

Report Type: New Entrant Report

Year (Annual Report only):

Date of Appointment: 01/2025

Date of Termination:

Appointment Type: Non-Career

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Zinberg, Joel M

Special Assistant to the President for Economic Policy, Trump-Vance (2025) - White House

Date of Appointment: 01/28/2025

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/ Zinberg, Joel M [electronically signed on 04/09/2025 by Zinberg, Joel M 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/ Gast, Scott F, Certifying Official [electronically signed on 02/06/2026 by Gast, Scott F in Integrity.gov]

Other review conducted by

/s/ Gast, Scott F, Ethics Official [electronically signed on 02/06/2026 by Gast, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised

Data Revised

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Competitive Enterprise Institute	Washington DC, District of Columbia	Non-Profit	Senior Fellow	1/2020	1/2025
2	Paragon Health Institute	Arlington, Virginia	Non-Profit	Director of Public Health & American Well-Being Initiative	11/2021	1/2025
3	JNSA - Jewish Institute for National Security of America	Washington DC, District of Columbia	Non-Profit	Board of Directors	2/2020	1/2025
4	72A Realty Associates LLP	See Endnote	New York, New York	Real Estate Management Company	5/2008	1/2025

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Competitive Enterprise Institute	N/A		Salary	\$380,000
2	Paragon Health Institute	N/A		Consulting Fees	\$240,000
3	72A Realty Associates LLP	N/A		Consulting and management fees	\$250,000
4	Competitive Enterprise Institute, 401(k) plan:	No			
4.1	Fidelity S&P 500	Yes	\$50,001 - \$100,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	Vanguard Mid-Cap Growth	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	Vanguard Small Cap Growth	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Inherited IRA	No		cash distributions	\$21,129
5.1	Abbvie, Inc	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.2	Altria Group	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.3	Eaton Corp.	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.4	Pimco Dynamic Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Reeve's Utility Income	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.6	Philip Morris	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.7	IShares Core S&P Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	Schwab US Dividend	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	Vanguard Small Cap Value	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.10	Vanguard Mega Cap ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.11	Vanguard Mega Cap Value	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Sep IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	Abbott Labs	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2	Abbvie Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.3	Altria Group	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.4	Ares Cap Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.5	Astra Zeneca PLC	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.6	AT&T	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.7	Bank Montreal	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.8	Bank of America	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.9	Blackrock Taxable Muni Bonds	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	Bristol Myers Squibb	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.11	Capital one Financial	N/A	None (or less than \$1,001)		None (or less than \$201)
6.12	Carrier Global Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.13	Conoco Phillips	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.14	Diageo PLC	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.15	Eaton Corp.	N/A	\$100,001 - \$250,000	None (or less than \$201)	
6.16	Eversource Energy	N/A	\$15,001 - \$50,000	None (or less than \$201)	
6.17	Garrett Motion Inc.	N/A	None (or less than \$1,001)	None (or less than \$201)	
6.18	Ge Aerospace	N/A	\$15,001 - \$50,000	None (or less than \$201)	
6.19	GE Healthcare Technology	N/A	\$1,001 - \$15,000	None (or less than \$201)	
6.20	GE Vernova	N/A	\$1,001 - \$15,000	None (or less than \$201)	
6.21	General Dynamics Corp.	N/A	\$15,001 - \$50,000	None (or less than \$201)	
6.22	Gilead Sciences	N/A	\$1,001 - \$15,000	None (or less than \$201)	
6.23	Honeywell Intl.	N/A	\$15,001 - \$50,000	None (or less than \$201)	
6.24	Johnson & Johnson	N/A	\$100,001 - \$250,000	None (or less than \$201)	
6.25	JP Morgan Chase	N/A	\$100,001 - \$250,000	None (or less than \$201)	
6.26	Kinder Morgan Inc.	N/A	\$15,001 - \$50,000	None (or less than \$201)	
6.27	Lockheed Martin	N/A	\$100,001 - \$250,000	None (or less than \$201)	
6.28	L3 Harris Technologies	N/A	\$50,001 - \$100,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.29	Marathon Petroleum	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.30	Mondelez	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.31	Norfolk Southern	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.32	Nuveen Preferred Income	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.33	Otis Worldwide Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.34	Pfizer	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.35	Philip Morris Intl.	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.36	Phillips 66	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.37	Pimco Corp Income	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.38	Pimco Corporate Opportunity	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.39	Pimco Dynamic Income	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.40	Pimco Income Strategy	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.41	Pimco Income Strategy II	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.42	Rayonier Advanced Materials	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.43	Reaves Utility Income	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.44	Roche Holding	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.45	RTX Corp.	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.46	Science Applications Int.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.47	Shell PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.48	Solventum	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.49	Southern Copper	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.50	Suncor Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.51	Coca-Cola Co.	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.52	Valero Energy	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.53	Verizon Communications	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.54	Viatris	N/A	None (or less than \$1,001)		None (or less than \$201)
6.55	Walmart	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.56	Warner Bros Discovery	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.57	Zimmer Biomet Holdings	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.58	Zimvie Inc.	N/A	None (or less than \$1,001)		None (or less than \$201)
6.59	3M Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.60	Invesco Preferred ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.61	IShares Core S&P Small	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.62	Schwab US Dividend	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.63	Schwab US Large Cap	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.64	SPDR S&P 500 Growth ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.65	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.66	Vanguard Mega Cap ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.67	Vanguard Mega Cap Value	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.68	Vanguard Total Stock	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.69	Victory Shares US Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.70	Wisdom Tree US Small Cap	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.71	MFA Financial	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.72	Rayonier Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.73	Sunoco	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.74	Weyerhaeuser Co.	N/A	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Competitive Enterprise Institute	Washington, District of Columbia	I continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	1/2021

