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Annual Report for Calendar 2019

The Honorable Angus S King Jr. (King, Angus)

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 Print Report

The following statements were checked before filing:

- 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.
-
- I *omitted* assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Self	Pension	MAINE PUBLIC EMPLOYEES RETIREMENT SYSTEM AUGUSTA, ME	\$32,458.00
2	Self	Commissions	TRUST U/W/O ROGER C KLINE FBO DARTMOUTH COLLEGE NEW YORK, NY	\$16,923.52
3	Self	Commissions	TRUST U/W/O ROGER C KLINE FBO MATTHEW KLINE NEW YORK, NY	\$11,203.54
4	Self	Commissions	TRUST U/W/O ROGER C KLINE GENERATION SKIPPING TRUST NEW YORK, NY	\$312.94
5	Self	Retirement	CHAS SCHWAB & CO IRA ROLLOVER #1 SAN FRANCISCO, CA	\$12,701.00
6	Self	Retirement	CHAS SCHWAB & CO IRA ROLLOVER #2 SAN FRANCISCO, CA	\$11,280.00
7	Spouse	Retirement	CHAS SCHAB & CO IRA ROLLOVER SAN FRANCISCO, CA	> \$1,000
8	Spouse	Wages	MAINE DEPT OF EDUCATION AUGUSTA, ME	> \$1,000

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Inco
1	POTTER ST BRUNSWICK	Real Estate Residential	Joint	\$250,001 - \$500,000	Rent/Royalties,	\$5,000 \$15,000

	BRUNSWICK <i>Description:</i>	Residential Asset Type	Owner	\$500,000 Value	Income Type	\$10 Inco
	RESIDENCE AND 2 RENTAL UNITS (BRUNSWICK, ME)					
2	TD BANK NA AGGREGATE ACCOUNTS (BRUNSWICK, ME) <i>Type:</i> Checking,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	Nor less \$20
3	PRU - Prudential Financial, Inc. (NYSE) <i>Filer comment:</i> ASSET TRANSFERRED TO MANAGED SCHWAB ONE ACCOUNT, ASSET #9	Corporate Securities Stock	Self	None (or less than \$1,001)	Dividends,	Nor less \$20
4	PRUDENTIAL INSURANCE CO WHOLE LIFE POLICY <i>Provider:</i> PRUDENTIAL INSURANCE CO	Life Insurance Whole	Self	\$15,001 - \$50,000	Dividends, Interest,	\$1,0 \$2,5
5	PRUDENTIAL INSURANCE APPRECIABLE LIFE POLICY	Life Insurance Variable	Self			
5.1	PSF GOV'T MONEY MARKET <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> UNDERLYING INVESTMENT OF LIFE INSURANCE POLICY	Government Securities US Treasury/Agency Security	Self	\$15,001 - \$50,000	Dividends,	Nor less \$20

6	MAR-Marriott International, Inc. Asset Type (NASDAQ)	Corporate Securities Stock	Self Owner	\$50,001 - Value \$100,000	Dividends, Income Type	\$20 Incc \$1,0
7	HST - Host Hotels & Resorts, Inc. (NYSE)	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	Nor less \$20
8	VAC - Marriott Vacations Worldwide Corp.	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	Nor less \$20
9	SCHWAB ONE ACCOUNT	Brokerage/Managed Account	Self			
9.1	HLEMX-Harding Loevner Emerging Markets Advisor (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$20 \$1,0
9.2	SDVSX-Sit Dividend Growth S (NASDAQ)	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	Excepted Investment Fund,	Nor less \$20
9.3	TBGVX-Tweedy, Browne Global Value (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$2,5 \$5,0
9.4	CHARLES SCHWAB (PORTLAND, ME) Type: Money Market Account,	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	Nor less \$20
9.5	QQQ - Invesco QQQ Trust	Mutual Funds Exchange Traded Fund/Note	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$20 \$1,0
9.6	JKE - iShares Morningstar Large-Cap Growth ETF	Mutual Funds Exchange Traded Fund/Note	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$20 \$1,0
9.7	SNSXX - The Charles Schwab Family of Funds -	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Interest,	Nor less \$20

