

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Barr, William P

Attorney General, Department of Justice

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Barr, William P [electronically signed on 06/26/2020 by Barr, William P in Integrity.gov] - Filer received a 45 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Weinsheimer, Bradley, Certifying Official [electronically signed on 07/27/2020 by Weinsheimer, Bradley in Integrity.gov]

Other review conducted by

/s/ Shaw, Cynthia K, Ethics Official [electronically signed on 07/25/2020 by Shaw, Cynthia K in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/24/2020

Data Revised 07/23/2020

Data Revised 07/21/2020

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Dominion Energy, Inc.	Richmond, Virginia	Corporation	Director	12/2009	2/2019
2	Kirkland & Ellis LLP	Washington, District of Columbia	Law Firm	Of Counsel	3/2017	2/2019
3	Revocable Family Trust	Fairfax, Virginia	Trust	Trustee	4/1999	Present
4	Barr Family LLC	Fairfax, Virginia	Corporation	Manager	3/2008	2/2019
5	Mastiff Mhor, LLC (entity inactive)	McLean, Virginia	Corporation	Registered Agent	8/2018	2/2019
6	Ridgeback LLC (entity inactive)	Tysons Corner, Virginia	Corporation	Manager	3/2012	2/2019

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kirkland & Ellis LLP	N/A		Salary	\$28,523
2	IRA	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	Verizon 401(k)	No			
3.1	Fidelity Institutional Govt Money Market	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Dominion Energy, Inc. (D)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
5	Dominion Energy, Inc. (D)	See Endnote	N/A	Stock grant	\$146,400
6	SEP IRA	No			
6.1	JPM GLBL BD OPP FD (GBOSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.2	JPM HIGH YIELD FD (OHYAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.3	JPM PRIME MONEY MARKET FUND (VPMXX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
6.4	JPM STRAT INC OPP FD (JSOSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Kirkland & Ellis, LLP, defined contribution plan	No			
7.1	Vanguard Target Retirement 2015 Trust I	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	AT&T Inc. (T)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE	
1	Verizon Communications	See Endnote	New York, New York	I have continued to participate in this defined contribution plan. This plan sponsor no longer makes contributions.	1/1994
2	Kirkland & Ellis LLP	Washington, District of Columbia	I have continued to participate in this defined contribution plan. The plan sponsor no longer makes contributions.	3/2017	

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	AT&T	New York, New York	I held vested stock options and forfeited any unvested options. I exercised the stock options on April 24, 25, and 26, 2019, and immediately sold that stock.	7/2009
4	Dominion Energy, Inc.	Richmond, Virginia	My participation in this stock-grant program terminated upon my separation from the company in 2019.	12/2009
5	Dominion Energy, Inc.	Richmond, Virginia	Pursuant to company policy, I received 2,000 common shares upon resignation from the board, which I then sold in 2019.	12/2009

