

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cisneros, Gilbert R

Under Secretary of Defense for Personnel and Readiness, DoD - Department of Defense

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

Member of Congress (1/2019 - 1/2021)

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/ Cisneros, Gilbert R [electronically signed on 05/16/2022 by Cisneros, Gilbert R in Integrity.gov]

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/ Irvine, Danica, Certifying Official [electronically signed on 08/04/2022 by Irvine, Danica in Integrity.gov]

Other review conducted by

/s/ Raab, Dean, Ethics Official [electronically signed on 07/27/2022 by Raab, Dean in Integrity.gov]

/s/ Raab, Dean, Screener [electronically signed on 07/27/2022 by Raab, Dean in Integrity.gov]

Data Revised 11/15/2022

Data Revised 08/04/2022

Data Revised 08/03/2022

Data Revised 08/01/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Gilbert & Jacki Cisneros Foundation	Los Angeles, California	Non-Profit	Advocate	12/2018	8/2021
2	BG Strategies, Inc. (dormant)	Los Angeles, California	Corporation	Director, President	3/2021	10/2021
3	150 Main Street Trust (revocable family trust)	Los Angeles, California	Trust	Trustee	6/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Financial Institution Roth IRA	No			
1.1	US Financial Institution Deposit Sweep	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Alphabet, Inc. (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4	Apple, Inc. (AAPL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.5	Meta Platforms Inc. Cl. A (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.6	Netflix, Inc. (NFLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	150 Main Street Trust	No			
1.1	Brokerage Account #1	No			
1.1.1	Alphabet Inc. - Class A (GOOGL)	N/A	\$100,001 - \$250,000	Capital Gains	\$50,001 - \$100,000
1.1.2	Amazon.com, Inc. (AMZN)	N/A	\$100,001 - \$250,000	Capital Gains	\$100,001 - \$1,000,000
1.1.3	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$1,000,001 - \$5,000,000
1.1.4	iShares Cohen & Steers REIT ETF (ICF)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.5	iShares Nasdaq Biotechnology ETF (IBB)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.1.6	iShares Russell 2000 ETF (IWM)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
1.1.7	iShares US Healthcare ETF (IYH)	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
1.1.8	JP Morgan Chase & Co. (JPM)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$50,001 - \$100,000
1.1.9	Microsoft Corporation (MSFT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
1.1.10	Dreyfus Money Market Fund	Yes	\$1,000,001 - \$5,000,000		\$201 - \$1,000
1.1.11	Netflix, Inc. (NFLX)	N/A	\$100,001 - \$250,000	Capital Gains	\$100,001 - \$1,000,000
1.1.12	SPDR S&P MIDCAP 400 ETF	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
1.1.13	PayPal Holdings, Inc. (PYPL)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.1.14	Adobe, Inc. (ADBE)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.1.15	Advanced Micro Devices, Inc. (AMD)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.1.16	Applied Materials, Inc. (AMAT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.1.17	The Walt Disney Co. (DIS)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.1.18	EOG Resources, Inc. (EOG)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.19	The Goldman Sachs Group, Inc. (GS)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$1,001 - \$2,500
1.1.20	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
1.1.21	NIKE, Inc. (NKE)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$201 - \$1,000
1.1.22	Pioneer Natural Resources Co. (PXD)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$50,001 - \$100,000
1.1.23	Schlumberger NV (SLB)	N/A	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
1.1.24	SPDR S&P 500 ETF Trust (SPY)	N/A	\$500,001 - \$1,000,000	Capital Gains	\$2,501 - \$5,000
1.1.25	Starbucks Corp. (SBUX)	N/A	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
1.1.26	Tesla, Inc. (TSLA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.2	Brokerage Account #2	No			
1.2.1	Alameda County Water District Financing	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.2	Antelope Valley CA Community College	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.3	ANTIOCH CA PUB FING AUTH LEASE REV	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.4	BRISBANE/GUADALUPE VALLEY MUNICIPAL IMPROVEMENT	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.5	Burbank Unified School District	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.6	BURLINGAME CA FING AUTH	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.7	CAJON VALLEY CA UNIFIED SCHOOL DIST GO		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.8	CALAVERAS COUNTY CALIFORNIA GO REF		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.9	California Department of Water Resources	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
1.2.10	CALIFORNIA MUNICIPAL FINANCE AUTH REV		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.11	CALIFORNIA ST GO BONDS		N/A	\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000
1.2.12	CALLEGUAS CA MUN WTR DIST WTR REV		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.13	Goldman Sachs Bank - cash		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2.14	Ceres California Unified School District		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.15	CHULA VISTA CA ELEMENTARY SCHOOL		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.16	CLOVIS CA UNIFIED SCHOOL DISTRICT		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.17	CONTRA COSTA CA CMNTY COLLEGE DIST		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.18	FOUNTAIN VALLEY CA PUBLIC FINANCING		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.19	FREMONT CA UNIFIED SCHOOL DISTRICT		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.20	HEALDSBURG CA UNIFIED SCHOOL DIST GO BONDS		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.21	JOHN SWETT CA USD GO BONDS		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.22	LODI CA UNI SCH DIST	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
1.2.23	LONG BEACH CA COMMUNITY COLLEGE DISTRICT GO		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.2.24	LONG BEACH CA UNIFIED SCHOOL DISTRICT		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.25	LOS ANGELES CA DEPT WTR & PWR WTRWKS REV		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.26	LOS ANGELES CA HARBOR DEPT		N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
1.2.27	LOS ANGELES CA UNI SCH DIST		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.28	LOS ANGELES CA WASTEWATR SYS REV		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.29	LOS ANGELES CNTY CA MET TRANSPORTATION AUTHORITY	See Endnote	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.30	MANTECA CA UNIFIED SCHOOL DISTRICT		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.31	MOUNT SAN ANTONIO CA CMNTY COLLEGE DIST		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.32	MOUNT SAN JACINTO CA CMNTY COLLEGE DIST		N/A	\$500,001 - \$1,000,000	Capital Gains Interest	\$15,001 - \$50,000
1.2.33	OAKLAND CALIF GO C		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.34	OXNARD CA SCHOOL DISTRICT REF		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.35	PERRIS CALIF UNION HIGH SCHOOL DISTRICT GO REF		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
1.2.36	PLACER CA UN HIGH SCHOOL DIST		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.37	PORTOLA VALLEY CA SCH DIST GO BONDS		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.38	REDLANDS CA UNI SCH DIST GO BONDS		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.2.39	RIVERSIDE CNTY CA TRANSN COMMN SALES TAX		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.40	SACRAMENTO CA MUNICIPAL UTILITY DISTRICT	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
1.2.41	SAN DIEGO CA CMNTY COLLEGE DIST		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.42	SAN DIEGO CALIF UNIFIED SCHOOL DISTRICT		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.43	SAN DIEGO CNTY CA WTR AUTH		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.44	SAN DIEGO COUNTY CA REGL TRANS		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.45	SAN FRANCISCO CA CITY & CNTY GO BONDS		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
1.2.46	SAN JOSE CA UNI SCH DIST SANTA CLARA CNTY		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.47	SAN JUAN CA UNIFIED SCHOOL DISTRICT		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.48	SAN LUIS COASTAL CA UNIFIED SCHOOL DISTRICT		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.49	SANTA ANA COLLEGE IMPT DIST		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.50	SANTA MONICA-MALIBU UNIFIED SCHOOL DISTRICT CAL		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.51	SANTA ROSA CALIF ELEMENTARY SCHOOL DISTRICT		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.52	SELMA CALIF UNIFIED SCHOOL DISTRICT		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.53	SEQUOIA CA UNION HIGH SCHOOL		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.54	SOUTHERN CALIFORNIA PUBLIC POWER AUTHORITY REV	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
1.2.55	STANISIAUS CA UN SCHOOL DIST		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.56	TAMALPAIS CA UNION HIGH SCHOOL	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
1.2.57	TEHAMA CNTY CA CTFS	See Endnote	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
1.2.58	TORRANCE CA UNIFIED SCHOOL DISTRICT		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.59	UNIVERSITY CA REVENUE BONDS		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.60	VALLEY CA SANITATION DIST WSTWTR REV		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.61	WEST BASIN CA MUN WTR DIST REV		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.62	WEST KERN CMNTY COLLEGE DISTRICT GO BONDS		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.63	WILLIAMS HART CA UN HIGH	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.64	WISEBURN CALIF UNIED SCHOOL DISTRICT GO REF A	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.65	US Financial Institution (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2.66	Carlsbad CA Unified School District GO Bonds	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
1.2.67	San Mateo Foster City Cal. Pub. Financing Auth. Rev. Bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.2.68	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.69	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.70	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.71	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.72	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.73	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.74	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.75	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.76	Apple, Inc. (AAPL), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.77	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.78	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.79	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.80	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.81	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.82	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.83	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.84	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.85	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.86	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.87	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.88	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.89	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.90	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.91	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.92	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.93	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.94	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.95	The Walt Disney Co. (DIS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.96	SPDR S&P 500 ETF Trust (SPY), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
1.2.97	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.98	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.99	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.100	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.101	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.102	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.103	Caterpillar, Inc. (CAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.104	Caterpillar, Inc. (CAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.105	Caterpillar, Inc. (CAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.106	Caterpillar, Inc. (CAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.107	Caterpillar, Inc. (CAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.108	Caterpillar, Inc. (CAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.109	Caterpillar, Inc. (CAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.110	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.111	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.112	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.113	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.114	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.115	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.116	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.117	Boeing Co (BA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.118	Visa, Inc. (V), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.119	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.120	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.121	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.122	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.123	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.124	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.125	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.126	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.127	Microsoft Corp. (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.128	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.129	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.130	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.131	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.132	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.133	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.134	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.135	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.136	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.137	McDonald's Corp. (MCD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.138	McDonald's Corp. (MCD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.139	McDonald's Corp. (MCD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.140	McDonald's Corp. (MCD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.141	McDonald's Corp. (MCD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.142	McDonald's Corp. (MCD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.143	McDonald's Corp. (MCD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.144	iShares Russell 2000 ETF (IWM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.145	iShares Russell 2000 ETF (IWM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.146	iShares Russell 2000 ETF (IWM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.147	