	Schwab U.S. T Asset	Asset Type	Owner	Value	Income Type	Inco
9.8	PRU - Prudential Financial, Inc. <i>Filer comment:</i> ASSET TRANSFERRED INTO MANAGED ACCOUNT, PREVIOUSLY ASSET #3	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	Nor less \$20
9.9	JENIX - Jensen Quality Growth Fund Class I	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,0 \$15
10	US TRUST REVOCABLE TRUST	Trust General Trust	Self			
10.1	BANK OF AMERICA, NA (PORTLAND, ME) <i>Type:</i> Brokerage Sweep Account,	Bank Deposit	Self	\$15,001 - \$50,000	Dividends, Interest,	\$20 \$1,0
10.2	MAINE TAX EXEMPT CTF <i>Filer comment:</i> MERGED INTO FTXEX TAX EXEMPT CTF	Common Trust Fund of a Bank	Self	None (or less than \$1,001)	Excepted Investment Fund,	\$50 \$10
10.3	FTXEX - TAX EXEMPT CTF <i>Filer comment:</i> MERGER FROM MAINE TAX EXEMPT CTF	Common Trust Fund of a Bank	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$2,5 \$5,0
11	SCHWAB REVOCABLE TRUST	Trust General Trust	Self			

11.1	YWIUX - Vanguard Interm-Term Tx-Ex Adm (NASDAQ)	Mutual Funds Mutual Fund	Self Owner	\$100,001 - \$250,000	Excepted Investment Fund,	\$15,000 \$50
11.2	GATEX - Gateway A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$2,500 \$5,000
11.3	SWXXX-Schwab Tax-Exempt Money Fund Sw (NASDAQ)	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$20,000 \$1,000
11.4	VFIAX - Vanguard 500 Index Admiral (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$10,000 \$1,000
11.5	VWSUX - Vanguard Short-Term Tax-Exempt Fund Class Admiral	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	\$1,000 \$2,500
12	SCHWAB IRA ROLLOVER #1	Retirement Plans IRA	Self			
12.1	FFRIX - Fidelity Advisor Floating Rate Hi Inc I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None, less \$20,000
12.2	IGSB - iShares Short-Term Corporate Bond ETF	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	None,	None, less \$20,000
12.3	IWO - iShares Russell 2000 Growth	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	None,	None, less \$20,000
12.4	IWN - iShares Russell 2000 Value	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	None,	None, less \$20,000
12.5	IVE - iShares S&P 500 Value	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	None,	None, less \$20,000

	(NYSEArca) Asset	Fund/Note Asset Type	Owner	Value	Income Type	\$20 Incc
12.6	IVW-iShares S&P 500 Growth (NYSEArca)	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	None,	Nor less \$20
12.7	IJJ - iShares S&P Mid-Cap 400 Value (NYSEArca)	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.8	IJK - iShares S&P Mid-Cap 400 Growth (NYSEArca)	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.9	IGIFX - American Funds Intl Gr and Inc F1 (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.10	JAMCX - JPMorgan Mid Cap Value A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.11	OAKEX - Oakmark International Small Cap I (NASDAQ)	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	None,	Nor less \$20
12.12	OAKIX - Oakmark International I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.13	JP MORGAN CHASE & CO CORP BOND <i>Rate/Coupon: 4.40%</i> <i>Matures: 07/22/2020</i>	Corporate Securities Corporate Bond	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.14	BERKSHIRE HATHAWAY INC CORP BOND <i>Rate/Coupon: 3.75%</i> <i>Matures: 08/15/2021</i>	Corporate Securities Corporate Bond	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.15	WBFFX - American Funds Capital World Bond	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20

