/24/20	J		

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103. --					Buy (add'l)	03/25/20	J		
104. BP PLC	A	Dividend			Sold	01/27/20	K		
105. British American. Tob.	A	Dividend			Sold	01/27/20	J	A	
106. Broadcom Inc.	A	Dividend	J	T	Buy	03/13/20	J		
107. --					Buy (add'l)	03/16/20	J		
108. --					Buy (add'l)	03/24/20	J		
109. --					Buy (add'l)	07/13/20	J		
110. Broadridge Fin. Solutions	A	Dividend	K	T					
111. CDN Imperial Bank	A	Dividend			Sold	01/27/20	K	A	
112. Charles Schwab 5.95% PFD (Series D)	A	Dividend			Buy	01/27/20	J		
113. --					Sold	01/28/20	J		
114. Carnival Corp.	A	Dividend			Buy	02/26/20	J		
115. --					Sold	03/13/20	J		
116. Carrier Global Corp.	A	Dividend			Buy	04/20/20	J		
117. --					Sold (part)	08/17/20	J	A	
118. --					Sold (part)	08/18/20	J	A	
119. --					Sold	08/19/20	J	A	

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

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Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Chevron Corp.	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
121. --					Sold (part)	01/27/20	J	B	
122. --					Sold	10/01/20	J		
123. --					Buy	11/02/20	J		
124. Chubb Ltd.	A	Dividend	J	T					
125. Cisco Systems	A	Dividend	K	T	Buy (add'l)	01/09/20	J		
126. --					Buy (add'l)	01/22/20	J		
127. --					Sold (part)	01/27/20	J	A	
128. --					Sold (part)	04/17/20	J		
129. --					Sold	05/01/20	J		
130. --					Buy	07/01/20	J		
131. --					Sold	10/01/20	J		
132. --					Buy	11/02/20	K		
133. Coca-Cola Co.	A	Dividend	J	T	Sold (part)	01/09/20	J		
134. --					Sold (part)	01/27/20	J	C	
135. --					Buy (add'l)	03/13/20	J		
136. Colgate-Palmolive Co.	A	Dividend	K	T	Buy	01/28/20	K		

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		

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. Comcast Corp. New CL A	A	Dividend	K	T					
138. DIAGEO PLC	A	Dividend	K	T					
139. Digital Realty Trust Inc.	A	Dividend	K	T					
140. Walt Disney Co.	A	Dividend	J	T	Sold (part)	04/07/20	J		
141. --					Sold (part)	04/14/20	J		
142. Dominion Energy. Inc.	A	Dividend			Sold (part)	01/09/20	J	A	
143. --					Sold	01/27/20	K	B	
144. Dow Inc.	A	Dividend	K	T	Buy (add'l)	01/06/20	J		
145. --					Sold (part)	10/01/20	J		
146. --					Buy (add'l)	11/02/20	J		
147. Duke Energy Corp.	A	Dividend			Sold	01/27/20	K	C	
148. Ecolab Inc.	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
149. --					Buy (add'l)	03/24/20	J		
150. --					Buy (add'l)	03/26/20	J		
151. --					Buy (add'l)	08/19/20	J		
152. Edison Int'l	A	Dividend	J	T	Buy (add'l)	03/03/20	J		
153. --					Buy (add'l)	03/10/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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. --					Buy (add'l)	04/06/20	J		
155. --					Sold	10/01/20	J		
156. --					Buy	11/02/20	J		
157. Enbridge Inc.	A	Dividend	J	T	Sold (part)	01/27/20	J	A	
158. --					Sold	10/01/20	J		
159. --					Buy	11/02/20	J		
160. Entergy Corp. New	A	Dividend	J	T					
161. Exxon Mobile Corp.	A	Dividend			Buy	01/09/20	K		
162. --					Sold (part)	01/27/20	K		
163. --					Sold (part)	03/30/20	J		
164. --					Sold	09/24/20	J		
165. Fastenal Co.	A	Dividend	K	T					
166. FNF Group	A	Dividend	K	T	Buy (add'l)	09/23/20	J		
167. Gilead Sciences Inc.	A	Dividend	K	T	Buy (add'l)	01/09/20	J		
168. --					Buy (add'l)	01/23/20	J		
169. --					Sold (part)	01/27/20	J	A	
170. GlaxoSmithKline PLC	A	Dividend			Buy (add'l)	01/10/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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)
171. --					Sold	01/27/20	K	C	
172. Graco Inc.	A	Dividend	K	T					
173. Home Depot Inc.	A	Dividend	J	T	Sold (part)	04/08/20	J	A	
174. Huntington Bancshares	A	Dividend			Sold (part)	01/09/20	J	A	
175. --					Sold	01/27/20	J	A	
176. Investco Ltd.	A	Dividend			Buy	01/09/20	J		
177. --					Sold	01/27/20	J		
178. Intel Corp.	A	Dividend			Sold	11/12/20	J	A	
179. International Paper Co.	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
180. --					Sold (part)	11/13/20	J	A	
181. --					Sold (part)	11/18/20	J	A	
182. I-Shares ETF (Core S&P)	B	Dividend			Sold	01/06/20	J	A	
183. --					Buy	10/02/20	J		
184. --					Sold	11/02/20	J	A	
185. I-Shares Select ETF (Dividend Fund)	A	Dividend			Sold	01/09/20	L	B	
186. Johnson & Johnson	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
187. --					Sold (part)	04/13/20	J	A	