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Competitive Enterprise Institute	Washington DC, District of Columbia	Services as Senior Fellow
2	Paragon Health Institute	Arlington, Virginia	Services as Director of Public Health & American Well-Being Initiative
3	72A Realty Associates LLP	New York, New York	Portfolio management & legal services

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New York Hotel Trades Council (Union for hotel and restaurant workers)	N/A		salary	
2	IRA	No			
2.1	Apple	N/A	\$250,001 - \$500,000	None (or less than \$201)	
2.2	Abbvie Inc	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.3	Abbott Laboratories	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.4	Aflac Inc.	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.5	Alcon Inc.	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.6	Allegion PLC	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.7	Boeing	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.8	Bank of America	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.9	Biogen Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.10	Bristol-Myers Squibb	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.11	Boston Scientific	N/A	\$50,001 - \$100,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.12	Carrier Global	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.13	Cell Com Israel	N/A	None (or less than \$1,001)	None (or less than \$201)	
2.14	Cigna Group	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.15	Colgate Palmolive	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.16	DigitalBridge Group	N/A	None (or less than \$1,001)	None (or less than \$201)	
2.17	Diageo	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.18	EBay	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.19	Eaton Corp.	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.20	Fidelity Blue Chip Growth	Yes	\$250,001 - \$500,000	None (or less than \$201)	
2.21	F N B Corp	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.22	General Dynamics	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.23	Hershey Co.	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.24	IBM	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.25	Intel Corp.	N/A	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.26	Ingersoll Rand	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.27	Johnson & Johnson	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.28	JP Morgan Chase	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.29	Kraft Heinz Co.	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.30	Kimberly-Clark Corp.	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.31	Lockheed Martin Corp.	N/A	\$100,001 - \$250,000	None (or less than \$201)	
2.32	McDonald's Corp.	N/A	\$100,001 - \$250,000	None (or less than \$201)	
2.33	Mondelez	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.34	Medtronic PLC	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.35	3M Co.	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.36	Altria Group	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.37	Merck & Co,	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.38	Annaly Capital Management	Yes	\$1,001 - \$15,000	None (or less than \$201)	
2.39	Nestle	N/A	\$15,001 - \$50,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.40	Novartis	N/A	\$100,001 - \$250,000	None (or less than \$201)	
2.41	Otis	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.42	Pfizer	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.43	Procter & Gamble	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2.44	Philip Morris	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.45	Paypal Hldgs	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.46	Qualcomm	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.47	Invesco QQQ Tr	Yes	\$50,001 - \$100,000	None (or less than \$201)	
2.48	Regency Centers Corp.	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.49	Roche Holdings	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.50	RTX Corp.	N/A	\$100,001 - \$250,000	None (or less than \$201)	
2.51	Southern Copper Corp	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.52	Schwab US Large Cap	Yes	\$100,001 - \$250,000	None (or less than \$201)	
2.53	Sandoz Group	N/A	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.54	Solventum	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.55	Sunoco	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.56	Sysco	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.57	AT&T Inc.	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.58	Trane Technologies	N/A	\$100,001 - \$250,000	None (or less than \$201)	
2.59	Unilever	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.60	United Parcel Service	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.61	ReavesUtility Fund	Yes	\$15,001 - \$50,000	None (or less than \$201)	
2.62	Valero Energy	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2.63	Vanguard Total Market	Yes	\$50,001 - \$100,000	None (or less than \$201)	
2.64	Viatris	N/A	None (or less than \$1,001)	None (or less than \$201)	
2.65	Verizon	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.66	Zimmer Biomet	N/A	\$1,001 - \$15,000	None (or less than \$201)	
2.67	Zebra Technologies	N/A	\$50,001 - \$100,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.68	Zimvie Inc.		None (or less than \$1,001)		
3	Icahn School of Medicine at Mount Sinai	No			
3.1	Vanguard Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Vanguard Developed Markets Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Vanguard Extended Market Index Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Vanguard Institutional Index Fund Institutional Plus	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Vanguard Total Bond Market Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Icahn School of Medicine at Mount Sinai	No			
4.1	CREF Stock R3	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.2	American Funds Balanced Funds R6	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Fidelity Government Cash Reserves (FDRXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Advansix, Inc. (ASIX)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Altria Group, Inc. (MO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3	Bristol-Myers Squibb (BMY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4	Cigna Corp. (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Honeywell International, Inc. (HON)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6	IBM	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7	The Kraft Heinz Co. (KHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	L3Harris Technologies, Inc. (LHX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9	Merck & Co., Inc. (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10	Mondelez International, Inc. (MDLZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12	Philip Morris International, Inc. (PM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13	Procter & Gamble Co. (PG)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
