

Financial Disclosure Statement - 2018

Filer Name Kathleen Hochul

Primary Agency Lieutenant Governor, Office of the (01040)

- Answer each of the following questions completely, with respect to calendar year 2018, unless another period or date is otherwise specified.
- Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories in Table I or Table II of this subdivision as called for in the question: a reporting individual shall indicate the Category by letter only.
- Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.
- The term "calendar year" shall mean the year ending December 31st preceding the date of filing of the annual statement.

1. Name

Responses

	First	M.I.	Last	Email
1)	Kathleen		Hochul	

2a. Position - Title

Responses

	Title
1)	Lieutenant Governor

2b. Position - Department

Responses

	Department/Agency/Gov. Entity
1)	Lieutenant Governor, Office of the (01040)

2c. Position - Address of Present Office

Responses

	Street 1	Street 2	City	State	Zip	Country
1)	State Capitol		Albany	NY	12224	US

2d. Position - Office Telephone Number

Responses

	Office Telephone
1)	518-402-2292

3a. Family - Marital Status**Responses**

	Marital Status	Spouse's Name
1)	Married	William J. Hochul

3b. Family - Unemancipated Children**Responses**

Name
<i>None</i>

4a. Positions of Authority

List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Responses

Position	Organization	State or Local Agency
<i>None</i>		

4b. Positions of Authority - Spouse or Unemancipated Child

List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Responses

	Spouse, Child	Position	Organization	State or Local Agency
1)	Spouse	General Counsel & Secretary	Delaware North	Gaming Commission, NYS (20050), Liquor Authority, Office of Court Administration

5a. Outside Employment

List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Responses

Position	Name of Organization	Street 1	Street 2	City	State	Zip	Country	Description	State or Local Agency
<i>None</i>									

5b. Outside Employment - Spouse or Unemancipated Child

If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

Responses

Spouse, Child	Position	Name of Organization	Street 1	Street 2	City	State	Zip	Country	Description	State or Local Agency
1) Spouse	General Counsel & Secretary	Delaware North	250 Delaware Ave		Buffalo	NY	14202	US	Counsel	Gaming Commission, NYS (20050); Liquor Authority; Office of Court Administration

6. Contracts

List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

Responses

Self, Spouse, Child	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract (In Table II)
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None

7. Political Activities

List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

Responses

Position

None

8a. Licensed Professions and Business Relationships - Licensed Professions

If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

Responses

Subject Areas	Description of Services
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None

8b. Licensed Professions and Business Relationships - Not Applicable

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period for such services rendered in direct connection with:

- (i) A contract in an amount totaling \$50,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$25,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or knowingly solicit or direct to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in subparagraphs (i) through (iv) of this paragraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, provided, however, that a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Responses

Client	Nature of Services Provided
	None

8ba. [Question 8(b-1) (paper)] - Licensed Professions and Business Relationships - Service Provided to Clients in Connection with State Matter

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES): If the reporting individual receives income from employment reportable in question 8(a) and personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period in direct connection with:

- (i) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For such services rendered by the reporting individual directly to each such client, describe each matter that was the subject of such representation, the services actually provided and the payment received. For payments received from clients referred to the firm by the reporting individual, if the reporting individual directly received a referral fee or fees for such referral, identify the client and the payment so received.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or having knowingly solicited or directed to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in clauses (i) through (iv) of this subparagraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

Responses

Client Name	Matter	Nature of Services Provided	Category of Amount(In Table I)
<i>None</i>			

8bb. [Question 8(b-2)(i) (paper)] - Licensed Professions and Business Relationships - Other Service Provided to Clients

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question 8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting individual provided services: (A) who paid the reporting individual in excess of five thousand dollars for such services; or (B) who had been billed with the knowledge of the reporting individual in excess of five thousand dollars by the firm or other entity named in question 8(a) for the reporting individual's services.

FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

- * REVIEWED DOCUMENTS AND CORRESPONDENCE;
- * REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
- * PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY NAME);
- * REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR REPRESENTATION OR CONSULTATION;
- * COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- * PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- * COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).