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		

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188. Kimberly-Clark Corp.	A	Dividend			Sold	01/27/20	J	A	
189. Kinder Morgan Inc.	A	Dividend	J	T	Sold	10/01/20	J		
190. --					Buy	11/02/20	K		
191. --					Sold (part)	12/01/20	J	B	
192. --					Sold (part)	12/02/20	J	A	
193. --					Sold (part)	12/09/20	J	A	
194. --					Sold (part)	12/14/20	J	A	
195. --					Sold (part)	12/16/20	J	A	
196. Linde PLC	A	Dividend	K	T					
197. Lockheed Martin Corp.	A	Dividend	K	T					
198. Lyondellbasell	A	Dividend			Sold (part)	01/09/20	J	A	
199. --					Sold	01/27/20	J	A	
200. Mastercard Inc. Class A	A	Dividend	J	T	Sold (part)	04/13/20	J	A	
201. McDonald's	A	Dividend			Sold (part)	03/09/20	J	A	
202. --					Sold (part)	04/02/20	J	B	
203. --					Sold (part)	04/06/20	J	A	
204. --					Sold	04/07/20	J	A	

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		

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

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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)
205. Merck & Co. Inc. New	A	Dividend	J	T	Sold (part)	04/13/20	J	A	
206. --					Buy (add'l)	08/19/20	J		
207. MetLife Inc.	A	Dividend	J	T	Sold	10/01/20	J		
208. --					Buy	11/02/20	J		
209. --					Buy (add'l)	11/25/20	J		
210. Microsoft Corp.	A	Dividend	K	T	Buy (add'l)	01/22/20	J		
211. --					Sold (part)	02/14/20	J	D	
212. --					Sold (part)	04/13/20	J	B	
213. --					Sold (part)	07/24/20	J	C	
214. Mondelez Int'l	A	Dividend	J	T	Buy (add'l)	03/13/20	J		
215. --					Buy (add'l)	04/29/20	J		
216. National Grid PLC	A	Dividend			Sold	01/27/20	J	A	
217. Nestle SA Reg. ADR	A	Dividend	K	T	Buy (add'l)	03/13/20	J		
218. Nextera Energy Inc.	A	Dividend	J	T	Buy (add'l)	03/13/20	J		
219. --					Sold (part)	08/10/20	J	B	
220. Northern Trust Corp.	A	Dividend	J	T					
221. Northrop Grumman Corp.	A	Dividend	J	T	Buy	10/26/20	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
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3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. --					Buy (add'l)	10/29/20	J		
223. --					Buy (add'l)	11/04/20	J		
224. NXP Semiconductors	A	Dividend			Sold	02/26/20	K	D	
225. Occidental Pete Corp.	A	Dividend			Buy	01/09/20	J		
226. --					Sold (part)	01/23/20	J		
227. --					Sold	01/27/20	J		
228. Oracle Corp.	A	Dividend	J	T	Buy	09/23/20	J		
229. --					Buy (add'l)	09/24/20	J		
230. --					Buy (add'l)	10/26/20	J		
231. --					Buy (add'l)	10/29/20	J		
232. Otis Worldwide Corp.	A	Dividend	J	T	Buy	04/03/20	J		
233. --					Buy (add'l)	04/09/20	J		
234. PPG Indus. Inc.	A	Dividend	K	T	Buy (add'l)	03/20/20	J		
235. --					Sold (part)	07/17/20	J	A	
236. Paychex Inc.	A	Dividend	K	T					
237. Pepsico Inc.	A	Dividend	K	T	Sold (part)	01/27/20	J	B	
238. Pfizer Inc.	B	Dividend	K	T	Buy (add'l)	01/09/20	J		