14	The J. M. Smucker Co. (SJM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
15	Solventum	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	3M Co. (MMM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Fidelity Government Money Market Fund (SPAXX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
18	Fidelity NY Muni Money Market Premium	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	US. Bank #1 Savings	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
20	U.S. Bank #1 Checking	N/A	\$100,001 - \$250,000		None (or less than \$201)
21	U.S. Bank #2 Savings Account	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
22	U.S. Bank#2 Checking Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	U.S. Bank #3 Private Client Money Market	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
24	U.S. Bank #3 Private Client Checking	N/A	None (or less than \$1,001)		None (or less than \$201)
25	U.S. Bank #3 Business Money Market (20% interest)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
26	U.S. Bank #3 Business Checking (20% interest)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	U.S. Treasury Bills	N/A	\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000
28	Puerto Rico Electric Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
29	NY State Dormitory Auth.	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
30	Monroe County NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
31	Abbott Laboratories (ABT)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	AbbVie, Inc. (ABBV)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
33	Aflac, Inc. (AFL)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
34	Agilent Technologies, Inc. (A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
35	Altria Group, Inc. (MO)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
36	American Express Co. (AXP)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
37	Ameriprise Financial, Inc. (AMP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
38	Amgen Inc. (AMGN)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
39	Analog Devices, Inc. (ADI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
40	Applied Materials, Inc. (AMAT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
41	AstraZeneca PLC American Depository Shares (AZN)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
42	AT&T	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
43	The Bank of New York Mellon Corporation (BK)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
44	Biogen Inc. (BIIB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
45	Boeing Co (BA)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	Bristol-Myers Squibb (BMY)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
47	Canadian National Railway Company Common Stock (CNI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
48	Cannae Holdings, Inc. (CNNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	Carrier Global Corporation Common Stock (CARR)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
50	Chevron Corp. (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
51	Church & Dwight Co., Inc. (CHD)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
52	Cisco Systems, Inc. (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
53	Colgate-Palmolive Co. (CL)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
54	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
55	Danaher Corp. (DHR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
56	Diageo plc Common Stock (DEO)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
57	Dominion Energy, Inc. (D)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
58	DT Midstream Inc. Common Stock (DTM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
59	DTE Energy Co. (DTE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
60	Eli Lilly & Co. (LLY)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61	F&G Annuities & Life Inc. (FG)	N/A	None (or less than \$1,001)		None (or less than \$201)
62	Fidelity National Financial, Inc. (FNF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
63	Fidelity National Information Services, Inc. (FIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
64	General Dynamics Corp. (GD)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
65	Huntington Ingalls Industries, Inc. (HII)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
66	International Business Machines Corp. (IBM)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
67	Johnson & Johnson (JNJ)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
68	JPMorgan Chase & Co. (JPM)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
69	Keysight Technologies, Inc. (KEYS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
70	The Kraft Heinz Co. (KHC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
71	L3Harris Technologies, Inc. (LHX)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
72	Marathon Petroleum Corp. (MPC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
73	Medtronic Plc (MDT)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
74	Mondelez International, Inc. (MDLZ)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
75	Otis Worldwide Corporation Common Stock (OTIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
76	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
77	Philip Morris International, Inc. (PM)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
78	Phillips 66 (PSX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
79	The PNC Financial Services Group, Inc. (PNC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
80	Raytheon Technologies Corporation Common Stock (RTX)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
81	Science Applications International Corp. (SAIC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
82	Solventum corp. (SOLV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
83	Sysco Corp. (SYY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
84	The Coca-Cola Co. (KO)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
85	Toronto Dominion Bank (The) Common Stock (TD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
86	Veralto Corp. (VLTO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
87	Viatris Inc. Common Stock (VTRS)	N/A	None (or less than \$1,001)		None (or less than \$201)
88	Viking Therapeutics, Inc. (VKTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
89	Wabtec (WAB)	N/A	None (or less than \$1,001)		None (or less than \$201)
90	Walmart, Inc. (WMT)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
91	Zimmer Biomet Holdings, Inc. (ZBH)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
92	ZimVie Inc. Common Stock (ZIMV)	N/A	None (or less than \$1,001)		None (or less than \$201)
93	3M Co. (MMM)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
