

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) Morrison, Sarah D.	2. Court or Organization United States District Court, Southern District of Ohio	3. Date of Report 08/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Active	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 U.S District Court 85 Marconi Blvd Columbas, OH 43215		
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. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1991	Ohio Public Employees Retirement Plan (defined benefit pension plan)
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting

Morrison, Sarah D.

Date of Report

08/12/2021

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

A. Filer's Non-Investment Income



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

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

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Self-employed (financial advisor)
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

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

Name of Person Reporting	Date of Report
Morrison, Sarah D.	08/12/2021

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

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. INDIVIDUAL ASSETS (H)									
2. KEY BANK (cash)	A	Interest	K	T					
3. USAA BANK (cash)	A	Interest	M	T					
4. WESTERN SOUTHERN WHOLE LIFE INSURANCE	A	Dividend			Redeemed	02/06/20	J		
5. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE #1	A	Dividend	J	T					
6. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE #2	A	Dividend	J	T					
7. ACCOUNT #1 (H)									
8. LPL FINANCIAL INSURED DEPOSIT ACCOUNT (cash)	A	Interest	J	T	Open	11/25/20	O		
9. BANK OF AMERICA (BAC)	A	Dividend			Buy	12/02/20	K		
10.					Sold	12/03/20	K		
11. CARRIER GLOBAL CORP (CARR)		None	K	T	Buy	12/17/20	K		
12. CHEVRON CORP (CVX)		None	K	T	Buy	12/02/20	K		
13. COCA-COLA COMPANY (KO)		None	L	T	Buy	12/09/20	K		
14.					Buy (add'l)	12/10/20	K		
15. EXXON MOBIL CORP (XOM)		None	K	T	Buy	12/02/20	K		
16. INTEL CORP (INTC)		None	K	T	Buy	12/02/20	K		
17. JOHNSON & JOHNSON (JNJ)		None	K	T	Buy	12/17/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

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18. NEW ORIENTAL EDUCATION & TECH GROUP (EDU)		None	K	T	Buy	12/10/20	K		
19. QUEST DIAGNOSTICS INC (DGX)		None	K	T	Buy	12/10/20	K		
20. RAYTHEON TECHNOLOGIES (RTX)		None	K	T	Buy	12/02/20	K		
21. SCHWAB CHARLES CORP NEW (SCHW)		None	K	T	Buy	12/02/20	K		
22. VIATRIS INC (VTRS)		None	K	T	Buy	12/29/20	K		
23. WELLS FARGO & CO NEW (WFC)		None	L	T	Buy	12/02/20	K		
24.					Buy (add'l)	12/16/20	K		
25. DAVIS FUNDAMENTAL SELECT US EQUITY (DUSA)	B	Dividend	N	T	Buy	12/02/20	N		
26. ACCOUNT #2 (H)									
27. OHIO DC LIFEPATH 2035	A	Int./Div.	L	T					
28. ACCOUNT #3 (H)									
29. NWMUTUAL MSA/BLACKROCK GOVT MONEY MARKET		None	O	T	Buy	10/02/20	O		
30. NWMUTUAL DELAWARE DOMESTIC EQUITY		None			Sold	10/02/20	K	D	
31. NWMUTUAL MSA INDEX 500 STOCK		None			Sold	10/02/20	L	D	
32. NWMUTUAL FIDELITY VIP CONTRAFUND		None			Sold	10/02/20	L	C	
33. NWMUTUAL MSA INDEX 400 STOCK		None			Sold	10/02/20	K	D	
34. NWMUTUAL MSA WELLINGTON SMALL CAP GROWTH STOCK		None			Sold	10/02/20	K	C	

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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Page 6 of 15