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

(N/A) - Not required for this type of report

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TIAA-CREF plan	No			
1.1	TIAA Traditional	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.2	CREF Stock R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3	CREF Stock R1	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	PROSHARES S&P 500 DIVIDEND ARISTOCRATS ETF (NOBL)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2	ISHARES SELECT DIVIDEND ETF (DVY)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
3	VA ST CMWLTH TRANSPRTN BRD TRANSPRTN 4.5% 05/15/2036 (927793UD9)	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
4	JPM GLBL BD OPP FD (GBOSX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5	NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 5.0% 06/15/2038 (64986DFR1)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
6	DIST OF COLUMBIA SER C UNLTD TAX 5.0% 06/01/2038 (25476FNT1)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
7	MA ST CLEAN WTR TR ST REVOLVING 5.0% 02/01/2045 (575829AX4)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
8	NORTH TX TWY AUTH 5 1/2% A SEP 01 2036 (66285WGS9)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
9	PALM BEACH CNTY FL PUB 5.0% 05/01/2035 (696543RQ2)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10	MET TRANSPRTN AUTH NY REV 5.0% 11/15/2045 (59259Y3Q0)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
11	UNIV OF VA VA UNIV REVENUES 06/01/2043 (915217VC4)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
12	FAIRFAX CNTY VA ECON DEV AUTHTRANSPRTN 4.0% 04/01/2031 (30383BCJ6)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
13	UPPER OCCOQUAN VA SEW 4.0% 07/01/2033 (916277LX2)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
14	FAIRFAX CNTY VA WTR AUTH WTR 5.0% 04/01/2028 (303891XY6)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	NY CITY NY MUNI WTR AUTH & SWR 4.0% 06/15/2046 (64972GJW5)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
16	FAIRFAX CNTY VA HLTH CARE-INOVA HLTH SYS 5.0% 05/15/2035 (303823KG2)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
17	VA ST RES AUTH INFRASTRUCTURE REV 4.0% 11/01/2020 (92818G7T4)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
18	PROVIDENCE VII PRIVATE INVESTORS	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
19	BSREP II (BROOKFIELD) PRIVATE INVESTORS	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
20	HPS MEZZANINE PRIVATE INVESTORS III LLC	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
21	BENEFIT STREET PARTNERS IV LLC	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
22	MACKAY MUNICIPAL STRATEGIC OPPORTUNITIES FUND, L.P.	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
23	PROVIDENCE DEBT III PRIVATE INVESTORS, L.L.C.	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
24	GIF IV PRIVATE INVESTORS	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
25	ALTRIA GROUP INC (MO)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
26	MORGAN STANLEY (MS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
27	NORTH CENTRAL TEXAS HEALTH FAC 2009 5% AUG 15 2024 (65854RAJ9)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$5,001 - \$15,000
28	JPMORGAN CHASE & CO (JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	JPMORGAN CHASE & CO VAR RT PERP 04/23/2008 (46625HHA1)	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
30	CHICAGO IL REF-PROJS 5.0% 01/01/2029 (167486GY9)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$5,001 - \$15,000
31	PFIZER INC (PFE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
32	PROVIDENCE TMT DEBT OPPORTUNITY FUND II	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
33	PEG DIGITAL GROWTH FUND II LP	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
34	BANK OF AMERICA CORP (BAC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
35	SLA PRIVATE INVESTORS, LLC	Yes	None (or less than \$1,001)		\$201 - \$1,000
36	DISH DBS CORP 7 7/8% SEP 01 2019 (25470XAB1)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