iShares Russell 2000 ETF (IWM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.148	iShares Russell 2000 ETF (IWM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.149	iShares Russell 2000 ETF (IWM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.150	Amazon.com, Inc. (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.151	Facebook, Inc., closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.152	Amazon.com, Inc. (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.153	Amazon.com, Inc. (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.154	Amazon.com, Inc. (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.155	Amazon.com, Inc. (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.156	Amazon.com, Inc. (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.157	Amazon.com, Inc. (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.158	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.159	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.160	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.161	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.162	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.163	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.164	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.165	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.166	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.167	Adobe, Inc. (ADBE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.168	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.169	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.170	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.171	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.172	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.173	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.174	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.175	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.176	NVIDIA Corp. (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.177	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.178	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.179	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.180	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.181	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.182	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.183	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.184	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.185	Square, Inc. (SQ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.186	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.187	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.188	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.189	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.190	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.191	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.192	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.193	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.194	Netflix, Inc. (NFLX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.195	Pioneer Natural Resources Co. (PXD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.196	Pioneer Natural Resources Co. (PXD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.197	Pioneer Natural Resources Co. (PXD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.198	Pioneer Natural Resources Co. (PXD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.199	Pioneer Natural Resources Co. (PXD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.200	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.201	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.202	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.203	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.204	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.205	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.206	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.207	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.208	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.209	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.210	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.211	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.212	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.213	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.214	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.215	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.216	Alphabet, Inc. (GOOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.217	Advanced Micro Devices, Inc. (AMD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.218	Starbucks Corp. (SBUX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.219	Starbucks Corp. (SBUX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.220	Starbucks Corp. (SBUX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.221	Starbucks Corp. (SBUX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.222	Starbucks Corp. (SBUX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.223	Starbucks Corp. (SBUX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.224	Starbucks Corp. (SBUX), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.225	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.226	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.227	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.228	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.229	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.230	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.231	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.232	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.233	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.234	Applied Materials, Inc. (AMAT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.235	iShares Russell 2000 ETF (IWM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.236	Intel Corp. (INTC), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.237	Intel Corp. (INTC), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.238	Intel Corp. (INTC), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.239	Intel Corp. (INTC), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.240	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.241	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.242	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.243	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.244	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.245	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.246	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.247	Mastercard, Inc. (MA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.248	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.249	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.250	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.251	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.252	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.253	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.254	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.255	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.256	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.257	NIKE, Inc. (NKE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.258	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.259	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.260	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.261	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.262	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.263	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.264	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.265	Constellation Brands, Inc. (STZ), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.266	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.267	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.268	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.269	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.270	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.2.271	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.272	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.273	VanEck Vectors Oil Services ETF (OIH), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.274	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.275	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.276	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.277	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.278	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.279	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.280	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.281	Tesla, Inc. (TSLA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.282	PayPal Holdings, Inc. (PYPL), , closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.283	Facebook, Inc. (FB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.284	Pioneer Natural Resources Co. (PXD), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.285	The Goldman Sachs Group, Inc. (GS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.2.286	EOG Resources, Inc. (EOG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.3	Brokerage Account #3	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.1	3M Company (MMM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.2	Abbott Laboratories (ABT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.3	AbbVie Inc. (ABBV)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
1.3.4	ABIOMED, Inc. (ABMD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.5	Accenture plc Class A Ordinary Shares (ACN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
1.3.6	Activision Blizzard, Inc (ATVI)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$5,001 - \$15,000
1.3.7	Adobe Systems Incorporated (ADBE)	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
1.3.8	Advanced Micro Devices, Inc. (AMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.9	Agilent Technologies, Inc. Common Stock Ex-Distribution When Distributed (A.Z)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.10	Agree Realty Corporation (ADC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.11	Air Products and Chemicals, Inc. (APD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.12	Akamai Technologies, Inc. (AKAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.13	Alamo Group, Inc. (ALG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.14	Alexion Pharmaceuticals, Inc. (ALXN)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.15	Align Technology, Inc. (ALGN)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.16	Allegiant Travel Company (ALGT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.17	Alliant Energy Corporation (LNT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.18	Allstate Corporation (ALL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.19	Alphabet Inc. - Class A (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.20	Alphabet Inc. - Class C Capital Stock (GOOG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.21	Altaba Inc. (AABA)	See Endnote	N/A		None (or less than \$201)
1.3.22	Amazon.com, Inc. (AMZN)	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.3.23	Amdocs Limited - Ordinary Shares (DOX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.24	American Electric Power Company, Inc. (AEP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.25	American Express Company (AXP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.26	American International Group, Inc. New (AIG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.27	American Tower Corporation (AMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.28	Ameris Bancorp (ABCB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.29	AMERISAFE, Inc. (AMSF)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.3.30	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.31	Amphenol Corporation (APH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.32	Analog Devices, Inc. (ADI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.33	Anthem, Inc. (ANTM)	See Endnote	\$1,001 - \$15,000	Capital Gains Dividends	\$5,001 - \$15,000
1.3.34	Aon plc Class A Ordinary Shares (AON)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
1.3.35	Apple Inc. (AAPL)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
1.3.36	Applied Materials, Inc. (AMAT)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.37	AT&T Inc. (T)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
1.3.38	Atlassian Corporation Plc - Class A Ordinary Shares (TEAM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
1.3.39	AtriCure, Inc.	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
1.3.40	Autodesk, Inc. (ADSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.41	Automatic Data Processing, Inc. - Common Stock Ex-Distribution When Issued (ADPVV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.42	AutoZone, Inc. (AZO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.43	Avient Corporation (AVNT)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.44	Balchem Corporation (BCPC)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.45	Baxter International Inc. (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.46	Becton, Dickinson and Company (BDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.47	Berkshire Hathaway Inc. New (BRK.B)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.48	BioMarin Pharmaceutical Inc. (BMRN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.49	BlackRock, Inc. (BLK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.50	Boeing Company (BA)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.3.51	Booking Holdings Inc. (BKNG)	N/A	\$100,001 - \$250,000	Capital Gains	\$1,001 - \$2,500
1.3.52	Boot Barn Holdings, Inc. (BOOT)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.53	Boston Scientific Corporation (BSX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.54	Bristol-Myers Squibb Company (BMY)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.55	Broadcom Limited - Ordinary Shares (AVGO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.56	Broadridge Financial Solutions, Inc. (BR)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.57	Azenta	See Endnote	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
1.3.58	CACI International, Inc. Class A (CACI)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.59	Capri Holdings Limited Ordinary Shares (CPRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.60	Cardinal Health, Inc. (CAH)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
1.3.61	Carlyle AIP Secondaries Access V II LP	See Endnote	Yes	\$100,001 - \$250,000	None (or less than \$201)
1.3.62	CarMax Inc (KMX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.63	Carnival Corporation (CCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.64	Carrier Global Corporation (CARR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.65	Castle Biosciences, Inc. - Common stock (CSTL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.66	Catalent, Inc. (CTLT)	N/A	\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000