Responses

Client	Services Actually Provided	Category of Amount (In Table I)
None		

8bc. [Question 8(b-2)(ii) (paper)] - Licensed Professions and Business Relationships - Services Provided to Firm

(ii) With respect to reporting individuals who disclosed in question 8(a) that the reporting individual did not provide services to a client but provided services to a firm or business, identify the category of amount received for providing such services and describe the services rendered.

A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in questions (b-1) and (b-2) shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and professional disciplinary rules, federal law or regulations restrict the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response to questions (b-1) and (b-2) that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by professional disciplinary rules, federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements in questions (b-1) and (b-2). The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the joint commission or the office of court administration may

consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after January first, two thousand sixteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Responses

Services Actually Provided	Category of Amount (In Table I)
	None

8c. Licensed Professions and Business Relationships - Registered Lobbyist Referrals

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual receives income of ten thousand dollars or greater from any employment or activity reportable under question 8(a), identify each registered lobbyist who has directly referred to such individual a client who was successfully referred to the reporting individual's business and from whom the reporting individual or firm received a fee for services in excess of five thousand dollars. Report only those referrals that were made to a reporting individual by direct communication from a person known to such reporting individual to be a registered lobbyist at the time the referral is made. With respect to each such referral, the reporting individual shall identify the client, the registered lobbyist who has made the referral, the category of value of the compensation received and a general description of the type of matter so referred. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article. The disclosure requirements in this question shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and federal law or regulations restricts the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response a statement that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements of this paragraph. The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;

- (iv) A grant obtained through a legislative initiative during the reporting period; or
 (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the joint commission or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after December thirty-first, two thousand fifteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Responses

Client	Description of Matter	Name of Lobbyist	Category of Amount (In Table I)
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None

8d. Licensed Professions and Business Relationships - Investments in Business Entities

List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

Responses

Business Activity
None

9. Gifts

List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Responses

Self, Spouse, Child	Name of Donor	Street 1	Street 2	City	State	Zip	Country	Nature of Gift	Category of Value of Gift (In Table I)
None									

10. Reimbursements

Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does NOT include gifts reported under item 9.

Responses

Source	Description
None	

11. Retirement, Trust, Estates

List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the state of New York or the city of New York), and deferred compensation plans (e.g., 401, 403(b), 457, etc.) established in accordance with the internal revenue code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

Responses

	Identity	Category of Value (In Table II) - * The value of such interest shall be reported only if reasonably ascertainable.
1)	iShares Russell 1000 (IWF)	\$5,000 to under \$20,000
2)	iShares Russell 1000 (IWD)	\$5,000 to under \$20,000
3)	iShares TR Core MSCI EAF	\$1,000 to under \$5,000
4)	iShares US Treasury Bond	\$5,000 to under \$20,000
5)	SPDR BLMBRG BRCLY	\$1,000 to under \$5,000
6)	Vanguard Intrmiate-Term	\$5,000 to under \$20,000
7)	Vanguard Short-Term	\$1,000 to under \$5,000
8)	Vanguard Total Internatl	\$1,000 to under \$5,000
9)	Blackrock EQTY Dividend	\$1,000 to under \$5,000
10)	Delaware Small Cap Core	\$1,000 to under \$5,000
11)	Edgewood Growth Fund CL	\$5,000 to under \$20,000
12)	MFS Value FD CL I	\$1,000 to under \$5,000
13)	Oakmark Intl FD CL	\$1,000 to under \$5,000
14)	Oppenheimer Internatl	\$5,000 to under \$20,000
15)	T Rowe Price Emerging	\$5,000 to under \$20,000
16)	TCW Total Return	\$5,000 to under \$20,000
17)	Thrift Savings Plan	\$20,000 to under \$50,000
18)	T Rowe Price Balanced Fund	\$20,000 to under \$50,000

12a. Employment Agreements - Agreements Related to Future Employment

Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

Responses

Parties	Terms
<i>None</i>	

12b. Employment Agreements - Employment Agreements With Prior Employer

Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

Responses

Parties	Terms
<i>None</i>	

13. Income

List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Each such source must be described with particularity. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Responses