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

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

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

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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. --					Sold (part)	01/27/20	J	C	
240. --					Buy (add'l)	02/27/20	J		
241. --					Sold	10/01/20	J		
242. --					Buy	11/02/20	K		
243. Philip Morris Int'l	A	Dividend			Sold	01/27/20	K	A	
244. PNC Fin. Svcs.	A	Dividend	J	T	Sold (part)	01/23/20	J	A	
245. --					Sold (part)	01/27/20	J	A	
246. --					Sold (part)	04/09/20	J		
247. --					Sold (part)	04/15/20	J		
248. --					Sold	10/01/20	J		
249. --					Buy	11/02/20	J		
250. Polaris Inc.	A	Dividend	J	T	Buy (add'l)	04/07/20	J		
251. PPL Corp.	A	Dividend			Sold	01/27/20	J	A	
252. Procter & Gamble Co.	A	Dividend	J	T					
253. Progressive Corp. Ohio	A	Dividend	K	T					
254. Public Svc. Enterprise Group	A	Dividend	J	T	Buy	04/07/20	J		
255. --					Buy (add'l)	04/08/20	J		

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

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Name of Person Reporting

Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256. --					Buy (add'l)	04/09/20	J		
257. --					Buy (add'l)	04/13/20	J		
258. --					Buy (add'l)	04/14/20	J		
259. --					Buy (add'l)	05/01/20	J		
260. --					Buy (add'l)	05/04/20	J		
261. --					Buy (add'l)	05/14/20	J		
262. --					Buy (add'l)	09/24/20	J		
263. Rayonier Inc.	A	Dividend	J	T					
264. Raytheon Co.	A	Dividend			Buy (add'l)	03/26/20	J		
265. --					Buy (add'l)	03/30/20	J		
266. --					Merged (with line 267)	04/03/20	J		
267. Raytheon Technologies Corp.	A	Dividend	K	T	Open	04/03/20	J		
268. --					Sold (part)	04/13/20	J	A	
269. --					Sold	10/01/20	J		
270. --					Buy	11/02/20	K		
271. Realty Income Corp.	A	Dividend			Sold	01/27/20	J	B	
272. Regions Fin. Corp.	A	Dividend			Sold	01/27/20	J	A	

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

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Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. Royal Dutch Shell	A	Dividend			Sold	01/27/20	J		
274. Sempra Energy	A	Dividend	J	T	Buy	08/10/20	J		
275. --					Buy (add'l)	08/12/20	J		
276. --					Buy (add'l)	10/19/20	J		
277. --					Buy (add'l)	12/17/20	J		
278. --					Buy (add'l)	12/18/20	J		
279. SL Green Realty Corp.	B	Dividend	K	T	Sold	10/01/20	J		
280. --					Buy	11/02/20	K		
281. Snap On Inc.	A	Dividend	K	T	Buy	02/25/20	K		
282. The Southern Co.	A	Dividend	K	T	Sold (part)	01/27/20	J	C	
283. SPDR S&P 500 Trust	B	Dividend			Sold	01/22/20	J	A	
284. --					Buy	10/01/20	L		
285. --					Sold	11/02/20	L		
286. Sysco Corp.	A	Dividend			Sold (part)	03/24/20	J		
287. --					Sold (part)	03/27/20	J		
288. --					Sold	03/30/20	J	A	
289. TC Energy Corp.	A	Dividend			Sold	01/27/20	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	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290. Texas Instruments Inc.	A	Dividend	J	T					
291. Tiffany & Co. New	A	Dividend	K	T					
292. Travelers Cos.	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
293. --					Buy (add'l)	09/23/20	J		
294. --					Buy (add'l)	09/24/20	J		
295. --					Buy (add'l)	10/20/20	J		
296. Unilever	A	Dividend			Buy	01/23/20	J		
297. --					Sold	01/27/20	J		
298. Union Pacific Corp.	A	Dividend	J	T	Buy (add'l)	10/23/20	J		
299. --					Buy (add'l)	11/02/20	J		
300. UPS	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
301. --					Sold (part)	01/27/20	J	A	
302. --					Sold (part)	04/29/20	J		
303. United Technologies Corp.	A	Dividend			Buy (add'l)	03/26/20	J		
304. --					Distributed	04/07/20	J		
305. United Health Group Inc.	A	Dividend	J	T	Buy (add'l)	07/17/20	J		
306. US Bancorp New	A	Dividend	J	T	Buy (add'l)	01/27/20	J		