1.3.67	Caterpillar, Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.68	Cathay General Bancorp (CATY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.69	Cboe Global Markets, Inc. (CBOE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.70	Centene Corporation (CNC)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.71	Central Garden & Pet Company (CENT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.72	Central Garden & Pet Company - Class A Common Stock Nonvoting (CENTA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.73	Cerence Inc. (CRNC)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.74	Ceridian HCM Holding Inc. (CDAY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.75	Cerner Corporation (CERN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.76	CF Industries Holdings, Inc. (CF)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.77	Charles Schwab Corporation (SCHW)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
1.3.78	Charter Communications, Inc. - Class A (CHTR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.79	Church & Dwight Company, Inc. (CHD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.80	Churchill Downs, Incorporated (CHDN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.81	Chuy's Holdings, Inc. (CHUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.82	Cigna Corporation (CI)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
1.3.83	Cimpress PLC - Ordinary Shares (CMPR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.84	Cisco Systems, Inc. (CSCO)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
1.3.85	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.86	Citizens Financial Group, Inc. (CFG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.87	Citrix Systems, Inc. (CTXS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.88	Clorox Company (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.89	CME Group Inc. - Class A (CME)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.90	Coca-Cola Company (KO)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.91	Cohen & Steers Inc (CNS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.92	Colgate-Palmolive Company (CL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.93	COLUMBIA CONTRARIAN CORE FUND CLASS Z SHARES- EIF	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
1.3.94	COLUMBIA DIVIDEND INCOME FUND - EIF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.3.95	Comcast Corporation - Class A (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.96	Comerica Incorporated (CMA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.97	Compass Minerals Intl Inc (CMP)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.3.98	ConAgra Brands, Inc. (CAG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.99	Corning Incorporated (GLW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.100	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.101	CoStar Group, Inc. (CSGP)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
1.3.102	Costco Wholesale Corporation (COST)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.103	Covetrus, Inc. (CVET)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.104	Crown Castle International Corp. (CCI)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.105	CryoLife, Inc. (CRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.106	CryoPort, Inc. (CYRX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.107	CSP III Distressed Opportunities Trust	See Endnote	Yes	\$50,001 - \$100,000	None (or less than \$201)
1.3.108	CSX Corporation (CSX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.109	Cummins Inc. (CMI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.110	CVS Health Corporation (CVS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.111	D/B/A Royal Caribbean Cruises Ltd. (RCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.112	Danaher Corporation (DHR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.113	Darden Restaurants, Inc. (DRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.114	DaVita Inc. (DVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.115	Deere & Company (DE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.116	Dell Technologies Inc. Class V (DVMT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.117	Digital Realty Trust, Inc. (DLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.118	Dollar General Corporation (DG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.119	Dover Corporation (DOV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.120	Dow Inc. (DOW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.121	Dreyfus Treasury Prime Cash Mgmt	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.3.122	DTE Energy Company (DTE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.123	Duke Energy Corporation (DUK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.124	Duke Realty Corporation (DRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.125	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.126	DXC Technology Company (DXC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.127	Eaton Corporation, PLC Ordinary Shares (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.128	eBay Inc. (EBAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.129	Ecolab Inc. (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.130	Edison International (EIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.131	Edwards Lifesciences Corporation (EW)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.3.132	Elanco Animal Health Incorporated (ELAN)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.133	Electronic Arts Inc. (EA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.134	Eli Lilly and Company (LLY)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.135	Emerson Electric Company (EMR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.136	Endava plc American Depositary Shares (DAVA)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.3.137	Entergy Corporation (ETR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.138	Equinix, Inc. (EQIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.139	Ericsson - American Depositary Shares each representing 1 underlying Class B share (ERIC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.140	Essex Property Trust, Inc. (ESS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.141	Estee Lauder Companies, Inc. (EL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.142	Exact Sciences Corporation (EXAS)	N/A	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
1.3.143	Exelon Corporation (EXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.144	F5 Networks, Inc. (FFIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.145	Meta Platforms Inc. - Class A (FB)	See Endnote	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
1.3.146	Fastenal Company (FAST)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.147	Fidelity National Information Services, Inc. (FIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.148	Fifth Third Bancorp (FITB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.149	FIRST REPUBLIC BANK (FRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.150	First Trust Dow Jones Internet Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3.151	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.152	Five Below, Inc. (FIVE)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
1.3.153	FleetCor Technologies, Inc. (FLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.154	Flex Ltd. - Ordinary Shares (FLEX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.155	FLIR Systems, Inc. (FLIR)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
1.3.156	FMC Corporation (FMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.157	Ford Motor Company (F)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.158	Fortive Corporation (FTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.159	Freeport-McMoRan, Inc. (FCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.160	frontdoor, inc. (FTDR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.161	Gartner, Inc. (IT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.162	General Dynamics Corporation (GD)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
1.3.163	General Electric Company (GE)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
1.3.164	General Mills, Inc. (GIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.165	Gildan Activewear, Inc. Class A Sub. Vot. (GIL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.166	Gilead Sciences, Inc. (GILD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.167	Glacier Bancorp, Inc. (GBCI)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.168	Global Payments Inc. (GPN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.169	Globus Medical, Inc. Class A (GMED)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.170	GoDaddy Inc. Class A (GDDY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.171	Goldman Sachs Group, Inc. (GS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.172	Grand Canyon Education, Inc. (LOPE)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
1.3.173	Haemonetics Corporation (HAE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.3.174	Halozyne Therapeutics, Inc. (HALO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.175	International Equity Portfolio Institutional Class Shares (HLMIX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.3.176	HCA Healthcare, Inc. (HCA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.177	HealthEquity, Inc. (HQY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.178	Healthpeak Properties, Inc. (PEAK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.179	Heartland Express, Inc. (HTLD)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
1.3.180	Helen of Troy Limited (HELE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.181	Helios Technologies, Inc. (HLIO)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.182	The Home Depot, Inc. (HD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.183	Honeywell International Inc. (HON)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
1.3.184	Horace Mann Educators Corporation (HMN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.185	Host Hotels & Resorts, Inc. (HST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.186	Houlihan Lokey, Inc. Class A (HLI)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.187	Howmet Aerospace Inc. (HWM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.188	HP Inc. (HPQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.189	Humana Inc. (HUM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
1.3.190	Huntington Bancshares Incorporated (HBAN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.191	ICF International, Inc. (ICFI)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.192	ICU Medical, Inc. (ICUI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.193	IDACORP, Inc. (IDA)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.194	IDEXX Laboratories, Inc. (IDXX)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
1.3.195	IHS Markit Ltd. Common Shares (INFO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.196	Illinois Tool Works Inc. (ITW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.197	Illumina, Inc. (ILMN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.198	Ingersoll Rand, Inc. (IR)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.199	Integra LifeSciences Holdings Corporation (IART)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.200	Intel Corporation (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.201	Intercontinental Exchange Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.202	International Farmland Trust	See Endnote	Yes	\$100,001 - \$250,000	\$1,001 - \$2,500
1.3.203	Intuit Inc. (INTU)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.3.204	Intuitive Surgical, Inc. (ISRG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.205	IQVIA Holdings, Inc. (IQV)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3.206	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.207	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.3.208	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.3.209	iShares Expanded Tech Sector ETF (IGM)	Yes	\$1,000,001 - \$5,000,000		\$1,001 - \$2,500
1.3.210	ishares Gold Trust (IAU)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.3.211	iShares US Home Construction ETF (ITB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.3.212	iShares US Medical Devices ETF (IHI)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
1.3.213	J.M. Smucker Company (SJM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.214	Jacobs Engineering Group Inc. (JEC)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
1.3.215	Johnson & Johnson (JNJ)	See Endnote	\$50,001 - \$100,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.216	JP Morgan Chase & Co. (JPM)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.3.217	Kansas City Southern (KSU)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
1.3.218	Kellogg Company (K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.219	KeyCorp (KEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.220	Kimberly-Clark Corporation (KMB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.221	KLA-Tencor Corporation (KLAC)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.222	Kroger Company (KR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.223	L3Harris Technologies, Inc. (LHX)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
1.3.224	Lam Research Corporation (LRCX)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
1.3.225	Lamar Advertising Company - Class A (LAMR)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.226	Lamb Weston Holdings, Inc. (LW)	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
1.3.227	LHC Group - common stock (LHCG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.228	Linde plc Ordinary Share (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.229	Lithia Motors, Inc. (LAD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.230	Live Nation Entertainment, Inc. (LYV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.231	Lockheed Martin Corporation (LMT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
1.3.232	Loews Corporation (L)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.233	Lowe's Companies, Inc. (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.234	LPL Financial Holdings Inc. (LPLA)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.3.235	Lumen Technologies, Inc. (LUMN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.236	LyondellBasell Industries NV Ordinary Shares Class A (LYB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.237	M&T Bank Corporation (MTB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.238	MACOM Technology Solutions Holdings, Inc. (MTSI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.239	Marriott International - Class A (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.240	Marsh & McLennan Companies, Inc. (MMC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.241	Mastercard Incorporated (MA)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$201 - \$1,000
1.3.242	Match Group, Inc. (MTCH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.243	McCormick & Company, Incorporated (MKC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.244	McDonald's Corporation (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.245	McKesson Corporation (MCK)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
1.3.246	Medpace Holdings, Inc. (MEDP)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
1.3.247	Medtronic plc. Ordinary Shares (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.248	Merck & Company, Inc. Common Stock (MRK)	See Endnote	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