37	T-MOBILE USA INC 6.375% 03/01/2025 (87264AAN5)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
38	CCO HLDGS LLC/CAP CORP SR NTS 5.75% 01/15/2024 (1248EPBE2)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
39	CENTURYLINK INC SR NTS 5.8% 03/15/2022 (156700AS5)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
40	EQUINIX INC SR NTS 5.875% 01/15/2026 (29444UAQ9)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
41	ICAHN ENTERPRISES/FIN 6.75% 02/01/2024 (451102BM8)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
42	SPRINGLEAF FINANCE CORP 6.875% 03/15/2025 (85172FAM1)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	UTD RENTALS NORTH AM 5.5% 05/15/2027 (911365BF0)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
44	HCA INC 5.625% 09/01/2028 DTD 08/23/2018 (404121AJ4)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
45	CIT GROUP INC SR NTS 5.0% 08/01/2023 (125581GR3)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
46	S WESTN ENERGY CO 6.2% 01/23/2025 (845467AL3)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
47	CROWN AMER/CAP CORP IV 4.5% 01/15/2023 (228189AB2)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
48	MURPHY OIL CORP SR NTS 6.875% 08/15/2024 (626717AH5)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
49	CLEARWAY ENERGY OP LLC 5.375% 08/15/2024 (62943WAB5)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
50	POLYONE CORP SR NTS 5.25% 03/15/2023 (73179PAK2)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
51	CDW LLC/CDW FIN 5.0% 09/01/2025 (12513GBC2)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
52	CIT GROUP INC SR NTS 5.0% 08/15/2022 (125581GQ5)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
53	MASTEC INC 4.875% 03/15/2023 (576323AN9)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
54	LAMAR MEDIA CORP 5.750% 02/01/2026 (513075BL4)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
55	SPECTRUM BRANDS INC 5.75% 07/15/2025 (84762LAU9)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
56	CF INDUSTRIES INC 5.15% 03/15/2034 (12527GAF0)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
57	UTD AIRLINES HOLDINGS 5.0% 02/01/2024 (910047AH2)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
58	APOLLO EPF PRIVATE INVESTORS, LLC	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
59	BCP VI PRIVATE INVESTORS, LLC	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
60	STARWOOD SOF VIII PRIVATE INVESTORS LLC	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
61	VA ST RES AUTH INFRASTRUCTURE POOLE 4.0% 11/01/2020 (92818G7T4)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
62	NUVEEN MUNI CREDIT INC FD (NZF)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
63	JPM STRAT INC OPP FD (JSOSX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
64	JPM HIGH YIELD FD (OHYAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
65	JPM GLBL BD OPP FD (GBOSX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
66	JPM FLOAT RATE INC FD (JPHSX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
67	VECTOR GROUP LTD (VGR)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
68	BRISTOL-MYERS SQUIBB CO (BM)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
69	JPMORGAN CHASE & CO VAR RT PERP MAT DTD 06/09/2014 (48127FAA1)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
70	SELECTED AMERICAN SHARES (SLADX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
71	AT&T INC (T)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	JPM Tax Free Money Market Fund (JTFXX)	Yes	\$5,000,001 - \$25,000,000		\$50,001 - \$100,000
73	JPM Deposit Account (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
74	CITIGROUP PFD (172967341)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
75	JPMORGAN CHASE & CO VAR RT 02/01/2166 DTD 07/29/2013 (48126HAA8)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
76	SPDR S&P 500 ETF (SPY)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
77	MA ST CLEAN WTR TR ST RE 5% 02/01/45 (575829AX4)	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
78	CHICAGO IL O'HARE INT 5.75% 01/01/39 (167593F98)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