	Self, Spouse	Source	Nature	Category of Amount (In Table I)
1)	Spouse	Delaware North	Salary	\$550,000 to under \$650,000
2)	Self, Spouse	Invesco Bulletshare 2021 Corporate Bond	Dividend	\$1,000 to under \$5,000
3)	Self, Spouse	Invesco Bulletshares 2022 Corporate Bond	Dividend	\$1,000 to under \$5,000
4)	Self, Spouse	Apple Inc	Dividend	\$1,000 to under \$5,000
5)	Self, Spouse	CVS Health Corp	Dividend	\$5,000 to under \$20,000
6)	Self, Spouse	IShares Russell 1000	Dividend	\$1,000 to under \$5,000
7)	Self, Spouse	Paychex Inc	Dividend	\$1,000 to under \$5,000
8)	Self, Spouse	Raytheon Co	Dividend	\$1,000 to under \$5,000
9)	Self, Spouse	3M Company	Dividend	\$1,000 to under \$5,000
10)	Self, Spouse	Visa Inc	Dividend	\$1,000 to under \$5,000
11)	Self, Spouse	American Express Company	Dividend	\$1,000 to under \$5,000
12)	Self, Spouse	Dowdupont Inc	Dividend	\$1,000 to under \$5,000
13)	Self, Spouse	Home Depot Inc	Dividend	\$1,000 to under \$5,000
14)	Self, Spouse	Intel Corp	Dividend	\$1,000 to under \$5,000

	Self, Spouse	Source	Nature	Category of Amount (In Table I)
15)	Self, Spouse	JP Morgan Chase	Dividend	\$1,000 to under \$5,000
16)	Self, Spouse	Johnson and Johnson	Dividend	\$1,000 to under \$5,000
17)	Self, Spouse	McDonalds Corp	Dividend	\$1,000 to under \$5,000
18)	Self, Spouse	Nextera Energy Inc	Dividend	\$1,000 to under \$5,000
19)	Self, Spouse	Pfizer Inc	Dividend	\$1,000 to under \$5,000
20)	Self, Spouse	United Health Group Inc	Dividend	\$1,000 to under \$5,000
21)	Self, Spouse	Union Pacific Corp	Dividend	\$5,000 to under \$20,000
22)	Self, Spouse	Proctor & Gamble Co	Dividend	\$1,000 to under \$5,000
23)	Self, Spouse	Ishares MSCI EAFE	Dividend	\$5,000 to under \$20,000
24)	Self, Spouse	Ishares Core Moderate Allocation ETF	Dividend	\$1,000 to under \$5,000
25)	Spouse	Office Of Personnel Management Retirement Operations	Pension	\$20,000 to under \$50,000
26)	Self, Spouse	Vanguard Information Tech ETF	Capital Gains	\$5,000 to under \$20,000
27)	Self, Spouse	Consumer Discretionary SPDR	Capital Gains	\$1,000 to under \$5,000
28)	Self, Spouse	The Merger Fund CL Instl	Capital Gains	\$1,000 to under \$5,000
29)	Self, Spouse	Vanguard Financials ETF	Capital Gains	\$1,000 to under \$5,000
30)	Self, Spouse	Sector SPDR Industrial	Capital Gains	\$1,000 to under \$5,000

14. Income Due

List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Responses

Source	Category of Amount (In Table I)
<i>None</i>	

15. Income Assignment/Asset Transfer

List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Responses

Item Assigned or Transferred	Assigned or Transferred To	Category of Amount (In Table I)
<i>None</i>		

16. Investments

List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in EXCESS of \$1,000 at the **close of the taxable year last occurring** prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's spouse is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8(a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

Responses

	Self, Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
1)	Spouse	United States Government	Thrift Savings Plan		\$1,000,000 to under \$1,250,000
2)	Self, Spouse	Alaska Air Group Inc Com	Stock		\$20,000 to under \$50,000
3)	Self, Spouse	Altria Group Inc	Stock		\$1 to under \$1,000
4)	Self, Spouse	Automatic Data Proc	Stock		\$20,000 to under \$50,000
5)	Self, Spouse	C.H. Robinson Worldwide	Stock		\$5,000 to under \$20,000
6)	Self, Spouse	Comm Services Select	Fund		\$1,000 to under \$5,000
7)	Self, Spouse	Consumer Discretionary	Fund		\$20,000 to under \$50,000