	F1 (NASDAQ) Asset	Asset Type	Owner	Value	Income Type	Incc
12.16	TPINX - Templeton Global Bond A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.17	JSOAX - JPMorgan Strategic Income Opps A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.18	PTTAX - PIMCO Total Return A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.19	SGENX - First Eagle Global A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.20	FSTAX - Fidelity Advisor Strategic Income A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.21	CNSAX - Invesco Convertible Securities A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.22	DODFX - Dodge & Cox International Stock (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	None,	Nor less \$20
12.23	EAAF - Wells Fargo Advantage Asset Alloc A (NASDAQ)	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	None,	Nor less \$20
12.24	US TREASURY NOTE 1.875% MATURES 8/31/2022 <i>Rate/Coupon: Matures:</i>	Government Securities US Treasury/Agency Security	Self	\$1,001 - \$15,000	None,	Nor less \$20
12.25	US TREASURY	Government	Self	\$1,001 -	None.	Nor

INDEX	DESCRIPTION	Government Securities Asset Type	Owner	Value	Income Type	Less Than
	NOTE 1.75% MATURES 1/31/2023 <i>Rate/Coupon:</i> <i>Matures:</i>	US Treasury/Agency Security	Owner	\$15,000	Income Type	less than \$20
12.26	CHARLES SCHWAB (PORTLAND, ME) <i>Type:</i> Brokerage Sweep Account,	Bank Deposit	Self	\$1,001 - \$15,000	None,	None, less than \$20
12.27	ODVYX - Invesco Oppenheimer Developing Markets Fund Class	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	None,	None, less than \$20
13	SCHWAB IRA ROLLOVER #2	Retirement Plans IRA	Self			
13.1	HLEMV - Harding Loevner Emerging Markets Advisor (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None, less than \$20
13.2	TBGVX - Tweedy, Browne Global Value (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None, less than \$20
13.3	WPSGX - AB Concentrated Growth Advisor (NASDAQ)	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	None,	None, less than \$20
13.4	CHARLES SCHWAB (PORTLAND, ME) <i>Type:</i> Money Market Account,	Bank Deposit	Self	None (or less than \$1,001)	None,	None, less than \$20
13.5	JENIX-Jensen Quality Growth I	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	None,	None, less than \$20
13.6	QQQ - Invesco QQQ Trust	Mutual Funds Exchange Traded Fund/Note	Self	\$50,001 - \$100,000	None,	None, less than \$20

	Asset	Fund/Note	Owner	Value	Income Type	YTD
	Asset	Asset Type	Owner	Value	Income Type	Inco
13.7	JKE - iShares Morningstar Large-Cap Growth ETF	Mutual Funds Exchange Traded Fund/Note	Self	\$50,001 - \$100,000	None,	Nor less \$20
13.8	SNSXX - The Charles Schwab Family of Funds - Schwab U.S. T	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
13.9	HLMEX - Harding Loevner Institutional Emerging Markets Por	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	Nor less \$20
14	SCHWAB ONE ACCT - MJH	Brokerage/Managed Account	Spouse			
14.1	ECL-Ecolab Inc. (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	Nor less \$20
14.2	DIS-The Walt Disney Company (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0
14.3	NKE - Nike, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0
14.4	TJX-The TJX Companies, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	Nor less \$20
14.5	KMB - Kimberly-Clark Corporation (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0
14.6	MKC - McCormick & Company, Incorporated (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends, Capital Gains,	\$2,5 \$5,0
14.7	PEP - Pepsico, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0

14.8	XOM-Exxon Mobil Corporation (NYSE)	Corporate Securities Asset Type Stock	Spouse Owner	\$1,001 - \$15,000	Dividends, Income Type	\$20 Incc \$1,0
14.9	SLB - Schlumberger Limited (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20 \$1,0
14.10	AXP - American Express Company (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	\$2,5 \$5,0
14.11	CME-CME Group Inc. (NASDAQ)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0
14.12	IYF - iShares US Financials	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$20 \$1,0
14.13	USB - U.S. Bancorp (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0
14.14	GILD-Gilead Sciences Inc. (NASDAQ)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20 \$1,0
14.15	JNJ - Johnson & Johnson (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0
14.16	WAT-Waters Corporation (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Capital Gains,	\$5,0 \$15
14.17	MMM - 3M Company (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20 \$1,0
14.18	NSC - Norfolk Southern Corporation (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	Nor less \$20
14.19	UPS - United Parcel Service, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20 \$1,0
14.20	UTX - United	Corporate Securities	Spouse	None (or	Capital Gains,	\$2,5