79	CHICAGO IL O'HARE INT 5.75% 01/01/39 (167593G30)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
80	JPM PRIME MONEY MARKET FUND (VPMXX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
81	SPDR S&P 400 MIDCAP ETF (MDY)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
82	Intentionally Defective Grantor Trust #1	No			
82.1	MetLife whole life insurance policy	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
83	REGIONS FINL CORP 7.375% 12/10/2037 DTD 12/10/2007	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
84	ALLY FINL INC 8.0% 11/01/2031 DTD 12/31/2008	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
85	BALL CORP 4.0% 11/15/2023 DTD 05/16/2013	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
86	SPRINGLEAF FINANCE CORP 6.875% 03/15/2025 DTD 03/12/2018	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
87	CINEMARK USA INC 5.125% 12/15/2022 DTD 05/23/2013	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
88	CENTURYLINK INC SR NTS 5.8% 03/15/2022 DTD 03/12/2012	N/A	None (or less than \$1,001)	Interest Capital Gains	\$201 - \$1,000
89	MGM RESORTS INTL 5.75% 06/15/2025 DTD 06/18/2018	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
90	ICAHN ENTERPRISES/FIN 6.75% 02/01/2024 DTD 05/24/2017	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
91	CROWN AMER/CAP CORP IV 4.5% 01/15/2023 DTD 11/19/2013	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
92	XEROX CORPORATION 3.625% 03/15/2023 DTD 09/11/2017	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
93	FREEPORT-MCMORAN INC 3.875% 03/15/2023 DTD 10/09/2013 NON- TRADEABLE ASSET CORP ACTIONS CONTRA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
94	ENERGY TRANSFER EQUITY 7 1/2% OCT 15 2020 DTD 09/20/2010	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
95	ROYAL BK SCOTLND GRP PLC 6.125% 12/15/2022 DTD 12/04/2012	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
96	NETFLIX INC 5.875% 02/15/2025 DTD 02/05/2015	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
97	LAMAR MEDIA CORP 5.750% 02/01/2026 DTD 08/01/2016	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
98	CNO FINL GROUP INC SR NTS 5.25% 05/30/2025 DTD 05/19/2015	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
99	CCO HLDGS LLC/CAP CORP SR NTS 5.75% 01/15/2024 DTD 05/03/2013	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
100	ADT SEC CORP SR NTS 4.125% 06/15/2023 DTD 05/17/2013	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
101	MASTEC INC 4.875% 03/15/2023 DTD 03/18/2013	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
102	POLYONE CORP SR NTS 5.25% 03/15/2023 DTD 10/10/2013	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
103	NUANCE COMMUNICATIONS 5.625% 12/15/2026 DTD 12/22/2016	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
104	ICAHN ENTERPRISES/FIN 6.375% 12/15/2025 DTD 02/08/2018	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
105	CF INDUSTRIES INC 5.15% 03/15/2034 DTD 03/11/2014	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
106	CHOICE HOTELS INTL INC 5.75% 07/01/2022 DTD 06/27/2012	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
107	MURPHY OIL CORP SR NTS 6.875% 08/15/2024 DTD 08/17/2016	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
108	NABORS INDUSTRIES INC 4.625% 09/15/2021 DTD 02/13/2012	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
109	ENLINK MIDSTREAM PARTNER 4.850% 07/15/2026 DTD 07/14/2016	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
110	NEWFIELD EXPLRTN CO 5.625% 07/01/2024 DTD 06/26/2012	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
111	CYRUSONE LP/CYRUSONE FIN 5.0% 03/15/2024 DTD 01/05/2018	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
112	DIAMONDBACK ENERGY INC 5.375% 05/31/2025 DTD 07/24/2017	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
113	MGM RESORTS INTL 6.625% 12/15/2021 DTD 12/20/2012 @ 105.62 MORGAN STANLEY & CO. LLC TRADE DATE 01/30/19	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
114	CIT GROUP INC SR NTS 5.0% 08/01/2023 DTD 08/01/2013	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
