

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

DelBene, Kurt D

Assistant Secretary for Information and Technology, Department of Veterans Affairs

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ DelBene, Kurt D [electronically signed on 06/15/2023 by DelBene, Kurt D in Integrity.gov] - Filer received a 45 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Hogan, Michael R, Certifying Official [electronically signed on 07/18/2023 by Hogan, Michael R in Integrity.gov]

Other review conducted by

/s/ Britt, Christopher, Ethics Official [electronically signed on 07/18/2023 by Britt, Christopher in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 01/10/2024 by Granahan, Megan in Integrity.gov]

Data Revised 10/24/2023

Data Revised 10/23/2023

1. Filer's Positions Held Outside United States Government

None

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

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-------------|-----|---------------------------|-------------|---------------------------|
| 1 | Microsoft Corporation, deferred compensation | | No | | | |
| 1.1 | Vanguard FTSE All-World ex-US Index Fund Institutional Shares | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 1.2 | Vanguard Mid-Cap Index Fund Admiral Shares | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 1.3 | Fid GR Co Pool CL3 | | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 1.4 | PIMCO Unconstrained Bond-Ins | | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 1.5 | Vanguard 1-5 Year US Bond Index | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 1.6 | Vanguard Small-Cap Index Fund Admiral Shares | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 1.7 | Vanguard Institutional Index Fund Institutional Plus Shares (VIIIX) | | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 2 | IRA | | No | | | |
| 2.1 | SPDR S&P 500 ETF Trust (SPY) | | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 2.2 | Fidelity Gov't Sweep Money Fund | | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|--|-----|---------------------------|-------------|---------------------------|
| 3 | AT&T, defined benefit plan (value not readily ascertainable) \$336.05 per month beginning on 7/24/2025 | N/A | | | None (or less than \$201) |
| 4 | Forward Contract (MSFT) | | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|-----------------------|---------------------|--|--------|
| 1 | Microsoft Corporation | Redmond, Washington | Pursuant to the company's executive compensation plan, my unvested restricted stock units will begin to vest every six months beginning in August 2021, with the remaining units vesting every February and August until the final units vest in August 2024. Upon vesting, the restricted stock units are converted to common stock and sold pursuant to the forward contract dated February 9, 2022. | 4/2015 |
| 2 | Microsoft Corporation | Redmond, Washington | I will continue to participate in this deferred compensation plan. Assets will begin to vest over a number of years, starting upon my retirement from the company. The plan sponsor will not make further contributions after my separation. | 4/2015 |
| 3 | AT&T | Dallas, Texas | I will continue to participate in this defined benefit plan. | 6/1982 |