	Technologies Corp. Asset (NYSE)	Stock Asset Type	Owner	less than Value (\$1,001)	Income Type	\$5,000 Income
14.21	AAPL-Apple Inc. (NASDAQ)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None less \$20,000
14.22	CSCO-Cisco Systems, Inc. (NASDAQ)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20,000 \$1,000
14.23	ORCL-Oracle Corporation (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20,000 \$1,000
14.24	WTR - Aqua America Inc. (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20,000 \$1,000
14.25	NEE - NextEra Energy, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20,000 \$1,000
14.26	VIMSX - Vanguard Mid Cap Index Inv (NASDAQ) <i>Filer comment:</i> VANGUARD STOCK MERGER INTO VIMAX-MID-CAP INDEX FUND ADMIRAL SHARES	Mutual Funds Mutual Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	None less \$20,000
14.27	EFA-iShares MSCI EAFE	Mutual Funds Exchange Traded Fund/Note	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$20,000 \$1,000
14.28	MGIAX - MFS International Value A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,000 \$2,500
14.29	EEM-iShares MSCI Emerging Markets	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$20,000 \$1,000
14.30	EAAIX - Wells Fargo Advantage	Mutual Funds Mutual Fund	Spouse	None (or less than	Excepted Investment	None less

	Asset Alloc Instl Asset (NASDAQ)	Asset Type	Owner	\$1,001) Value	Fund, Income Type	\$20 Incc
14.31	GTEYX - Gateway Y (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$20 \$1,0
14.32	MUNI BOND YORK ME <i>Rate/Coupon: 2.75%</i> <i>Matures: 03/01/2019</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	Nor less \$20
14.33	MUNI BOND KENNEBUNK ME <i>Rate/Coupon: 3.00%</i> <i>Matures: 10/01/2020</i>	Government Securities Municipal Security	Spouse	\$1,001 - \$15,000	Interest,	\$20 \$1,0
14.34	MAINE ST TURNPIKE AUTH BOND <i>Rate/Coupon: 3.00%</i> <i>Matures: 07/01/2021</i>	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.35	MAINE HEALTH & HIGH BOND <i>Rate/Coupon: 3.00%</i> <i>Matures: 07/01/2023</i>	Government Securities Municipal Security	Spouse	\$1,001 - \$15,000	Interest,	\$20 \$1,0
14.36	MAINE MUNI BOND BANK <i>Rate/Coupon: 2.00%</i> <i>Matures: 11/01/2023</i>	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.37	MAINE MUNI BOND BANK <i>Rate/Coupon: 3.00%</i> <i>Matures: 11/01/2024</i>	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.38	MAINE MUNI BOND BANK <i>Rate/Coupon: 3.00%</i> <i>Matures: 09/01/2026</i>	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.39	MAINE ST TPK	Government	Spouse	\$15,001 -	Interest	\$20

14.39	MAINE STATE HSG AUTH SP BOND Asset Rate/Coupon: 3.00% Matures: 07/01/2026	Government Securities Asset Type Municipal Security	Spouse Owner	\$15,001 - \$50,000 Value	Interest, Income Type	\$20 \$1,0
14.40	MUNI BOND ORONO ME Rate/Coupon: 3.00% Matures: 11/01/2024	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.41	UNH - UnitedHealth Group Incorporated (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$20 \$1,0
14.42	MUNI BOND ELLSWORTH ME GO Rate/Coupon: 2.25% Matures: 12/01/2024	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.43	MAINE STATE HSG AUTH REV Rate/Coupon: 2.60% Matures: 11/15/2022	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.44	MAINE HEALTH & HIGHER ED REV BOND FINL AUTH Rate/Coupon: 3.25% Matures: 07/01/2027	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.45	MAINE HEALTH & HIGHER ED REV BOND PRIV ED Rate/Coupon: 3.25% Matures: 07/01/2027	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.46	REGIONAL SCHOOL UNIT NO 5 ME Rate/Coupon: 2.50% Matures: 11/01/2026	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.47	MAINE STATE HSG AUTH REV Rate/Coupon: 1.95%	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0