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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. NWMUTUAL MFS RESEARCH INTERNATIONAL CORE		None			Sold	10/02/20	K	C	
36. NWMUTUAL FRANKLIN TEMP INTERNATIONAL EQUITY		None			Sold	10/02/20	K	C	
37. NWMUTUAL FIAM LLC INTERNATIONAL GROWTH		None			Sold	10/02/20	K	B	
38. NWMUTUAL ABERDEEN EMERGING MARKETS EQUITY		None			Sold	10/02/20	K	D	
39. NWMUTUAL WELLS CAPITAL MANAGEMENT SELECT BOND		None			Sold	10/02/20	K	A	
40. NWMUTUAL RIF STRATEGIC BOND		None			Sold	10/02/20	J	A	
41. NWMUTUAL AMERICAN CENTURY INFLATION PROTECTION		None			Sold	10/02/20	J	A	
42. NWMUTUAL PIMCO MULTI SECTOR BOND		None			Sold	10/02/20	K	A	
43. NWMUTUAL FEDERATED INV HIGH YIELD BOND		None			Sold	10/02/20	J	A	
44. NWMUTUAL RIF GLOBAL REAL ESTATE		None			Sold	10/02/20	K	B	
45. NWMUTUAL SUISSE COMMODITY STRATEGY		None			Sold	10/02/20	K	A	
46. ACCOUNT #4 (H)									
47. LPL FINANCIAL INSURED DEPOSIT ACCOUNT (cash)	A	Interest	K	T	Open	11/30/20	M		
48. ALIBABA GROUP HOLDING LTD (BABA)		None	K	T	Buy	12/10/20	K		
49.					Buy (add'l)	12/29/20	K		
50. ALPHABET INC CL A (GOOGL)		None	K	T	Buy	12/02/20	K		
51. APPLE INC (AAPL)		None	K	T	Buy	12/02/20	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52. DAVIS FUNDAMENTAL SELECT WORLDWIDE (DWLD)	A	Dividend	L	T	Buy	12/02/20	L		
53. ACCOUNT #5 (H)									
54. LPL FINANCIAL INSURED DEPOSIT ACCOUNT (cash)	A	Interest	K	T	Open	11/30/20	K		
55. ACCOUNT #6 (H)									
56. ALPHABET INC CL C (GOOG) (X)		None	K	T					
57. APPLE INC (AAPL)	A	Dividend	K	T	Buy	09/21/20	K		
58. BANK OF AMERICA CORP (BAC)	A	Dividend			Buy	08/06/20	K		
59.					Buy (add'l)	08/14/20	J		
60.					Sold	12/03/20	K	C	
61. BRISTOL MYERS SQUIBB (BMY)	A	Dividend	K	T	Buy	08/06/20	K		
62. COPART INC (CPRT)		None	K	T	Buy	06/12/20	J		
63. DNB ASA SPON ADR (DNHBY)		None	K	T	Buy	06/12/20	J		
64.					Buy (add'l)	09/30/20	J		
65. EXXON MOBIL CORP (XOM) (X)	A	Dividend			Sold	09/21/20	J		
66. HUNTINGTON BANCSHARES INC (HBAN) (X)	A	Dividend	J	T					
67. RAYTHEON TECHNOLOGIES CORP (RTX) (X)	A	Dividend			Sold	09/21/20	J	A	
68. SCHWAB CHARLES CORP (SCHW)	A	Dividend	J	T	Buy	06/12/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 15