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

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Name of Person Reporting

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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)
307. --					Buy (add'l)	03/25/20	J		
308. --					Sold (part)	04/09/20	J		
309. --					Sold (part)	04/15/20	J		
310. --					Sold	10/01/20	J		
311. --					Buy	11/02/20	J		
312. Ventas Inc.	A	Dividend			Sold	01/27/20	J	A	
313. Verizon Communications	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
314. --					Sold (part)	01/27/20	K	C	
315. --					Sold (part)	04/13/20	J	A	
316. Viatris Inc.	A	Dividend	J	T	Buy	11/17/20	J		
317. --					Sold (part)	11/20/20	J		
318. Visa Inc. Class A	A	Dividend	J	T	Buy (add'l)	08/19/20	J		
319. Vodaphone Group PLC New	A	Dividend			Buy	01/09/20	J		
320. --					Sold	01/27/20	J	A	
321. Vulcan Materials	A	Dividend	J	T	Buy (add'l)	02/27/20	J		
322. Waste Management Inc. DEL	A	Dividend	J	T	Buy (add'l)	11/03/20	J		
323. WEC Energy Group Inc.	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)					

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. Wells Fargo & Co. New	A	Dividend			Buy (add'l)	01/27/20	J		
325. --					Sold (part)	04/09/20	J		
326. --					Sold	05/13/20	J		
327. Welltower Inc.	A	Dividend			Sold	01/27/20	J	A	
328. Weyerhaeuser Co.	A	Dividend	K	T					
329. Williams Cos.	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
330. --					Buy (add'l)	02/10/20	J		
331. --					Sold (part)	04/13/20	J		
332. --					Sold	10/01/20	J		
333. --					Buy	11/02/20	J		
334. Zoetis Inc. Class A	A	Dividend	J	T	Sold (part)	04/13/20	J	B	
335. 3M Co.	A	Dividend	K	T	Buy (add'l)	01/28/20	J		
336. --					Sold (part)	03/20/20	J		
337. --					Sold (part)	07/02/20	J		
338. --					Sold (part)	07/06/20	J		
339. Aegon Funding Co. 5.1% PFD	A	Dividend	J	T	Buy	01/27/20	J		
340. --					Buy (add'l)	02/05/20	J		

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

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Name of Person Reporting

Bloch, Alan N.

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8/12/2021

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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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)
341. --					Buy (add'l)	02/11/20	J		
342. Affil. Mgr. Grp. 4.75% PFD	A	Dividend	J	T	Buy	10/08/20	J		
343. --					Buy (add'l)	10/09/20	J		
344. AIG PRD 5.85% PFD (Series A)	A	Dividend	J	T	Buy	01/27/20	J		
345. --					Sold (part)	10/05/20	J	A	
346. --					Sold (part)	10/06/20	J	A	
347. Algonquin Power 6.875% PFD	A	Dividend	J	T	Buy	03/06/20	J		
348. --					Buy (add'l)	03/09/20	J		
349. Allstate Corp. 5.1% PFD (Series H)	A	Dividend	J	T	Buy	01/27/20	J		
350. --					Buy (add'l)	02/24/20	J		
351. --					Sold (part)	08/26/20	J	A	
352. American Finl. 5.875% PFD	A	Dividend	J	T	Buy	01/27/20	J		
353. --					Buy (add'l)	04/28/20	J		
354. --					Buy (add'l)	04/29/20	J		
355. American Homes 4 Rent 6.35% PFD (Series E)	A	Dividend	J	T	Buy	01/27/20	J		
356. --					Buy (add'l)	04/30/20	J		
357. American Homes 4 Rent 6.5% PFD (Series D)	A	Dividend	J	T	Buy	01/27/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358. Arch Cap. Group 5.25% PFD	A	Dividend	J	T	Buy	01/27/20	J		
359. Ares Mgmt. Group 7% PFD (Series A)	A	Dividend	J	T	Buy	01/27/20	J		
360. AT&T Inc. 5.625% PFD (Unsecured)	A	Dividend	J	T	Buy	01/27/20	J		
361. --					Sold (part)	03/06/20	J		
362. --					Sold (part)	12/29/20	J	A	
363. AT&T Inc. 5% PFD Perp.	A	Dividend	J	T	Buy	02/18/20	J		
364. Athene Holdings 6.35% PFD	A	Dividend	J	T	Buy	01/27/20	J		
365. --					Buy (add'l)	03/06/20	J		
366. --					Sold (part)	04/28/20	J		
367. Athene Holding 6.375% PFD Fixed FLT	A	Dividend	J	T	Buy	06/09/20	J		
368. AXIS Cap. Holdings LTD. 5.5% PFD	A	Dividend	J	T	Buy	01/27/20	J		
369. --					Buy (add'l)	08/26/20	J		
370. Bank of America Corp. 5% PFD Perp.	A	Dividend	J	T	Buy	01/31/20	J		
371. --					Buy (add'l)	10/23/20	J		
372. Bank of America 6% PFD Perp.	A	Dividend	J	T	Buy	01/27/20	J		
373. --					Sold (part)	01/28/20	J		
374. --					Sold (part)	02/05/20	J		