	Rate/Coupon: 11/15/2023 Asset	Municipal Security Asset Type	Owner	Value	Income Type	Inco
14.48	MAINE STATE HSG AUTH Rate/Coupon: 2.25% Matures: 11/15/2024	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.49	MAINE STATE HSG AUTH Rate/Coupon: 2.45% Matures: 11/15/2025	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.50	MUNI BOND AUGUSTA ME GO Rate/Coupon: 2.25% Matures: 10/01/2026	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.51	MUNI BOND BIDDEFORD ME Rate/Coupon: 3.00% Matures: 10/01/2028	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.52	MAINE SCHOOL ADMIN GO BOND Rate/Coupon: 3.00% Matures: 11/01/2028	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	Interest,	\$20 \$1,0
14.53	COP - ConocoPhillips	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$20 \$1,0
14.54	JSOSX - JPMorgan Strategic Income Opports	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$20 \$1,0
14.55	GATEX - Gateway A	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	Nor less \$20
14.56	CHARLES SCHWAB (PORTLAND, ME) Type: Brokerage Sweep Account,	Bank Deposit	Spouse	\$15,001 - \$50,000	Interest,	Nor less \$20
14.57	MAINE ST HSG	Government Securities	Spouse	\$15,001 - \$50,000	Interest,	Nor less \$20

14.57	MAINE STATE HSG AUTH REV BOND <i>Rate/Coupon: 1.70%</i> <i>Matures: 11/15/2021</i>	Government Securities Municipal Security	Spouse Owner	\$15,001 - \$50,000	Interest, Income Type	None, less \$20
14.58	ME MUNI BOND WATERVILLE GO UTX <i>Rate/Coupon: 2.00%</i> <i>Matures: 10/01/2023</i>	Government Securities Municipal Security	Spouse	\$15,001 - \$50,000	None, Interest,	None, less \$20
14.59	AMZN - Amazon.com, Inc.	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None, less \$20
14.60	CMCSA - Comcast Corporation	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None, less \$20
14.61	VIMAX - Vanguard Mid-Cap Index Fund Admiral Shares <i>Filer comment:</i> VANGUARD STOCK MERGER RECEIVED FROM VIMSX - MID-CAP INDEX INVESTOR SHARES	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$20 \$1,000
15	SCHWAB IRA ROLLOVER - MJH	Retirement Plans IRA	Spouse			
15.1	OAKIX - Oakmark International I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	None,	None, less \$20
15.2	GVI - iShares Intm Government/Credit Bond	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	None,	None, less \$20
15.3	IGSB - iShares Short-Term Corporate Bond ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	None,	None, less \$20

15.4	TPINX - Templeton Global Bond A (NASDAQ)	Mutual Funds Asset Type Mutual Fund	Spouse Owner	\$1,001 - Value \$15,000	None, Income Type	Nor less \$20
15.5	ODVYX - Oppenheimer Developing Markets Y (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
15.6	IJR - iShares Core S&P Small-Cap	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
15.7	AGG - iShares Core US Aggregate Bond	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
15.8	SCHM - Schwab US Mid-Cap ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
15.9	SPY - SPDR S&P 500 ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	\$15,001 - \$50,000	None,	Nor less \$20
15.10	GATEX - Gateway A	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
15.11	EAAF - Wells Fargo Asset Allocation A	Mutual Funds Mutual Fund	Spouse	None (or less than \$1,001)	None,	Nor less \$20
15.12	CHARLES SCHWAB (PORTLAND, ME) Type: Brokerage Sweep Account,	Bank Deposit	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
15.13	SCHP - Schwab U.S. TIPS ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
15.14	VIG - Vanguard Dividend	Mutual Funds Exchange Traded	Spouse	\$1,001 - \$15,000	None,	Nor less