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

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

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---------------------------------|-------------|-------------------------|-------------|---------------------------|
| 1 | IRA | No | | | |
| 1.1 | Columbia Pacific Income Fund II | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 1.2 | SPDR S&P 500 (SPY) | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 1.3 | Fidelity Gov't Sweep Money Fund | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2 | SEP IRA | No | | | |
| 2.1 | SPDR S&P 500 (SPY) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.2 | Fidelity Gov't Sweep Money Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3 | Microsoft 401(k) | See Endnote | | | |
| 3.1 | Fid Contra Pool CL3 | No | \$50,001 - \$100,000 | | None (or less than \$201) |
| 3.2 | PIMCO Total Return | No | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3.3 | Vanguard Is S&P 500 Idx TR | See Endnote | \$50,001 - \$100,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---------------------------|-----|-------------------------|-------------|---------------------------|
| 1 | Alkeon Growth Partners LP | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-------------|-----|-----------------------------|-------------|---------------------------|
| 2 | BalFour Place Investors, LLC | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 3 | Columbia Pacific Income Fund II | See Endnote | Yes | \$5,000,001 - \$25,000,000 | | \$100,001 - \$1,000,000 |
| 4 | EJF Specialty Finance Solutions Fund | See Endnote | Yes | None (or less than \$1,001) | | \$15,001 - \$50,000 |
| 5 | Fidelity Gov't Sweep Money Fund | | Yes | \$5,000,001 - \$25,000,000 | | \$15,001 - \$50,000 |
| 6 | Global Partnerships SIF 5.0 (5.0% 3/25/23) | | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 7 | Global Partnerships SIF 6.0 (2.75% September 2025) | | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 8 | Gryphon Mezzanine Partners | | Yes | \$100,001 - \$250,000 | | \$100,001 - \$1,000,000 |
| 9 | Gryphon Mezzanine Partners II | | Yes | \$250,001 - \$500,000 | | \$50,001 - \$100,000 |
| 10 | Gryphon Capital Partners Fund V | See Endnote | Yes | None (or less than \$1,001) | | \$50,001 - \$100,000 |
| 11 | Gryphon Capital Partners Fund VI | See Endnote | Yes | None (or less than \$1,001) | | \$100,001 - \$1,000,000 |
| 12 | Gryphon Capital Partners Fund IV | See Endnote | Yes | None (or less than \$1,001) | | \$100,001 - \$1,000,000 |
| 13 | Harbor International | | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 14 | Huntington Capital Fund III | See Endnote | Yes | None (or less than \$1,001) | | \$15,001 - \$50,000 |
| 15 | Kimpact Evergreen Real Estate Fund | | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-------------|-----|-----------------------------|-------------|---------------------------|
| 16 | Manning & Napier - Rainier Intl Disc | See Endnote | Yes | None (or less than \$1,001) | | \$15,001 - \$50,000 |
| 17 | Matthews Asia Dividend Fund Institutional Class Shares (MIPIX) | | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 18 | ML Bank Deposit Program | See Endnote | No | \$5,000,001 - \$25,000,000 | Interest | None (or less than \$201) |
| 19 | Montauk TriGuard Fund VIII | | Yes | None (or less than \$1,001) | | \$50,001 - \$100,000 |
| 20 | Pacific Co B1 Bond - Garden Grove | | N/A | \$100,001 - \$250,000 | Interest | \$15,001 - \$50,000 |
| 21 | Pacific Co B1 Bond - Gilroy/Glen Loma | | N/A | \$500,001 - \$1,000,000 | Interest | \$50,001 - \$100,000 |
| 22 | Pacific Co B1 Bond - Oakland MacArthur | | N/A | \$250,001 - \$500,000 | Interest | \$5,001 - \$15,000 |
| 23 | Pacific Co B1 Bond - Santa Ana First Point I | See Endnote | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |
| 24 | Pacific Co B1 Bond - Santa Ana First Point II | See Endnote | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |
| 25 | Pacific Co B1 Bond - Santa Ana ME | See Endnote | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |
| 26 | Pacific West Real Estate Income LLC | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 27 | Redwood Kairos Real Estate Fund IV | See Endnote | Yes | \$250,001 - \$500,000 | | \$100,001 - \$1,000,000 |
| 28 | Redwood Kairos Real Estate Fund VI | | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 29 | Security Properties Augusta Fund, LLC | | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-------------|-----|-----------------------------|-------------|---------------------------|
| 30 | Security Properties FountainGlen Venture Fund, LLC | | Yes | None (or less than \$1,001) | | \$100,001 - \$1,000,000 |
| 31 | Security Properties Multi-Family Fund II, LLC | See Endnote | Yes | None (or less than \$1,001) | | \$50,001 - \$100,000 |
| 32 | Security Properties Nashville Fund, LLC | See Endnote | Yes | None (or less than \$1,001) | | \$100,001 - \$1,000,000 |
| 33 | Structure Duomo GP, LLC | See Endnote | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 34 | TCG Private Select Partners I | See Endnote | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 35 | TCG Private Select Partners II | | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 36 | TCG Private Select Partners III | | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 37 | TriLinc Global Impact Fund | | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 38 | Redwood Kairos Real Estate Fund VIII | | Yes | \$1,000,001 - \$5,000,000 | | \$5,001 - \$15,000 |