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

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Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. --					Sold (part)	06/11/20	J		
376. --					Sold (part)	08/24/20	J		
377. --					Sold (part)	08/25/20	J		
378. --					Sold (part)	10/12/20	J		
379. Bank of America 6% PFD (Series EE)	A	Dividend			Buy	01/27/20	J		
380. --					Sold (part)	09/23/20	J		
381. --					Sold (part)	09/30/20	J		
382. --					Sold (part)	10/05/20	J		
383. --					Sold	10/06/20	J		
384. Bank of America 6.2% PFD (Series CC)	A	Dividend			Buy	01/27/20	J		
385. --					Sold	01/31/20	J	A	
386. Berkley WR Corp. 5.7% PFD	A	Dividend	J	T	Buy	01/27/20	J		
387. --					Sold (part)	03/06/20	J		
388. --					Buy (add'l)	04/28/20	J		
389. --					Buy (add'l)	04/29/20	J		
390. --					Sold (part)	11/17/20	J	A	
391. --					Sold (part)	11/18/20	J	A	

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

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Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. Brighthouse Fin. 5.375% PFD (Series C)	A	Dividend	J	T	Buy	11/13/20	J		
393. --					Buy (add'l)	11/18/20	J		
394. Brookfield 4.625% PFD	A	Dividend	J	T	Buy	10/13/20	J		
395. --					Buy (add'l)	11/18/20	J		
396. Capital One Fin. 6% PFD (Series H)	A	Dividend			Buy	01/27/20	J		
397. --					Sold	06/09/20	J		
398. CHS Inc. 7.5% PFD Cum. Perp.	A	Dividend	J	T	Buy	01/27/20	J		
399. --					Sold (part)	02/24/20	J	A	
400. --					Sold (part)	02/25/20	J		
401. --					Sold (part)	08/26/20	J	A	
402. CHS Inc. Var. PFD Fixed FLT (Series 2) Cum	A	Dividend			Buy	01/27/20	J		
403. --					Sold (part)	02/11/20	J	A	
404. --					Sold	02/12/20	J	A	
405. Citizens Finl. 6.35% PFD Non-Cum FTF Perp.	A	Dividend			Buy	03/20/20	J		
406. --					Sold (part)	08/26/20	J	A	
407. --					Sold (part)	08/27/20	J	A	
408. --					Sold (part)	10/08/20	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	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
409. --					Sold	10/09/20	J	A	
410. CMS Energy 5.875% PFD	A	Dividend	J	T	Buy	01/27/20	J		
411. --					Buy (add'l)	02/18/20	J		
412. --					Sold (part)	05/05/20	J		
413. --					Sold (part)	06/09/20	J		
414. --					Buy (add'l)	07/01/20	J		
415. Citigroup Inc. 6.3% PFD (Series S)	A	Dividend			Buy	01/27/20	J		
416. --					Sold	01/31/20	J		
417. Citigroup Inc. Var. PFD (Series K)	A	Dividend			Buy	01/27/20	J		
418. --					Sold	01/31/20	J	A	
419. Citigroup Inc. Perpetual PFD Fixed FLT Bonds	A	Dividend			Buy	01/27/20	J		
420. --					Sold	01/31/20	J	A	
421. Citigroup Var. 7.125% PFD Fixed FLT Non-Cum Perp.	A	Dividend			Buy	01/27/20	J		
422. --					Sold	03/06/20	J		
423. Digital Realty 6.625% PFD TR INC C Cum Perp.	A	Dividend			Buy	01/27/20	J		
424. --					Sold	03/06/20	J		
425. Duke Energy 5.75% PFD (Series A)	A	Dividend	J	T	Buy	01/27/20	J		