94	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
95	Schwab US Large-Cap Growth ETF (SCHG)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
96	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
97	Apple, Inc. (AAPL)	N/A	\$500,001 - \$1,000,000	Dividends	\$1,001 - \$2,500
98	Ameren Corp. (AEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
99	Bank Of Montreal Common Stock (BMO)	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
100	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
101	Cheniere Energy, Inc. (LNG)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
102	Costco Wholesale Corp. (COST)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
103	CSX Corp. (CSX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
104	Eaton Corp. Plc (ETN)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
105	Elbit Systems Ltd. Ordinary Shares (ESLT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
106	Eversource Energy (ES)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
107	Federal National Mtg Assn (FNMA)	N/A	None (or less than \$1,001)		None (or less than \$201)
108	Five Star Bancorp Common Stock (FSBC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
109	Gilead Sciences, Inc. (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
110	Haleon plc American Depository Shares (Each representing two Ordinary Shares) (HLN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
111	Ipsen S A (IPSEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
112	Ligand Pharmaceuticals, Inc. (LGND)	N/A	\$1,001 - \$15,000		None (or less than \$201)
113	Lowe's Cos., Inc. (LOW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
114	Mastercard, Inc. (MA)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
115	Merck & Co., Inc. (MRK)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
116	Nestle S A (NSRGY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
117	NICE Ltd American Depository Shares (NICE)	N/A	\$100,001 - \$250,000		None (or less than \$201)
118	Norfolk Southern Corp. (NSC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
119	Northrop Grumman Corp. (NOC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
120	Reaves Utility Income Fund (UTG)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
121	Roche Hldg Ltd (RHHBY)	N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
122	Rockwell Automation, Inc. (ROK)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
123	Royal Bank Of Canada Common Stock (RY)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
124	United Parcel Service, Inc. (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
125	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
126	Union Pacific Corp. (UNP)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
127	U.S. Bancorp (USB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
128	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
129	Invesco S&P MidCap Quality ETF (XMHQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
130	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
131	iShares Morningstar Mid-Cap Growth ETF (IMCG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
132	iShares Morningstar Small-Cap Value ETF (ISCV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
133	Schwab US Dividend Equity ETF (SCHD)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
134	SPDR Portfolio S&P 1500 Composite Stock Market ETF (SPTM)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
135	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
136	SPDR S&P Dividend ETF (SDY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
137	Vanguard Mega Cap Index Fund ETF Shares (MGC)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
138	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
139	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
140	Vanguard S&P 500 ETF (VOO)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
141	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
142	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
143	Schwab New York Municipal Money Fund Ultra Shares (SNYXX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
144	Schwab Treasury Obligations Money Fund Ultra Shares (SCOXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
145	Schwab US Treasury money (SUTXX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
146	Schwab Value Advantage Money Fund Ultra Class Shares (SNAXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
147	Arctaris Opportunity Zone Fund 2022	See Endnote	No	\$250,001 - \$500,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
148	BGA Opportunity Zone Fund 2022	See Endnote	No	\$250,001 - \$500,000	None (or less than \$201)
149	BGA Horizon Fund Arc 70IV series	See Endnote	No	\$100,001 - \$250,000	None (or less than \$201)
150	Federal Farm Credit Bank Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
151	Federal Home Loan Bank (10/14/2027) Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
152	Federal Home Loan Bank (12/20/27) Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
153	Federal Home Loan Bank (1/14/2028) Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
154	BAC Capital Trust Bonds	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
155	JPMorgan Chase Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
156	Citigroup Global MA (3/30/2027) Bond	N/A	\$50,001 - \$100,000		None (or less than \$201)
157	Citigroup Global MA (6/23/27) Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
158	JPMorgan Chase Finl Bond	N/A	\$100,001 - \$250,000		None (or less than \$201)
159	Morgan Stanley Financial (10/4/27) Bond	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
160	Morgan Stanley Fin (10/3/30) Bond	N/A	\$100,001 - \$250,000		None (or less than \$201)
161	Broome Cnty NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
162	Mastic Beach NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
163	Oneida Cnty NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
164	New York, NY City (11/1/28) Bond	N/A	\$15,001 - \$50,000		\$201 - \$1,000
165	New York, NY City (11/1/25) Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
166	New York, NY City (11/1/27) Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
167	Auburn NY City Sch Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
168	Hannibal NY Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
169	Holland NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
170	North Salem NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
171	Madison CNTY NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
172	New York St. Dorm Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
173	New York, NY Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
174	New York NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
175	New York, NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
176	Mount Vernon NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
