

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) Briones, Brian P.	2. Court or Organization New Mexico Federal District Court	3. Date of Report 05/28/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (part-time)	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 407 N. Auburn Farmington, NM 87401		
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. Director and Secretary	The Four Corners Community Foundation, Inc., Farmington, NM
2. Vice President, Director, Shareholder and employee	Briones Law Firm, P.A.
3. Trustee	Revocable Living Trust UTA May 15, 2015
4. Member, Manager and Registered Agent	Amicus Investments, LLC
5. Registered Agent	711 Orchard Homes, L.L.C.
6. Registered Agent	Briones Rental Properties, L.L.C.
7. Registered Agent	Sussex Family Holdings, L.L.C.
8. Registered Agent	MLJS Holdings, L.L.C.
9. Registered Agent	Boys & Girls Club of Farmington Property Holding, L.L.C.
10. Registered Agent	Four Corners Foundation, Inc.
11. Registered Agent	K&K Holdings, L.L.C.
12. Registered Agent	NELT Investments, L.L.C.
13. Registered Agent	Sweet Cakes, L.L.C.
14. Registered Agent	PHMF Condominium Association, LLC
15.	
16.	

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Briones, Brian P.	05/28/2021

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

☒ NONE *(No reportable agreements.)*

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

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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. 2020	Briones Law Firm, P.A.	\$186,000.00
2. 2020	Amicus Investments, LLC	\$19,812.00
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	Briones Law Firm, P.A. Employed as office manager
2. 2020	NELT, LLC. One-quarter owner of an investment LLC [REDACTED].
3.	
4.	

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

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

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

☒ NONE (No reportable gifts.)

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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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. Alphabet Inc Cap Stk CI C	A	Dividend	K	T					
2. Alphabet Inc CI A	A	Dividend	K	T					
3. Amazon.Com Inc	A	Dividend	K	T					
4. Apple Inc	A	Dividend	M	T	Buy (add'l)	02/13/20	J		
5.		Dividend			Buy (add'l)	05/14/20	J		
6.		Dividend			Buy (add'l)	08/13/20	J		
7.		Dividend			Buy (add'l)	11/12/20	J		
8. Applied Materials Inc.	A	Dividend	L	T					
9. AT&T Inc.	A	Dividend	J	T	Buy (add'l)	02/03/20	J		
10.		Dividend			Buy (add'l)	05/01/20	J		
11.		Dividend			Buy (add'l)	08/03/20	J		
12.		Dividend			Buy (add'l)	11/02/20	J		
13. Berkshire Hathawy Inc CI B		None	K	T	Buy (add'l)	03/05/20	J		
14. Caterpillar Inc.	A	Dividend	J	T	Buy (add'l)	02/20/20	J		
15.		Dividend			Buy (add'l)	05/20/20	J		
16.		Dividend			Buy (add'l)	08/20/20	J		
17.		Dividend			Buy (add'l)	11/20/20	J		