| 39 | Security Properties TriRock | | Yes | \$250,001 - \$500,000 | | \$15,001 - \$50,000 |
| 40 | Crosslink Capital IX | | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 41 | Goodwater Capital IV | See Endnote | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 42 | Institutional Venture Partners XVII, LP | | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 43 | Madrona Investment Partners V, LP | See Endnote | Yes | None (or less than \$1,001) | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-------------|-------|-----------------------------|--|
| 44 | Reach III | See Endnote | Yes | None (or less than \$1,001) | None (or less than \$201) |
| 45 | Invesco Limited Term Fund (Separately Managed Account) | | No | | |
| 45.1 | Arizona Indl Dev Auth Rev BDS Lincoln 5.00% Due 5/1/26 | | N/A | \$500,001 - \$1,000,000 | Interest \$15,001 - \$50,000 |
| 45.2 | Colorado Health Fac 5% Hosp HLTH Due 08/01/49 | | N/A | \$500,001 - \$1,000,000 | Capital Gains Interest \$15,001 - \$50,000 |
| 45.3 | CT ST HSG Fa HSG 2.75% ²⁶ 2.75 % Due May 15, 2026 | | N/A | None (or less than \$1,001) | Interest \$5,001 - \$15,000 |
| 45.4 | District Columbia Go BDS Ser. 2017D 5.00 % Due Jun 1, 2027 | | N/A | None (or less than \$1,001) | Capital Gains Interest \$15,001 - \$50,000 |
| 45.5 | Fidelity Treasury Money Fund | | Yes | \$1,000,001 - \$5,000,000 | \$2,501 - \$5,000 |
| 45.6 | Florida HSG Fin Corp Homeowner MTG Rev 2.15% Due 07/01/2029 | | N/A | \$100,001 - \$250,000 | Interest \$5,001 - \$15,000 |
| 45.7 | ID St Bldg Auth 5.00% Due 9/01/23 | See Endnote | N/A | None (or less than \$1,001) | Interest \$5,001 - \$15,000 |
| 45.8 | Illinois HSG Dev Auth Rev BDS Ser. 1.7% Due 04/01/31 | | N/A | None (or less than \$1,001) | Interest \$5,001 - \$15,000 |
| 45.9 | Maricopa CNTY Ariz Uni Sch Dist No 69 5.00% Due 07/01/27 | | N/A | \$250,001 - \$500,000 | Interest \$15,001 - \$50,000 |
| 45.10 | Maryland ST Dept TR 5.00% Due 10/01/26 | | N/A | None (or less than \$1,001) | Interest None (or less than \$201) |
| 45.11 | Maryland ST Go ST Local Facs BDS 5.00% Due 03/15/27 | | N/A | None (or less than \$1,001) | Capital Gains Interest \$5,001 - \$15,000 |
| 45.12 | Michigan ST HSG Dev Auth Single Family 1.25% Due 6/1/2027 | | N/A | \$500,001 - \$1,000,000 | Interest \$5,001 - \$15,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-------------|-----|-----------------------------|------------------------|---------------------------|
| 45.13 | New Jersey ST HSG & MTG Fin Agy 0.75% Due 5/1/2023 | | N/A | None (or less than \$1,001) | Capital Gains Interest | \$2,501 - \$5,000 |
| 45.14 | New York NY Go BDS Ser. Fiscal 2008J 5.00% Due 08/01/26 | | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |
| 45.15 | New York ST Dorm Auth Sales Tax Rev 5.00% Due 03/15/2025 | | N/A | \$500,001 - \$1,000,000 | Interest | \$15,001 - \$50,000 |
| 45.16 | New York ST Dorm Auth ST Pers Income 5.00% Due 03/15/27 | | N/A | None (or less than \$1,001) | Capital Gains Interest | \$15,001 - \$50,000 |
| 45.17 | Philadelphia PA SCH Dist Go BDS 5.00% Due 09/01/2027 | | N/A | \$250,001 - \$500,000 | Interest | \$15,001 - \$50,000 |
| 45.18 | Round Rock Tex Indpt Sch Dist 5.00% Due 8/1/2025 | | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |
| 45.19 | Sales Tax Securitization Corp 5.00% Due 01/01/27 | | N/A | None (or less than \$1,001) | Interest | \$5,001 - \$15,000 |
| 45.20 | Sales Tax Securitization Corp 5.00% Due 01/01/31 | | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 45.21 | Tennessee HSG Dev Agy Residential Fin 2.80% Due Jan 1, 2026 | | N/A | \$250,001 - \$500,000 | Interest | \$5,001 - \$15,000 |
| 45.22 | Texas ST Tax Rev Antic NTS 4.00% Due 08/26/21 | See Endnote | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 45.23 | University Minn GO Ref BDS Regents Ser. 5.00% Due 10/01/25 | | N/A | None (or less than \$1,001) | Capital Gains Interest | \$5,001 - \$15,000 |
| 45.24 | Connecticut ST Go BDS 2018 5.00% Due 06/15/2030 | | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |
| 45.25 | Berkeley Heights TWP NJ BD NTS 2.00% Due 07/08/22 | | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 45.26 | Los Angeles CNTY Calif Tax and Rev 4.00% Due 06/30/22 | | N/A | None (or less than \$1,001) | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|-----------------------------|-------------|---------------------------|
| 45.27 | Illinois State Sales Tax Rev JR Oblig 4.00% Due Jun 15 2030 | N/A | \$250,001 - \$500,000 | Interest | \$5,001 - \$15,000 |
| 45.28 | King Cnty Wash LTD Tax Go Ref BDS Ser. 5.00% Due Jul 1,2024 | N/A | \$500,001 - \$1,000,000 | Interest | None (or less than \$201) |
| 45.29 | Maryland ST Go BDS Ser. 2017 B 5.00 % Due Aug 1, 2026 | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 45.30 | New York N Y City Transitional Fin 5.00% Due Feb 1, 2032 | N/A | \$500,001 - \$1,000,000 | Interest | None (or less than \$201) |
| 45.31 | New York N Y Go BDS Ser. Fiscal 2015F 5.00 % Due Jun 1, 2044 | N/A | \$500,001 - \$1,000,000 | Interest | \$15,001 - \$50,000 |
| 45.32 | New York NY GO BDS Ser 5.00% Due 08/01/2030 | N/A | \$500,001 - \$1,000,000 | Interest | None (or less than \$201) |