177	Endicott NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
178	Schenectady NY Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
179	New York State Dorm Auth Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
180	Hastings on Hudson Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
181	New York NY City	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
182	East Ramapo Cent Sc Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
183	Cayuga Cnty NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
184	New York NY City T Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
185	New York NY City T Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
186	Orange Cnty NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
187	New York St Dorm Auth Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
188	Erie Cnty NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
189	New York NY City Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
190	Three VLG Cent Sch Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
191	Hamburg NY Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
192	Suffolk Cnty NY Bond	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
193	Watervliet NY City Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
194	Orange CNTY NY Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
195	New York NY City T Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
196	Pocantico Hills Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
197	Eastport South Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
198	New York NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
199	North Babylon NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
200	Yonkers NY Bond (8/1/26)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
201	Yonkers NY Bond (9/1/26)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
202	Mount Vernon NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
203	New York NY City H Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
204	New York NY Cly T Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
205	Pelham NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
206	New York NY City T	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
207	Orange CNTY NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
208	Oyster Bay NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
209	Niskayuna NY Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
210	New York NY CI Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
211	New York NY City M Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
212	New York St Environ Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
213	Rockville Centre NY Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
214	Utility Debt Security	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
215	Lynbrook NY Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
216	New York NY City T	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
217	Clifton Park NY WT Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
218	New York NY City T	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
219	Metropolitan Transit Auth	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
220	Sparkill-Palisade	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
221	Port Auth NY & NJ Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
222	Dutchess CNTY NY Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
223	Islip NY UN Free Sch Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
224	Three Village Cent Sch Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
225	Utility Debt Security Bond		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
226	New York NY City T Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
227	Double Branch CM Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
228	New York St HSG Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
229	New York NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
230	New York St Dorm Auth Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
231	Jerusalem NY Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
232	New York NY City T Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
233	Nassau CNTY NY Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
234	New York NY City Bond (11/1/45)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
235	New York NY City Bond (7/1/46)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
236	New York NY City Bond (6/15/47)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
237	PHRTA Sr Lien Ser J Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
238	MTA Hudson Rail Yards Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
239	New York St HSG F Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
240	Checkpoint Software (CHKP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
241	Lockheed Martin Corp. (LMT)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
242	Northwestern Energy Group (NWE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
243	PIMCO Income Strategy Fund II (PFN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
244	Suncor Energy Inc. Common Stock (SU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
245	Valero Energy Corp. (VLO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
246	Invesco S&P MidCap Quality ETF (XMQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
247	iShares Morningstar Mid-Cap Growth ETF (IMCG)	Yes	None (or less than \$1,001)		None (or less than \$201)
248	iShares Morningstar Small-Cap Value ETF (ISCV)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
249	iShares S&P Small-Cap 600 Value ETF (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
250	U.S. Bank #4 Personal Money Market (cash)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
251	U.S. Bank #4 Business Money Market (cash)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	4	I ceased providing consulting services to the LLP upon my appointment but retain my position as a limited partner.
6.	147	Investments in broad band infrastructure and real estate in underserved communities.

PART	#	ENDNOTE
6.	148	Investments in real estate projects in underserved communities.
6.	149	Pooled investment fund investing in fixed income securities as determined by fund manager.

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 the 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 (note: certain PAS nominees and appointees are required to report all mortgages); (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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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

5 U.S.C. § 13101 et seq., 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 5 U.S.C. §§ 13107 and § 13122(b)(1) 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 13989 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.

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