

## **FACT SHEET: Sen. Loeffler's Liquidation Report**

### **Overview**

- Allegations of improper trading by Sen. Loeffler are false and based on a political attack misrepresenting the facts to prey on the emotions of the American people as they endure the impact of a global pandemic.
- Sen. Loeffler and her husband, Jeff Sprecher, each hired separate legal counsel to advise on and establish compliance with Senate Ethics rules. While any member of Congress is allowed to directly conduct trading decisions, Sen. Loeffler and Mr. Sprecher rely on third-party investment managers to plan their investment strategy and to implement trades. These portfolios had a monthly average of 53 trades in 2019. The monthly average for 1Q20 was 48 trades. The trades in question were not part of positioning the portfolio for a general market downturn.
- As announced in early April, Sen. Loeffler and her husband liquidated their stock holdings in these accounts and moved those funds into ETFs and mutual funds. This Periodic Transaction Report (PTR) shows that Sen. Loeffler and her husband no longer hold individual stocks.
- Sen. Loeffler liquidated her holdings by choice. Since taking office, she has complied with Securities and Exchange Commission regulations, Senate ethics rules, and the STOCK Act. She took this action because “investment accounts are being used as weapons for an assault on my character at a time when we should all be focused on making our country safe and strong.”
- As Sen. Loeffler has said since these political attacks started, she has nothing to hide and she never used any confidential information received while performing her Senate duties to profit. Nor has anyone in her family.

## Periodic Transaction Report (PTR) Details

- Financial disclosure laws and rules require Congressional Members and certain Congressional staff to disclose any transaction exceeding \$1,000 via the Periodic Transaction Report (PTR).
- As reported in PTRs for 2/7/2020 and 3/12/2020, 3<sup>rd</sup> party advisors conducted transactions in Sen. Loeffler and her husband's accounts. These transactions occurred between January 8 and February 14, 2020. As disclosed in the PTR, Sen Loeffler was notified after the transactions were conducted, on or after February 16, 2020.
  - For these two PTRs, Sen. Loeffler's third-party money managers sold securities totaling \$1,847,936.25 (53%) and also purchased securities totaling \$1,582,008.85 (47%), which have unrealized losses of \$222,759 as of March 27, 2020.
  - The advisors also sold put options, which is an investment strategy based on the expectation the underlying stock would increase in value – also called a bullish position, in companies like Delta, Aflac and Caterpillar, which have subsequently declined in value with unrealized losses of \$651,655 as of March 27, 2020.
- As reported in the third PTR filed on 3/31/2020, their 3<sup>rd</sup> party advisors conducted transactions between February 20 and March 9, 2020. Sen. Loeffler was notified after the transactions were conducted, on or after March 1, 2020
  - For this PTR, Sen. Loeffler's third-party investment managers sold securities totaling \$845,557 (59%) and purchased securities totaling \$590,557 (41%), which have unrealized losses of \$190,186 as of March 27, 2020.
  - The advisors also sold put options, which is an investment strategy based on the expectation the underlying stock would increase in value – also called a bullish position, in companies like BP and Chevron, which have subsequently

declined in value with unrealized losses of \$381,960 as of March 27, 2020.

- As reported in the fourth PTR filed on 5/1/20, their 3<sup>rd</sup> party advisors conducted transactions between March 16, 2020 and April 14, 2020. Sen. Loeffler was notified after the transactions were conducted, on or after April 1, 2020. 6 transactions were made before March 16, 2020 that were not included in previous PTRs and appear on this report.
  - For this PTR, Sen. Loeffler's third-party money managers bought securities before April 1, 2020 totaling \$2,539,579, sold put options in Archer-Daniels-Midland Company, and then liquidated individual stocks on April 7, 2020 and April 14, 2020 totaling \$15,070,226. Of the securities purchased prior to April 1, 94% (\$2,376,562) were part of a planned stock option strategy.
  - This report also shows that 3<sup>rd</sup> party advisors purchased put options totaling \$2,247,751, which closes their positions in those options.
- As demonstrated by the losses to date (\$1.3 million) and consistent with Sen. Loeffler's many public statements on the matter, the investment advisors for Sen. Loeffler and Mr. Sprecher were not acting on the basis of any material non-public information.
- Amendments to previous PTRs will also be filed on May 1, 2020, to update information provided by Sen. Loeffler's 3<sup>rd</sup> party investment managers. No new trades or transactions will be reported.

