

FORM A Federal Reserve Bank of Richmond CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Reporting Status <small>(Check Appropriate Box)</small>	<input checked="" type="checkbox"/> Incumbent <input type="checkbox"/> New Filer <input type="checkbox"/> Termination Filer	Calendar Year Covered By Report 2019	Date of Employment Jan 1 2018	Termination Date (if applicable) n/a	Reporting Period <small>Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Schedule D where you must also include the filing year up to the date you file</small> <small>Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination.</small> <small>New Filers:</small> <small>Schedule A - The reporting period is the preceding calendar year and the current calendar year up to the date of filing.</small> <small>Schedule B - Not applicable.</small> <small>Schedule C, Part I (Liabilities) - The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date filing.</small> <small>Schedule C, Part II (Agreement or Arrangement) - Show any agreement or arrangement as of the date of filing</small> <small>Schedule D - The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.</small>
Last Name Barkin		First Name and Middle Initial Thomas I			
Position President and Chief Executive Officer				Telephone No. (Include Area Code) [REDACTED]	
Certification	Signature of Reporting Individual		Date		
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	[REDACTED]		03/31/2020		
Ethics Officer's Review	Signature of Ethics Officer		Date		
I CERTIFY that I have reviewed the information contained in this report.	[REDACTED]		4/15/2020		
Comments of Ethics Officer (If additional space is required, use the reverse side of this sheet)					
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">  Board Chair </div> <div style="text-align: right;"> May 18, 2020 </div> </div>					
<small>Check box if comments are continued on the reverse side</small> <input type="checkbox"/>					

Part I: Transactions

None

Report any purchase, sale or exchange by you, your spouse or dependent child during the reporting period of any real estate, stocks, bonds, commodity futures and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving real estate used solely as your personal residence (unless rented out), or a transaction solely between you, your spouse or dependent child. Check the "Required divestiture" block to indicate sales made pursuant to a divestiture required by the Bank.

	Identification of Assets	O W N E R	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (X)					Required divestiture
			Purchase	Sale	Exchange		\$1,000 - \$50,000	\$50,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	
Example:	Central Airlines Common	S	x			2/1/93	x					
1	Schwab corp bonds (Deere)	J		X		2/20/19		X				X
2	MIO Compass Private Equity (\$100K in January, \$100K in July)	J	X			1/7/19		X				
3	Child (State of Georgia 529)	J		X		7/6/19		X				
4	MIO Compass Hedging Strategies merged into MIO Compass Special Situations	J			X	8/15/19					X	
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Part II: Gifts

To the extent not previously reported in writing, report the source, a brief description, and the value of any gifts, as defined in the instructions, received by you, your spouse or dependent child from one source and totaling \$250 or more. Exclude gifts from relatives, gifts valued at

\$100 or less when aggregating gifts for the total from one source, and gifts received by your spouse or dependent child that were given totally independent of the relationship to you. See the instructions for further exclusions.

None

	Source (Name and Address)	Brief Description	Value
1	N/A		
2			
3			

Reporting Individual's Name
Thomas I Barkin

SCHEDULE D

Calendar Year Covered

2019

Page Number

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Part I: Positions Held Outside the Federal Reserve Bank

None

Report any position held by you during the reporting period, whether compensated or not. A position includes but is not limited to employee, officer, owner, director, trustee, partner, advisor or consultant of any corporation, firm, partnership or other business enterprise, or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal or political entities, and

those solely of an honorary nature. Also report any position held by your spouse, a child, parent or sibling with a bank, credit union, savings and loan association, savings bank, trust company, bank holding company, thrift holding company, primary government securities dealer, an affiliate or subsidiary of any of the foregoing, and any entity which, to your knowledge, does or seeks to do business with the Bank.

	Organization (Name and Address)	Holder	Type of Organization	Position	From (Mo. Yr.)	To (Mo. Yr.)
Examples:	Mo. Bar Assoc., Jefferson, City MO	E	Professional	Director	9/93	Present
	ABC Bank, Hometown, USA	Brother	Bank	Loan Officer	7/85	Present
1	Emory University	self	educational	Trustee	2015	present
2	US Golf Association	self	nonprofit	Executive Committee	2017	present
3	Terry S Barkin Estate/grantor trusts	self	estate trust for cousins	Trustee	2016	present
4	Richmond Management Round Table	self	business organization	Member	1/2018	present
5	Greater Washington Partnership	self	nonprofit	Honorary Advisory Member	6/2018	present

Part II: Other Situations

Describe any other relationship or circumstances that you believe might constitute an actual or apparent conflict of interest or violation of law or Bank policy. Provide all relevant information.

N/A