	Appreciation Index Asset Fund ETF Shar	Fund/Note Asset Type	Owner	Value	Income Type	\$20 Incc
16	A WOMAN, A PART LLC <i>Company: A</i> WOMAN, A PART LLC (ULSTER PARK, NY) <i>Description: FILM PRODUCTION COMPANY Filer comment: .20 NON- VOTING CLASS B MEMBERSHIP SHARE</i>	Business Entity Limited Liability Company (LLC)	Spouse	\$1,001 - \$15,000	None,	Nor less \$20
17	LOOP RD COTTAGE <i>Description:</i> SEASONAL RENTAL COTTAGE (GEORGETOWN, MAINE) <i>Filer comment:</i> PREVIOUSLY OWNED COTTAGE CONVERTED TO SEASONAL RENTAL	Real Estate Residential	Spouse	\$500,001 - \$1,000,000	Rent/Royalties,	\$15 \$50

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	01/10/2019	Spouse	AXP	American Express Company	Sale (Partial)	\$1,001 - \$15,000	--
2	01/10/2019	Spouse	MKC	McCormick & Company, Incorporated	Sale (Partial)	\$1,001 - \$15,000	--
3	01/10/2019	Spouse	UTX	United Technologies Corporation	Sale (Full)	\$1,001 - \$15,000	--
4	01/31/2019	Spouse	AMZN	Amazon.com, Inc.	Purchase	\$1,001 - \$15,000	--
5	05/16/2019	Spouse	--	MAINE ST HSG AUTH REV BOND <i>Rate/Coupon:</i> 1.70% <i>Matures:</i> 11/15/2021	Purchase	\$15,001 - \$50,000	--
6	07/23/2019	Spouse	CMCSA	Comcast Corporation	Purchase	\$1,001 - \$15,000	--
7	07/23/2019	Spouse	WAT	Waters Corporation	Sale (Partial)	\$1,001 - \$15,000	--
8	09/10/2019	Spouse	--	ME Muni Bond Waterville ME GO <i>Rate/Coupon:</i> 2.0% <i>Matures:</i> 10/01/2023	Purchase	\$15,001 - \$50,000	--

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comments
1	Self	VFIAX	Vanguard 500 Index Fund Admiral Shares	Sale (Partial)	01/09/2019	\$50,001 - \$100,000	--
2	Self	VWIUX	Vanguard Intermediate-Term Tax-Exempt Fund Admiral	Sale (Partial)	01/09/2019	\$250,001 - \$500,000	--
3	Self	OAKEX	Oakmark International Small Cap Fund Investor Clas	Sale (Full)	01/23/2019	\$1,001 - \$15,000	--
4	Self	VFIAX	Vanguard 500 Index Fund Admiral Shares	Sale (Partial)	03/01/2019	\$100,001 - \$250,000	--
5	Self	VWSUX	Vanguard Short-Term Tax-Exempt Fund Class Admiral	Purchase	05/14/2019	\$100,001 - \$250,000	--
6	Self	ODVYX	Invesco Oppenheimer Developing Markets Fund Class	Purchase	05/21/2019	\$15,001 - \$50,000	--
7	Self	EAAF	Wells Fargo Asset Allocation Fund - Class A	Sale (Full)	05/21/2019	\$15,001 - \$50,000	--