| 45.33 | New York NY Go BDS Ser. C 5.00% Due 08/01/2031 | N/A | None (or less than \$1,001) | Interest | None (or less than \$201) |
| 45.34 | North Dakota ST HSG Fin Agy Home MTG 1.85 % Due Jan 1, 2032 | N/A | \$250,001 - \$500,000 | Interest | None (or less than \$201) |
| 45.35 | Prince Georges CNTY MD Go Consolidated 5.00% Due 07/15/2031 | N/A | \$500,001 - \$1,000,000 | Interest | \$15,001 - \$50,000 |
| 45.36 | Seattle WA MN LT PW 2.68% PWR Util Due 05/01/2045 | N/A | \$500,001 - \$1,000,000 | Interest | \$5,001 - \$15,000 |
| 45.37 | United States Treas Bills Zero CPN 0.00 % Due Feb 21, 2023 | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 45.38 | United States Treas Bills Zero CPN 0.00 % Due May 11, 2023 | N/A | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 45.39 | US Treasury Bill23 U S T Bill Due 09/07/23 | N/A | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 45.40 | WA ST HLTH Care Fa 5.00% Hosp HLTH Due 08/01/2049 | N/A | None (or less than \$1,001) | | None (or less than \$201) |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-------------|-----|-----------------------------|---------------|---------------------------|
| 45.41 | Wolcott CT 1.25%22 Go Utx Due 08/23/22 | | N/A | None (or less than \$1,001) | Interest | \$5,001 - \$15,000 |
| 46 | Arizona Indl Dev Auth Rev BDS Lincoln 5.00% Due Nov. 1, 2029 | | No | \$500,001 - \$1,000,000 | Interest | None (or less than \$201) |
| 47 | Goodwater Infinity II, LP | See Endnote | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 48 | Honolulu HI City & 4%32 GO Utx Due 10/01/32 | | N/A | \$500,001 - \$1,000,000 | Interest | \$5,001 - \$15,000 |
| 49 | Pacific Co B1 Bond - Fremont Osgood | | N/A | \$250,001 - \$500,000 | Interest | \$15,001 - \$50,000 |
| 50 | Pacific Co B1 Bond - Osgood South | | N/A | \$500,001 - \$1,000,000 | Interest | None (or less than \$201) |
| 51 | Security Properties Multi-Family Fund III | See Endnote | Yes | None (or less than \$1,001) | | \$5,001 - \$15,000 |
| 52 | Security Properties Multi-Family Fund VI | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 53 | Vertical Ventures Co-Investment Fund II | | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 54 | Vision Ridge Sustainable Asset Fund III | | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 55 | BGH 24, LLC | See Endnote | No | \$250,001 - \$500,000 | Interest | \$1,001 - \$2,500 |
| 56 | BGH 24, LLC | See Endnote | No | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 57 | BGH 24, LLC | See Endnote | No | \$500,001 - \$1,000,000 | Interest | \$5,001 - \$15,000 |
| 58 | GRRTS LTD | See Endnote | No | None (or less than \$1,001) | Capital Gains | \$50,001 - \$100,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------------|-------------|---------------------------|
| 59 | GRRTS LTD See Endnote | No | \$5,000,001 - \$25,000,000 | | None (or less than \$201) |
| 60 | GRRTS LTD See Endnote | No | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 61 | New York New Y CI 2.6% Mult HSG Due 05/01/26 | No | \$500,001 - \$1,000,000 | Interest | None (or less than \$201) |
| 62 | New York NY City Transitional Fin 5.00% Due 11/01/2027 | No | \$500,001 - \$1,000,000 | Interest | \$5,001 - \$15,000 |
| 63 | Vanguard Small-Cap Index Fund ETF Shares (VB) | No | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 |
| 64 | Vanguard 500 Index Fund ETF Shares (VOO) | No | \$1,000,001 - \$5,000,000 | Dividends | \$5,001 - \$15,000 |
| 65 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | No | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 |
| 66 | iShares Core S&P US Growth ETF (IUSG) | No | \$500,001 - \$1,000,000 | Dividends | \$2,501 - \$5,000 |
| 67 | iShares Core S&P US Value ETF (IUSV) | No | \$500,001 - \$1,000,000 | Dividends | \$5,001 - \$15,000 |
| 68 | Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO) See Endnote | Yes | None (or less than \$1,001) | | \$1,001 - \$2,500 |
| 69 | Fidelity Gov't Sweep Money Fund | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 70 | U.S. Cash Account | No | \$50,001 - \$100,000 | | None (or less than \$201) |
| 71 | GRRTS LTD See Endnote | No | \$500,001 - \$1,000,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|------------|-------------------------------|
| 1 | Florida HSG Fin Corp Homeowner MTG Rev 2.15% Due 07/01/29 | | Sale | 01/03/2022 | \$15,001 - \$50,000 |
| 2 | Los Angeles CNTY Calif Tax And Rev S 4.00% Due 06/30/22 | | Sale | 01/11/2022 | \$500,001 - \$1,000,000 |
| 3 | Maryland ST Dept TR 5.00% Comb Tax Due 10/01/26 | | Purchase | 01/14/2022 | \$15,001 - \$50,000 |
| 4 | Maryland ST Dept TR 5.00% Comb Tax Due 10/01/26 | | Purchase | 01/07/2022 | \$15,001 - \$50,000 |
| 5 | Maryland ST Dept TR 5.00% Comb Tax Due 10/01/26 | | Purchase | 01/10/2022 | \$15,001 - \$50,000 |
| 6 | Prince Georges CNTY MD Go Consolidated 5.00% Due 07/15/31 | | Purchase | 01/10/2022 | \$500,001 - \$1,000,000 |
| 7 | Round Rock Tex Indpt SCH Dist Unltd Tax 5.00% Due 08/01/25 | | Purchase | 01/07/2022 | \$15,001 - \$50,000 |
| 8 | New York ST Dorm Auth Sales Tax Rev 5.00% Due 03/15/25 | | Purchase | 01/18/2022 | \$15,001 - \$50,000 |
| 9 | Illinois HSG Dev Auth Rev BDS Ser. 1.70% Due 04/01/2031 | | Purchase | 02/08/2022 | \$15,001 - \$50,000 |