United States Senate

# Financial Disclosures

## Periodic Transaction Report


**Kelly Loeffler (Loeffler, Kelly)**

 Due within 30 days of a transaction over \$1,000 |  In Progress (Last saved 05/01/2020 @ 1:57 PM)

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Filing statements:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

 **Transactions** (181 Total) 13 Self 52 Joint 116 Spouse 0 Dependent Child

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
1	04/07/2020	Joint	<u>VTR</u>	Ventas, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	Timing and method of April transactions implemented at discretion of third party advisers.
2	04/07/2020	Joint	<u>MSFT</u>	Microsoft Corporation	Stock	Sale (Full)	\$250,001 - \$500,000	--
3	04/07/2020	Joint	<u>RTX</u>	Raytheon Technologies Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
4	04/07/2020	Joint	<u>IPHI</u>	Inphi Corporation	Stock	Sale (Full)	\$50,001 - \$100,000	--
5	04/07/2020	Joint	<u>FIS</u>	Fidelity National Information Services, Inc.	Stock	Sale (Full)	\$50,001 - \$100,000	--
6	04/07/2020	Spouse	<u>DG</u>	Dollar General Corporation	Stock	Sale (Full)	\$15,001 - \$50,000	--
7	04/07/2020	Joint	<u>COST</u>	Costco Wholesale Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
8	04/07/2020	Joint	<u>CME</u>	CME Group Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
9	04/07/2020	Joint	<u>ADP</u>	Automatic Data Processing, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
10	04/07/2020	Joint	<u>ARNA</u>	Arena Pharmaceuticals, Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
11	04/07/2020	Joint	<u>GOOGL</u>	Alphabet Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
12	04/07/2020	Joint	<u>HELE</u>	Helen of Troy Limited	Stock	Sale (Full)	\$15,001 - \$50,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
13	04/07/2020	Spouse	<u>ADM</u>	Archer-Daniels-Midland Company	Stock	Sale (Full)	\$100,001 - \$250,000	--
14	04/07/2020	Spouse	<u>AIG</u>	American International Group, Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
15	04/07/2020	Spouse	<u>AIZ</u>	Assurant, Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
16	04/07/2020	Spouse	<u>CAH</u>	Cardinal Health, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
17	04/07/2020	Spouse	<u>CR</u>	Crane Co.	Stock	Sale (Full)	\$100,001 - \$250,000	--
18	04/07/2020	Spouse	<u>CSCO</u>	Cisco Systems, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
19	04/07/2020	Spouse	<u>CVX</u>	Chevron Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
20	04/07/2020	Spouse	<u>DAL</u>	Delta Air Lines, Inc.	Stock	Sale (Full)	\$50,001 - \$100,000	--
21	04/07/2020	Spouse	<u>DD</u>	DuPont de Nemours, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
22	04/07/2020	Spouse	<u>EMR</u>	Emerson Electric Co.	Stock	Sale (Full)	\$100,001 - \$250,000	--
23	04/07/2020	Spouse	<u>GLNCY</u>	Glencore plc	Stock	Sale (Full)	\$15,001 - \$50,000	--
24	04/07/2020	Spouse	<u>HIG</u>	The Hartford Financial Services Group, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
25	04/07/2020	Spouse	<u>K</u>	Kellogg Company	Stock	Sale (Full)	\$100,001 - \$250,000	--
26	04/07/2020	Spouse	<u>NNVC</u>	NanoViricides, Inc.	Stock	Sale (Full)	\$1,001 - \$15,000	--
27	04/07/2020	Spouse	<u>PRU</u>	Prudential Financial, Inc.	Stock	Sale (Partial)	\$100,001 - \$250,000	--
28	04/07/2020	Spouse	<u>TRV</u>	The Travelers Companies, Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
29	04/07/2020	Spouse	<u>WDC</u>	Western Digital Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
30	04/07/2020	Joint	<u>ORCL</u>	Oracle Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
31	04/07/2020	Joint	<u>KEY</u>	KeyCorp	Stock	Sale (Full)	\$100,001 - \$250,000	--
32	04/07/2020	Joint	<u>JD</u>	JD.com, Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
33	04/07/2020	Joint	<u>STZ</u>	Constellation Brands, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
34	04/07/2020	Joint	<u>BAC</u>	Bank of America Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
35	04/07/2020	Joint	<u>AMGN</u>	Amgen Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
36	04/07/2020	Joint	<u>DIS</u>	The Walt Disney Company	Stock	Sale (Full)	\$100,001 - \$250,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
37	04/07/2020	Joint	<u>LMT</u>	Lockheed Martin Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
38	04/07/2020	Joint	<u>DOCU</u>	DocuSign, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
39	04/07/2020	Joint	<u>SAP</u>	SAP SE	Stock	Sale (Full)	\$100,001 - \$250,000	--
40	04/07/2020	Joint	<u>TFC</u>	Truist Financial Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
41	04/07/2020	Joint	<u>LOW</u>	Lowe's Companies, Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
42	04/07/2020	Joint	<u>FDX</u>	FedEx Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
43	04/07/2020	Joint	<u>MDLZ</u>	Mondelez International, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
44	04/07/2020	Joint	<u>I</u>	AT&T Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
45	04/07/2020	Joint	<u>KMI</u>	Kinder Morgan, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
46	04/07/2020	Joint	<u>PYPL</u>	PayPal Holdings, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
47	04/07/2020	Joint	<u>WMT</u>	Walmart Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
48	04/07/2020	Joint	<u>CSCO</u>	Cisco Systems, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--