#	Owner	Ticker	Asset Name Allocation	Type	Transaction Date	Transaction Amount	Comment
8	Spouse	EAAIX	Wells Fargo Asset Allocation	Sale (Full)	07/23/2019	\$1,001 - \$15,000	--
			Fund - Class Inst				
9	Spouse	EAAF	Wells Fargo Asset Allocation Fund - Class A	Sale (Full)	07/23/2019	\$1,001 - \$15,000	--
10	Self	HLMEX	Harding Loevner Institutional Emerging Markets Por	Purchase	07/08/2019	\$15,001 - \$50,000	--
11	Self	HLEM	Harding Loevner Emerging Markets Portfolio Advisor	Sale (Partial)	07/08/2019	\$15,001 - \$50,000	--
12	Self	SDV	Sit Dividend Growth Fund Class S	Sale (Full)	07/18/2019	\$50,001 - \$100,000	--
13	Self	TBGV	Tweedy, Browne Global Value Fund	Sale (Partial)	07/18/2019	\$15,001 - \$50,000	--
14	Self	JENIX	Jensen Quality Growth Fund Class I	Purchase	07/18/2019	\$100,001 - \$250,000	--
15	Self	--	MAINE TAX EXEMPT CTF	Sale (Partial)	07/02/2019	\$15,001 - \$50,000	--
16	Self	JKE	iShares	Purchase	08/13/2019	\$1,001 -	--

#	Owner	Ticker	Morningstar Large-Cap Asset Name Growth ETF	Transaction Type	Transaction Date	\$15,000 Amount	Comment
17	Self	SNSXX	The Charles Schwab Family of Funds - Schwab U.S. T	Sale (Partial)	08/13/2019	\$1,001 - \$15,000	--
18	Self	QQQ	Invesco QQQ Trust	Purchase	08/13/2019	\$1,001 - \$15,000	--
19	Self	HLMEX	Harding Loevner Institutional Emerging Markets Por	Sale (Partial)	11/19/2019	\$1,001 - \$15,000	--
20	Self	TBGVX	Tweedy, Browne Global Value Fund	Sale (Partial)	11/19/2019	\$1,001 - \$15,000	--
21	Self	GATEX	Gateway Fund Class A Shares	Sale (Partial)	12/04/2019	\$15,001 - \$50,000	--
22	Self	--	MAINE TAX EXEMPT CTF (Exchanged) FTXEX TAX EXEMPT CTF (Received)	Exchange	12/17/2019	\$1,000,001 - \$5,000,000	BANK OF AMERICA/ MERGED MAINE T EXEMPT CTF INTO US TAX EXEMPT CTF
23	Spouse	VIMSX VIMAX	Vanguard Mid-Cap Index Fund Investor Shares	Exchange	07/26/2019	\$15,001 - \$50,000	VANGUA STOCK MERGEF

#	Owner	Ticker	(Exchanged) Vanguard Asset Name Mid-Cap Index Fund Admiral Shares (Received)	Transaction Type	Transaction Date	Amount	Commen
24	Spouse	VIG	Vanguard Dividend Appreciation Index Fund ETF Shar	Purchase	07/23/2019	\$1,001 - \$15,000	--

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable liability worth more than \$10,000 at any time? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2011	Joint	Mortgage	0	3.50% (15 YRS)	\$100,001 - \$250,000	TD BANK, NA LEWISTON, ME	COMBINED MORTGAGE ON RENTAL & PERSONA RESIDENCE
2	1995	Joint	Mortgage	0	4.875- 5.12% (30 YRS)	\$50,001 - \$100,000	JP MORGAN CHASE BANK, NA COLUMBUS, OH	ADJUSTABL RATE MORTGAGE ON SEASONAL RESIDENCE



Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Mar 2009 to present	Trustee	TRUST U/W/O ROGER KLINE FBO MATTHEW KLINE NEW YORK, NY	Other (TESTAMENTARY TRUST)	APPOINTMENT AS TRUSTEE UNDER THE LAST WILL & TESTAMENT OF ROGER C KLINE FOR THE BENEFIT OF MATTHEW KLINE IN SURROGATE'S COURT, NEW YORK COUNTY.
2	Nov 2012 to present	Trustee	TRUST UNDER CLAUSE SEVENTH OF WILL OF ROGER C KLINE FOR DARTMOUTH COLLEGE NEW YORK, NY	Other (TESTAMENTARY TRUST)	APPOINTMENT AS TRUSTEE UNDER THE LAST WILL AND TESTAMENT OF ROGER C KLINE FOR THE BENEFIT OF DARTMOUTH COLLEGE IN SURROGATE'S COURT, NEW YORK COUNTY
3	Nov 2012 to present	Trustee	TRUST UNDER CLAUSE NINTH OF WILL OF ROGER C KLINE - GENERATION SKIPPING TRUST NEW YORK, NY	Other (TESTAMENTARY TRUST)	APPOINTMENT AS TRUSTEE UNDER THE LAST WILL AND TESTAMENT OF ROGER C KLINE - GENERATION SKIPPING TRUST IN SURROGATE'S COURT, NEW YORK COUNTY.