| 10 | New York ST Dorm Auth Sales Tax Rev 5.00% Due 03/15/2025 | | Purchase | 02/08/2022 | \$15,001 - \$50,000 |
| 11 | New York ST Dorm Auth ST Pers Income 5.00% Due 03/15/2027 | | Purchase | 02/15/2022 | \$1,001 - \$15,000 |
| 12 | New York ST Dorm Auth ST Pers Income 5.00% Due 03/15/2027 | | Purchase | 02/04/2022 | \$15,001 - \$50,000 |
| 13 | Forward Contract (MSFT) | See Endnote | Purchase | 02/09/2022 | \$5,000,001 - \$25,000,000 |
| 14 | MSFT Common Stock | See Endnote | Sale | 02/28/2022 | \$500,001 - \$1,000,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|------------|-------------------------|
| 15 | Colorado Health Fac 5.00% Hosp HLTH Due 08/01/2049 | | Sale | 03/15/2022 | \$500,001 - \$1,000,000 |
| 16 | Prince Georges CNTY MD Go Consolidated 5.00% Due 07/15/2031 | | Purchase | 03/02/2022 | \$1,001 - \$15,000 |
| 17 | WA ST HLTH Care Fa 5.00% Hosp HLTH Due 08/01/2049 | | Purchase | 03/15/2022 | \$500,001 - \$1,000,000 |
| 18 | District Columbia GO BDS Ser 2017 5.00% Due 06/01/27 | | Purchase | 03/21/2022 | \$1,001 - \$15,000 |
| 19 | Florida HSG Fin Corp Homeowner MTG 2.15% Due 07/01/29 | See Endnote | Sale | 04/01/2022 | \$1,001 - \$15,000 |
| 20 | Maryland ST Go ST Local Facs LN BDS 5.005 Due 03/15/2027 | | Purchase | 04/11/2022 | \$1,001 - \$15,000 |
| 21 | New York ST Dorm Auth ST Pers 5% due 3/15/2027 | | Purchase | 04/26/2022 | \$15,001 - \$50,000 |
| 22 | Sales Tax Securitization Corp 5.00% Due 1/1/2027 | | Sale | 05/04/2022 | \$250,001 - \$500,000 |
| 23 | CT ST HSG Fa HSG 2.75% Due 05/15/2026 | See Endnote | Sale | 05/16/2022 | \$250,001 - \$500,000 |
| 24 | New York NY Go BDS Ser Fiscal 2008J 5.00% Due 08/01/2026 | | Purchase | 05/10/2022 | \$1,001 - \$15,000 |
| 25 | New York NY City Transitional Fin 5.00% Due 11/01/2027 | | Purchase | 05/06/2022 | \$500,001 - \$1,000,000 |
| 26 | District Columbia Go BDS Ser 2017D 5.00% Due 06/01/2027 | | Sale | 05/06/2022 | \$500,001 - \$1,000,000 |
| 27 | Illinois ST Sales Tax Rev JR Oblig 4.00% Due 06/15/2030 | | Purchase | 05/03/2022 | \$250,001 - \$500,000 |
| 28 | Honolulu HI City & 4.00% GO Utx Due 10/01/32 | | Purchase | 05/18/2022 | \$500,001 - \$1,000,000 |
| 29 | New Jersey ST HSG & MTG Fin Agy 0.75% Due 05/01/23 | | Sale | 05/19/2022 | \$250,001 - \$500,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|------------|-------------------------|
| 30 | Connecticut ST Go BDS 2018 C 5.00% | See Endnote | Purchase | 06/14/2022 | \$15,001 - \$50,000 |
| 31 | Honolulu HI City 4.00% Go Utx Due 10/01/32 | | Purchase | 06/13/2022 | \$15,001 - \$50,000 |
| 32 | New York ST Dorm Auth ST Pers Income 5.00% Due 03/15/27 | | Purchase | 06/09/2022 | \$1,001 - \$15,000 |
| 33 | Prince Georges CNTY MD Go Consolidated 5.00% Due 07/15/31 | | Purchase | 06/07/2022 | \$100,001 - \$250,000 |
| 34 | Berkeley Heights TWP N J BD NTS 2.00% Due 07/08/2022 | | Sale | 06/30/2022 | \$15,001 - \$50,000 |
| 35 | Colorado Health Fac 5.00% Due 08/01/2049 | | Purchase | 06/28/2022 | \$500,001 - \$1,000,000 |
| 36 | Connecticut ST Go BDS 2018 5.0% Due 06/15/2030 | | Purchase | 06/24/2022 | \$1,001 - \$15,000 |
| 37 | Florida HSG Fin Corp Homeowner MTG Rev 2.15% Due 07/01/2029 | See Endnote | Sale | 07/01/2022 | \$15,001 - \$50,000 |
| 38 | New York NY Go BDS Ser. C 5.00% Due 08/01/2031 | | Purchase | 06/14/2022 | \$15,001 - \$50,000 |
| 39 | WA ST HLTH Care Fa 5.00% Due 08/01/2049 | | Sale | 06/28/2022 | \$500,001 - \$1,000,000 |
| 40 | Berkeley Heights TWP N J BD Antic NTS 2.00% Due 07/08/2022 | See Endnote | Sale | 07/08/2022 | \$500,001 - \$1,000,000 |
| 41 | New York NY City Transitional Fin 5.00% Due 02/01/2032 | | Purchase | 08/02/2022 | \$500,001 - \$1,000,000 |
| 42 | New York NY Go BDS Ser.C 5.00% Due 08/01/2030 | | Purchase | 08/02/2022 | \$250,001 - \$500,000 |
| 43 | New York NY Go BDS Ser.C 5.00% Due 08/01/2031 | | Sale | 08/02/2022 | \$250,001 - \$500,000 |
| 44 | New York NY GO BDS Ser 5.00% Due 08/01/2030 | | Purchase | 08/09/2022 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|------------|------------------------------|
| 45 | New York ST Dorm Auth ST Pers Income 5.00% Due 03/15/2027 | | Sale | 08/02/2022 | \$500,001 - \$1,000,000 |
| 46 | Philadelphia PA SCH Dist Go BDS Ser. 5.00% Due 09/01/2027 | | Purchase | 08/18/2022 | \$15,001 - \$50,000 |
| 47 | Prince Georges CNTY MD Go Consolidated 5.00% Due 07/15/31 | | Purchase | 08/04/2022 | \$15,001 - \$50,000 |
| 48 | Round Rock Tex Indpt Sch Dist 5.00% Due 08/01/2025 | | Purchase | 08/18/2022 | \$100,001 - \$250,000 |
| 49 | University Minn GO Ref BDS Regents Ser. 5.00% Due 10/01/25 | | Sale | 08/18/2022 | \$250,001 - \$500,000 |
| 50 | ID ST BLDG Auth 5.00% Due 09/01/2023 | See Endnote | Sale | 09/01/2022 | \$50,001 - \$100,000 |
| 51 | Wolcott CT 1.25% Go Utx Due 08/23/2022 | | Sale | 08/23/2022 | \$500,001 - \$1,000,000 |
| 52 | Illinois ST Sales Tax Rev JR Oblig 4.00 % Due Jun 15, 2030 [GS] | | Purchase | 09/22/2022 | \$1,001 - \$15,000 |
| 53 | King CNTY Wash LTD Tax Go Ref BDS Ser. 5.00 % Due Jul 1, 2024 [GS] | | Purchase | 09/26/2022 | \$500,001 - \$1,000,000 |
| 54 | New York ST Dorm Auth Sales Tax Rev 5.00 % Due Mar 15, 2025 [GS] | | Purchase | 09/22/2022 | \$15,001 - \$50,000 |
| 55 | US Treasury Bill23 U S T Bill Due 09/07/23 [GS] | | Purchase | 09/28/2022 | \$1,000,001 - \$5,000,000 |
| 56 | Connecticut ST Go BDS 2018 C 5.0000% Due 06/15/30 | | Purchase | 10/13/2022 | \$1,001 - \$15,000 |