#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
49	04/07/2020	Joint	<u>PRU</u>	Prudential Financial, Inc.	Stock	Sale (Full)	\$50,001 - \$100,000	--
50	04/07/2020	Joint	<u>C</u>	Citigroup Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
51	04/07/2020	Joint	<u>AAPL</u>	Apple Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
52	04/07/2020	Joint	<u>PFE</u>	Pfizer Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
53	04/07/2020	Joint	<u>CTXS</u>	Citrix Systems, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
54	04/07/2020	Joint	<u>VZ</u>	Verizon Communications Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
55	04/07/2020	Joint	<u>EBAY</u>	eBay Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
56	04/07/2020	Joint	<u>MPC</u>	Marathon Petroleum Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
57	04/07/2020	Joint	<u>AGCO</u>	AGCO Corporation	Stock	Sale (Full)	\$50,001 - \$100,000	--
58	04/07/2020	Spouse	<u>ABBV</u>	AbbVie Inc. Put   <i>Strike price: \$65.00</i> <i>Expires: 05/15/2020</i>	Stock Option	Purchase	\$1,001 - \$15,000	Stock options transactions disclosed on lines 58 through 111 made for purpose of terminating existing options positions
59	04/07/2020	Spouse	<u>ABBV</u>	AbbVie Inc. Put   <i>Strike price: \$80.00</i> <i>Expires: 08/21/2020</i>	Stock Option	Purchase	\$15,001 - \$50,000	--
60	04/07/2020	Spouse	<u>ABT</u>	Abbott Laboratories Put   <i>Strike price: \$72.50</i> <i>Expires: 06/19/2020</i>	Stock Option	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
61	04/07/2020	Spouse	<u>ADM</u>	Archer-Daniels-Midland Company Put   <i>Strike price:</i> \$42.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
62	04/07/2020	Spouse	<u>ADM</u>	Archer-Daniels-Midland Company Put   <i>Strike price:</i> \$30.00 <i>Expires:</i> 01/15/2021	Stock Option	Purchase	\$1,001 - \$15,000	--
63	04/07/2020	Spouse	<u>AFL</u>	Aflac Incorporated Put   <i>Strike price:</i> \$45.00 <i>Expires:</i> 05/15/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
64	04/07/2020	Spouse	<u>AFL</u>	Aflac Incorporated Put   <i>Strike price:</i> \$50.00 <i>Expires:</i> 08/21/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
65	04/07/2020	Spouse	<u>AIG</u>	American International Group, Inc. Put   <i>Strike price:</i> \$50.00 <i>Expires:</i> 05/15/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
66	04/07/2020	Spouse	<u>AIG</u>	American International Group, Inc. Put   <i>Strike price:</i> \$40.00 <i>Expires:</i> 08/21/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
67	04/07/2020	Spouse	<u>AIZ</u>	Assurant, Inc. Put   <i>Strike price:</i> \$125.00 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
68	04/07/2020	Spouse	<u>AIZ</u>	Assurant, Inc. Put   <i>Strike price:</i> \$100.00 <i>Expires:</i> 01/15/2021	Stock Option	Purchase	\$15,001 - \$50,000	--
69	04/07/2020	Spouse	<u>AMGN</u>	Amgen Inc. Put   <i>Strike price:</i> \$180.00 <i>Expires:</i> 10/16/2020	Stock Option	Purchase	\$15,001 - \$50,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
70	04/07/2020	Spouse	<u>BABA</u>	Alibaba Group Holding Limited Put   <i>Strike price:</i> \$175.00 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
71	04/07/2020	Spouse	<u>BP</u>	BP p.l.c. Put   <i>Strike price:</i> \$35.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
72	04/07/2020	Spouse	<u>BP</u>	BP p.l.c. Put   <i>Strike price:</i> \$30.00 <i>Expires:</i> 11/20/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
73	04/07/2020	Spouse	<u>CAH</u>	Cardinal Health, Inc. Put   <i>Strike price:</i> \$47.50 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
74	04/07/2020	Spouse	<u>CAT</u>	Caterpillar Inc. Put   <i>Strike price:</i> \$125.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
75	04/07/2020	Spouse	<u>CAT</u>	Caterpillar Inc. Put   <i>Strike price:</i> \$120.00 <i>Expires:</i> 08/21/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
76	04/07/2020	Spouse	<u>CL</u>	Colgate-Palmolive Company Put   <i>Strike price:</i> \$62.50 <i>Expires:</i> 05/15/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