1.3.249	Meridian Bancorp, Inc. (EBSB)	See Endnote	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.250	MetLife, Inc. (MET)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.251	MFS Value Fund Class R6 Shares (MEIKX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.3.252	MGM Resorts International (MGM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.253	Microchip Technology Incorporated (MCHP)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.254	Micron Technology, Inc. (MU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.255	Microsoft Corporation (MSFT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
1.3.256	Minerals Technologies Inc. (MTX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.257	Mondelez International, Inc. - Class A (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.258	Monster Beverage Corporation (MNST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.259	Morgan Stanley (MS)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.260	MSCI Inc (MSCI)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.261	National Health Investors, Inc. (NHI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.262	National Instruments Corporation (NATI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.263	NB Private Markets Fund II (TI) LLC	See Endnote	Yes	\$100,001 - \$250,000	\$15,001 - \$50,000
1.3.264	Netflix, Inc. (NFLX)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.265	Neurocrine Biosciences, Inc. (NBIX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.266	New Oriental Education & Technology Group, Inc. Sponsored ADR representing 1 Ordinary Share (EDU)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3.267	Newmont Mining Corporation (NEM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.268	NextEra Energy, Inc. (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.269	NICE Ltd - American Depositary Shares each representing one Ordinary Share (NICE)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.270	Nike, Inc. (NKE)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$1,001 - \$2,500
1.3.271	NiSource Inc (NI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.272	Norfolk Southern Corporation (NSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.273	Northern Trust Corporation (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.274	NorthWestern Corporation (NWE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.275	Novanta Inc. - Common Shares (NOVT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.276	NRG Energy, Inc. (NRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.277	Nucor Corporation (NUE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.278	NVIDIA Corporation (NVDA)	N/A	\$500,001 - \$1,000,000	Capital Gains Dividends	\$100,001 - \$1,000,000
1.3.279	O'Reilly Automotive, Inc. (ORLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.280	OceanFirst Financial Corp. (OCFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.281	Ollie's Bargain Outlet Holdings, Inc. (OLLI)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
1.3.282	ON Semiconductor Corporation (ON)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.3.283	Oracle Corporation (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.284	Oxford Industries, Inc. (OXM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.285	PACCAR Inc. (PCAR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.286	Pacific Premier Bancorp Inc (PPBI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.287	Parker-Hannifin Corporation (PH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.288	Patrick Industries, Inc. (PATK)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.289	Paychex, Inc. (PAYX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.290	Paylocity Holding Corporation (PCTY)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
1.3.291	PayPal Holdings, Inc. (PYPL)	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
1.3.292	Pepsico, Inc. (PEP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.293	Performance Food Group Company (PFGC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.294	PerkinElmer, Inc. (PKI)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
1.3.295	Pfizer, Inc. (PFE)	See Endnote	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
1.3.296	Phreesia, Inc. (PHR)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.297	PNC Financial Services Group, Inc. (PNC)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.298	PRA Health Sciences, Inc. (PRAH)		N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.3.299	Primoris Services Corporation (PRIM)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.300	Procter & Gamble Company (PG)		N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$201 - \$1,000
1.3.301	Progressive Corporation (PGR)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.302	Progyny, Inc. (PGNY)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.303	ProLogis, Inc. (PLD)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.304	Proofpoint, Inc. (PFPT)		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.3.305	Public Service Enterprise Group Incorporated (PEG)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.306	Public Storage (PSA)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.307	PVH Corp. (PVH)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.308	QTS Realty Trust, Inc. Class A (QTS)		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
1.3.309	QUALCOMM Incorporated (QCOM)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
1.3.310	Quanta Services, Inc. (PWR)	N/A	\$50,001 - \$100,000		None (or less than \$201)	
1.3.311	Quest Diagnostics Incorporated (DGX)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
1.3.312	Rapid7, Inc. (RPD)	N/A	\$15,001 - \$50,000		None (or less than \$201)	
1.3.313	Raytheon Technologies Corporation (RTX)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500	
1.3.314	RBC Bearings Incorporated (ROLL)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	
1.3.315	Regeneron Pharmaceuticals, Inc. (REGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
1.3.316	Regions Financial Corporation (RF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
1.3.317	Republic Services, Inc. (RSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
1.3.318	Zurn Water Solutions	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
1.3.319	Ritchie Bros. Auctioneers Incorporated (RBA)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	
1.3.320	Rockwell Automation, Inc. (ROK)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
1.3.321	Rogers Corporation (ROG)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000	
1.3.322	Roku, Inc. - Class A (ROKU)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000	
1.3.323	Roper Technologies, Inc. (ROP)	N/A	\$1,001 - \$15,000		None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.324	Ross Stores, Inc. (ROST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.325	Ryanair Holdings plc Ordinary Shares (RYAOF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.326	Ryman Hospitality Properties, Inc. (RHP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.327	S&P Global Inc. (SPGI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.328	Salesforce.com Inc (CRM)	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
1.3.329	Sarepta Therapeutics, Inc. (SRPT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.330	SBA Communications Corporation - Class A (SBAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.331	Seacoast Banking Corporation of Florida (SBCF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.332	Sealed Air Corporation (SEE)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.333	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.334	Sensata Technologies Holding N.V. Ordinary Shares (ST)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.335	ServiceNow, Inc. (NOW)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.336	Sherwin-Williams Company (SHW)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.337	Silgan Holdings Inc. (SLGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.338	Silicon Laboratories, Inc. (SLAB)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.339	Simon Property Group, Inc. (SPG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.340	SiteOne Landscape Supply, Inc. (SITE)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.3.341	Skyline Champion Corporation (SKY)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.3.342	SPDR S&P Biotech ETF (XBI)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.3.343	Technology Select Sector SPDR Fund (XLK)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.3.344	Splunk Inc. (SPLK)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3.345	Block Inc. (SQ)	See Endnote	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
1.3.346	SS&C Technologies Holdings, Inc. (SSNC)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.3.347	Stag Industrial, Inc. (STAG)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
1.3.348	Starbucks Corporation (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.349	State Street Corporation (STT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.350	STERIS plc (STE)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
1.3.351	Stifel Financial Corporation (SF)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.352	Stryker Corporation (SYK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.353	Supernus Pharmaceuticals, Inc. (SUPN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.354	Syneos Health, Inc. - Class A (SYNH)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
1.3.355	Sysco Corporation (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.356	T-Mobile US, Inc. (TMUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.357	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.358	Target Corporation (TGT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.359	TE Connectivity Ltd. New Switzerland Registered Shares(TEL)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.3.360	Teladoc Health, Inc. (TDOC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.361	Teledyne Technologies Incorporated (TDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.362	Teleflex Incorporated (TFX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.363	Terminix Global Holdings, Inc. (TMX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.364	Tesla, Inc. (TSLA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.365	Texas Instruments Incorporated (TXN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.366	Texas Roadhouse, Inc. (TXRH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.367	Textron Inc. (TXT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
1.3.368	The AES Corporation (AES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.369	The Cooper Companies, Inc. (COO)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.370	The Descartes Systems Group Inc. (DSGX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.371	The Hershey Company (HSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.372	The Kraft Heinz Company (KHC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.373	The Shyft Group, Inc. (SHYF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.374	Thermo Fisher Scientific Inc (TMO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.375	Tiffany & Co. (TIF)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.376	TJX Companies, Inc. (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.377	Trane Technologies plc (TT)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.378	Transdigm Group Incorporated Transdigm Group Inc. (TDG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.379	Truist Financial Corporation (TFC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.380	Twitter, Inc. (TWTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.381	Tyson Foods, Inc. (TSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.382	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.383	Uber Technologies, Inc. (UBER)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.384	UFP Industries, Inc. (UFPI)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.385	Union Pacific Corporation (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.386	United Parcel Service, Inc. (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.387	United Rentals, Inc. (URI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.388	UnitedHealth Group Incorporated Common Stock (UNH)	See Endnote	\$15,001 - \$50,000	Capital Gains Dividends	\$50,001 - \$100,000
1.3.389	Universal Health Services, Inc. (UHS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.390	US Ecology, Inc. (ECOL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.391	V.F. Corporation (VFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.392	Varian Medical Systems, Inc. (VAR)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3.393	Ventas, Inc. (VTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.394	Veracyte, Inc. (VCYT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.395	VeriSign, Inc. (VRSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.396	Verisk Analytics, Inc. (VRSK)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
1.3.397	Verizon Communications Inc. (VZ)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
1.3.398	Vertex Pharmaceuticals Incorporated (VRTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.399	ViacomCBS Inc. - Class B (VIAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.400	Viatis Inc. (VTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.401	Viavi Solutions Inc. (VIAV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.402	Visa Inc. (V)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
1.3.403	Visteon Corporation (VC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.404	Vulcan Materials Company (VMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.405	W.R. Berkley Corporation (WRB)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.406	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
1.3.407	Walt Disney Company (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.408	Waste Management, Inc. (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.409	Waters Corporation (WAT)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.410	WEC Energy Group, Inc. (WEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.411	Wells Fargo & Company (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.412	Welltower Inc. (HCN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.413	Western Digital Corporation (WDC)	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
1.3.414	Western Union Company (WU)	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
1.3.415	Westinghouse Air Brake Technologies Corporation (WAB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.416	Westrock Company (WRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.417	WEX Inc. common stock (WEX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.418	Weyerhaeuser Company (WY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.419	WillScot Mobile Mini Holdings Corp. - Class A (WSC)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.3.420	Wolverine World Wide, Inc. (WWW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.421	Wynn Resorts, Limited (WYNN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.422	Xilinx, Inc. (XLNX)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3.423	Yum China Holdings, Inc. (YUMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.424	Yum! Brands, Inc. (YUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.425	Zions Bancorporation (ZION)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.426	Zoetis Inc. Class A (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.427	Aptiv PLC (APTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.428	Blackstone Group Inc (BX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.429	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.430	Chewy Inc. (CHWY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.431	DexCom, Inc. (DXCM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.432	RingCentral, Inc. (RNG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.433	Campbell Soup Co. (CPB)	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