| 57 | Illinois ST Sales Tax Rev JR Oblig 4.00 % Due 06/15/30 | | Purchase | 10/12/2022 | \$15,001 - \$50,000 |
| 58 | Maryland ST Go BDS Ser. 2017 B 5.00 % Due 08/01/26 | | Purchase | 10/13/2022 | \$500,001 - \$1,000,000 |
| 59 | Maryland ST Go ST Local Facs LN BDS 5.00 % Due 03/15/27 | | Sale | 10/13/2022 | \$500,001 - \$1,000,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|----------------------------|
| 60 | New York N Y City Transitional Fin 5.00 % Due 11/01/27 | Purchase | 10/07/2022 | \$1,001 - \$15,000 |
| 61 | Round Rock Tex Indpt SCH Dist Unltd Tax 5.00 % Due 08/01/25 | Purchase | 10/17/2022 | \$15,001 - \$50,000 |
| 62 | Seattle WA MN LT PW 2.68% PWR Util Due 05/01/45 | Purchase | 10/17/2022 | \$15,001 - \$50,000 |
| 63 | Seattle WA MN LT PW 2.68% PWR Util Due 05/01/45 | Purchase | 10/13/2022 | \$1,001 - \$15,000 |
| 64 | Maryland ST Go BDS Ser. 2017 B 5.00% Due Aug 1, 2026 | Purchase | 10/19/2022 | \$1,001 - \$15,000 |
| 65 | Maryland ST Go BDS Ser. 2017 B 5.00% Due Aug 1, 2026 | Purchase | 10/20/2022 | \$50,001 - \$100,000 |
| 66 | New York N Y Go BDS Ser. Fiscal 2008J 5.00% Due Aug 1, 2026 | Sale | 10/24/2022 | \$500,001 - \$1,000,000 |
| 67 | New York N Y Go BDS Ser. Fiscal 2015F 5.00% Due Jun 1, 2044 | Purchase | 10/24/2022 | \$500,001 - \$1,000,000 |
| 68 | New York N Y Go BDS Ser.C 5.00 % Due Aug 1, 2030 | Purchase | 12/01/2022 | \$15,001 - \$50,000 |
| 69 | Seattle WA MN LT PW 2.68% due 5/1/2045 | Purchase | 04/18/2022 | \$1,001 - \$15,000 |
| 70 | New York New Y CI 2.6% Mult HSG Due 05/01/26 | Purchase | 07/22/2022 | \$500,001 - \$1,000,000 |
| 71 | Maryland ST Dept TR 5%26 Comb Tax Due 10/01/26 | Sale | 12/16/2022 | \$500,001 - \$1,000,000 |
| 72 | Round Rock Tex Indpt SCH Dist Unltd Tax 5.00 % Due Aug 1, 2025 | Sale | 12/19/2022 | \$500,001 - \$1,000,000 |
| 73 | New York N Y City Transitional Fin 5.00 % Due Nov 1, 2027 | Purchase | 11/04/2022 | \$15,001 - \$50,000 |
| 74 | United States Treas Bills Zero CPN 0.00 % Due Feb 21, 2023 | Purchase | 11/09/2022 | \$250,001 - \$500,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|--|-------------|----------|------------|------------------------------|
| 75 | United States Treas Bills Zero CPN 0.00 % Due May 11, 2023 | | Purchase | 11/10/2022 | \$1,000,001 - \$5,000,000 |
| 76 | Michigan ST HSG Dev Auth Single Family 1.25 % Due Jun 1, 2027 | | Purchase | 11/10/2022 | \$15,001 - \$50,000 |
| 77 | North Dakota ST HSG Fin Agy Home MTG 1.85 % Due Jan 1, 2032 | | Purchase | 11/17/2022 | \$250,001 - \$500,000 |
| 78 | Illinois HSG Dev Auth Rev BDS Ser. 1.70 % Due Apr 1, 2031 | | Sale | 11/17/2022 | \$250,001 - \$500,000 |
| 79 | ID ST BLDG Auth 5%23 5.00 % Due Sep 1, 2023 | | Sale | 11/17/2022 | \$50,001 - \$100,000 |
| 80 | Philadelphia PA SCH Dist Go BDS Ser. F 5.00 % Due Sep 1, 2027 | | Purchase | 12/15/2022 | \$50,001 - \$100,000 |
| 81 | Arizona Indl Dev Auth Rev BDS Lincoln 5.00 % Due Nov 1, 2029 | | Purchase | 12/16/2022 | \$500,001 - \$1,000,000 |
| 82 | Connecticut ST Go BDS 2018 C 5.0000% Due 06/15/2030 | See Endnote | Sale | 12/16/2022 | \$500,001 - \$1,000,000 |
| 83 | Pacific Co B1 Bond - Fremont Osgood | | Purchase | 01/26/2022 | \$250,001 - \$500,000 |
| 84 | Pacific Co B1 Bond - Oakland MacArthur | | Purchase | 05/26/2022 | \$250,001 - \$500,000 |
| 85 | Pacific Co B1 Bond - Osgood South | | Purchase | 12/12/2022 | \$500,001 - \$1,000,000 |
| 86 | Columbia Pacific Income Fund II | See Endnote | Purchase | 03/21/2022 | \$1,000,001 - \$5,000,000 |
| 87 | Columbia Pacific Income Fund II | | Purchase | 11/08/2022 | \$500,001 - \$1,000,000 |
| 88 | Redwood Kairos RE Fund VIII | See Endnote | Purchase | 10/14/2022 | \$100,001 - \$250,000 |
| 89 | Redwood Kairos RE Fund VIII | See Endnote | Purchase | 09/09/2022 | \$100,001 - \$250,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|------------|---------------------------|
| 90 | Security Properties Multi-Family Fund VI | See Endnote | Purchase | 05/12/2022 | \$250,001 - \$500,000 |
| 91 | Security Properties Multi-Family Fund VI | See Endnote | Purchase | 07/15/2022 | \$100,001 - \$250,000 |
| 92 | Security Properties Multi-Family Fund VI | See Endnote | Purchase | 10/03/2022 | \$250,001 - \$500,000 |
| 93 | Vertical Ventures Co-Investment Fund II | | Purchase | 05/10/2022 | \$1,000,001 - \$5,000,000 |
| 94 | Vision Ridge Sustainable Asset Fund III | See Endnote | Purchase | 06/17/2022 | \$250,001 - \$500,000 |
| 95 | Vision Ridge Sustainable Asset Fund III | See Endnote | Purchase | 10/13/2022 | \$250,001 - \$500,000 |
| 96 | Goodwater Capital IV | See Endnote | Purchase | 03/31/2022 | \$1,001 - \$15,000 |
| 97 | Goodwater Capital IV | See Endnote | Purchase | 06/16/2022 | \$15,001 - \$50,000 |
| 98 | Goodwater Capital IV | See Endnote | Purchase | 09/23/2022 | \$15,001 - \$50,000 |
| 99 | Goodwater Infinity II | See Endnote | Purchase | 03/25/2022 | \$15,001 - \$50,000 |
| 100 | Goodwater Infinity II | See Endnote | Purchase | 05/27/2022 | \$15,001 - \$50,000 |
| 101 | Goodwater Infinity II | See Endnote | Purchase | 08/30/2022 | \$15,001 - \$50,000 |
| 102 | Goodwater Infinity II | See Endnote | Purchase | 10/20/2022 | \$15,001 - \$50,000 |
| 103 | Goodwater Infinity II | See Endnote | Purchase | 12/15/2022 | \$1,001 - \$15,000 |