77	04/07/2020	Spouse	<u>CMCSA</u>	Comcast Corporation Put   <i>Strike price:</i> \$42.50 <i>Expires:</i> 04/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
78	04/07/2020	Spouse	<u>CMCSA</u>	Comcast Corporation Put   <i>Strike price:</i> \$42.50 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
79	04/07/2020	Spouse	<u>CR</u>	Crane Co. Put   <i>Strike price:</i> \$80.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
80	04/07/2020	Spouse	<u>CR</u>	Crane Co. Put   <i>Strike price:</i> \$55.00 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$15,001 - \$50,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
81	04/07/2020	Spouse	<u>CSCO</u>	Cisco Systems, Inc. Put   <i>Strike price:</i> \$45.00 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
82	04/07/2020	Spouse	<u>CTSH</u>	Cognizant Technology Solutions Corporation Put   <i>Strike price:</i> \$55.00 <i>Expires:</i> 04/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
83	04/07/2020	Spouse	<u>CTSH</u>	Cognizant Technology Solutions Corporation Put   <i>Strike price:</i> \$55.00 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
84	04/07/2020	Spouse	<u>CVS</u>	CVS Health Corporation Put   <i>Strike price:</i> \$57.50 <i>Expires:</i> 05/15/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
85	04/07/2020	Spouse	<u>CVX</u>	Chevron Corporation Put   <i>Strike price:</i> \$105.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
86	04/07/2020	Spouse	<u>CVX</u>	Chevron Corporation Put   <i>Strike price:</i> \$92.50 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
87	04/07/2020	Spouse	<u>DAL</u>	Delta Air Lines, Inc. Put   <i>Strike price:</i> \$55.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$100,001 - \$250,000	--
88	04/07/2020	Spouse	<u>DAL</u>	Delta Air Lines, Inc. Put   <i>Strike price:</i> \$52.50 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$100,001 - \$250,000	--
89	04/07/2020	Spouse	<u>DD</u>	DuPont de Nemours, Inc. Put   <i>Strike price:</i> \$62.50 <i>Expires:</i> 04/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
90	04/07/2020	Spouse	<u>DD</u>	DuPont de Nemours, Inc. Put   <i>Strike price:</i> \$47.50 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
91	04/07/2020	Spouse	<u>DFS</u>	Discover Financial Services Put   <i>Strike price:</i> \$72.50 <i>Expires:</i> 04/17/2020	Stock Option	Purchase	\$100,001 - \$250,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
92	04/07/2020	Spouse	<u>DFS</u>	Discover Financial Services Put   <i>Strike price:</i> \$72.50 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$100,001 - \$250,000	--
93	04/07/2020	Spouse	<u>DIS</u>	The Walt Disney Company Put   <i>Strike price:</i> \$120.00 <i>Expires:</i> 04/17/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
94	04/07/2020	Spouse	<u>EMR</u>	Emerson Electric Co. Put   <i>Strike price:</i> \$67.50 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
95	04/07/2020	Spouse	<u>EMR</u>	Emerson Electric Co. Put   <i>Strike price:</i> \$50.00 <i>Expires:</i> 01/15/2021	Stock Option	Purchase	\$15,001 - \$50,000	--
96	04/07/2020	Spouse	<u>ETN</u>	Eaton Corporation plc Put   <i>Strike price:</i> \$75.00 <i>Expires:</i> 04/17/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
97	04/07/2020	Spouse	<u>GS</u>	The Goldman Sachs Group, Inc. Put   <i>Strike price:</i> \$215.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$100,001 - \$250,000	--
98	04/07/2020	Spouse	<u>HIG</u>	The Hartford Financial Services Group, Inc. Put   <i>Strike price:</i> \$45.00 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
99	04/07/2020	Spouse	<u>K</u>	Kellogg Company Put   <i>Strike price:</i> \$60.00 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
100	04/07/2020	Spouse	<u>KO</u>	The Coca-Cola Company Put   <i>Strike price:</i> \$50.00 <i>Expires:</i> 05/15/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
101	04/07/2020	Spouse	<u>LLY</u>	Eli Lilly and Company Put   <i>Strike price:</i> \$100.00 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
102	04/07/2020	Spouse	<u>MRK</u>	Merck & Co., Inc. Put   <i>Strike price:</i> \$77.50 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$15,001 - \$50,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