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

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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18. CococoPhillips	A	Dividend	J	T	Buy (add'l)	06/01/20	J		
19.					Buy (add'l)	09/01/20	J		
20.					Buy (add'l)	12/01/20	J		
21. Coreenergy Infrastr Tr Inc Reit		None	J	T					
22. Diamondback Energy Inc.	A	Dividend	J	T					
23. General Electric Co	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
24.		Dividend			Buy (add'l)	04/27/20	J		
25.		Dividend			Buy (add'l)	07/27/20	J		
26.		Dividend			Buy (add'l)	10/26/20	J		
27. Johnson & Johnson	A	Dividend	J	T	Buy (add'l)	06/09/20	J		
28.		Dividend			Buy (add'l)	09/08/20	J		
29.		Dividend			Buy (add'l)	12/08/20	J		
30. Lowes Companies Inc.	A	Dividend	K	T	Buy (add'l)	02/05/20	J		
31.		Dividend			Buy (add'l)	05/06/20	J		
32.		Dividend			Buy (add'l)	08/05/20	J		
33.		Dividend			Buy (add'l)	11/04/20	J		
34. Microstoft Corp	A	Dividend	K	T	Buy (add'l)	06/11/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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35.		Dividend			Buy (add'l)	09/10/20	J		
36.		Dividend			Buy (add'l)	12/10/20	J		
37. Nokia Corp ADR	A	Dividend	J	T	Buy (add'l)	04/08/20	J		
38. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	01/27/20	J		
39.		Dividend			Buy (add'l)	03/31/20	J		
40.		Dividend			Buy (add'l)	06/30/20	J		
41.		Dividend			Buy (add'l)	09/30/20	J		
42. Phillips 66	A	Dividend	J	T	Buy (add'l)	06/01/20	J		
43.		Dividend			Buy (add'l)	09/01/20	J		
44.		Dividend			Buy (add'l)	12/01/20	J		
45. Stryker Corp	A	Dividend	K	T	Buy (add'l)	01/31/20	J		
46.		Dividend			Buy (add'l)	04/30/20	J		
47.		Dividend			Buy (add'l)	07/31/20	J		
48.		Dividend			Buy (add'l)	10/30/20	J		
49. Tesla Inc		None	L	T					
50. United Service Parcel Service Inc. CI B	A	Dividend	J	T	Buy (add'l)	06/10/20	J		
51.		Dividend			Buy (add'l)	09/09/20	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
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52.		Dividend			Buy (add'l)	12/03/20	J		
53. United Technologies Corp	A	Dividend	J	T	Buy (add'l)	06/18/20	J		
54.		Dividend			Buy (add'l)	09/10/20	J		
55.		Dividend			Buy (add'l)	12/17/20	J		
56. Wabtech Corp	A	Dividend	J	T	Buy (add'l)	02/26/20	J		
57. Walgreens Boots Alliance Inc.	A	Dividend	J	T	Buy (add'l)	06/12/20	J		
58.		Dividend			Buy (add'l)	09/11/20	J		
59.		Dividend			Buy (add'l)	12/11/20	J		
60. Wal-Mart Inc.	A	Dividend	J	T	Buy (add'l)	01/02/20	J		
61.		Dividend			Buy (add'l)	04/06/20	J		
62.		Dividend			Buy (add'l)	06/01/20	J		
63.		Dividend			Buy (add'l)	09/08/20	J		
64. Walt Disney Co.	A	Dividend	K	T	Buy (add'l)	01/16/20	J		
65. CWMBS Mtg Passthu 2003-44-A3 5.00%	A	Interest	J	T	Redeemed (part)	07/29/20	J	A	
66. iShares Core US Aggregate Bond	A	Dividend	K	T	Matured (part)	04/07/20	J	A	
67.	A	Interest			Buy (add'l)	11/19/20	J		
68. Spdr Dj Global Real Estate ETF	A	Dividend	J	T	Buy (add'l)	04/07/20	J		

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3 Value Method Codes (See Column C2)					

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69. Vanguard FTSE Dev Mkts ETF	A	Dividend	K	T	Buy (add'l)	04/07/20	J		
70.					Sold (part)	11/19/20	J		
71. Vanguard Value ETF	A	Dividend	K	T	Buy (add'l)	04/07/20	J		
72. Vanguard Large Cap ETF	A	Dividend	J	T	Sold (part)	04/07/20	J	A	
73.	A	Interest			Sold (part)	11/19/20	J	A	
74. Vanguard Small Value ETF	A	Dividend	J	T	Buy (add'l)	04/07/20	J		
75.					Sold (part)	05/29/20	J	A	
76.					Sold (part)	11/19/20	J	A	
77. Vanguard Growth ETF	A	Dividend	J	T	Buy	05/29/20	J		
78.					Sold (part)	11/19/20	J	A	
79. American Capital World Bond F3	A	Dividend	J	T	Sold (part)	04/07/20	J	A	
80.					Sold (part)	01/29/20	J	A	
81. Bridge Builder Core Plus Bond	A	Dividend	K	T	Buy (add'l)	01/02/20	J		
82.	A	Dividend			Buy (add'l)	02/03/20	J		
83.	A	Dividend			Buy (add'l)	03/02/20	J		
84.	A	Dividend			Buy (add'l)	04/01/20	J		
85.			J	T	Sold (part)	04/07/20	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
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86.	A	Dividend			Buy (add'l)	04/13/20	J		
87.	A	Dividend			Buy (add'l)	05/01/20	J		
88.	A	Dividend			Buy (add'l)	05/12/20	J		
89.	A	Dividend			Buy (add'l)	06/01/20	J		
90.	A	Dividend			Buy (add'l)	07/06/20	J		
91.	A	Dividend			Buy (add'l)	07/01/20	J		
92.	A	Dividend			Buy (add'l)	08/03/20	J		
93.	A	Dividend			Buy (add'l)	08/12/20	J		
94.	A	Dividend			Buy (add'l)	09/01/20	J		
95.	A	Dividend			Buy (add'l)	09/30/20	J		
96.	A	Dividend			Buy (add'l)	10/01/20	J		
97.	A	Dividend			Buy (add'l)	10/06/20	J		
98.	A	Dividend			Buy (add'l)	11/02/20	J		
99.	A	Dividend			Buy (add'l)	11/12/20	J		
100.	A	Dividend			Buy (add'l)	11/19/20	J		
101.	A	Dividend			Buy (add'l)	12/11/20	J		
102.	A	Dividend			Buy (add'l)	12/14/20	J		