| 104 | Gryphon Mezzanine Partners | See Endnote | Purchase | 05/02/2022 | \$15,001 - \$50,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|------------|---------------------------|
| 105 | Gryphon Mezzanine Partners II | See Endnote | Purchase | 04/27/2022 | \$15,001 - \$50,000 |
| 106 | Gryphon Mezzanine Partners II | See Endnote | Purchase | 08/21/2022 | \$15,001 - \$50,000 |
| 107 | TCG Private Select Partners II | | Sale | 01/01/2022 | \$1,000,001 - \$5,000,000 |
| 108 | TCG Private Select Partners III | | Sale | 01/01/2022 | \$1,000,001 - \$5,000,000 |
| 109 | Institutional Venture Partners XVII, LP | See Endnote | Purchase | 01/03/2022 | \$1,001 - \$15,000 |
| 110 | Gryphon Capital Partners Fund IV | | Sale | 01/01/2022 | \$250,001 - \$500,000 |
| 111 | Institutional Venture Partners XVII, LP | | Sale | 01/11/2022 | \$250,001 - \$500,000 |
| 112 | Montauk TriGuard Fund VIII | | Sale | 01/01/2022 | \$250,001 - \$500,000 |
| 113 | Crosslink Capital IX | | Sale | 01/04/2022 | \$250,001 - \$500,000 |
| 114 | MSFT Common Stock | See Endnote | Sale | 08/30/2022 | \$1,000,001 - \$5,000,000 |
| 115 | GRRTS LTD | See Endnote | Sale | 11/07/2022 | \$500,001 - \$1,000,000 |
| 116 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | | Purchase | 04/28/2022 | \$15,001 - \$50,000 |
| 117 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | | Purchase | 06/01/2022 | \$15,001 - \$50,000 |
| 118 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | | Purchase | 07/06/2022 | \$50,001 - \$100,000 |
| 119 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | | Purchase | 08/10/2022 | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|------------|-----------------------|
| 120 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | Purchase | 09/02/2022 | \$50,001 - \$100,000 |
| 121 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | Purchase | 10/04/2022 | \$50,001 - \$100,000 |
| 122 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | Purchase | 11/02/2022 | \$15,001 - \$50,000 |
| 123 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX) | Purchase | 12/02/2022 | \$15,001 - \$50,000 |
| 124 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 04/28/2022 | \$100,001 - \$250,000 |
| 125 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 06/01/2022 | \$100,001 - \$250,000 |
| 126 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 07/06/2022 | \$100,001 - \$250,000 |
| 127 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 08/10/2022 | \$100,001 - \$250,000 |
| 128 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 09/02/2022 | \$100,001 - \$250,000 |
| 129 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 10/04/2022 | \$100,001 - \$250,000 |
| 130 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 11/02/2022 | \$100,001 - \$250,000 |
| 131 | Vanguard 500 Index Fund ETF Shares (VOO) | Purchase | 12/02/2022 | \$100,001 - \$250,000 |
| 132 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 04/28/2022 | \$15,001 - \$50,000 |
| 133 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 06/01/2022 | \$15,001 - \$50,000 |
| 134 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 07/06/2022 | \$50,001 - \$100,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|------------|-----------------------|
| 135 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 08/10/2022 | \$15,001 - \$50,000 |
| 136 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 09/02/2022 | \$50,001 - \$100,000 |
| 137 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 10/04/2022 | \$15,001 - \$50,000 |
| 138 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 11/02/2022 | \$15,001 - \$50,000 |
| 139 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Purchase | 12/02/2022 | \$50,001 - \$100,000 |
| 140 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 04/28/2022 | \$100,001 - \$250,000 |
| 141 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 06/01/2022 | \$100,001 - \$250,000 |
| 142 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 07/06/2022 | \$100,001 - \$250,000 |
| 143 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 08/10/2022 | \$100,001 - \$250,000 |
| 144 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 09/02/2022 | \$100,001 - \$250,000 |
| 145 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 10/04/2022 | \$100,001 - \$250,000 |
| 146 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 11/02/2022 | \$100,001 - \$250,000 |
| 147 | iShares Core S&P US Growth ETF (IUSG) | Purchase | 12/02/2022 | \$100,001 - \$250,000 |
| 148 | iShares Core S&P US Value ETF (IUSV) | Purchase | 04/28/2022 | \$100,001 - \$250,000 |
| 149 | iShares Core S&P US Value ETF (IUSV) | Purchase | 06/01/2022 | \$100,001 - \$250,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--------------------------------------|----------|------------|-----------------------|
| 150 | iShares Core S&P US Value ETF (IUSV) | Purchase | 07/06/2022 | \$100,001 - \$250,000 |
| 151 | iShares Core S&P US Value ETF (IUSV) | Purchase | 08/10/2022 | \$100,001 - \$250,000 |
| 152 | iShares Core S&P US Value ETF (IUSV) | Purchase | 09/02/2022 | \$100,001 - \$250,000 |
| 153 | iShares Core S&P US Value ETF (IUSV) | Purchase | 10/04/2022 | \$100,001 - \$250,000 |
| 154 | iShares Core S&P US Value ETF (IUSV) | Purchase | 11/02/2022 | \$50,001 - \$100,000 |
| 155 | iShares Core S&P US Value ETF (IUSV) | Purchase | 12/02/2022 | \$100,001 - \$250,000 |