103	04/07/2020	Spouse	<u>PANW</u>	Palo Alto Networks, Inc. Put   <i>Strike price:</i> \$150.00 <i>Expires:</i> 09/18/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
104	04/07/2020	Spouse	<u>PG</u>	The Procter & Gamble Company Put   <i>Strike price:</i> \$110.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
105	04/07/2020	Spouse	<u>PGR</u>	The Progressive Corporation Put   <i>Strike price:</i> \$65.00 <i>Expires:</i> 08/21/2020	Stock Option	Purchase	\$1,001 - \$15,000	--
106	04/07/2020	Spouse	<u>PRU</u>	Prudential Financial, Inc. Put   <i>Strike price:</i> \$87.50 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$100,001 - \$250,000	--
107	04/07/2020	Spouse	<u>RTX</u>	Raytheon Technologies Corporation Put   <i>Strike price:</i> \$125.00 <i>Expires:</i> 06/19/2020	Stock Option	Purchase	\$50,001 - \$100,000	--
108	04/07/2020	Spouse	<u>TJX</u>	The TJX Companies, Inc. Put   <i>Strike price:</i> \$55.00 <i>Expires:</i> 07/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
109	04/07/2020	Spouse	<u>TRV</u>	The Travelers Companies, Inc. Put   <i>Strike price:</i> \$125.00 <i>Expires:</i> 04/17/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
110	04/07/2020	Spouse	<u>UL</u>	The Unilever Group Put   <i>Strike price:</i> \$55.00 <i>Expires:</i> 08/21/2020	Stock Option	Purchase	\$15,001 - \$50,000	--
111	04/07/2020	Spouse	<u>VMC</u>	Vulcan Materials Company Put   <i>Strike price:</i> \$120.00 <i>Expires:</i> 05/15/2020	Stock Option	Purchase	\$15,001 - \$50,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
112	04/03/2020	Joint	<u>RTN</u> <u>RTX</u>	Raytheon Company (Exchanged) Raytheon Technologies Corporation (Received)	Stock	Exchange	\$100,001 - \$250,000	--
113	04/14/2020	Spouse	<u>ABBV</u>	AbbVie Inc.	Stock	Sale (Full)	\$250,001 - \$500,000	--
114	04/14/2020	Spouse	<u>AGN</u>	Allergan plc	Stock	Sale (Full)	\$250,001 - \$500,000	--
115	04/14/2020	Spouse	<u>MO</u>	Altria Group, Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
116	04/14/2020	Spouse	<u>AIG</u>	American International Group, Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
117	04/14/2020	Spouse	<u>BP</u>	BP p.l.c.	Stock	Sale (Full)	\$100,001 - \$250,000	--
118	04/14/2020	Spouse	<u>BMY</u>	Bristol-Myers Squibb Company	Stock	Sale (Full)	\$250,001 - \$500,000	--
119	04/14/2020	Spouse	<u>CSCO</u>	Cisco Systems, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
120	04/14/2020	Spouse	<u>CTSH</u>	Cognizant Technology Solutions Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
121	04/14/2020	Spouse	<u>CL</u>	Colgate-Palmolive Company	Stock	Sale (Full)	\$100,001 - \$250,000	--
122	04/14/2020	Spouse	<u>CTVA</u>	Corteva, Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
123	04/14/2020	Spouse	<u>CVS</u>	CVS Health Corporation	Stock	Sale (Full)	\$250,001 - \$500,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
124	04/14/2020	Spouse	<u>DAL</u>	Delta Air Lines, Inc.	Stock	Sale (Full)	\$50,001 - \$100,000	--
125	04/14/2020	Spouse	<u>DFS</u>	Discover Financial Services	Stock	Sale (Full)	\$50,001 - \$100,000	--
126	04/14/2020	Spouse	<u>DOW</u>	Dow Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
127	04/14/2020	Spouse	<u>DD</u>	DuPont de Nemours, Inc.	Stock	Sale (Full)	\$15,001 - \$50,000	--
128	04/14/2020	Spouse	<u>XOM</u>	Exxon Mobil Corporation	Stock	Sale (Full)	\$50,001 - \$100,000	--
129	04/14/2020	Spouse	<u>GS</u>	The Goldman Sachs Group, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
130	04/14/2020	Spouse	<u>HIG</u>	The Hartford Financial Services Group, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
131	04/14/2020	Spouse	<u>K</u>	Kellogg Company	Stock	Sale (Full)	\$100,001 - \$250,000	--
132	04/14/2020	Spouse	<u>PRU</u>	Prudential Financial, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
133	04/14/2020	Spouse	<u>STT</u>	State Street Corporation	Stock	Sale (Full)	\$250,001 - \$500,000	--
134	04/14/2020	Spouse	<u>UTX</u>	Raytheon Technologies Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
135	04/14/2020	Self	<u>BP</u>	BP p.l.c.	Stock	Sale (Full)	\$50,001 - \$100,000	--