115	HCA INC SR NTS 5.5% 06/15/2047 DTD 06/22/2017	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
116	CDW LLC/CDW FIN 5.0% 09/01/2025 DTD 03/02/2017	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
117	COML METALS CO SR NTS 4.875% 05/15/2023 DTD 05/20/2013	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
118	UTD AIRLINES HOLDINGS 5.0% 02/01/2024 DTD 01/26/2017	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
119	ALTRIA GROUP INC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
120	MERCK & CO. INC.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
121	BK OF AMER CORP VAR RT PERP MAT DTD 10/23/2014	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
122	SPDR GOLD SHARES	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
123	CITIGROUP INC VAR RT PERP MAT DTD 11/13/2015	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
124	CITIGROUP INC MTN VAR RT PERP MAT DTD 10/29/2014	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
125	FIDELITY GOVERNMENT MONEY MARKET (SPAXX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
126	FIDELITY MUNICIPAL MONEY MARKET (FTEXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	PROSHARES S&P 500 DIVIDEND A (NOBL)	Purchase	05/13/2019	\$1,000,001 - \$5,000,000
2	ISHARES SELECT DIVIDEND ETF (DVY)	Purchase	05/13/2019	\$1,000,001 - \$5,000,000
3	JPM STRAT INC OPP FD - CL I (JSOSX)	Purchase	07/01/2019	\$100,001 - \$250,000
4	JPM FLOAT RATE INC FD - CL I (JPHSX)	Sale	07/01/2019	\$100,001 - \$250,000
5	AT&T Inc.	Sale	04/15/2019	\$500,001 - \$1,000,000
6	Watford Re Ltd.	Sale	04/23/2019	\$250,001 - \$500,000
7	Deutsche Bank Structured Equity Note Euro Stoxx 50 Index	Sale	04/24/2019	\$100,001 - \$250,000
8	Verizon Communications, Inc. (VZ)	Sale	04/30/2019	\$1,001 - \$15,000
9	AT&T Inc. See Endnote	Purchase	04/24/2019	\$100,001 - \$250,000
10	AT&T Inc.	Sale	04/24/2019	\$250,001 - \$500,000
11	AT&T Inc.	Purchase	04/25/2019	\$500,001 - \$1,000,000
12	AT&T Inc.	Sale	04/25/2019	\$1,000,001 - \$5,000,000
13	AT&T Inc.	Purchase	04/26/2019	\$1,001 - \$15,000
14	AT&T Inc.	Sale	04/26/2019	\$1,001 - \$15,000
15	ENERGY TRANSFER EQUITY 7 1/2% OCT 15 2020	Sale	03/05/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	BANK OF AMERICA CORP VAR RT 04/23/2166	Sale	03/14/2019	\$500,001 - \$1,000,000
17	MORGAN STANLEY PFD 6.375%	Sale	03/14/2019	\$500,001 - \$1,000,000
18	JP MORGAN CHASE & CO PFD 5.75%	Sale	03/14/2019	\$500,001 - \$1,000,000
19	CITIGROUP INC VAR RT 05/15/2166	Sale	03/14/2019	\$500,001 - \$1,000,000
20	CITIGROUP IN VAR RT 05/15/2166	Sale	03/14/2019	\$500,001 - \$1,000,000
21	SPDR GOLD SHARES	Sale	03/14/2019	\$250,001 - \$500,000
22	PFIZER INC	Sale	03/14/2019	\$250,001 - \$500,000
23	NISOURCE INC VAR RT PERP MAT DTD 03/05/2019	Sale	03/14/2019	\$250,001 - \$500,000
24	GENERAL MOTORS FINL CO VAR RT 03/30/2167	Sale	03/14/2019	\$250,001 - \$500,000
25	BANK OF AMERICA CORP 5.125% 12/17/2165	Sale	03/14/2019	\$250,001 - \$500,000
26	JP MORGAN CHASE & CO VAR RT 01/01/2166 DTD	Sale	03/14/2019	\$100,001 - \$250,000
27	BANK OF AMERICA CORP	Sale	03/14/2019	\$50,001 - \$100,000
28	BRISTOL-MYERS SQUIBB CO	Sale	03/14/2019	\$50,001 - \$100,000
29	MERCK & CO. INC	Sale	03/15/2019	\$250,001 - \$500,000
30	TECK COMINCO LIMITED NOTES 6 1/8% OCT 1 2035	Sale	03/21/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	NEWFIELD EXPLORATION CO 5.625% JUL 01 2024	Sale	03/21/2019	\$1,001 - \$15,000
32	TECK RESOURCES LIMITED 6% AUG 15 2040	Sale	03/21/2019	\$1,001 - \$15,000
33	ALTRIA GROUP INC	Sale	03/25/2019	\$250,001 - \$500,000
34	ALTRIA GROUP INC	Sale	03/25/2019	\$50,001 - \$100,000
35	GMAC 8% NOV 01 2031	Sale	03/25/2019	\$15,001 - \$50,000
36	VECTOR GROUP LTD	Sale	03/25/2019	\$15,001 - \$50,000
37	REGIONS FINANCIAL CORP NT DTD 12/05/2007 7.375%	Sale	03/25/2019	\$15,001 - \$50,000
38	EMC CORP 3.375% 06/01/2023	Sale	03/25/2019	\$15,001 - \$50,000
39	MGM RESORTS INTL 5.75% 06/15/2025	Sale	03/25/2019	\$15,001 - \$50,000
40	CCO HLDGS LLC/CAP CORP 5.750% 01/15/2024	Sale	03/25/2019	\$15,001 - \$50,000
41	T-MOBILE USA INC 6.375% 03/01/2025	Sale	03/25/2019	\$15,001 - \$50,000