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69. WELLS FARGO & CO (WFC)	A	Dividend			Buy	06/12/20	J		
70.					Buy (add'l)	07/14/20	J		
71.					Sold	08/06/20	K		
72. ACCOUNT #7 (H)									
73. NWM FDIC DEPOSIT (cash)	A	Interest			Closed	11/25/20	O		
74. INVESCO BALANCED-RISK COMMODITY STRATEGY FD CL Y (BRCYX)		None			Sold (part)	08/31/20	J		
75.					Sold	11/09/20	K		
76. AMERICAN CENTURY SHORT DUR INFLATION PROTECTION BD FD CL I (APOHX)		None			Buy	07/24/20	J		
77.					Sold	11/09/20	J	A	
78. AMERICAN CENTURY SHORT DUR INFLATION PROTECTION BD FD INV CL (APOIX)	A	Dividend			Buy (add'l)	04/13/20	J		
79.					Sold	07/24/20	J		
80. BARON ASSET FD INSTITUTIONAL CL (BARIX)		None			Sold	11/09/20	K	D	
81. DODGE & COX INCOME FD (DODIX)	B	Dividend			Sold	11/09/20	L	C	
82. AMERICAN FUNDS EUROPACIFIC GROWTH FD CL F-2 (AEPFX)		None			Sold	11/09/20	L	E	
83. FIDELITY ADVISOR NEW INSIGHTS FUND CLASS I (FINSX)	A	Dividend			Sold (part)	08/31/20	L	E	
84.					Sold	11/09/20	L	E	

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Page 9 of 15

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85. GOLDMAN SACHS INTERNATIONAL SMALL CAP INSIGHTS FUNC CL I (GICIX)		None			Sold	11/09/20	K		
86. GOLDMAN SACHS ABSOLUTE RETURN TRACKER FD INST'L CL (GJRTX)		None			Sold	11/09/20	K		
87. OAKMARK INTERNATIONAL FUND ADVISOR CL (OAYIX)		None			Buy	07/24/20	L		
88.					Buy (add'l)	08/31/20	J		
89.					Sold	11/09/20	L	C	
90. THE OAKMARK INTERNATIONAL FD INVESTOR CLASS (OAKIX)		None			Sold	07/24/20	L		
91. JOHN HANCOCK DISCIPLINED VALUE MID CAP FD CL I (JVMIX)		None			Sold	11/09/20	K	C	
92. MFS VALUE FUND CL I (MEIIX)	B	Dividend			Buy (add'l)	04/13/20	J		
93.					Sold (part)	08/31/20	K	D	
94.					Sold	11/09/20	L	E	
95. NEW WORLD FUND CLASS F-2 (NFFFX)		None			Sold	11/09/20	K	D	
96. NORTHERN SMALL CAP VALUE FUND (NOSGX)		None			Sold	11/09/20	K		
97. PIMCO INCOME FD CL 1-2 (PONPX)	A	Dividend			Sold	11/09/20	J		
98. PRINCIPAL REAL ESTATE SECURITIES FD CL 1 (PIREX)	A	Dividend			Sold	11/09/20	K	A	
99. PRINCIPAL GLOBAL MUTI STRATEGY FD CL I (PSMIX)		None			Sold	11/09/20	K	A	
100. T ROWE PRICE EMERGING MARKETS STOCK (PRMSX)		None			Sold	11/09/20	K	D	

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101. TIAA-CREF BOND FD ADVISOR CL (TIBHX)	A	Dividend			Sold (part)	04/13/20	K	A	
102.					Sold	11/09/20	K	B	
103. GOLDMAN SACHS ETF TR ACTIVEBETA US LARGE CAP EQ (GSLC)	A	Dividend			Buy	08/31/20	L		
104.					Sold	11/09/20	L		
105. ISHARES GOLD TR SHARES (IAU)		None			Buy	04/13/20	J		
106.					Buy (add'l)	08/31/20	J		
107.					Sold	11/09/20	K	A	
108. ISHARES TR MSCI USA VALUE FACTOR ETF (VLUE)	A	Dividend			Buy	08/31/20	K		
109.					Sold	11/09/20	K	B	
110. ACCOUNT #8 (H)									
111. INVESCO BALANCED-RISK COMMODITY STRATEGY FD CL Y (BRCYX)		None			Sold (part)	04/13/20	J		
112.					Sold (part)	08/31/20	J		
113.					Sold	11/09/20	J		
114. BARON ASSET FD INSTITUTIONAL CL (BARIX)		None			Sold (part)	02/11/20	J	A	
115.					Sold	11/09/20	K	C	
116. DODGE & COX INTERNATIONAL FD (DODFX)		None			Sold (part)	02/11/20	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 15

Name of Person Reporting

Morrison, Sarah D.