	Self, Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
8)	Self, Spouse	CVS Health Corp	Stock		\$1,000 to under \$5,000
9)	Self, Spouse	Darden Restaurants Inc	Stock		\$20,000 to under \$50,000
10)	Self, Spouse	Emerson Electric Co	Stock		\$20,000 to under \$50,000
11)	Self, Spouse	First Trust Dow Jones	Fund		\$5,000 to under \$20,000
12)	Self, Spouse	Genuine Parts Co	Stock		\$20,000 to under \$50,000
13)	Self, Spouse	Health Care Select SPDR	Fund		\$20,000 to under \$50,000
14)	Self, Spouse	Invesco Bulletshares	2019 Corporate Bond		\$50,000 to under \$75,000
15)	Self, Spouse	Invesco Bulletshares	2020 Corporate Bond		\$50,000 to under \$75,000
16)	Self, Spouse	Invesco Bulletshares	2021 Corporate Bond		\$50,000 to under \$75,000
17)	Self, Spouse	Invesco Bulletshares	2022 Corporate Bond		\$50,000 to under \$75,000
18)	Self, Spouse	Invesco Emerging Markets	Fund		\$5,000 to under \$20,000
19)	Self, Spouse	Invesco Preferred	Fund		\$1,000 to under \$5,000
20)	Self, Spouse	iShares Core Moderate	Fund		\$100,000 to under \$150,000
21)	Self, Spouse	iShares Core U.S.	Fund		\$75,000 to under \$100,000
22)	Self, Spouse	iShares IBOXX \$	Corporate Bond		\$5,000 to under \$20,000
23)	Self, Spouse	iShares IBOXX\$ High Yiel	Corporate Bond		\$1,000 to under \$5,000
24)	Self, Spouse	iShares Inc Core MSCI	Fund		\$20,000 to under \$50,000
25)	Self, Spouse	iShares MBS ETF	Fund		\$5,000 to under \$20,000

	Self, Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
26)	Self, Spouse	iShares MSCI ACWI	Fund		\$5,000 to under \$20,000
27)	Self, Spouse	iShares MSCI EM ESG	Fund		\$5,000 to under \$20,000
28)	Self, Spouse	iShares MSCI USA	Fund		\$1,000 to under \$5,000
29)	Self, Spouse	iShares Nasdaq Biotech	Fund		\$5,000 to under \$20,000
30)	Self, Spouse	iShares Russell 1000 (IWF)	Fund		\$5,000 to under \$20,000
31)	Self, Spouse	iShares Russell 1000 (IWD)	Fund		\$5,000 to under \$20,000
32)	Self, Spouse	iShares TIPS	Fund		\$5,000 to under \$20,000
33)	Self, Spouse	iShares TR CORE MSCI EAF	Fund		\$5,000 to under \$20,000
34)	Self, Spouse	iShares U.S. Healthcare	Fund		\$100,000 to under \$150,000
35)	Self, Spouse	iShares US Treasury Bond	Fund		\$5,000 to under \$20,000
36)	Self, Spouse	iShares 3-7 Year	Fund		\$5,000 to under \$20,000
37)	Self, Spouse	Materials Select Sector	Fund		\$5,000 to under \$20,000
38)	Self, Spouse	Microsoft Corp	Stock		\$20,000 to under \$50,000
39)	Self, Spouse	Norfolk Southern Corp	Stock		\$20,000 to under \$50,000
40)	Self, Spouse	Procter & Gamble Co	Stock		\$20,000 to under \$50,000
41)	Self, Spouse	Real Estate Select	Fund		\$5,000 to under \$20,000
42)	Self, Spouse	Republic Services	Stock		\$20,000 to under \$50,000
43)	Self, Spouse	Rockwell Automation Inc	Stock		\$1,000 to under \$5,000
44)	Self, Spouse	Schwab U.S. Large-Cap VA	Fund		\$5,000 to under \$20,000
45)	Self, Spouse	Sector SPDR CONSMRS STPL	Fund		\$20,000 to under \$50,000