1.3.434	Discovery, Inc. (DISCA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.435	DISH Network Corp. (DISH)	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
1.3.436	DocuSign, Inc. (DOCU)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.437	J.B. Hunt Transport Services, Inc. (JBHT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.3.438	Invesco Ltd. (IVZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.439	Kohl's Corp. (KSS)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.440	The Mosaic Co. (MOS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.441	NortonLifeLock Inc. (NLOK) See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.442	Norwegian Cruise Line Holdings Ltd. (NCLH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.443	Repligen Corp. (RGEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.444	Snap-On, Inc. (SNA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.445	TransUnion (TRU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.446	Wayfair, Inc. (W)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.447	Whirlpool Corp. (WHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.448	Bloom Energy Corporation (BE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.449	Nuveen ESG Small-Cap ETF (NUSC)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.3.450	ASML Holdings NV (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.451	Atlas Copco AB (ATCOASS) See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.452	BHP Billiton Limited NPV (BHPAU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.453	Dassault Systems (DSY FP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.454	DBS Group Holdings (DBSSP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.455	Diageo PLC (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.456	Fanuc Corp (6954 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.457	Keyence Corp (6861 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.458	LVMH Moet Hennessy Louis Vuitton (LVMU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.459	Nidec Corp (6594 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.460	Nestle SA (NESN SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.461	NXP Semiconductors NV (NXPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.462	Prosus NV (PRX NV)	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
1.3.463	Roche Holdings (ROG SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.464	Sea Ltd. (SE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.465	Shopify Inc. (SHOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.466	Volkswagen AG (VOW3 GR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.467	Columbia Emerging Markets Fund Institutional 3 Class Shares (CEKYX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.468	iShares Core MSCI Emerging Markets ETF (IEMG)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.3.469	Taiwan Semiconductor Mfg Ltd (TSM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.470	AstraZeneca PLC SPND ADR		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.471	Regal Rexnord Corp (RRX)	See Endnote	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.472	Canadian Pacific Railway Ltd.		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.473	iShares U.S. ETF TR ISHS GSCI Commodity Dynamic Roll Strategy ETF		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.3.474	Cadence Design Systems, Inc. (CDNS)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.475	Chevron Corp. (CVX)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.476	Cognizant Technology Solutions Corp. (CTSH)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.477	ConocoPhillips (COP)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.478	CrowdStrike Holdings Inc. (CRWD)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.479	EOG Resources, Inc. (EOG)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.480	Exxon Mobil Corp. (XOM)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.481	Fortinet, Inc. (FTNT)		N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.482	Moody's Corp. (MCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.483	Motorola Solutions, Inc. (MSI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.484	Philip Morris International, Inc. (PM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.485	Pioneer Natural Resources Co. (PXD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.486	Synopsys, Inc. (SNPS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.487	VMware, Inc. (VMW)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)
1.3.488	ANSYS, Inc. (ANSS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.489	Dentsply Sirona, Inc. (XRAY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.490	Devon Energy Corp. (DVN)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)
1.3.491	EPAM Systems, Inc. (EPAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.492	Equifax, Inc. (EFX)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)
1.3.493	Extra Space Storage, Inc. (EXR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.494	Generac Holdings, Inc. (GNRC)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)
1.3.495	Liberty Media Corp. (FWONK)	See Endnote	N/A	\$50,001 - \$100,000	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.496	Paycom Software, Inc. (PAYC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.497	ResMed, Inc. (RMD)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.498	Tractor Supply Co. (TSCO)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.499	Tyler Technologies, Inc. (TYL)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.500	Vanguard Real Estate Index Fund ETF Shares (VNQ)		Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3.501	West Pharmaceutical Services, Inc. (WST)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.502	The Williams Cos., Inc. (WMB)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.503	ChemoCentryx, Inc. (CCXI)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.504	DT Midstream Inc. (DTM)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.505	Enphase Energy, Inc. (ENPH)		N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.506	Independent Bank Corp. (Massachusetts) (INDB)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.507	Intra-Cellular Therapies, Inc. (ITCI)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.508	Magnolia Oil & Gas Corp. (MGY)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.509	Matador Resources Co. (MTDR)		N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.510	Open Lending Corp. (LPRO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.511	Organon and Co. (OGN)	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
1.3.512	PayCor HCM Inc. (PYCR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.513	Redfin Corp. (RDFN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.514	Revolve Group Inc. (RVLV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.515	SPX Corp. (SPXC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.516	Terex Corp. (TEX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.517	Vroom Inc. (VRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.518	Daimler A	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.519	Icon PLC (ICLR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.520	iShares MSCI Canada ETF (EWC)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.521	Johnson Controls International Plc (JCI)	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
1.3.522	Royal Dutch Shell PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.523	iShares MSCI Emerging Markets ex China ETF (EMXC)	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.3.524	Wix.com Ltd. (WIX)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Brokerage Account #4	No			
1.4.1	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.4.2	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
1.4.3	U.S. Bank Account #1 - cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
1.4.4	U.S. Bank Account #2 - cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
1.4.5	U.S. Bank Account #3 - cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
1.4.6	U.S. Bank Account #4 - cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
1.4.7	Archer-Daniels-Midland Co. (ADM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.4.8	Ebix, Inc. (EBIX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.4.9	Franco-Nevada Corp. (FNV)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.4.10	Madison Square Garden Entertainment Corp. (MSGE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4.11	Mastercard, Inc. (MA)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.4.12	MicroStrategy, Inc. (MSTR)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.4.13	Moody's Corp (MCO)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.4.14	Pan American Silver Corp (PAAS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4.15	PLDT Inc. (PHI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4.16	Texas Pacific Land Corp (TPL)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.4.17	Visa, Inc. (V)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.4.18	Wheaton Precious Metals Corp (WPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.4.19	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
1.4.20	Credit Suisse Floating Rate High Income Fund Institutional Class Shares (CSHIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.4.21	Fidelity Money Market Portfolio Institutional Class (FNSXX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.4.22	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.4.23	Allspring Specialized Technology Fund Institutional Class (WFTIX)	See Endnote	Yes	\$15,001 - \$50,000	\$2,501 - \$5,000
1.4.24	T Rowe Price Health Sciences Fund, Inc (PRHSX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.4.25	Allspring Money Market Fund Premier Class Shares (WMPXX)	See Endnote	Yes	\$500,001 - \$1,000,000	\$201 - \$1,000
1.4.26	U.S. Bank Account #5 - cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
1.4.27	Lamar Advertising Co. (LAMR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.4.28	Listed Funds Horizon Kinetics Inflation Beneficiaries ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.4.29	U.S. Treasury Notes	N/A	\$250,001 - \$500,000	Capital Gains Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4.30	Baron Opportunity Fund Institutional Class Shares (BIOIX)		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.4.31	BlackRock Technology Opportunities Fund Institutional Shares (BGSIX)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.5	AB Energy Opportunity Fund		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.6	BlackRock Special Credit Opportunities Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
1.7	Carlyle Energy Mezzanine Access ASP Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
1.8	Ecosystem Integrity Fund	See Endnote	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.9	11666 Mayfield Avenue, LLC		No			
1.9.1	Residential Real Property, Los Angeles, CA	See Endnote	N/A	\$15,001 - \$50,000	Interest Rent or Royalties	\$1,001 - \$2,500
1.10	11677-11683 Goshen Avenue, LLC		No			
1.10.1	Residential Real Property, Los Angeles, CA	See Endnote	N/A	\$100,001 - \$250,000	Interest Rent or Royalties	\$5,001 - \$15,000
1.11	11832 Kiowa Avenue, LLC		No			
1.11.1	Residential Real Property, Los Angeles, CA	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest Rent or Royalties	\$100,001 - \$1,000,000
1.12	150 Main St. LLC		No			
1.12.1	Residential Real Property, Torrance, CA	See Endnote	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
1.13	7513 Fountain Avenue, LLC		No			
1.13.1	Residential Real Property, Los Angeles, CA	See Endnote	N/A	\$100,001 - \$250,000	Interest Rent or Royalties	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.14	CP Pavillion UVA		No			
1.14.1	Residential Real Property, Charlottesville, VA	See Endnote	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
1.15	EXP 17760 Rowland LLC		No			
1.15.1	Industrial Real Property, Los Angeles, CA		N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
1.16	EXP 4545 Brooks, LLC		No			
1.16.1	Industrial Real Property, Los Angeles, CA		N/A	\$50,001 - \$100,000	Rent or Royalties	\$1,001 - \$2,500
1.17	Raymond James Multi-Margin Account B		No			
1.17.1	SECONDARY OPPORTUNITIES FD III PCS FEEDER US LP-EIF	See Endnote	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.17.2	US brokerage sweep account (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
1.18	Rosehedge Pico Rivera LLC		No			
1.18.1	Residential Real Property, Pico Rivera, CA	See Endnote	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
1.19	City National Securities		No			
1.19.1	US brokerage sweep account (cash)		N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
2	New York 529 - DC1		No			
2.1	JPMorgan 529 Age Based 6-8 C		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2	JPMorgan 529 Age Based 6-8 A	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	New York 529 - DC2		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	JPMorgan 529 Age Based 6-8 C		Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	JPMorgan 529 Age Based 6-8 A	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Family trust #1		No			
4.1	Lincoln Financial, variable life		No			
4.1.1	LVIP Delaware Mid Cap Value SC	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.1.2	LVIP Global Cons Alloc MR SC	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.1.3	LVIP Vanguard Domestic Equity	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.1.4	LVIP Vanguard Int Equity	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	Pacific Life Insurance Co, universal life		N/A	\$250,001 - \$500,000		None (or less than \$201)
4.3	Prudential Financial, universal life	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.4	Prudential Financial, universal life		N/A	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Halozyme Therapeutics, Inc. (HALO)	Purchase	08/25/2021	\$1,001 - \$15,000
2	Open Lending Corp (LPRO)	Purchase	08/25/2021	\$1,001 - \$15,000
3	Endava PLC (DAVA)	Sale	08/25/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	Lithia Motors, Inc. (LAD)	Sale	08/25/2021	\$1,001 - \$15,000
5	IDEXX Laboratories, Inc. (IDXX)	Sale	08/27/2021	\$15,001 - \$50,000
6	NVIDIA Corp. (NVDA)	Sale	08/27/2021	\$15,001 - \$50,000
7	Syneos Health, Inc. (SYNH)	Sale	08/25/2021	\$1,001 - \$15,000
8	Put Visa, Inc. (V) @ \$215 Exp 9/17/21	See Endnote	08/26/2021	\$1,001 - \$15,000
9	Put Apple, Inc. (AAPL)	See Endnote	08/26/2021	\$1,001 - \$15,000
10	Put JPMorgan Chase & Co. (JPM)	See Endnote	08/26/2021	\$1,001 - \$15,000
11	Put Microsoft Corp. (MSFT)	See Endnote	08/26/2021	\$1,001 - \$15,000
12	Put Advanced Micro Devices, Inc. (AMD)	See Endnote	08/26/2021	\$1,001 - \$15,000
13	Put Netflix, Inc. (NFLX)	See Endnote	08/26/2021	\$1,001 - \$15,000