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

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Name of Person Reporting

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
426. --					Sold (part)	01/31/20	J	A	
427. --					Sold (part)	02/11/20	J	A	
428. --					Sold (part)	03/06/20	J		
429. --					Sold (part)	08/05/20	J	A	
430. --					Sold (part)	08/06/20	J	A	
431. --					Sold (part)	08/26/20	J	A	
432. Enbridge Inc. 6.375% PFD	A	Dividend	J	T	Buy	01/27/20	J		
433. --					Sold (part)	01/28/20	J		
434. --					Sold (part)	02/05/20	J		
435. --					Sold (part)	03/06/20	J		
436. --					Sold (part)	04/28/20	J		
437. --					Sold (part)	12/29/20	J		
438. --					Sold (part)	12/30/20	J		
439. First Republic Bank 4.7% PFD	A	Dividend	J	T	Buy	01/27/20	J		
440. First Republic Bank 4.125% PFD (Series K)	A	Dividend	J	T	Buy	09/23/20	J		
441. Ford Motor Co. 6.2% PFD	A	Dividend			Buy	02/05/20	J		
442. --					Buy (add'l)	02/06/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
443. --					Sold	04/07/20	J		
444. GMAC Cap. Trust I (Series 2)	A	Dividend	J	T	Buy	01/27/20	J		
445. --					Sold (part)	02/03/20	J	A	
446. --					Buy (add'l)	09/21/20	J		
447. --					Buy (add'l)	10/08/20	J		
448. Goldman Sachs Var. PFD (Series J)	A	Dividend	J	T	Buy	01/27/20	J		
449. --					Buy (add'l)	02/24/20	J		
450. --					Sold (part)	10/08/20	J	A	
451. Hanover Ins. Group 6.35% PFD	A	Dividend			Buy	01/27/20	J		
452. --					Sold (part)	02/24/20	J		
453. --					Sold	03/02/20	J		
454. Huntington Bancshs. 6.25% PFD (Series D)	A	Dividend			Buy	01/27/20	J		
455. --					Sold	02/11/20	J		
456. Integrys Energy 6% PFD Fixed FLT	A	Dividend			Buy	01/27/20	J		
457. --					Sold	02/25/20	J		
458. JP Morgan 5.75 % PFD (Series DD)	A	Dividend	J	T	Buy	01/27/20	J		
459. --					Buy (add'l)	02/24/20	J		

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

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Name of Person Reporting

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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)
460. JP Morgan 6% PFD (Series EE)	A	Dividend	J	T	Buy	01/27/20	J		
461. --					Sold (part)	11/17/20	J	A	
462. JP Morgan 6.15% PFD (Series BB)	A	Dividend			Buy	01/27/20	J		
463. --					Sold	01/31/20	J		
464. JP Morgan 6.125% PFD Perp.	A	Dividend			Buy	01/27/20	J		
465. --					Redeemed	03/02/20	J		
466. KeyCorp 5.65% PFD	A	Dividend	J	T	Buy	03/06/20	J		
467. --					Buy (add'l)	07/01/20	J		
468. --					Sold (part)	12/17/20	J	A	
469. --					Sold (part)	12/18/20	J	A	
470. Legg Mason 5.45% PFD	A	Dividend	J	T	Buy	01/27/20	J		
471. Monmouth REIT 6.125% PFD (Series C)	A	Dividend	J	T	Buy	01/27/20	J		
472. --					Buy (add'l)	03/06/20	J		
473. Morgan Stanley Var. PFD Fixed FLT (Series F)	A	Dividend	J	T	Buy	01/27/20	J		
474. Morgan Stanley 5.85% PFD (Series K)	A	Dividend	J	T	Buy	01/27/20	J		
475. --					Sold (part)	08/05/20	J		
476. --					Sold (part)	08/06/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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)
477. Morgan Stanley 6.375% PFD (Series I)	A	Dividend	J	T	Buy	01/27/20	J		
478. --					Sold (part)	02/11/20	J	A	
479. --					Sold (part)	02/12/20	J	A	
480. --					Buy (add'l)	02/28/20	J		
481. --					Sold (part)	08/05/20	J		
482. --					Sold (part)	08/26/20	J		
483. --					Sold (part)	08/27/20	J		
484. --					Sold (part)	10/08/20	J		
485. --					Sold (part)	10/29/20	J		
486. National Retail 5.2% PFD (Series F)	A	Dividend	J	T	Buy	01/27/20	J		
487. --					Sold (part)	03/06/20	J		
488. National Storage 6% PFD (Series A)	A	Dividend	J	T	Buy	01/27/20	J		
489. --					Buy (add'l)	03/06/20	J		
490. New York Comm. Bancorp. (Series A) PFD	A	Dividend	J	T	Buy	01/27/20	J		
491. --					Sold (part)	11/18/20	J	A	
492. --					Sold (part)	11/19/20	J		
493. Nextera 5.65% PFD	A	Dividend	J	T	Buy	01/27/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000 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
2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
494. --					Sold (part)	08/26/20	J	A	
495. --					Sold (part)	10/12/20	J	A	
496. --					Sold (part)	11/17/20	J	A	
497. Nisource Inc. 6.5% PFD	A	Dividend	J	T	Buy	01/27/20	J		
498. --					Sold (part)	08/26/20	J		
499. --					Sold (part)	08/27/20	J		
500. --					Sold (part)	12/17/20	J		
501. Partnerre Ltd. 5.875% PFD (Series I)	A	Dividend			Buy	01/27/20	J		
502. --					Sold (part)	03/02/20	J		
503. --					Sold	03/03/20	J		
504. Partnerre Ltd. 6.5% PFD (Series G)	A	Dividend	J	T	Buy	01/27/20	J		
505. --					Buy (add'l)	03/06/20	J		
506. --					Buy (add'l)	03/09/20	J		
507. PS Bus Parks 5.2% PFD (Series W)	A	Dividend	J	T	Buy	01/27/20	J		
508. --					Buy (add'l)	04/28/20	J		
509. Public STG 4.625% PFD (Series L)	A	Dividend	J	T	Buy	06/17/20	J		
510. Regions Fin. Corp. 5.7% PFD Fixed FLT	A	Dividend	J	T	Buy	01/27/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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)
511. --					Sold (part)	02/11/20	J	A	
512. --					Sold (part)	02/12/20	J	A	
513. --					Buy (add'l)	02/28/20	J		
514. --					Buy (add'l)	03/06/20	J		
515. --					Buy (add'l)	04/28/20	J		
516. --					Buy (add'l)	04/29/20	J		
517. --					Sold (part)	06/01/20	J		
518. Regions Finl. Ver. PFD (Series B)	A	Dividend	J	T	Buy	01/27/20	J		
519. --					Sold (part)	02/24/20	J		
520. --					Buy (add'l)	07/01/20	J		
521. --					Sold (part)	10/05/20	J		
522. --					Sold (part)	10/06/20	J		
523. --					Sold (part)	11/17/20	J	A	
524. --					Sold (part)	11/18/20	J		
525. Reinsurance Group Amer. 6.2% PFD Fixed FLT	A	Dividend	J	T	Buy	01/09/20	J		
526. --					Sold (part)	01/28/20	J		
527. --					Buy (add'l)	07/15/20	J		