42	ARCONIC INC 5.125% 10/01/2024	Sale	03/25/2019	\$15,001 - \$50,000
43	DISH DBS CORP 7 7/8% SEP 01 2019	Sale	03/25/2019	\$15,001 - \$50,000
44	BALL CORP 4.000% 11/15/2023	Sale	03/25/2019	\$15,001 - \$50,000
45	CENTURYLINK INC 5.8% MAR 15 2022	Sale	03/25/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	EQUINIX INC 5.875% 01/15/2026	Sale	03/25/2019	\$15,001 - \$50,000
47	L BRANDS INC 5.625% 10/15/2023	Sale	03/25/2019	\$15,001 - \$50,000
48	UNITED RENTALS NORTH AM 5.500% 05/15/2027	Sale	03/25/2019	\$15,001 - \$50,000
49	CIT GROUP INC 5.000% 08/01/2023	Sale	03/25/2019	\$15,001 - \$50,000
50	ICAHN ENTERPRISES/FIN 6.750% 02/01/2024	Sale	03/25/2019	\$15,001 - \$50,000
51	CROWN AMER/CAP CORP IV 4.500% 01/15/2023	Sale	03/25/2019	\$15,001 - \$50,000
52	HCA INC 5.625% 09/01/2028	Sale	03/25/2019	\$1,001 - \$15,000
53	PTC INC 6.000% 05/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
54	ATD CORP 4.125% 06/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
55	SPRINGLEAF FINANCE CORP 6.875% 03/15/2025	Sale	03/25/2019	\$1,001 - \$15,000
56	TENET HEALTHCARE CORPORATION 4.500% 04/01/2021	Sale	03/25/2019	\$1,001 - \$15,000
57	CNO FINANCIAL GROUP INC 5.25% 05/30/2025	Sale	03/25/2019	\$1,001 - \$15,000
58	BLUE CUBE SPINCO INC 9.750% 10/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
59	CINEMARK USA INC 5.125% 12/15/2022	Sale	03/25/2019	\$1,001 - \$15,000
60	NETFLIX INC 5.875% 02/15/2025	Sale	03/25/2019	\$1,001 - \$15,000
61	SOUTHWESTERN ENERGY CO 4.950% 01/23/2025	Sale	03/25/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
62	ROYAL BK SCOTLAND GRP PLC 6.125% 12/15/2022	Sale	03/25/2019	\$1,001 - \$15,000
63	CIT GROUP INC 5% AUG 15 2022	Sale	03/25/2019	\$1,001 - \$15,000
64	POLYONE CORP 5.250% 03/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
65	WELLCARE HEALTH PLANS 5.250% 04/01/2025	Sale	03/25/2019	\$1,001 - \$15,000
66	CDW LLC/CDW FINANCE 5.000% 09/01/2025	Sale	03/25/2019	\$1,001 - \$15,000
67	SERVICE CORP INTL 5.375%	Sale	03/25/2019	\$1,001 - \$15,000
68	CENTENE CORP 4.750% 05/15/2022	Sale	03/25/2019	\$1,001 - \$15,000
69	AES CORPORATION 4.875% 05/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
70	MASTEC INC 4.875% 03/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
71	SM ENERGY CO 5.625% 06/01/2025	Sale	03/25/2019	\$1,001 - \$15,000
72	NRG YIELD OPERATING LLC 5.375% 08/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
73	CHEMOURS CO 7.000% 05/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
74	RANGE RESOURCES CORP 4.875% 05/15/2025	Sale	03/25/2019	\$1,001 - \$15,000
75	LENNAR CORP 4.500% 06/15/2019	Sale	03/25/2019	\$1,001 - \$15,000
76	FREEPORT-MCMORAN C & G 3.875% 03/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
77	UNIT CORP 6 5/8% MAY 15 2021	Sale	03/25/2019	\$1,001 - \$15,000
78	MURPHY OIL CORP 6.875% 08/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
79	NOKIA OYJ 4.375% 06/12/2027	Sale	03/25/2019	\$1,001 - \$15,000
80	EMBARQ CORP NOTES 7.995% JUN 1 2036	Sale	03/25/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
81	HCA INC 5.500% 06/15/2047	Sale	03/25/2019	\$1,001 - \$15,000
82	LAMAR MEDIA CORP 5.750% 02/01/2026	Sale	03/25/2019	\$1,001 - \$15,000
83	GLP CAPITAL LP/FIN II 5.375% 04/15/2026	Sale	03/25/2019	\$1,001 - \$15,000
84	WYNDHAM WORLDWIDE CORP 5.100% 10/01/2025	Sale	03/25/2019	\$1,001 - \$15,000
85	TENET HEALTHCARE CORP 6.000% 10/01/2020	Sale	03/25/2019	\$1,001 - \$15,000
86	TELEFLEX INC 4.875% 06/01/2026	Sale	03/25/2019	\$1,001 - \$15,000
87	SPECTRUM BANDS INC 5.750% 07/15/2025	Sale	03/25/2019	\$1,001 - \$15,000
88	UNITED CONTINENTAL HLDGS 5.000% 02/01/2024	Sale	03/25/2019	\$1,001 - \$15,000
89	WESTERN DIGITAL CORP 4.750% 02/15/2026	Sale	03/25/2019	\$1,001 - \$15,000
90	CF INDUSTRIES INC 5.150% 03/15/2034	Sale	03/25/2019	\$1,001 - \$15,000
91	CDK GLOBAL INC SR NTS 5.875% 06/15/2026	Sale	03/25/2019	\$1,001 - \$15,000
92	DIAMONDBACK ENERGY INC 5.375% 05/31/2025	Sale	03/25/2019	\$1,001 - \$15,000
93	ICAHN ENTERPRISES/FIN 6.375% 12/15/2025	Sale	03/25/2019	\$1,001 - \$15,000
94	GROUP 1 AUTOMOTIVE INC 5.000% 06/01/2022	Sale	03/25/2019	\$1,001 - \$15,000