Date of Report

08/12/2021

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)
117.					Buy (add'l)	09/04/20	J		
118.					Sold	11/09/20	K	A	
119. AMERICAN FUNDS EUROPACIFIC GROWTH FD CL F-2 (AEPFX)		None			Sold (part)	02/11/20	J	A	
120.					Sold	11/09/20	K	D	
121. FIDELITY ADVISOR NEW INSIGHTS FD CL I (FINSX)	A	Dividend			Sold (part)	02/11/20	K	C	
122.					Sold (part)	08/31/20	K	C	
123.					Buy (add'l)	09/17/20	J		
124.					Sold	11/09/20	K	D	
125. FIDELITY ADVISOR INTERMEDIATE MUNI INCOME FD CL I (FZIIX)	A	Distribution			Sold (part)	02/11/20	J	A	
126.					Sold	11/09/20	K	A	
127. FRANKLIN FEDERAL INTERMEDIATE- TERM INC FD ADVISORS CL (FITZX)	A	Distribution			Sold (part)	02/11/20	J		
128.					Sold	08/31/20	K	A	
129. JOHN HANCOCK DISCIPLINED VALUE MID CAP FD CL I (JVMIX)		None			Sold (part)	02/11/20	J	A	
130.					Sold	11/09/20	J	A	
131. MFS VALUE FUND CL I (MEIIX)	A	Dividend			Sold (part)	02/11/20	J	B	
132.					Sold (part)	08/31/20	J	B	
133.					Sold	11/09/20	K	C	

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Morrison, Sarah D.

Date of Report

08/12/2021

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) 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)
134. NEW WORLD FUND CLASS F-2 (NFFFX)		None			Sold (part)	02/11/20	J	A	
135.					Sold	11/09/20	J	C	
136. NORTHERN SMALL CAP VALUE FUND (NOSGX)		None			Sold (part)	02/11/20	J		
137.					Sold	11/09/20	J		
138. PRINCIPAL REAL ESTATE SECURITIES FD CL 1 (PIREX)	A	Dividend			Sold (part)	02/11/20	J	A	
139.					Buy (add'l)	09/04/20	J		
140.					Sold	11/09/20	J	A	
141. T ROWE PRICE EMERGING MARKETS STOCK (PRMSX)		None			Sold (part)	02/11/20	J	A	
142.					Sold	11/09/20	J	C	
143. THE TAX EXEMPT BOND FUND OF AMERICA F-2 (TEAFX)	A	Dividend			Buy	08/31/20	K		
144.					Sold	11/09/20	K		
145. GOLDMAN SACHS ETF TR ACTIVEBETA LARGE CAP EQ (GSLC)	A	Dividend			Buy	08/31/20	K		
146.					Sold	11/09/20	K	A	
147. ISHARES GOLD TR (IAU)		None			Buy	04/13/20	J		
148.					Buy (add'l)	08/31/20	J		
149.					Sold	11/09/20	J	A	
150. ISHARES TR MSCI USA VALUE FACTOR (VLUE)	A	Dividend			Buy	08/31/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
151.					Sold	11/09/20	J	A	
152. ACCOUNT #9 (H)									
153. NWM FDIC DEPOSIT (cash)	A	Interest			Closed	11/27/20	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting

Morrison, Sarah D.

Date of Report

08/12/2021

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

Account #3 is a NWM Individual Retirement Variable Annuity. The filer can select only the level of risk (aggressive) for this unit-based investment. Additional information on this investment is listed in Part VII to the best of the filer's information and belief.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Morrison, Sarah D.

Date of Report

08/12/2021

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/ Sarah D. Morrison

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