14	Put Facebook, Inc. (FB)	See Endnote	08/26/2021	\$1,001 - \$15,000
15	Put iShares Russell 2000 ETF (IWM)	See Endnote	08/26/2021	\$1,001 - \$15,000
16	Put PayPal Holdings, Inc. (PYPL)	See Endnote	08/26/2021	\$1,001 - \$15,000
17	Put Pioneer Natural Resources Co. (PXD)	See Endnote	08/26/2021	\$1,001 - \$15,000
18	Put Square, Inc. (SQ)	See Endnote	08/26/2021	\$1,001 - \$15,000
19	Put Starbucks Corp. (SBUX)	See Endnote	08/26/2021	\$1,001 - \$15,000
20	Put The Goldman Sachs Group, Inc. (GS)	See Endnote	08/26/2021	\$1,001 - \$15,000
21	Put Applied Materials, Inc. (AMAT)	See Endnote	08/26/2021	\$1,001 - \$15,000
22	Put Caterpillar, Inc. (CAT)	See Endnote	08/26/2021	\$1,001 - \$15,000
23	Put The Boeing Co. (BA)	See Endnote	08/26/2021	\$1,001 - \$15,000
24	Adobe, Inc. (ADBE)	See Endnote	08/26/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
25	Put Mastercard, Inc. (MA)	See Endnote		08/26/2021	\$1,001 - \$15,000
26	Put NIKE, Inc. (NKE)	See Endnote		08/26/2021	\$1,001 - \$15,000
27	Put VanEck Vectors Oil Services ETF (OIH)	See Endnote		08/26/2021	\$1,001 - \$15,000
28	Put NVIDIA Corp. (NVDA)	See Endnote		08/26/2021	\$1,001 - \$15,000
29	Put Alphabet, Inc. (GOOG)	See Endnote		08/26/2021	\$1,001 - \$15,000
30	San Mateo Foster City Cal. Pub. Financin Auth. Rev. Bonds		Purchase	09/13/2021	\$100,001 - \$250,000
31	Credit Suisse Floating Rate High Income Fund Institutional Class Shares (CSHIX)		Purchase	09/01/2021	\$1,001 - \$15,000
32	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)		Purchase	09/22/2021	\$1,001 - \$15,000
33	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX)		Purchase	09/01/2021	\$1,001 - \$15,000
34	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)		Purchase	09/01/2021	\$1,001 - \$15,000
35	Icon PLC (ICLR)	See Endnote	Exchange	09/29/2021	\$15,001 - \$50,000
36	QTS Realty Trust, Inc. (QTS)		Sale	09/01/2021	\$15,001 - \$50,000
37	Boeing Co (BA)		Sale	10/18/2021	\$250,001 - \$500,000
38	Microsoft Corp. (MSFT)		Sale	10/18/2021	\$500,001 - \$1,000,000
39	iShares Nasdaq Biotechnology ETF (IBB)		Sale	10/18/2021	\$50,001 - \$100,000
40	iShares US Healthcare ETF (IYH)		Sale	10/18/2021	\$250,001 - \$500,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
41	California State Public Works Bonds		Purchase	10/20/2021	\$50,001 - \$100,000
42	Perris Union High School District, CA, GO bonds		Purchase	10/07/2021	\$250,001 - \$500,000
43	Credit Suisse Floating Rate High Income Fund Institutional Class Shares (CSHIX)		Purchase	10/01/2021	\$1,001 - \$15,000
44	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)		Purchase	10/01/2021	\$1,001 - \$15,000
45	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX)		Purchase	10/01/2021	\$1,001 - \$15,000
46	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)		Sale	10/26/2021	\$15,001 - \$50,000
47	Pershing Square Tontine Holdings Ltd. (PSTH)		Sale	10/26/2021	\$1,001 - \$15,000
48	T Rowe Price Health Sciences Fund, Inc (PRHSX)		Sale	10/26/2021	\$15,001 - \$50,000
49	Alexion Pharmaceuticals, Inc. (ALXN)	See Endnote	Exchange	10/20/2021	\$1,001 - \$15,000
50	UnitedHealth Group, Inc. (UNH)		Sale	10/22/2021	\$100,001 - \$250,000
51	SPDR S&P Biotech ETF (XBI)		Sale	10/22/2021	\$100,001 - \$250,000
52	Airbus SE		Sale	10/22/2021	\$1,001 - \$15,000
53	Accenture Plc (ACN)		Sale	10/22/2021	\$15,001 - \$50,000
54	Boeing Co (BA)		Sale	10/22/2021	\$1,001 - \$15,000
55	Microsoft Corp. (MSFT)		Sale	10/22/2021	\$250,001 - \$500,000
56	Anthem, Inc. (ANTM)		Sale	10/22/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
57	Cardinal Health, Inc. (CAH)	Sale	10/22/2021	\$1,001 - \$15,000
58	Centene Corp. (CNC)	Sale	10/22/2021	\$1,001 - \$15,000
59	General Dynamics Corp. (GD)	Sale	10/22/2021	\$1,001 - \$15,000
60	General Electric Co. (GE)	Sale	10/22/2021	\$1,001 - \$15,000
61	Honeywell International, Inc. (HON)	Sale	10/22/2021	\$15,001 - \$50,000
62	Johnson & Johnson (JNJ)	Sale	10/22/2021	\$50,001 - \$100,000
63	Humana, Inc. (HUM)	Sale	10/22/2021	\$1,001 - \$15,000
64	L3Harris Technologies, Inc. (LHX)	Sale	10/22/2021	\$1,001 - \$15,000
65	Lockheed Martin Corp. (LMT)	Sale	10/22/2021	\$1,001 - \$15,000
66	McKesson Corp. (MCK)	Sale	10/22/2021	\$1,001 - \$15,000
67	Merck & Co., Inc. (MRK)	Sale	10/22/2021	\$15,001 - \$50,000
68	Pfizer Inc. (PFE)	Sale	10/22/2021	\$15,001 - \$50,000
69	Raytheon Co. (RTN)	Sale	10/22/2021	\$1,001 - \$15,000
70	Textron, Inc. (TXT)	Sale	10/22/2021	\$1,001 - \$15,000
71	Verizon Communications, Inc. (VZ)	Sale	10/22/2021	\$15,001 - \$50,000
72	BlackRock Special Credit Opportunities ASP Fund	Sale	11/15/2021	\$1,001 - \$15,000
73	Carlyle Energy Mezzanine ASP Fund	Sale	11/15/2021	\$15,001 - \$50,000
74	Credit Suisse Floating Rate High Income Fund Institutional Class Shares (CSHIX)	Purchase	11/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
75	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Purchase	11/01/2021	\$1,001 - \$15,000
76	Listed Funds Horizon Kinetics Inflation Beneficiaries	Purchase	11/04/2021	\$50,001 - \$100,000
77	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX)	Purchase	11/01/2021	\$1,001 - \$15,000
78	Baron Opportunity Fund Institutional Class Shares (BIOIX)	Purchase	11/24/2021	\$15,001 - \$50,000
79	Adobe, Inc. (ADBE)	Purchase	11/12/2021	\$100,001 - \$250,000
80	PUT SPDR S&P 500 ETF Trust (SPY) See Endnote		11/12/2021	\$1,001 - \$15,000
81	Advanced Micro Devices, Inc. (AMD)	Purchase	11/12/2021	\$100,001 - \$250,000
82	Alphabet, Inc. (GOOGL)	Sale	11/12/2021	\$100,001 - \$250,000
83	Amazon.com, Inc. (AMZN)	Sale	11/12/2021	\$250,001 - \$500,000
84	Apple, Inc. (AAPL)	Sale	11/12/2021	\$1,000,001 - \$5,000,000
85	Applied Materials, Inc. (AMAT)	Purchase	11/12/2021	\$100,001 - \$250,000
86	Caterpillar, Inc. (CAT)	Purchase	11/12/2021	\$100,001 - \$250,000
87	The Walt Disney Co. (DIS)	Purchase	11/12/2021	\$100,001 - \$250,000
88	EOG Resources, Inc. (EOG)	Purchase	11/12/2021	\$100,001 - \$250,000
89	The Goldman Sachs Group, Inc. (GS)	Purchase	11/12/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
90	iShares Cohen & Steers REIT ETF (ICF)	Sale	11/12/2021	\$100,001 - \$250,000
91	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Purchase	11/12/2021	\$100,001 - \$250,000
92	iShares Russell 2000 ETF (IWM)	Purchase	11/12/2021	\$100,001 - \$250,000
93	lululemon athletica, Inc. (LULU)	Purchase	11/12/2021	\$100,001 - \$250,000
94	JPMorgan Chase & Co. (JPM)	Sale	11/12/2021	\$50,001 - \$100,000
95	Netflix, Inc. (NFLX)	Sale	11/12/2021	\$250,001 - \$500,000
96	NIKE, Inc. (NKE)	Purchase	11/12/2021	\$100,001 - \$250,000
97	NVIDIA Corp. (NVDA)	Sale	11/12/2021	\$250,001 - \$500,000
98	PayPal Holdings, Inc. (PYPL)	Sale	11/12/2021	\$50,001 - \$100,000
99	Pioneer Natural Resources Co. (PXD)	Sale	11/12/2021	\$100,001 - \$250,000
100	Roku, Inc. (ROKU)	Purchase	11/12/2021	\$100,001 - \$250,000
101	SPDR S&P MidCap 400 ETF (MDY)	Purchase	11/12/2021	\$100,001 - \$250,000
102	SPDR S&P 500 ETF Trust (SPY)	Purchase	11/12/2021	\$100,001 - \$250,000
103	Schlumberger NV (SLB)	Purchase	11/12/2021	\$100,001 - \$250,000
104	Square, Inc. (SQ)	Purchase	11/12/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
105	Tesla, Inc. (TSLA)	Purchase	11/12/2021	\$100,001 - \$250,000
106	Starbucks Corp. (SBUX)	Purchase	11/12/2021	\$100,001 - \$250,000
107	Adobe, Inc. (ADBE)	Sale	11/15/2021	\$50,001 - \$100,000
108	Advanced Micro Devices, Inc. (AMD)	Purchase	11/15/2021	\$15,001 - \$50,000
109	Alphabet, Inc. (GOOGL)	Purchase	11/15/2021	\$1,001 - \$15,000
110	Amazon.com, Inc. (AMZN)	Purchase	11/15/2021	\$15,001 - \$50,000
111	Apple, Inc. (AAPL)	Purchase	11/15/2021	\$15,001 - \$50,000
112	Applied Materials, Inc. (AMAT)	Sale	11/15/2021	\$15,001 - \$50,000
113	The Walt Disney Co. (DIS)	Sale	11/15/2021	\$50,001 - \$100,000
114	Caterpillar, Inc. (CAT)	Sale	11/15/2021	\$100,001 - \$250,000
115	The Goldman Sachs Group, Inc. (GS)	Sale	11/15/2021	\$50,001 - \$100,000
116	EOG Resources, Inc. (EOG)	Sale	11/15/2021	\$100,001 - \$250,000
117	iShares Russell 2000 ETF (IWM)	Purchase	11/15/2021	\$250,001 - \$500,000
118	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Purchase	11/15/2021	\$100,001 - \$250,000
119	JPMorgan Chase & Co. (JPM)	Sale	11/15/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
120	lululemon athletica, Inc. (LULU)	Sale	11/15/2021	\$100,001 - \$250,000
121	Netflix, Inc. (NFLX)	Sale	11/15/2021	\$15,001 - \$50,000
122	NIKE, Inc. (NKE)	Sale	11/15/2021	\$100,001 - \$250,000
123	PayPal Holdings, Inc. (PYPL)	Purchase	11/15/2021	\$15,001 - \$50,000
124	NVIDIA Corp. (NVDA)	Purchase	11/15/2021	\$250,001 - \$500,000
125	Roku, Inc. (ROKU)	Sale	11/15/2021	\$100,001 - \$250,000
126	Pioneer Natural Resources Co. (PXD)	Sale	11/15/2021	\$100,001 - \$250,000
127	SPDR S&P 500 ETF Trust (SPY)	Purchase	11/15/2021	\$500,001 - \$1,000,000
128	SPDR S&P MidCap 400 ETF (MDY)	Purchase	11/15/2021	\$250,001 - \$500,000
129	Schlumberger NV (SLB)	Sale	11/15/2021	\$50,001 - \$100,000
130	Square, Inc. (SQ)	Sale	11/15/2021	\$100,001 - \$250,000
131	Starbucks Corp. (SBUX)	Sale	11/15/2021	\$100,001 - \$250,000
132	Tesla, Inc. (TSLA)	Sale	11/15/2021	\$100,001 - \$250,000
133	iShares Core S&P Small-Cap ETF (IJR)	Purchase	11/18/2021	\$100,001 - \$250,000
134	iShares U.S. ETF TR ISHS GSCI Commodity Dynamic Roll Strategy ETF	Purchase	11/18/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
135	Tesla, Inc. (TSLA)	Purchase	12/01/2021	\$1,001 - \$15,000
136	Alibaba Group Holdings Ltd (BABA)	Sale	11/18/2021	\$100,001 - \$250,000
137	Meridian Bancorp, Inc. (EBSB) See Endnote	Exchange	11/15/2021	\$1,001 - \$15,000
138	Credit Suisse Floating Rate High Income Fund Institutional Class Shares (CSHIX)	Purchase	12/01/2021	\$1,001 - \$15,000
139	Cognyte Software Ltd.	Sale	12/02/2021	\$15,001 - \$50,000
140	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Purchase	12/01/2021	\$1,001 - \$15,000
141	Katapult Holdings Inc.	Sale	12/02/2021	\$1,001 - \$15,000
142	BurgerFi Intl Inc.	Sale	12/02/2021	\$1,001 - \$15,000
143	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX)	Purchase	12/01/2021	\$1,001 - \$15,000
144	Mastercard, Inc. (MA)	Sale	12/02/2021	\$50,001 - \$100,000
145	Tencent Music Entertainment Group	Sale	12/02/2021	\$1,001 - \$15,000
146	PayPal Holdings, Inc. (PYPL)	Purchase	12/02/2021	\$15,001 - \$50,000
147	Visa, Inc. (V)	Purchase	12/02/2021	\$15,001 - \$50,000
148	BlackRock Technology Opportunities Fund Institutional Shares (BGSIX)	Purchase	12/08/2021	\$1,001 - \$15,000
149	Wells Fargo Specialized Technology Fund Institutional Class Shares (WFTIX)	Purchase	12/10/2021	\$1,001 - \$15,000
150	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)	Purchase	12/23/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
151	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)		Purchase	12/31/2021	\$1,001 - \$15,000
152	Kansas City Southern (KSU)	See Endnote	Exchange	12/16/2021	\$1,001 - \$15,000
153	Daimler Truck Holding	See Endnote	Exchange	12/16/2021	\$1,001 - \$15,000
154	Amdoc Limited		Purchase	12/14/2021	\$1,001 - \$15,000
155	Trane Technologies PLC		Purchase	12/14/2021	\$15,001 - \$50,000
156	Flex Ltd.		Purchase	12/14/2021	\$1,001 - \$15,000
157	Castle Biosciences Inc.		Purchase	12/14/2021	\$1,001 - \$15,000
158	CarMax, Inc. (KMX)		Purchase	12/14/2021	\$1,001 - \$15,000
159	BioMarin Pharmaceutical Inc. (BMRN)		Purchase	12/14/2021	\$15,001 - \$50,000
160	Dentsply Sirona, Inc. (XRAY)		Purchase	12/14/2021	\$1,001 - \$15,000
161	ChemoCentryx, Inc. (CCXI)		Purchase	12/14/2021	\$1,001 - \$15,000
162	Elanco Animal Health, Inc. (ELAN)		Purchase	12/14/2021	\$1,001 - \$15,000
163	Chewy Inc.		Purchase	12/14/2021	\$1,001 - \$15,000
164	CoStar Group, Inc. (CSGP)		Purchase	12/14/2021	\$15,001 - \$50,000
165	J.B. Hunt Transport Services, Inc. (JBHT)		Purchase	12/14/2021	\$1,001 - \$15,000
166	LPL Financial Holdings, Inc. (LPLA)		Purchase	12/14/2021	\$1,001 - \$15,000
167	EXACT Sciences Corp. (EXAS)		Purchase	12/14/2021	\$15,001 - \$50,000
168	LHC Group, Inc. (LHCG)		Purchase	12/14/2021	\$1,001 - \$15,000
169	Magnolia Oil & Gas Corp. (MGY)		Purchase	12/14/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
170	SS&C Technologies Holdings, Inc. (SSNC)	Purchase	12/14/2021	\$1,001 - \$15,000
171	Matador Resources Co. (MTDR)	Purchase	12/14/2021	\$15,001 - \$50,000
172	Match Group, Inc. (MTCH)	Purchase	12/14/2021	\$15,001 - \$50,000
173	Teleflex, Inc. (TFX)	Purchase	12/14/2021	\$1,001 - \$15,000
174	NorthWestern Corp. (NWE)	Purchase	12/14/2021	\$1,001 - \$15,000
175	PayPal Holdings, Inc. (PYPL)	Purchase	12/14/2021	\$15,001 - \$50,000
176	Paycor HCM Inc.	Purchase	12/14/2021	\$1,001 - \$15,000
177	Quanta Services, Inc. (PWR)	Purchase	12/14/2021	\$15,001 - \$50,000
178	RingCentral, Inc. (RNG)	Purchase	12/14/2021	\$1,001 - \$15,000
179	Performance Food Group Co. (PFGC)	Purchase	12/14/2021	\$1,001 - \$15,000
180	Primoris Services Corp. (PRIM)	Purchase	12/14/2021	\$1,001 - \$15,000
181	RBC Bearings, Inc. (ROLL)	Purchase	12/14/2021	\$1,001 - \$15,000
182	Uber Technologies, Inc. (UBER)	Purchase	12/14/2021	\$15,001 - \$50,000
183	SPX Corp. (SPXC)	Purchase	12/14/2021	\$1,001 - \$15,000
184	Visa, Inc. (V)	Purchase	12/14/2021	\$15,001 - \$50,000
185	Supernus Pharmaceuticals, Inc. (SUPN)	Purchase	12/14/2021	\$1,001 - \$15,000
186	Terex Corp. (TEX)	Purchase	12/14/2021	\$1,001 - \$15,000
187	Dentsply Sirona, Inc. (XRAY)	Purchase	12/15/2021	\$15,001 - \$50,000
188	Elanco Animal Health, Inc. (ELAN)	Purchase	12/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
189	Teleflex, Inc. (TFX)	Purchase	12/15/2021	\$1,001 - \$15,000	
190	Dentsply Sirona, Inc. (XRAY)	Purchase	12/16/2021	\$1,001 - \$15,000	
191	Cerence Inc.	Purchase	12/20/2021	\$1,001 - \$15,000	
192	Minerals Technologies, Inc. (MTX)	Purchase	01/20/2022	\$1,001 - \$15,000	
193	Phreesia, Inc. (PHR)	Purchase	12/20/2021	\$1,001 - \$15,000	
194	Wayfair, Inc. (W)	Purchase	12/20/2021	\$1,001 - \$15,000	
195	Medtronic Plc (MDT)	Purchase	12/21/2021	\$1,001 - \$15,000	
196	Abbott Laboratories (ABT)	Purchase	12/21/2021	\$15,001 - \$50,000	
197	Adobe, Inc. (ADBE)	Purchase	12/21/2021	\$1,001 - \$15,000	
198	Alphabet, Inc. (GOOG)	Purchase	12/21/2021	\$15,001 - \$50,000	
199	Amazon.com, Inc. (AMZN)	Purchase	12/21/2021	\$15,001 - \$50,000	
200	Amgen Inc. (AMGN)	Purchase	12/21/2021	\$1,001 - \$15,000	
201	ANSYS, Inc. (ANSS)	Purchase	12/21/2021	\$1,001 - \$15,000	
202	Anthem, Inc. (ANTM)	See Endnote	Purchase	12/21/2021	\$1,001 - \$15,000
203	Automatic Data Processing, Inc. (ADP)	Purchase	12/21/2021	\$15,001 - \$50,000	
204	Becton, Dickinson and Company (BDX)	Purchase	12/21/2021	\$1,001 - \$15,000	
205	Bristol-Myers Squibb (BMY)	Purchase	12/21/2021	\$1,001 - \$15,000	
206	Cadence Design Systems, Inc. (CDNS)	Purchase	12/21/2021	\$15,001 - \$50,000	
207	Chevron Corp. (CVX)	Purchase	12/21/2021	\$15,001 - \$50,000	

#	DESCRIPTION		TYPE	DATE	AMOUNT
208	ConocoPhillips (COP)		Purchase	12/21/2021	\$1,001 - \$15,000
209	Danaher Corp. (DHR)		Purchase	12/21/2021	\$1,001 - \$15,000
210	DexCom, Inc. (DXCM)		Purchase	12/21/2021	\$1,001 - \$15,000
211	EOG Resources, Inc. (EOG)		Purchase	12/21/2021	\$1,001 - \$15,000
212	EPAM Systems, Inc. (EPAM)		Purchase	12/21/2021	\$1,001 - \$15,000
213	Extra Space Storage, Inc. (EXR)		Purchase	12/21/2021	\$1,001 - \$15,000
214	Exxon Mobil Corp. (XOM)		Purchase	12/21/2021	\$15,001 - \$50,000
215	Facebook, Inc. (FB)		Purchase	12/21/2021	\$1,001 - \$15,000
216	Fortinet, Inc. (FTNT)		Purchase	12/21/2021	\$15,001 - \$50,000
217	Gilead Sciences, Inc. (GILD)		Purchase	12/21/2021	\$1,001 - \$15,000
218	Intuit, Inc. (INTU)		Purchase	12/21/2021	\$1,001 - \$15,000