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

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Name of Person Reporting

Bloch, Alan N.

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8/12/2021

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
528. --					Buy (add'l)	07/29/20	J		
529. --					Buy (add'l)	07/30/20	J		
530. --					Buy (add'l)	07/31/20	J		
531. Reinsurance Grp. Amer. PFD Fixed FLT	A	Dividend	J	T	Buy	07/15/20	J		
532. --					Buy (add'l)	07/29/20	J		
533. --					Buy (add'l)	07/30/20	J		
534. --					Buy (add'l)	07/31/20	J		
535. --					Sold (part)	10/12/20	J	A	
536. --					Sold (part)	10/13/20	J	A	
537. Sempra Energy 5.75% PFD	A	Dividend	J	T	Buy	01/27/20	J		
538. --					Buy (add'l)	07/01/20	J		
539. Signature Bank NY 5% PFD (Series A)	A	Dividend	J	T	Buy	12/17/20	J		
540. --					Buy (add'l)	12/18/20	J		
541. --					Buy (add'l)	12/28/20	J		
542. Site Ctrs. Corp. 6.375% PFD (Class A)	A	Dividend	J	T	Buy	01/27/20	J		
543. Southern Co. 4.2% PFD	A	Dividend	J	T	Buy	09/21/20	J		
544. --					Buy (add'l)	10/08/20	J		

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

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Name of Person Reporting

Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
545. Southern Co. 4.95% PFD	A	Dividend	J	T	Buy	01/27/20	J		
546. --					Buy (add'l)	01/28/20	J		
547. --					Buy (add'l)	02/05/20	J		
548. --					Buy (add'l)	03/20/20	J		
549. Southern Co. 5.25% PFD	A	Dividend	J	T	Buy	01/27/20	J		
550. Spire Inc. 5.9% PFD (Series A)	A	Dividend	J	T	Buy	04/28/20	J		
551. --					Buy (add'l)	04/29/20	J		
552. Spirit Realty 6% PFD (Series A)	A	Dividend	J	T	Buy	04/28/20	J		
553. --					Buy (add'l)	04/29/20	J		
554. State Street Corp. Varied.PFD (Series D)	A	Dividend	J	T	Buy	01/27/20	J		
555. --					Sold (part)	02/18/20	J	A	
556. --					Buy (add'l)	02/24/20	J		
557. --					Sold (part)	09/30/20	J		
558. --					Sold (part)	10/08/20	J	A	
559. Sterling Bancorp. 6.5% PFD	A	Dividend	J	T	Buy	01/27/20	J		
560. Sunstone Hotels 6.95% PFD (Series E)	A	Dividend	J	T	Buy	01/27/20	J		
561. Synchrony Fin. 5.625% PFD	A	Dividend	J	T	Buy	01/27/20	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		