#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
136	04/14/2020	Self	<u>BMJ</u>	Bristol-Myers Squibb Company	Stock	Sale (Full)	\$100,001 - \$250,000	--
137	04/14/2020	Self	<u>CAT</u>	Caterpillar Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
138	04/14/2020	Self	<u>CL</u>	Colgate-Palmolive Company	Stock	Sale (Full)	\$100,001 - \$250,000	--
139	04/14/2020	Self	<u>DFS</u>	Discover Financial Services	Stock	Sale (Full)	\$15,001 - \$50,000	--
140	04/14/2020	Self	<u>HIG</u>	The Hartford Financial Services Group, Inc.	Stock	Sale (Full)	\$100,001 - \$250,000	--
141	04/14/2020	Self	<u>KHC</u>	The Kraft Heinz Company	Stock	Sale (Full)	\$100,001 - \$250,000	--
142	04/14/2020	Self	<u>SLB</u>	Schlumberger Limited	Stock	Sale (Full)	\$15,001 - \$50,000	--
143	04/14/2020	Self	<u>STT</u>	State Street Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
144	04/14/2020	Self	<u>TGT</u>	Target Corporation	Stock	Sale (Full)	\$100,001 - \$250,000	--
145	04/13/2020	Self	<u>AA</u>	Alcoa Corporation	Stock	Sale (Full)	\$15,001 - \$50,000	--
146	04/13/2020	Self	<u>AMAT</u>	Applied Materials, Inc.	Stock	Sale (Full)	\$1,001 - \$15,000	--
147	04/13/2020	Self	<u>TEX</u>	Terex Corporation	Stock	Sale (Full)	\$15,001 - \$50,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
148	03/31/2020	Spouse	<u>TRV</u>	The Travelers Companies, Inc.	Stock	Purchase	\$15,001 - \$50,000	Transactions on lines 148 through 175 notified to filer on or after April 1, 2020
149	03/27/2020	Spouse	<u>AIG</u>	American International Group, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
150	03/20/2020	Spouse	<u>CAH</u>	Cardinal Health, Inc.	Stock	Purchase	\$100,001 - \$250,000	--
151	03/20/2020	Spouse	<u>HIG</u>	The Hartford Financial Services Group, Inc.	Stock	Purchase	\$100,001 - \$250,000	--
152	03/20/2020	Spouse	<u>AIZ</u>	Assurant, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
153	03/20/2020	Spouse	<u>DAL</u>	Delta Air Lines, Inc.	Stock	Purchase	\$50,001 - \$100,000	--
154	03/20/2020	Spouse	<u>CVX</u>	Chevron Corporation	Stock	Purchase	\$50,001 - \$100,000	--
155	03/20/2020	Spouse	<u>PRU</u>	Prudential Financial, Inc.	Stock	Purchase	\$100,001 - \$250,000	--
156	03/20/2020	Spouse	<u>ADM</u>	Archer-Daniels-Midland Company	Stock	Purchase	\$100,001 - \$250,000	--
157	03/20/2020	Spouse	<u>CSCO</u>	Cisco Systems, Inc.	Stock	Purchase	\$50,001 - \$100,000	--
158	03/20/2020	Spouse	<u>CR</u>	Crane Co.	Stock	Purchase	\$100,001 - \$250,000	--
159	03/20/2020	Spouse	<u>EMR</u>	Emerson Electric Co.	Stock	Purchase	\$250,001 - \$500,000	--