95	COMMERCIAL METALS CO 4.875% 05/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
96	RADIAN GROUP INC 4.500% 10/01/2024	Sale	03/25/2019	\$1,001 - \$15,000
97	GOODYEAR TIRE & RUBBER 5.000% 05/31/2026	Sale	03/25/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
98	CHOICE HOTELS INTL INC 5.75% JUL 01 2022	Sale	03/25/2019	\$1,001 - \$15,000
99	AECOM 5.875% 10/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
100	SCOTTS MIRACLE-GRO CO 6.000% 10/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
101	CHENIERE CORP CHRISTI HD 5.125% 06/30/2027	Sale	03/25/2019	\$1,001 - \$15,000
102	TELECOM ITALIA CAPITAL 7.721% JUN 4 2038	Sale	03/25/2019	\$1,001 - \$15,000
103	ARAMARK SERVICES INC 5.125% 01/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
104	ANIXTER INC 5.125% 10/01/2021	Sale	03/25/2019	\$1,001 - \$15,000
105	UNITED RENTALS NORTH AM 5.500% 07/15/2025	Sale	03/25/2019	\$1,001 - \$15,000
106	CYRUSONE LP/CYRUSONE FIN 5.000% 03/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
107	NUANCE COMMUNICATIONS 5.625% 12/15/2026	Sale	03/25/2019	\$1,001 - \$15,000
108	AMERICAN AXLE & MFG INC 6.625% OCT 15 2022	Sale	03/25/2019	\$1,001 - \$15,000
109	CLEAR CHANNEL WORLDWIDE 6.500% 11/15/2022	Sale	03/25/2019	\$1,001 - \$15,000
110	CEDAR FAIR LP/CANADA'S W 5.375% 06/01/2024	Sale	03/25/2019	\$1,001 - \$15,000
111	CENTENE CORP	Sale	03/25/2019	\$1,001 - \$15,000
112	TARGA RESOURCES PARTNERS 5.250% 05/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
113	TRANSDIGM INC 6.000% 07/15/2022	Sale	03/25/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
114	CENOVUS ENERGY INC 4.45% SEP 15 2042	Sale	03/25/2019	\$1,001 - \$15,000
115	AVIS BUDGET CAR/FINANCE 5/500% 04/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
116	GANNETT CO INC 5.125% 07/15/2020	Sale	03/25/2019	\$1,001 - \$15,000
117	FREEMPORT-MCMORAN INC 4.000% 11/14/2021	Sale	03/25/2019	\$1,001 - \$15,000
118	ANTERO RESOURCES CORP 5.125% 12/01/2022	Sale	03/25/2019	\$1,001 - \$15,000
119	NIELSEN FINANCE LLC/CO 4.500% 10/01/2020	Sale	03/25/2019	\$1,001 - \$15,000
120	B&G FOODS INC 4.625% 06/01/2021	Sale	03/25/2019	\$1,001 - \$15,000
121	HILTON DOMESTIC OPERATIN	Sale	03/25/2019	\$1,001 - \$15,000
122	ENLINK MIDSTREAM PARTNER 4.850% 07/15/2026	Sale	03/25/2019	\$1,001 - \$15,000
123	VIACOM INC VAR RT 02/28/2057	Sale	03/25/2019	\$1,001 - \$15,000
124	GRAPHIC PACKAGING INTL 4.125% 08/15/2024	Sale	03/25/2019	\$1,001 - \$15,000
125	CLEARWATER PAPER CORP 4.500% 02/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
126	TELECOM ITALIA CAPITAL 6% 09/30/2034	Sale	03/25/2019	\$1,001 - \$15,000
127	GOODYEAR TIRE & RUBBER 4.875% 03/15/2027	Sale	03/25/2019	\$1,001 - \$15,000
128	CHENIERE CORP CHRISTIE HD 5.875% 03/31/2025	Sale	03/25/2019	\$15,001 - \$50,000
129	TOLL BROS FINANCE CORP 5 7/8% FEB 2022	Sale	03/25/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
130	FREEPORT-MCMORAN C & G 5.450% 03/15/2043	Sale	03/25/2019	\$1,001 - \$15,000
131	HILTON GRAND VACA LLC/IN 6.125% 12/01/2024	Sale	03/25/2019	\$1,001 - \$15,000
132	SPRINGLEAF FINANCE CORP 6.125% 05/15/2022	Sale	03/25/2019	\$1,001 - \$15,000
133	CRESTWOOD MIDSTREAM PAT 6.250% 04/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
134	ALCOA INC 5.9% FEB 01 2027	Sale	03/25/2019	\$1,001 - \$15,000
135	VERISIGN INC 4.625% 05/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
136	WPX ENERGY INC SR NTS 5.75% 06/01/2026	Sale	03/25/2019	\$1,001 - \$15,000
137	GANNETT CO INC 5.125% 10/15/2019	Sale	03/25/2019	\$1,001 - \$15,000
138	AMERIGAS PART/FIN CORP 5.500% 05/20/2025	Sale	03/25/2019	\$1,001 - \$15,000
139	NABORS INDUSTRIES INC 4.625% SEP 15 2021	Sale	03/25/2019	\$1,001 - \$15,000
140	M/I HOMES INC 5.625% 08/01/2025	Sale	03/25/2019	\$1,001 - \$15,000
141	ENLINK MIDSTREAM PARTNER 5.600% 04/01/2044	Sale	03/25/2019	\$1,001 - \$15,000
142	DYNEGY INC 7.625% 11/01/2024	Sale	03/25/2019	\$1,001 - \$15,000
143	COVANTA HOLDING CORP 5.875% 03/01/2024	Sale	03/25/2019	\$1,001 - \$15,000
144	RADIAN GROUP INC 5.250% 06/15/2020	Sale	03/25/2019	\$1,001 - \$15,000
145	DELL INC 4 5/8% APR 01 2021	Sale	03/25/2019	\$1,001 - \$15,000