219	Johnson & Johnson (JNJ)	See Endnote	Purchase	12/21/2021	\$50,001 - \$100,000
220	Merck & Co., Inc. (MRK)	See Endnote	Purchase	12/21/2021	\$15,001 - \$50,000
221	Moody's Corp. (MCO)		Purchase	12/21/2021	\$1,001 - \$15,000
222	Motorola Solutions, Inc. (MSI)		Purchase	12/21/2021	\$1,001 - \$15,000
223	Paycom Software, Inc. (PAYC)		Purchase	12/21/2021	\$1,001 - \$15,000
224	NVIDIA Corp. (NVDA)		Purchase	12/21/2021	\$1,001 - \$15,000
225	Paychex, Inc. (PAYX)		Purchase	12/21/2021	\$1,001 - \$15,000
226	Pfizer Inc. (PFE)	See Endnote	Purchase	12/21/2021	\$15,001 - \$50,000
227	Philip Morris International, Inc. (PM)		Purchase	12/21/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
228	Pioneer Natural Resources Co. (PXD)		Purchase	12/21/2021	\$1,001 - \$15,000
229	Procter & Gamble Co. (PG)		Purchase	12/21/2021	\$15,001 - \$50,000
230	Public Storage (PSA)		Purchase	12/21/2021	\$1,001 - \$15,000
231	Regeneron Pharmaceuticals, Inc. (REGN)		Purchase	12/21/2021	\$1,001 - \$15,000
232	ResMed, Inc. (RMD)		Purchase	12/21/2021	\$1,001 - \$15,000
233	SBA Communications Corp. (SBAC)		Purchase	12/21/2021	\$1,001 - \$15,000
234	salesforce.com, inc. (CRM)		Purchase	12/21/2021	\$15,001 - \$50,000
235	ServiceNow, Inc. (NOW)		Purchase	12/21/2021	\$15,001 - \$50,000
236	Synopsys, Inc. (SNPS)		Purchase	12/21/2021	\$15,001 - \$50,000
237	Tesla, Inc. (TSLA)		Purchase	12/21/2021	\$1,001 - \$15,000
238	Tyler Technologies, Inc. (TYL)		Purchase	12/21/2021	\$1,001 - \$15,000
239	UnitedHealth Group, Inc. (UNH)	See Endnote	Purchase	12/21/2021	\$50,001 - \$100,000
240	VeriSign, Inc. (VRSN)		Purchase	12/21/2021	\$1,001 - \$15,000
241	Vertex Pharmaceuticals, Inc. (VRTX)		Purchase	12/21/2021	\$1,001 - \$15,000
242	Visa, Inc. (V)		Purchase	12/21/2021	\$1,001 - \$15,000
243	Waste Management, Inc. (WM)		Purchase	12/21/2021	\$1,001 - \$15,000
244	West Pharmaceutical Services, Inc. (WST)		Purchase	12/21/2021	\$1,001 - \$15,000
245	Williams Companies		Purchase	12/21/2021	\$1,001 - \$15,000
246	Zoetis, Inc. (ZTS)		Purchase	12/21/2021	\$1,001 - \$15,000
247	HealthEquity, Inc. (HXY)		Purchase	12/28/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
248	BioMarin Pharmaceutical Inc. (BMRN)	Purchase	12/28/2021	\$1,001 - \$15,000
249	Intra-Cellular Therapies, Inc. (ITCI)	Purchase	12/28/2021	\$1,001 - \$15,000
250	Chewy Inc.	Purchase	12/21/2021	\$1,001 - \$15,000
251	CoStar Group, Inc. (CSGP)	Purchase	12/28/2021	\$1,001 - \$15,000
252	CrowdStrike Holdings Inc.	Purchase	12/28/2021	\$15,001 - \$50,000
253	DocuSign, Inc. (DOCU)	Purchase	12/28/2021	\$15,001 - \$50,000
254	Enphase Energy, Inc. (ENPH)	Purchase	12/28/2021	\$1,001 - \$15,000
255	salesforce.com, inc. (CRM)	Purchase	12/28/2021	\$1,001 - \$15,000
256	Square, Inc. (SQ)	Purchase	12/28/2021	\$1,001 - \$15,000
257	iShares MSCI Canada ETF (EWC)	Purchase	12/31/2021	\$100,001 - \$250,000
258	iShares MSCI Emerging Markets ex China ETF (EMXC)	Purchase	12/31/2021	\$250,001 - \$500,000
259	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Purchase	12/31/2021	\$100,001 - \$250,000
260	PayPal Holdings, Inc. (PYPL)	Purchase	12/31/2021	\$1,001 - \$15,000
261	Atlassian Corp PLC	Sale	12/06/2021	\$1,001 - \$15,000
262	Tencent Holdings Ltd.	Sale	12/06/2021	\$1,001 - \$15,000
263	Visa, Inc. (V)	Purchase	12/31/2021	\$1,001 - \$15,000
264	Balchem Corp. (BCPC)	Sale	12/06/2021	\$1,001 - \$15,000
265	Aon Plc (AON)	Sale	12/14/2021	\$1,001 - \$15,000
266	Activision Blizzard, Inc. (ATVI)	Sale	12/14/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
267	Azenta Inc.	Sale	12/14/2021	\$1,001 - \$15,000
268	Adobe, Inc. (ADBE)	Sale	12/14/2021	\$15,001 - \$50,000
269	Bloom Energy Corporation (BE)	Sale	12/14/2021	\$1,001 - \$15,000
270	Compass Minerals International, Inc. (CMP)	Sale	12/14/2021	\$1,001 - \$15,000
271	Emergent BioSolutions, Inc. (EBS)	Sale	12/14/2021	\$1,001 - \$15,000
272	Costco Wholesale Corp. (COST)	Sale	12/14/2021	\$15,001 - \$50,000
273	KLA Corp. (KLAC)	Sale	12/14/2021	\$1,001 - \$15,000
274	Endava Ltd.	Sale	12/14/2021	\$1,001 - \$15,000
275	Heartland Express, Inc. (HTLD)	Sale	12/14/2021	\$1,001 - \$15,000
276	Edwards Lifesciences Corp. (EW)	Sale	12/14/2021	\$15,001 - \$50,000
277	Helios Technologies, Inc. (HLIO)	Sale	12/14/2021	\$1,001 - \$15,000
278	Microchip Technology, Inc. (MCHP)	Sale	12/14/2021	\$1,001 - \$15,000
279	IDEXX Laboratories, Inc. (IDXX)	Sale	12/14/2021	\$50,001 - \$100,000
280	Medpace Holdings, Inc. (MEDP)	Sale	12/14/2021	\$1,001 - \$15,000
281	NVIDIA Corp. (NVDA)	Sale	12/14/2021	\$50,001 - \$100,000
282	Verisk Analytics, Inc. (VRSK)	Sale	12/14/2021	\$1,001 - \$15,000
283	Paylocity Holding Corp. (PCTY)	Sale	12/14/2021	\$1,001 - \$15,000
284	Zurn Water Solutions Corp.	Sale	12/14/2021	\$1,001 - \$15,000
285	Splunk, Inc. (SPLK)	Sale	12/14/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
286	Skyline Champion Corp. (SKY)	Sale	12/14/2021	\$1,001 - \$15,000
287	Verisk Analytics, Inc. (VRSK)	Sale	12/15/2021	\$15,001 - \$50,000
288	Zurn Water Solutions Corp	Sale	12/15/2021	\$1,001 - \$15,000
289	Zurn Water Solutions Corp	Sale	12/16/2021	\$1,001 - \$15,000
290	Zurn Water Solutions Corp.	Sale	12/17/2021	\$15,001 - \$50,000
291	Azenta Inc.	Sale	12/20/2021	\$1,001 - \$15,000
292	Silicon Laboratories, Inc. (SLAB)	Sale	12/20/2021	\$1,001 - \$15,000
293	AT&T Inc.	Sale	12/21/2021	\$15,001 - \$50,000
294	Biogen Inc. (BIIB)	Sale	12/21/2021	\$1,001 - \$15,000
295	Cigna Corp. (CI)	Sale	12/21/2021	\$1,001 - \$15,000
296	Cisco Systems, Inc. (CSCO)	Sale	12/21/2021	\$15,001 - \$50,000
297	Dell Technologies, Inc. (DELL)	Sale	12/21/2021	\$1,001 - \$15,000
298	DISH Network Corp. (DISH)	Sale	12/21/2021	\$1,001 - \$15,000
299	Global Payments, Inc. (GPN)	Sale	12/21/2021	\$1,001 - \$15,000
300	Jacobs Engineering Group, Inc. (JEC)	Sale	12/21/2021	\$15,001 - \$50,000
301	Las Vegas Sands Corp. (LVS)	Sale	12/21/2021	\$1,001 - \$15,000
302	Lumen Technologies Inc.	Sale	12/21/2021	\$1,001 - \$15,000
303	PayPal Holdings, Inc. (PYPL)	Sale	12/22/2021	\$1,001 - \$15,000
304	ColumbiaEmerging Markets Fund Institutional 3 Class Shares (CEKYX)	Sale	12/30/2021	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
305	Walgreens Boots Alliance, Inc. (WBA)	Sale	12/21/2021	\$1,001 - \$15,000
306	iShares Core MSCI Emerging Markets ETF (IEMG)	Sale	12/31/2021	\$250,001 - \$500,000
307	Apple Inc Com	Sale	05/12/2021	\$15,001 - \$50,000
308	Apple Inc Com	Sale	05/12/2021	\$50,001 - \$100,000
309	Apple Inc Com	Sale	05/12/2021	\$50,001 - \$100,000
310	Put Apple Inc (AAPL) @ \$115.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
311	Put Apple Inc (AAPL) @ \$110.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
312	Apple Inc Com	Sale	05/10/2021	\$100,001 - \$250,000
313	Put Apple Inc (AAPL) @ \$115.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
314	Put Apple Inc (AAPL) @ \$130.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
315	Put Apple Inc (AAPL) @ \$115.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
316	Put Adobe (ADBE) @ \$400.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
317	Put Adobe (ADBE) @ \$445.0 Exp Mar 19, 2021	Purchase	03/19/2021	\$1,001 - \$15,000
318	Put Adobe (ADBE) @ \$445.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
319	Put Adobe (ADBE) @ \$450.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
320	Put Adobe (ADBE) @ \$465.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
321	Put Adobe (ADBE) @ \$535.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
322	Put Adobe (ADBE) @ \$580.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
323	Put Applied Materials (AMAT) @ \$100.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
324	Put Applied Materials (AMAT) @ \$110.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
325	Put Applied Materials (AMAT) @ \$100.0 Exp Mar 19, 2021	See Endnote	03/09/2021	\$1,001 - \$15,000
326	Put Applied Materials (AMAT) @ \$115.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
327	Put Applied Materials (AMAT) @ \$120.0 Exp Aug 20, 2021	See Endnote	08/11/2021	\$1,001 - \$15,000
328	Put Applied Materials (AMAT) @ \$120.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
329	Put Applied Materials (AMAT) @ \$125.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
330	Put Applied Materials (AMAT) @ \$95.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
331	Put Advanced Micro Devices (AMD) @ \$65.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
332	Put Advanced Micro Devices (AMD) @ \$70.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
333	Put Advanced Micro Devices (AMD) @ \$70.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
334	Put Advanced Micro Devices (AMD) @ \$75.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
335	Put Advanced Micro Devices (AMD) @ \$75.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
336	Put Amazon.com (AMZN) @ \$2900.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
337	Put Amazon.com (AMZN) @ \$2900.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
338	Put Amazon.com (AMZN) @ \$2940.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
339	Put Amazon.com (AMZN) @ \$3020.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
340	Put Amazon.com (AMZN) @ \$3250.0 Exp Aug 20, 2021	Purchase	08/20/2021	\$1,001 - \$15,000
341	Put Amazon.com (AMZN) @ \$3250.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
342	Put Amazon.com (AMZN) @ \$3260.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
343	Put The Boeing Company (BA) @ \$180.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
344	Put The Boeing Company (BA) @ \$200.0 Exp May 21, 2021	Purchase	05/11/2021	\$1,001 - \$15,000
345	Put The Boeing Company (BA) @ \$200.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
346	Put The Boeing Company (BA) @ \$205.0 Exp Mar 19, 2021	See Endnote	03/09/2021	\$1,001 - \$15,000
347	Put The Boeing Company (BA) @ \$210.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
348	Put The Boeing Company (BA) @ \$210.0 Exp May 21, 2021	See Endnote	05/11/2021	\$1,001 - \$15,000
349	Put The Boeing Company (BA) @ \$220.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
350	Put The Boeing Company (BA) @ \$225.0 Exp Jul 16, 2021	See Endnote		06/24/2021	\$1,001 - \$15,000
351	Put The Boeing Company (BA) @ \$230.0 Exp Jun 18, 2021	See Endnote		06/09/2021	\$1,001 - \$15,000
352	Put Caterpillar (CAT) @ \$175.0 Exp Mar 19, 2021	See Endnote		02/16/2021	\$1,001 - \$15,000
353	Put Caterpillar (CAT) @ \$180.0 Exp Aug 20, 2021	See Endnote		06/18/2021	\$1,001 - \$15,000
354	Put Caterpillar (CAT) @ \$200.0 Exp Jul 16, 2021	See Endnote		06/24/2021	\$1,001 - \$15,000
355	Put Caterpillar (CAT) @ \$205.0 Exp Apr 16, 2021	See Endnote		03/23/2021	\$1,001 - \$15,000
356	Put Caterpillar (CAT) @ \$205.0 Exp Mar 19, 2021	See Endnote		03/09/2021	\$1,001 - \$15,000
357	Put Caterpillar (CAT) @ \$205.0 Exp May 21, 2021	See Endnote		04/21/2021	\$1,001 - \$15,000
358	Put Caterpillar (CAT) @ \$220.0 Exp Jun 18, 2021		Purchase	06/18/2021	\$15,001 - \$50,000
359	Put Caterpillar (CAT) @ \$220.0 Exp Jun 18, 2021	See Endnote		05/27/2021	\$1,001 - \$15,000
360	Put The Walt Disney Company (DIS) @ \$155.0 Exp Aug 20, 2021	See Endnote		07/23/2021	\$1,001 - \$15,000
361	Put The Walt Disney Company (DIS) @ \$160.0 Exp May 21, 2021	See Endnote		04/21/2021	\$1,001 - \$15,000
362	Put The Walt Disney Company (DIS) @ \$160.0 Exp Mar 19, 2021	See Endnote		02/16/2021	\$1,001 - \$15,000
363	Put The Walt Disney Company (DIS) @ \$165.0 Exp Jul 16, 2021	See Endnote		06/24/2021	\$1,001 - \$15,000
364	Put The Walt Disney Company (DIS) @ \$175.0 Exp Apr 16, 2021	See Endnote		03/23/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
365	Put The Walt Disney Company (DIS) @ \$180.0 Exp Mar 19, 2021	See Endnote		03/09/2021	\$1,001 - \$15,000
366	Put EOG Resources (EOG) @ \$80.0 Exp Jun 18, 2021		Purchase	06/18/2021	\$1,001 - \$15,000
367	Put Meta Platforms (FB) @ \$240.0 Exp Mar 19, 2021		Purchase	03/10/2021	\$1,001 - \$15,000
368	Put Meta Platforms (FB) @ \$240.0 Exp Mar 19, 2021	See Endnote		02/16/2021	\$1,001 - \$15,000
369	Put Meta Platforms (FB) @ \$245.0 Exp Mar 19, 2021	See Endnote		03/10/2021	\$1,001 - \$15,000
370	Put Meta Platforms (FB) @ \$255.0 Exp May 21, 2021	See Endnote		04/21/2021	\$1,001 - \$15,000
371	Put Meta Platforms (FB) @ \$260.0 Exp Apr 16, 2021	See Endnote		03/23/2021	\$1,001 - \$15,000
372	Put Meta Platforms (FB) @ \$315.0 Exp Jun 18, 2021	See Endnote		06/09/2021	\$1,001 - \$15,000
373	Put Alphabet (GOOG) @ \$1840.0 Exp Apr 16, 2021	See Endnote		03/23/2021	\$1,001 - \$15,000
374	Put Meta Platforms (FB) @ \$325.0 Exp Aug 20, 2021	See Endnote		07/23/2021	\$1,001 - \$15,000
375	Put Alphabet (GOOG) @ \$2000.0 Exp May 21, 2021	See Endnote		04/21/2021	\$1,001 - \$15,000
376	Put The Goldman Sachs Group (GS) @ \$300.0 Exp May 21, 2021	See Endnote		04/21/2021	\$1,001 - \$15,000
377	Put The Goldman Sachs Group (GS) @ \$275.0 Exp Mar 19, 2021	See Endnote		02/16/2021	\$1,001 - \$15,000
378	Put The Goldman Sachs Group (GS) @ \$305.0 Exp Apr 16, 2021	See Endnote		03/23/2021	\$1,001 - \$15,000
379	Put The Goldman Sachs Group (GS) @ \$305.0 Exp Aug 20, 2021	See Endnote		06/18/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
380	Put The Goldman Sachs Group (GS) @ \$310.0 Exp Mar 19, 2021	See Endnote	03/09/2021	\$1,001 - \$15,000
381	Put The Goldman Sachs Group (GS) @ \$330.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
382	Put The Goldman Sachs Group (GS) @ \$340.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
383	Put The Goldman Sachs Group (GS) @ \$360.0 Exp Jun 18, 2021	Purchase	06/18/2021	\$1,001 - \$15,000
384	Put Intel (INTC) @ \$55.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
385	Put Intel (INTC) @ \$55.0 Exp Mar 19, 2021	See Endnote	03/09/2021	\$1,001 - \$15,000
386	Put Intel (INTC) @ \$55.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
387	Put iShares Russell 2000 ETF (IWM) @ \$195.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
388	Put iShares Russell 2000 ETF (IWM) @ \$200.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
389	Put iShares Russell 2000 ETF (IWM) @ \$195.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
390	Put iShares Russell 2000 ETF (IWM) @ \$200.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
391	Put iShares Russell 2000 ETF (IWM) @ \$205.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
392	Put JPMorgan Chase & Co. (JPM) @ \$125.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
393	Put JPMorgan Chase & Co. (JPM) @ \$130.0 Exp Aug 20, 2021	See Endnote	06/18/2021	\$1,001 - \$15,000
394	Put JPMorgan Chase & Co. (JPM) @ \$135.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
395	Put JPMorgan Chase & Co. (JPM) @ \$135.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
396	Put JPMorgan Chase & Co. (JPM) @ \$140.0 Exp Jul 16, 2021	See Endnote		06/24/2021	\$1,001 - \$15,000
397	Put JPMorgan Chase & Co. (JPM) @ \$150.0 Exp Jun 18, 2021		Purchase	06/18/2021	\$1,001 - \$15,000
398	Put JPMorgan Chase & Co. (JPM) @ \$150.0 Exp Jun 18, 2021	See Endnote		05/27/2021	\$1,001 - \$15,000
399	Put Mastercard (MA) @ \$300.0 Exp Mar 19, 2021	See Endnote		02/16/2021	\$1,001 - \$15,000
400	Put Mastercard (MA) @ \$330.0 Exp Apr 16, 2021	See Endnote		03/23/2021	\$1,001 - \$15,000
401	Put Mastercard (MA) @ \$340.0 Exp May 21, 2021	See Endnote		04/21/2021	\$1,001 - \$15,000
402	Put Mastercard (MA) @ \$345.0 Exp Jun 18, 2021	See Endnote		05/27/2021	\$1,001 - \$15,000
403	Put Mastercard (MA) @ \$345.0 Exp Mar 19, 2021	See Endnote		03/09/2021	\$1,001 - \$15,000
404	Put Mastercard (MA) @ \$350.0 Exp Jul 16, 2021	See Endnote		06/24/2021	\$1,001 - \$15,000