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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)
103.	A	Dividend			Buy (add'l)	12/31/20	J		
104. Bridge Builder INTL Equity	A	Dividend	K	T	Buy (add'l)	04/07/20	J		
105.	A				Sold (part)	05/29/20	J	A	
106.	A	Dividend			Buy (add'l)	12/29/20	J		
107. Bridge Builder Large Growth	A	Dividend	K	T	Sold (part)	04/07/20	J	A	
108.	A	Dividend			Sold (part)	11/19/20	J	A	
109.	A	Dividend			Buy (add'l)	12/14/20	J		
110.	A	Dividend			Buy (add'l)	12/29/20	J		
111. Bridge Builder Large Value	A	Dividend	K	T	Buy (add'l)	01/03/20	J		
112.	A	Dividend			Buy (add'l)	03/31/20	J		
113.	A	Dividend			Buy (add'l)	04/01/20	J		
114.	A	Dividend			Buy (add'l)	04/07/20	J		
115.	A	Dividend			Buy (add'l)	07/01/20	J		
116.	A	Dividend			Buy (add'l)	10/01/20	J		
117.					Sold (part)	11/19/20	J	A	
118. Bridge Builder Small/Mid Grw	A	Dividend	K	T	Sold (part)	11/19/20	J	A	
119.	A	Dividend			Buy (add'l)	12/14/20	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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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.	A	Dividend			Buy (add'l)	12/29/20	J		
121. Bridge Builder Small/Mid Value	A	Dividend	J	T	Buy (add'l)	04/07/20	J		
122.					Sold (part)	11/19/20	J	A	
123.					Buy (add'l)	12/29/20	J		
124. Delaware Emerging Markets I	A	Dividend	J	T	Buy (add'l)	04/08/20	J		
125.					Sold (part)	11/19/20	J	A	
126.					Buy (add'l)	12/29/20	J		
127. Federated Instl High Yield R6	A	Dividend	J	T	Buy	05/29/20	J		
128.	A	Dividend			Buy (add'l)	06/01/20	J		
129.	A	Dividend			Buy (add'l)	07/01/20	J		
130.	A	Dividend			Buy (add'l)	08/03/20	J		
131.	A	Dividend			Buy (add'l)	09/01/20	J		
132.	A	Dividend			Buy (add'l)	10/01/20	J		
133.	A	Dividend			Buy (add'l)	11/02/20	J		
134.	A	Distribution			Buy (add'l)	11/19/20	J		
135. Goldman Fs Goverment I	A	Dividend	J	T	Buy (add'l)	01/02/20	J		
136.	A	Dividend			Buy (add'l)	01/06/20	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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Briones, Brian P.