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
1	Mar 2009	TRUST UNDER THE WILL OF	Compensation Agreement	APPOINTMENT AS TRUSTEE U/W/O ROGER C KLINE FBO MATTHEW KLINE IN SURROGATE'S COURT, NEW YORK COUNTY. ENTITLED TO

#	Date	Parties Involved	Type	Status and Terms
		ROGER C KLINE FOR BENEFIT OF MATTHEW KLINE NEW YORK, NY		TRUSTEE COMMISSIONS FOR SERVICES RENDERED DURING 2019 PURSUANT TO NEW YORK STATUTE. AMOUNT OF \$12,181 REMAINS UNPAID AS OF DECEMBER 31, 2019. BALANCE OF COMMISSIONS WAIVED IN THE AMOUNT OF \$995.
2	Nov 2012	TRUST UNDER CLAUSE NINTH OF WILL OF ROGER C KLINE- GENERATION SKIPPING TRUST NEW YORK, NY	Compensation Agreement	APPOINTMENT AS TRUSTEE U/W/O ROGER C KLINE - GENERATION SKIPPING TRUST IN SURROGATE'S COURT, NEW YORK COUNTY. ENTITLED TO TRUSTEE COMMISSIONS FOR SERVICES RENDERED DURING 2019 PURSUANT TO NEW YORK STATUTE. COMMISSIONS WERE WAIVED IN AMOUNT OF \$17,842.
3	Nov 2012	TRUST UNDER CLAUSE SEVENTH OF WILL OF ROGER C KLINE FOR DARTMOUTH COLLEGE NEW YORK, NY	Compensation Agreement	APPOINTMENT AS TRUSTEE U/W/O ROGER C KLINE FBO DARTMOUTH COLLEGE IN SURROGATE'S COURT, NEW YORK COUNTY. ENTITLED TO TRUSTEE COMMISSIONS FOR SERVICES RENDERED DURING 2019 PURSUANT TO NEW YORK STATUTE. AMOUNT OF \$16,664 REMAINS UNPAID AS OF DECEMBER 31, 2019.
4	Jan 1995	MAINE STATE RETIREMENT SYSTEM AUGUSTA, ME	Continuing participation in an employee benefit plan	CONTINUING MONTHLY PENSION BENEFITS AS A RESULT OF STATE GOVERNMENT SERVICE AS ELECTED GOVERNOR FROM 1995-2003.
5	Jan 2018	ISLANDPORT PRESS INC YARMOUTH, ME	Royalty Agreement	PUBLISHING AGREEMENT TO WRITE A BOOK FEATURING IMAGES AND EXTENDED CAPTIONS RELATED TO PERSONAL LIFE AND WORK AS A US SENATOR WITH INTENT TO PUBLISH AND DISTRIBUTE FOR PUBLIC.

#	Date	Parties Involved	Type	Status and Terms
				<p>PUBLISHING AND DISTRIBUTION AGREEMENT FOR THE RESALE. ALL CONTRACT ROYALTIES ARE ASSIGNED TO THE STATEWIDE PUBLIC CHARITY: GOOD SHEPHERD FOOD BANK OF AUBURN MAINE. PUBLISHING AGREEMENT PREVIOUSLY INCLUDED WITH 2018 CALENDAR YEAR REPORT.</p>

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.