	Self, Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
46)	Self, Spouse	Sector SPDR Energy	Fund		\$1,000 to under \$5,000
47)	Self, Spouse	Sector SPDR Industrial	Fund		\$20,000 to under \$50,000
48)	Self, Spouse	Sector SPDR Utilities	Fund		\$1,000 to under \$5,000
49)	Self, Spouse	SPDR BLMBRG BRCLY	Fund		\$1,000 to under \$5,000
50)	Self, Spouse	SPDR S&P Insurance ETF	Fund		\$1,000 to under \$5,000
51)	Self, Spouse	Texas Instruments	Stock		\$5,000 to under \$20,000
52)	Self, Spouse	Tiffany & Co New	Stock		\$20,000 to under \$50,000
53)	Self, Spouse	Union Pacific Corp	Stock		\$1,000 to under \$5,000
54)	Self, Spouse	United Techs Corp Com	Stock		\$20,000 to under \$50,000
55)	Self, Spouse	Vaneck Vectors J.P	Fund		\$1,000 to under \$5,000
56)	Self, Spouse	Vanguard Financials ETF	Fund		\$20,000 to under \$50,000
57)	Self, Spouse	Vanguard Information	Fund		\$20,000 to under \$50,000
58)	Self, Spouse	Vanguard Intermediate	Fund		\$5,000 to under \$20,000
59)	Self, Spouse	Vanguard Intrmdiate-Term	Fund		\$5,000 to under \$20,000
60)	Self, Spouse	Vanguard Short Term Bond	Fund		\$5,000 to under \$20,000
61)	Self, Spouse	Vanguard Short- Term	Fund		\$1,000 to under \$5,000
62)	Self, Spouse	Vanguard Total Internatl	Fund		\$1,000 to under \$5,000
63)	Self, Spouse	Arbitrage Funds CL I	MF		\$5,000 to under \$20,000
64)	Self, Spouse	Blackrock Eqty Dividend	MF		\$5,000 to under \$20,000
65)	Self, Spouse	Blackrock Global Long	MF		\$1,000 to under \$5,000
66)	Self, Spouse	Calamos Market Neutral	MF		\$5,000 to under \$20,000

	Self, Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
67)	Self, Spouse	Calvert Equity Fund	MF		\$5,000 to under \$20,000
68)	Self, Spouse	Calvert US LRG CAP Value	MF		\$5,000 to under \$20,000
69)	Self, Spouse	Delaware Corporate Bond	MF		\$1,000 to under \$5,000
70)	Self, Spouse	Delaware Small Cap Core	MF		\$5,000 to under \$20,000
71)	Self, Spouse	Domini Impact Intl	MF		\$5,000 to under \$20,000
72)	Self, Spouse	Edgewood Growth Fund CL	MF		\$5,000 to under \$20,000
73)	Self, Spouse	MFS Value FD CL I	MF		\$5,000 to under \$20,000
74)	Self, Spouse	Neuberger Berman	MF		\$1,000 to under \$5,000
75)	Self, Spouse	Oakmark Intl FD CL	MF		\$1,000 to under \$5,000
76)	Self, Spouse	Oppenheimer Internatl	MF		\$5,000 to under \$20,000
77)	Self, Spouse	T Rowe Price Emerging	MF		\$5,000 to under \$20,000
78)	Self, Spouse	TCW Total Return	MF		\$5,000 to under \$20,000
79)	Self, Spouse	The Merger Fund CL INSTL	MF		\$5,000 to under \$20,000
80)	Self, Spouse	TIAA CREF Social Choice	MF		\$1,000 to under \$5,000
81)	Self	United States Government	Thrift Savings Plan		\$20,000 to under \$50,000
82)	Self	T Rowe Price Balanced Fund	MF		\$20,000 to under \$50,000
83)	Spouse	Vanguard 500 Index Fund	MF		\$100,000 to under \$150,000

17. Real Estate

List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

Responses

Self, Spouse, Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
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None

18. Money Due

List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Responses

Name of Debtor	Type of Obligation	Due Date	Nature of Collateral	Category of Amount (In Table II)
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None

19. Debts

List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

Responses

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
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None

20. Agreement

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

Responses

	I agree	
1)		true

20a. Agreement