8. Liabilities

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|---|---------------------|--|---------------|------|-----------|
| 1 | Redwood Kairos Real Estate Fund VIII | Unfunded Commitment | \$250,001 - \$500,000 | 2020 | 0 | On Demand |
| 2 | Security Properties Multi-Family Fund VI, LLC | Unfunded Commitment | \$1,000,001 - \$5,000,000 | 2021 | 0 | On Demand |
| 3 | Goodwater Infinity II, LP | See Endnote | Unfunded Commitment \$100,001 - \$250,000 | 2021 | 0 | On Demand |
| 4 | Gryphon Mezzanine Partners II | Unfunded Commitment | \$50,001 - \$100,000 | 2019 | 0 | On Demand |
| 5 | Goodwater Capital IV | See Endnote | Unfunded Commitment \$250,001 - \$500,000 | 2021 | 0 | On Demand |
| 6 | Vision Ridge SAF III | Unfunded Commitment | \$500,001 - \$1,000,000 | 2021 | 0 | On Demand |

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|-----|--|
| 2. | 1.1 | Ticker: VFWSX |
| 2. | 1.2 | Ticker: VIMAX |
| 2. | 1.5 | Ticker: VFISX |
| 2. | 1.6 | VSMAX |
| 5. | 3 | This account was inadvertently omitted from my nominee report. Assets 3.1 and 3.2 were previously reported under other accounts in Part 5. |
| 5. | 3.3 | This asset was inadvertently omitted from my nominee report. |
| 6. | 2 | Co-investment in multi-family housing building located in Seattle, Washington. |
| 6. | 3 | Commercial real estate lending fund |
| 6. | 4 | European focused specialty finance fund. Fund fully liquidated. |
| 6. | 10 | Transfer to separate trust not for the benefit of the filer or spouse Formerly listed as Gryphon Partners Fund V |
| 6. | 11 | Transfer to separate trust not for the benefit of the filer or spouse. Formerly listed as Gryphon Partners Fund VI. |
| 6. | 12 | Formerly listed as Gryphon Partners IV |
| 6. | 14 | Transfer to separate trust not for the benefit of the filer or spouse |
| 6. | 16 | Fund donated to separate fund not for the benefit of filer or spouse |

| PART | # | ENDNOTE |
|------|-------|---|
| 6. | 18 | This account holds the underlying ETFs that are separately listed on lines 63, 64, 65, 66 and 67. |
| 6. | 23 | Fund fully redeemed. No reportable sale. |
| 6. | 24 | Fund fully redeemed. No reportable sale. |
| 6. | 25 | Fund fully redeemed. No reportable sale. |
| 6. | 26 | Opportunistic real-estate strategy with income focus |
| 6. | 27 | Real estate fund |
| 6. | 31 | Fund in process of being fully liquidated |
| 6. | 32 | Fund was fully redeemed with no reportable transaction. |
| 6. | 33 | Transfer to separate trust not for the benefit of the filer or spouse |
| 6. | 34 | Transfer to separate trust not for the benefit of the filer or spouse |
| 6. | 41 | This asset was divested after the reporting period. |
| 6. | 43 | Fund fully redeemed |
| 6. | 44 | Transfer to separate trust not for the benefit of the filer or spouse |
| 6. | 45.7 | Redemption |
| 6. | 45.22 | Asset was sold in 2021; value should have been listed as zero in Part 6 of the Nominee 278 report |
| 6. | 47 | This asset was divested after the reporting period. |
| 6. | 51 | Fund had final liquidation in 2018 but distributed remaining capital in 2022 |
| 6. | 52 | Formerly listed as SP Multi-Family Fund VI. |
| 6. | 55 | Loan to daughter and son-in-law for house remodel |
| 6. | 56 | Promissory note to daughter and son-in-law's house |
| 6. | 57 | Promissory note to son's house |
| 6. | 58 | Condominium - Issaquah Wa (for Mother's use). Sold |

| PART | # | ENDNOTE |
|------|----|---|
| 6. | 59 | Personal residence in Medina, WA |
| 6. | 60 | Personal Residence in Washington D.C. |
| 6. | 68 | Shares transferred as charitable contribution |
| 6. | 71 | Partial ownership of daughter and son in law's house |
| 7. | 13 | Forward Contract provides for the sale of Microsoft Common stock to a separate trust, not for the benefit of the filer or spouse, for a set amount, following the vesting of RSUs every six months through 2024 |
| 7. | 14 | Vested shares sold to separate trust not for the benefit of the filer or spouse pursuant to forward contract dated 2/09/22 |
| 7. | 19 | Partial redemption |
| 7. | 23 | Redemption |
| 7. | 30 | Asset listed as Connecticut ST Go BDS 2018 5.00% Due 06/15/2030 |
| 7. | 37 | Redemption |
| 7. | 40 | Full maturity of bond. |
| 7. | 50 | Redemption |
| 7. | 82 | Asset listed as Connecticut ST Go BDS 2018 5.00% Due 06/15/2030 |
| 7. | 86 | Additional commitment |
| 7. | 88 | Capital call |
| 7. | 89 | Additional commitment |
| 7. | 90 | Formerly listed as SP Multi-Family Fund VI. Capital call. |
| 7. | 91 | Formerly listed as SP Multi-Family Fund VI. Capital call. |
| 7. | 92 | Formerly listed as SP Multi-Family Fund VI. Capital call |
| 7. | 94 | Capital call |
| 7. | 95 | Capital call |

| PART | # | ENDNOTE |
|------|-----|--|
| 7. | 96 | Capital call |
| 7. | 97 | Capital call |
| 7. | 98 | Capital call |
| 7. | 99 | Capital call |
| 7. | 100 | Capital call |
| 7. | 101 | Capital call |
| 7. | 102 | Capital call |
| 7. | 103 | Capital call |
| 7. | 104 | Capital call |
| 7. | 105 | Capital call |
| 7. | 106 | Capital call |
| 7. | 109 | Capital call |
| 7. | 114 | Vested shares sold to separate trust not for the benefit of filer or spouse pursuant to forward contract dated 2/9/2022. |
| 7. | 115 | Condominium - Issaquah Wa (for Mother's use). Sale of property |
| 8. | 3 | I am no longer under any obligation to fulfill this commitment. |
| 8. | 5 | I am no longer under any obligation to fulfill this commitment. |

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