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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.					Sold (part)	01/08/20	J	A	
138.	A	Dividend			Buy (add'l)	02/03/20	J		
139.					Sold (part)	02/06/20	J	A	
140.	A	Dividend			Buy (add'l)	02/12/20	J		
141.	A	Dividend			Buy (add'l)	03/02/20	J		
142.					Sold (part)	03/06/20	J	A	
143.	A	Dividend			Buy (add'l)	04/01/20	J		
144.	A	Dividend			Buy (add'l)	04/07/20	J		
145.					Sold (part)	04/09/20	J	A	
146.	A	Dividend			Buy (add'l)	05/01/20	J		
147.					Sold (part)	05/07/20	J	A	
148.					Sold (part)	05/29/20	J	A	
149.	A	Dividend			Buy (add'l)	05/29/20	J		
150.	A	Dividend			Buy (add'l)	06/01/20	J		
151.					Sold (part)	06/05/20	J	A	
152.	A	Dividend			Buy (add'l)	07/01/20	J		
153.					Sold (part)	07/08/20	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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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.	A	Dividend			Buy (add'l)	08/03/20	J		
155.					Sold (part)	08/06/20	J	A	
156.	A	Dividend			Buy (add'l)	09/01/20	J		
157.					Sold (part)	09/04/20	J	A	
158.	A	Dividend			Buy (add'l)	10/01/20	J		
159.					Sold (part)	10/07/20	J	A	
160.	A	Dividend			Buy (add'l)	11/02/20	J		
161.					Sold (part)	11/05/20	J	A	
162.					Sold (part)	11/19/20	J	A	
163.	A	Dividend			Buy (add'l)	11/19/20	J		
164.					Sold (part)	12/07/20	J	A	
165. Invesco Comstock A	A	Dividend	J	T	Buy (add'l)	03/20/20	J		
166.	A	Dividend			Buy (add'l)	06/19/20	J		
167.					Sold (part)	09/04/20	J	A	
168.	A	Dividend			Buy (add'l)	09/18/20	J		
169.	A	Dividend			Buy (add'l)	12/14/20	J		
170. Invesco Equity and Income A	A	Dividend	J	T	Buy (add'l)	01/28/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.	A	Dividend			Buy (add'l)	02/26/20	J		
172.	A	Dividend			Buy (add'l)	03/20/20	J		
173.	A	Dividend			Buy (add'l)	04/28/20	J		
174.	A	Dividend			Buy (add'l)	05/27/20	J		
175.	A	Dividend			Buy (add'l)	06/19/20	J		
176.	A	Dividend			Buy (add'l)	07/28/20	J		
177.	A	Dividend			Buy (add'l)	08/26/20	J		
178.					Sold (part)	09/04/20	J	A	
179.	A	Dividend			Buy (add'l)	09/18/20	J		
180.	A	Dividend			Buy (add'l)	09/28/20	J		
181.	A	Dividend			Buy (add'l)	10/27/20	J		
182.	A	Dividend			Buy (add'l)	11/27/20	J		
183.	A	Dividend			Buy (add'l)	12/14/20	J		
184.	A	Dividend			Buy (add'l)	12/29/20	J		
185. Invesco Growth and Income A	A	Dividend	J	T	Buy (add'l)	03/20/20	J		
186.	A	Dividend			Buy (add'l)	06/19/20	J		
187.	A	Dividend			Buy (add'l)	09/18/20	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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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.	A	Dividend			Buy (add'l)	12/14/20	J		
189. Investco Op Developing Mkts R6	A	Dividend	J	T	Buy (add'l)	04/07/20	J		
190.					Sold (part)	05/29/20	J		
191. Invesco Value Opportunities A	A	Dividend	J	T	Buy	12/16/20	J		
192. Oakmark International I	A	Dividend	J	T	Buy	05/29/20	J		
193.					Sold (part)	11/19/20	J	A	
194.	A	Dividend			Buy (add'l)	12/11/20	J		
195. TCW Emerging Markets Income	A	Dividend	J	T	Buy	04/02/20	J		
196.					Sold (part)	04/07/20	J	A	
197.	A	Dividend			Buy (add'l)	05/01/20	J		
198.	A	Dividend			Buy (add'l)	06/01/20	J		
199.	A	Dividend			Buy (add'l)	07/01/20	J		
200.	A	Dividend			Buy (add'l)	08/03/20	J		
201.	A	Dividend			Buy (add'l)	09/01/20	J		
202. TCW Emerging Mkts Income Plan	A	Dividend	J	T	Spinoff (from line 195)	09/14/20	J		
203.	A	Dividend			Buy (add'l)	10/01/20	J		
204.	A	Dividend			Buy (add'l)	11/03/20	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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Briones, Brian P.

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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)
205.	A	Dividend			Buy (add'l)	11/19/20	J		
206.	A	Dividend			Buy (add'l)	12/01/20	J		
207.	A	Dividend			Buy (add'l)	12/30/20	J		
208. Trp High Yield Bond I	A	Dividend	J	T	Buy (add'l)	01/02/20	J		
209.	A	Dividend			Buy (add'l)	02/03/20	J		
210.	A	Dividend			Buy (add'l)	03/02/20	J		
211.	A	Dividend			Buy (add'l)	04/01/20	J		
212.					Sold (part)	04/07/20	J	A	
213.	A	Dividend			Buy (add'l)	05/01/20	J		
214.	A	Dividend			Buy (add'l)	06/01/20	J		
215.	A	Dividend			Buy (add'l)	07/01/20	J		
216.	A	Dividend			Buy (add'l)	08/03/20	J		
217.	A	Dividend			Buy (add'l)	09/01/20	J		
218.	A	Dividend			Buy (add'l)	10/01/20	J		
219.	A	Dividend			Buy (add'l)	11/02/20	J		
220.	A	Dividend			Buy (add'l)	11/19/20	J		
221. Money Market Investment Shares - Edward Jones	A	Interest	J	T	Buy (add'l)	01/31/20	J		

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

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

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

A 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. Carrier Global Corp.	A	Dividend	J	T	Buy (add'l)	07/20/20	J		
223.					Buy (add'l)	11/23/20	J		
224.									
225.									
226.									
227.									
228.									
229.									
230.									
231.									
232.									
233.									
234.									
235.									
236.									
237.									
238.									

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

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

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

A 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)
239.									
240.									
241.									
242.									
243.									
244.									
245.									
246.									
247.									
248.									
249.									
250.									
251.									
252.									
253.									
254.									
255.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256.									
257.									
258.									
259.									
260.									
261.									
262.									
263.									
264.									
265.									

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

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Name of Person Reporting

Briones, Brian P.

Date of Report

05/28/2021

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

All additional purchases listed on Section VII D. 1. resulted from dividend reinvestment which took place quarterly throughout the year. Therefore, I did not specify an acquisition date for each quarterly dividend reinvestments.

FINANCIAL DISCLOSURE REPORT

Page 23 of 23

Name of Person Reporting

Briones, Brian P.

Date of Report

05/28/2021

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/ **Brian P. Briones**

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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