146	DCP MIDSTREAM OPERATING 3.875% 03/15/2023	Sale	03/25/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
147	ALCOA INC NT DTD 01/25/2007 5.95%	Sale	03/25/2019	\$1,001 - \$15,000
148	NRG ENERGY INC 6.625% 01/15/2027	Sale	03/25/2019	\$1,001 - \$15,000
149	MERITAGE HOMES CORP 7% APR 01 2022	Sale	03/25/2019	\$1,001 - \$15,000
150	VERISIGN INC 5.250% 04/01/2025	Sale	03/25/2019	\$1,001 - \$15,000
151	CF INDUSTRIES INC 7 1/8% MAY 01 2020	Sale	03/25/2019	\$1,001 - \$15,000
152	WPX ENERGY INC 6% JAN 15 2022	Sale	03/25/2019	\$1,001 - \$15,000
153	CLEARCHANNEL WORLDWIDE 6.500% 11/15/2022	Sale	03/25/2019	\$1,001 - \$15,000
154	CARPENTER TECHNOLOGY 4.450% 03/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
155	LAMAR MEDIA CORP 5.000% 05/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
156	ACADIA HEALTHCARE CO INC 5.625% 02/15/2023	Sale	03/25/2019	\$1,001 - \$15,000
157	AMERIGAS FINANCE LLC/COR 5.875% 08/20/2026	Sale	03/25/2019	\$1,001 - \$15,000
158	TRANSMONTAIGE PARTNERS 6.125% 02/15/2026	Sale	03/25/2019	\$1,001 - \$15,000
159	PITNEY BOWES INC SR NTS 4.7% 04/01/2023	Sale	03/25/2019	\$1,001 - \$15,000
160	DISH DBS CORP 6 3/4% JUN 01 2021	Sale	03/25/2019	\$1,001 - \$15,000
161	NOKIA CORP 5 3/8% MAY 15 2019	Sale	03/25/2019	\$1,001 - \$15,000
162	CHICAGO IL RE PROJS UNLIMITED TAX 5% A 01/01/2029	Sale	03/27/2019	\$100,001 - \$250,000
163	XEROX CORPORATION 3.625% 03/15/2023	Sale	03/27/2019	\$1,001 - \$15,000
164	REYNOLDS GRP ISS/REYNOLD 144A 5.75% OCT 15 2020	Sale	03/27/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
165	XEROX CORPORATION 3.625% 03/15/2023	Sale	03/28/2019	\$1,001 - \$15,000
166	JPMORGAN CHASE & CO VAR RT PFD STK 10/30/2167	Sale	04/02/2019	\$250,001 - \$500,000
167	DOMINION ENERGY, INC.	Sale	03/22/2019	\$1,000,001 - \$5,000,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Benefit Street Partners IV, LLC	See Endnote	Investment fund commitment	\$250,001 - \$500,000	2016	N/A	On demand
2	Cerberus VI Private Investors, LLC	See Endnote	Investment fund commitment	\$15,001 - \$50,000	2015	N/A	On demand
3	BSREP II Private Investors, LLC	See Endnote	Investment fund commitment	\$100,001 - \$250,000	2015	N/A	On demand
4	HPS Mezzanine III Private Investors, LLC	See Endnote	Investment fund commitment	\$100,001 - \$250,000	2016	N/A	On demand
5	SLA Private Investors	See Endnote	Investment fund commitment	\$500,001 - \$1,000,000	2018	N/A	On demand
6	CAP V Private Investors	See Endnote	Investment fund commitment	\$500,001 - \$1,000,000	2018	N/A	On demand
7	Providence TMT Debt Opportunity Private Investors, LLC	See Endnote	Investment fund commitment	\$500,001 - \$1,000,000	2018	N/A	On demand
8	NDI Healthcare Fund	See Endnote	Investment fund commitment	\$100,001 - \$250,000	2010	N/A	On demand
9	Providence VII Private Investors	See Endnote	Investment fund commitment	\$100,001 - \$250,000	2011	N/A	On demand

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
10	ILM Capital	See Endnote	Investment fund commitment	\$500,001 - \$1,000,000	2017	N/A	On demand
11	American Express		Credit Card	\$10,001 - \$15,000	2019	variable	revolving

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	5	This stock grant was issued to me as a departing director, pursuant to company policy. The shares were sold after receipt.
3.	1	Start date is approximate.
6.	49	Holding underwent name change in 2019; was formerly NRG Energy Inc.
7.	9	Transactions involving the purchase of AT&T Inc. on April 24, 25, and 26, 2019 consisted of the exercise of stock options. The exercised shares were sold immediately.
8.	1	This liability was eliminated in 2019.
8.	2	This liability was eliminated in 2019.
8.	3	This liability was eliminated in 2019.
8.	4	This liability was eliminated in 2019.
8.	5	This liability was eliminated in 2019.
8.	6	This liability was eliminated in 2019.

PART	#	ENDNOTE
8.	7	This liability was eliminated in 2019.
8.	8	This liability was eliminated in 2019.
8.	9	This liability was eliminated in 2019.
8.	10	This liability was eliminated in 2019.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