160	03/20/2020	Spouse	<u>K</u>	Kellogg Company	Stock	Purchase	\$100,001 - \$250,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
161	03/20/2020	Spouse	<u>WDC</u>	Western Digital Corporation	Stock	Purchase	\$100,001 - \$250,000	--
162	03/18/2020	Joint	<u>TDG</u>	TransDigm Group Incorporated	Stock	Sale (Full)	\$15,001 - \$50,000	--
163	03/19/2020	Joint	<u>MSFT</u>	Microsoft Corporation	Stock	Purchase	\$15,001 - \$50,000	--
164	03/19/2020	Joint	<u>CME</u>	CME Group Inc.	Stock	Purchase	\$50,001 - \$100,000	--
165	03/18/2020	Spouse	<u>AIZ</u>	Assurant, Inc.	Stock	Purchase	\$250,001 - \$500,000	--
166	03/17/2020	Joint	<u>TDG</u>	TransDigm Group Incorporated	Stock	Sale (Partial)	\$50,001 - \$100,000	--
167	03/17/2020	Joint	<u>DG</u>	Dollar General Corporation	Stock	Sale (Partial)	\$1,001 - \$15,000	--
168	03/18/2020	Spouse	<u>ADM</u>	Archer-Daniels-Midland Company Put   <i>Strike price: \$30.00</i> <i>Expires: 01/15/2021</i>	Stock Option	Sale (Full)	\$15,001 - \$50,000	--
169	03/17/2020	Spouse	<u>DAL</u>	Delta Air Lines, Inc.	Stock	Purchase	\$50,001 - \$100,000	--
170	03/17/2020	Spouse	<u>PRU</u>	Prudential Financial, Inc.	Stock	Purchase	\$15,001 - \$50,000	--
171	03/16/2020	Joint	<u>CME</u>	CME Group Inc.	Stock	Sale (Partial)	\$15,001 - \$50,000	--
172	03/16/2020	Spouse	<u>CVX</u>	Chevron Corporation	Stock	Purchase	\$100,001 - \$250,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
173	03/16/2020	Spouse	<u>AIG</u>	American International Group, Inc.	Stock	Purchase	\$50,001 - \$100,000	--
174	03/16/2020	Joint	<u>FIS</u>	Fidelity National Information Services, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
175	03/16/2020	Joint	<u>ADP</u>	Automatic Data Processing, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
176	03/13/2020	Spouse	<u>CSCO</u>	Cisco Systems, Inc.	Stock	Purchase	\$100,001 - \$250,000	Notified to filer on or after March 16, 2020
177	03/12/2020	Joint	<u>DG</u>	Dollar General Corporation	Stock	Sale (Partial)	\$50,001 - \$100,000	Notified to filer on or after March 16, 2020
178	02/27/2020	Joint	<u>FIS</u>	Fidelity National Information Services, Inc.	Stock	Purchase	\$15,001 - \$50,000	Notified to filer on or after March 1, 2020
179	02/28/2020	Joint	<u>CME</u>	CME Group Inc.	Stock	Sale (Partial)	\$50,001 - \$100,000	Notified to filer on or after March 1, 2020
180	02/28/2020	Joint	<u>DG</u>	Dollar General Corporation	Stock	Sale (Partial)	\$50,001 - \$100,000	Notified to filer on or after March 1, 2020
181	01/17/2020	Spouse	<u>PRU</u>	Prudential Financial, Inc.	Stock	Sale (Partial)	\$100,001 - \$250,000	--

**Private Note to the Select Committee on Ethics** *(Optional and Confidential)*

None