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Name of Person Reporting

Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
562. --					Buy (add'l)	06/01/20	J		
563. --					Buy (add'l)	06/05/20	J		
564. --					Buy (add'l)	09/21/20	J		
565. Synovus Finl. Corp. 5.875% PFD	A	Dividend	J	T	Buy	03/06/20	J		
566. --					Sold (part)	08/24/20	J		
567. --					Sold (part)	10/06/20	J		
568. Truist Finl. 4.75% PFD	A	Dividend	J	T	Buy	10/08/20	J		
569. --					Buy (add'l)	10/23/20	J		
570. --					Buy (add'l)	10/26/20	J		
571. Truist Finl. 5.25% PFD	A	Dividend	J	T	Buy	10/05/20	J		
572. Unum Group 6.25% PFD	A	Dividend			Buy	01/27/20	J		
573. --					Sold (part)	02/11/20	J	A	
574. --					Sold (part)	02/12/20	J		
575. --					Sold (part)	04/07/20	J		
576. --					Sold (part)	04/28/20	J		
577. --					Sold	04/29/20	J		
578. US Bancorp. Del. PFD (Series B)	A	Dividend	J	T	Buy	08/19/20	J		

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

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Name of Person Reporting

Bloch, Alan N.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
579. --					Buy (add'l)	08/20/20	J		
580. US Cellular 5.5% PFD	A	Dividend	J	T	Buy	12/07/20	J		
581. US Cellular 6.25% PFD	A	Dividend	J	T	Buy	08/25/20	J		
582. Vereit Inc. 6.7% PFD (Series F)	A	Dividend	J	T	Buy	01/27/20	J		
583. --					Sold (part)	03/06/20	J		
584. --					Redeemed (part)	07/22/20	J		
585. --					Redeemed (part)	09/21/20	J		
586. Voya Fin. Inc. 5.35% PFD	A	Dividend	J	T	Buy	01/27/20	J		
587. --					Sold (part)	02/11/20	J	A	
588. --					Sold (part)	02/12/20	J	A	
589. --					Sold (part)	03/06/20	J		
590. --					Sold (part)	03/09/20	J		
591. --					Sold (part)	12/17/20	J	A	
592. --					Sold (part)	12/18/20	J	A	
593. Wells Fargo & Co. 6% PFD Perp. Mat.	A	Dividend			Buy	01/27/20	J		
594. --					Sold	03/18/20	J		
595. Wells Fargo & Co. 6% PFD Part. Call 9/15/19	A	Dividend			Buy	01/27/20	J		

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

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Name of Person Reporting

Bloch, Alan N.

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8/12/2021

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.)

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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)
596. --					Redeemed	03/16/20	J		
597. Wells Fargo & Co. 6% PFD Non-Cum (Series V)	A	Dividend			Buy	01/27/20	J		
598. --					Sold (part)	02/24/20	J		
599. --					Sold	03/06/20	J		
600. Wells Fargo & Co. 5.625% PFD (Series Y)	A	Dividend	J	T	Buy	01/27/20	J		
601. --					Buy (add'l)	03/20/20	J		
602. Wells Fargo & Co. 4.75% PFD (Series Z)	A	Dividend	J	T	Buy	01/27/20	J		
603. --					Buy (add'l)	01/28/20	J		
604. --					Buy (add'l)	02/11/20	J		
605. --					Buy (add'l)	02/24/20	J		
606. Wells Fargo & Co. 5.7% PFD (Series W)	A	Dividend	J	T	Buy	01/27/20	J		
607. --					Sold (part)	03/06/20	J		
608. Wells Fargo Var. PFD Fixed FLT (call 9/15/23)	A	Dividend	J	T	Buy	01/27/20	J		
609. Wells Fargo Var. PFD Fixed FLT (call 3/15/24)	A	Dividend	J	T	Buy	01/27/20	J		
610. Wells Fargo & Co. 5.125% PFD (Series O) Non-Cum Class A	A	Dividend			Buy	01/27/20	J		
611. --					Sold	07/14/20	J		
612. WR Berkley Co. 5.75% PFD	A	Dividend	J	T	Buy	01/27/20	J		

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

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Bloch, Alan N.	8/12/2021

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

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Name of Person Reporting

Bloch, Alan N.

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8/12/2021

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/ **Alan N. Bloch**

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