405	Put Mastercard (MA) @ \$355.0 Exp Aug 20, 2021	See Endnote		07/23/2021	\$1,001 - \$15,000
406	Put McDonald's (MCD) @ \$210.0 Exp Apr 16, 2021	See Endnote		03/23/2021	\$1,001 - \$15,000
407	Put McDonald's (MCD) @ \$195.0 Exp Mar 19, 2021	See Endnote		02/16/2021	\$1,001 - \$15,000
408	Put McDonald's (MCD) @ \$215.0 Exp May 21, 2021	See Endnote		04/21/2021	\$1,001 - \$15,000
409	Put McDonald's (MCD) @ \$220.0 Exp Jun 18, 2021	See Endnote		05/27/2021	\$1,001 - \$15,000
410	Put McDonald's (MCD) @ \$225.0 Exp Aug 20, 2021	See Endnote		07/23/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
411	Put Microsoft (MSFT) @ \$220.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
412	Put Microsoft (MSFT) @ \$220.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
413	Put Microsoft (MSFT) @ \$230.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
414	Put Microsoft (MSFT) @ \$235.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
415	Put Microsoft (MSFT) @ \$265.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
416	Put Netflix (NFLX) @ \$455.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
417	Put Netflix (NFLX) @ \$465.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
418	Put Netflix (NFLX) @ \$470.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
419	Put Netflix (NFLX) @ \$475.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
420	Put Netflix (NFLX) @ \$480.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
421	Put Netflix (NFLX) @ \$480.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
422	Put Nike, Inc. (NKE) @ \$120.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
423	Put Nike, Inc. (NKE) @ \$125.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
424	Put Nike, Inc. (NKE) @ \$150.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
425	Put NVIDIA (NVDA) @ \$150.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
426	Put NVIDIA (NVDA) @ \$460.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
427	Put NVIDIA (NVDA) @ \$495.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
428	Put NVIDIA (NVDA) @ \$530.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
429	Put NVIDIA (NVDA) @ \$560.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000
430	Put NVIDIA (NVDA) @ \$680.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
431	Put NVIDIA (NVDA) @ \$745.0 Exp Jul 16, 2021	See Endnote	07/07/2021	\$1,001 - \$15,000
432	Put VanEck Vectors Oil Services ETF (OIH) @ \$145.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
433	Put VanEck Vectors Oil Services ETF (OIH) @ \$150.0 Exp Mar 19, 2021	Purchase	03/09/2021	\$1,001 - \$15,000
434	Put VanEck Vectors Oil Services ETF (OIH) @ \$150.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
435	Put VanEck Vectors Oil Services ETF (OIH) @ \$155.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
436	Put VanEck Vectors Oil Services ETF (OIH) @ \$195.0 Exp Mar 19, 2021	See Endnote	03/09/2021	\$1,001 - \$15,000
437	Put VanEck Vectors Oil Services ETF (OIH) @ \$180.0 Exp May 21, 2021	See Endnote	05/11/2021	\$1,001 - \$15,000
438	Put Pioneer Natural Resources Company (PXD) @ \$120.0 Exp Aug 20, 2021	See Endnote	07/26/2021	\$1,001 - \$15,000
439	Put Pioneer Natural Resources Company (PXD) @ \$120.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
440	Put Pioneer Natural Resources Company (PXD) @ \$125.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
441	Put Pioneer Natural Resources Company (PXD) @ \$130.0 Exp Jun 18, 2021	See Endnote	05/27/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
442	Put Pioneer Natural Resources Company (PXD) @ \$135.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
443	Put Pioneer Natural Resources Company (PXD) @ \$140.0 Exp May 21, 2021	See Endnote	05/11/2021	\$1,001 - \$15,000
444	Put Pioneer Natural Resources Company (PXD) @ \$145.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
445	Put Pioneer Natural Resources Company (PXD) @ \$145.0 Exp Mar 19, 2021	See Endnote	03/09/2021	\$1,001 - \$15,000
446	Put PayPal Holdings (PYPL) @ \$250.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
447	Put Starbucks (SBUX) @ \$100.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
448	Put Starbucks (SBUX) @ \$110.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
449	Put Starbucks (SBUX) @ \$105.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
450	Put Starbucks (SBUX) @ \$95.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
451	Put SPDR S&P 500 ETF Trust (SPY) @ \$275.0 Exp Jan 21, 2022	See Endnote	01/05/2021	\$100,001 - \$250,000
452	Put SPDR S&P 500 ETF Trust (SPY) @ \$338.0 Exp Sep 17, 2021	Purchase	01/05/2021	\$100,001 - \$250,000
453	Put Block (SQ) @ \$185.0 Exp Apr 16, 2021	See Endnote	03/23/2021	\$1,001 - \$15,000
454	Put Block (SQ) @ \$195.0 Exp May 21, 2021	See Endnote	04/21/2021	\$1,001 - \$15,000
455	Put Block (SQ) @ \$210.0 Exp Mar 19, 2021	See Endnote	02/16/2021	\$1,001 - \$15,000
456	Put Block (SQ) @ \$220.0 Exp Aug 20, 2021	See Endnote	07/23/2021	\$1,001 - \$15,000
457	Put Block (SQ) @ \$220.0 Exp Jul 16, 2021	See Endnote	06/24/2021	\$1,001 - \$15,000
458	Put Block (SQ) @ \$230.0 Exp Jul 16, 2021	See Endnote	07/07/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
459	Put Block (SQ) @ \$250.0 Exp Aug 20, 2021 See Endnote		08/11/2021	\$1,001 - \$15,000
460	Put Constellation Brands (STZ) @ \$200.0 Exp Mar 19, 2021 See Endnote		02/16/2021	\$1,001 - \$15,000
461	Put Constellation Brands (STZ) @ \$205.0 Exp Apr 16, 2021 See Endnote		03/23/2021	\$1,001 - \$15,000
462	Put Constellation Brands (STZ) @ \$205.0 Exp Aug 20, 2021 See Endnote		07/23/2021	\$1,001 - \$15,000
463	Put Constellation Brands (STZ) @ \$205.0 Exp Jul 16, 2021 See Endnote		06/24/2021	\$1,001 - \$15,000
464	Put Constellation Brands (STZ) @ \$220.0 Exp Jun 18, 2021 See Endnote		05/27/2021	\$1,001 - \$15,000
465	Put Constellation Brands (STZ) @ \$220.0 Exp May 21, 2021 See Endnote		04/21/2021	\$1,001 - \$15,000
466	Put Tesla (TSLA) @ \$515.0 Exp Jun 18, 2021 See Endnote		05/27/2021	\$1,001 - \$15,000
467	Put Tesla (TSLA) @ \$520.0 Exp Apr 16, 2021 See Endnote		03/23/2021	\$1,001 - \$15,000
468	Put Tesla (TSLA) @ \$525.0 Exp Aug 20, 2021 See Endnote		07/23/2021	\$1,001 - \$15,000
469	Put Tesla (TSLA) @ \$560.0 Exp Jul 16, 2021 See Endnote		06/24/2021	\$1,001 - \$15,000
470	Put Tesla (TSLA) @ \$575.0 Exp May 21, 2021 See Endnote		04/21/2021	\$1,001 - \$15,000
471	Put Tesla (TSLA) @ \$610.0 Exp Mar 19, 2021 See Endnote		02/16/2021	\$1,001 - \$15,000
472	Put Tesla (TSLA) @ \$650.0 Exp Aug 20, 2021 See Endnote		08/11/2021	\$1,001 - \$15,000
473	SAN FRANCISCO CA CITY & CNTY, GO BDS	Purchase	08/02/2021	\$500,001 - \$1,000,000
474	CARLSBAD CA UNIFIED SCH DIST GO BDS	Purchase	07/01/2021	\$250,001 - \$500,000
475	LOS ANGELES CA UNI SCH DIST GO REF BDS	Purchase	05/04/2021	\$250,001 - \$500,000
476	AZENTA INC	Purchase	01/08/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
477	HALOZYME THERAPEUTICS INC	Purchase	01/29/2021	\$1,001 - \$15,000
478	INTEGRA L HLDGS CORP NEW	Purchase	01/29/2021	\$1,001 - \$15,000
479	MEDPACE HLDGS INC	Purchase	01/29/2021	\$1,001 - \$15,000
480	NOVANTA INC	Purchase	01/29/2021	\$1,001 - \$15,000
481	VIAVI SOLUTIONS INC	Purchase	02/04/2021	\$1,001 - \$15,000
482	MATCH GROUP INC	Purchase	02/08/2021	\$1,001 - \$15,000
483	ALLEGIANT TRAVEL CO	Purchase	02/10/2021	\$1,001 - \$15,000
484	BRISTOL-MYERS SQUIBB CO	Purchase	02/10/2021	\$1,001 - \$15,000
485	DOCUSIGN INC	Purchase	02/10/2021	\$15,001 - \$50,000
486	EDWARDS LIFESCIENCES CRP	Purchase	02/10/2021	\$1,001 - \$15,000
487	UNITEDHEALTH GROUP INC	Purchase	02/10/2021	\$1,001 - \$15,000
488	DOCUSIGN INC	Purchase	02/11/2021	\$1,001 - \$15,000
489	SAREPTA THERAPEUTICS INC	Purchase	02/12/2021	\$1,001 - \$15,000
490	BIOMARIN PHARMACEUTICALS	Purchase	02/18/2021	\$1,001 - \$15,000
491	BIOMARIN PHARMACEUTICALS	Purchase	02/19/2021	\$1,001 - \$15,000
492	COLUMBIA EMERGING MARKETS FUND CL INSTL3	Purchase	02/24/2021	\$250,001 - \$500,000
493	ISHARES CORE S&P SMALL CAP ETF	Purchase	02/25/2021	\$100,001 - \$250,000
494	ISHARES INC CORE MSCI EMERGING MKTS ETF	Purchase	02/25/2021	\$100,001 - \$250,000
495	NUVEEN ESG SMALL-CAP ETF	Purchase	02/25/2021	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
496	CHEWY INC SH CL A	Purchase	02/26/2021	\$15,001 - \$50,000
497	CHEWY INC SH CL A	Purchase	03/01/2021	\$15,001 - \$50,000
498	ATLAS COPCO AB SEK PAR ORDINARY	Purchase	03/02/2021	\$1,001 - \$15,000
499	PROSUS NV .05 EUR PAR ORDINARY	Purchase	03/02/2021	\$1,001 - \$15,000
500	APTIV PLC SHS	Purchase	03/02/2021	\$1,001 - \$15,000
501	NXP SEMICONDUCTORS N.V.	Purchase	03/02/2021	\$1,001 - \$15,000
502	ASML HLDG NV NY REG SHS	Purchase	03/02/2021	\$1,001 - \$15,000
503	ABBOTT LABS	Purchase	03/02/2021	\$1,001 - \$15,000
504	ADOBE INC SHS	Purchase	03/02/2021	\$1,001 - \$15,000
505	ALIBABA GROUP HOLDING LT	Purchase	03/02/2021	\$1,001 - \$15,000
506	ALPHABET INC SHS CL A	Purchase	03/02/2021	\$1,001 - \$15,000
507	AMAZON COM INC COM	Purchase	03/02/2021	\$1,001 - \$15,000
508	APPLE INC	Purchase	03/02/2021	\$1,001 - \$15,000
509	BERKSHIRE HATHAWAYINC DEL CL B NEW	Purchase	03/02/2021	\$1,001 - \$15,000
510	BLACKROCK INC	Purchase	03/02/2021	\$1,001 - \$15,000
511	BLACKSTONE INC	Purchase	03/02/2021	\$1,001 - \$15,000
512	BOSTON SCIENTIFIC CORP	Purchase	03/02/2021	\$1,001 - \$15,000
513	BROADCOM INC	Purchase	03/02/2021	\$1,001 - \$15,000
514	CHEVRON CORP	Purchase	03/02/2021	\$1,001 - \$15,000
515	CITIGROUP INC COM NEW	Purchase	03/02/2021	\$1,001 - \$15,000
516	DEXCOM INC	Purchase	03/02/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
517	DIAGEO PLC SPSD ADR NEW	Purchase	03/02/2021	\$1,001 - \$15,000
518	DISNEY (WALT) CO COM STK	Purchase	03/02/2021	\$1,001 - \$15,000
519	META PLATFORMS INC CLASS A COMMON STOCK	Purchase	03/02/2021	\$1,001 - \$15,000
520	FREEMPORT-MCMORAN INC	Purchase	03/02/2021	\$1,001 - \$15,000
521	HILL ROM HLDGS	See Endnote	03/02/2021	\$1,001 - \$15,000
522	INTERCONTINENTAL EXCHANGE INC	Purchase	03/02/2021	\$1,001 - \$15,000
523	LVMH MOET HENNESSY ADR	Purchase	03/02/2021	\$1,001 - \$15,000
524	DASSAULT SYSTEMES EUR1 ISIN FR0000130650 FRANCE	Purchase	03/02/2021	\$1,001 - \$15,000
525	MICROSOFT CORP	Purchase	03/02/2021	\$1,001 - \$15,000
526	MASTERCARD INC	Purchase	03/02/2021	\$1,001 - \$15,000
527	NEXTERA ENERGY INC SHS	Purchase	03/02/2021	\$1,001 - \$15,000
528	PAYPAL HOLDINGS INC SHS	Purchase	03/02/2021	\$1,001 - \$15,000
529	ROCHE HOLDINGS GENUSH FN CHF PAR ORDINARY	Purchase	03/02/2021	\$1,001 - \$15,000
530	NESTLE SA CHAM UND VEVE	Purchase	03/02/2021	\$1,001 - \$15,000
531	PROCTER & GAMBLE CO	Purchase	03/02/2021	\$1,001 - \$15,000
532	REPLIGEN CORP COM	Purchase	03/02/2021	\$1,001 - \$15,000
533	SEA LTD	Purchase	03/02/2021	\$1,001 - \$15,000
534	SHOPIFY INC CL A	Purchase	03/02/2021	\$1,001 - \$15,000
535	TAIWAN S MANUFCTRING ADR	Purchase	03/02/2021	\$1,001 - \$15,000
536	TELADOC HEALTH INC	Purchase	03/02/2021	\$1,001 - \$15,000
537	TRANSUNION	Purchase	03/02/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
538	UNITEDHEALTH GROUP INC	Purchase	03/02/2021	\$1,001 - \$15,000
539	TENCENT HOLDINGS LTD SHS HKD PAR ORDINARY	Purchase	03/03/2021	\$1,001 - \$15,000
540	ASAHI GROUP HOLDINGS LTD JPY PAR ORDINARY	Purchase	03/03/2021	\$1,001 - \$15,000
541	BHP GROUP LTD 1.AUD PAR ORDINARY	Purchase	03/03/2021	\$1,001 - \$15,000
542	DBS GROUP HOLDINGS LTD 1.SGD PAR ORDINARY	Purchase	03/03/2021	\$1,001 - \$15,000
543	KEYENCE CORP 6861 FN JPY PAR ORDINARY	Purchase	03/03/2021	\$1,001 - \$15,000
544	FANUC 6954 JPY PAR ORDINARY	Purchase	03/03/2021	\$1,001 - \$15,000
545	NIDEC CORP 6594 JPY PAR ORDINARY	Purchase	03/03/2021	\$1,001 - \$15,000
546	AZENTA INC	Purchase	03/03/2021	\$1,001 - \$15,000
547	DESCARTES SYSTEMS GROUP	Purchase	03/03/2021	\$1,001 - \$15,000
548	OCEANFIRST FINCL CRP DEL	Purchase	03/03/2021	\$1,001 - \$15,000
549	BLOOM ENERGY CORP CL A	Purchase	03/10/2021	\$1,001 - \$15,000
550	SUPERNUS PHARMACEUTICALS INC	Purchase	03/03/2021	\$1,001 - \$15,000
551	RINGCENTRAL INC	Purchase	03/10/2021	\$1,001 - \$15,000
552	BLOOM ENERGY CORP CL A	Purchase	03/11/2021	\$1,001 - \$15,000
553	CERENCE INC REG SHS ISSUED	Purchase	03/11/2021	\$1,001 - \$15,000
554	DESCARTES SYSTEMS GROUP	Purchase	03/11/2021	\$1,001 - \$15,000
555	RINGCENTRAL INC	Purchase	03/11/2021	\$15,001 - \$50,000
556	CHEWY INC SH CL A	Purchase	03/12/2021	\$1,001 - \$15,000
557	DOCUSIGN INC	Purchase	03/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
558	AIRBUS SE EUR PAR ORDINARY	Purchase	03/17/2021	\$1,001 - \$15,000
559	VOLKSWAGEN AG PEF EUR PAR PREFERRED	Purchase	03/22/2021	\$1,001 - \$15,000
560	ROYAL DUTCH SHEL PLC SPONS ADR B	Purchase	03/22/2021	\$1,001 - \$15,000
561	NVIDIA	Purchase	03/22/2021	\$15,001 - \$50,000
562	RINGCENTRAL INC	Purchase	03/22/2021	\$15,001 - \$50,000
563	FOX CORP REG SHS CL A	Purchase	03/24/2021	\$1,001 - \$15,000
564	GENERAL ELECTRIC	Purchase	03/24/2021	\$1,001 - \$15,000
565	WALGREENS BOOTS ALLIANCE INC	Purchase	03/24/2021	\$1,001 - \$15,000
566	WELLS FARGO & CO	Purchase	03/24/2021	\$1,001 - \$15,000
567	ELI LILLY & CO	Purchase	03/26/2021	\$15,001 - \$50,000
568	COLUMBIA EMERGING MARKETS FUND CL INSTL3	Purchase	03/31/2021	\$250,001 - \$500,000
569	ISHARES INC CORE MSCI EMERGING MKTS ETF	Purchase	04/01/2021	\$100,001 - \$250,000
570	ISHARES CORE S&P SMALL CAP ETF	Purchase	04/05/2021	\$100,001 - \$250,000
571	NUVEEN ESG SMALL-CAP ETF	Purchase	04/05/2021	\$250,001 - \$500,000
572	BLOOM ENERGY CORP CL A	Purchase	04/05/2021	\$1,001 - \$15,000
573	ELI LILLY & CO	Purchase	04/05/2021	\$1,001 - \$15,000
574	AGREE RLTY CORP REIT	Purchase	04/07/2021	\$1,001 - \$15,000
575	OPEN LENDING CORP	Purchase	04/07/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
576	DOCUSIGN INC	Purchase	04/13/2021	\$15,001 - \$50,000
577	MATCH GROUP INC	Purchase	04/13/2021	\$15,001 - \$50,000
578	OLLIES BARGAIN OUTLET HLDGS INC	Purchase	04/16/2021	\$1,001 - \$15,000
579	CHEWY INC SH CL A	Purchase	04/16/2021	\$1,001 - \$15,000
580	RYMAN HOSPITALITY PPTYS INC	Purchase	04/16/2021	\$1,001 - \$15,000
581	BLOOM ENERGY CORP CL A	Purchase	04/23/2021	\$1,001 - \$15,000
582	BLOOM ENERGY CORP CL A	Purchase	04/26/2021	\$1,001 - \$15,000
583	MEDPACE HLDGS INC	Purchase	05/03/2021	\$1,001 - \$15,000
584	BLOOM ENERGY CORP CL A	Purchase	05/13/2021	\$1,001 - \$15,000
585	LAUDER ESTEE COS INC A	Purchase	05/14/2021	\$1,001 - \$15,000
586	REVOLVE GROUP INC REG REG SHS CL A	Purchase	05/18/2021	\$1,001 - \$15,000
587	SHYFT GROUP INC	Purchase	05/21/2021	\$1,001 - \$15,000
588	COSTAR GROUP INC COM	Purchase	05/28/2021	\$1,001 - \$15,000
589	ENPHASE ENERGY INC	Purchase	05/28/2021	\$15,001 - \$50,000
590	MATCH GROUP INC	Purchase	05/28/2021	\$1,001 - \$15,000
591	BLOCK INC	Purchase	05/28/2021	\$15,001 - \$50,000
592	RINGCENTRAL INC	Purchase	05/28/2021	\$1,001 - \$15,000
593	UBER TECHNOLOGIES INC	Purchase	05/28/2021	\$15,001 - \$50,000
594	COSTAR GROUP INC COM	Purchase	06/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
595	ENPHASE ENERGY INC	Purchase	06/01/2021	\$15,001 - \$50,000
596	CHURCHILL DOWNS INC	Purchase	06/15/2021	\$1,001 - \$15,000
597	CRYOPORT INC SHS	Purchase	06/15/2021	\$1,001 - \$15,000
598	PHREESIA INC REG SHS	Purchase	06/15/2021	\$1,001 - \$15,000
599	WOLVERINE WORLD WIDE	Purchase	06/15/2021	\$1,001 - \$15,000
600	ALAMO GROUP INC	Purchase	06/29/2021	\$1,001 - \$15,000
601	AT&T INC	Purchase	07/01/2021	\$1,001 - \$15,000
602	BIOGEN INC	Purchase	07/01/2021	\$1,001 - \$15,000
603	DEXCOM INC	Purchase	07/01/2021	\$1,001 - \$15,000
604	RINGCENTRAL INC	Purchase	07/16/2021	\$1,001 - \$15,000
605	SPX CORP COM	Purchase	07/27/2021	\$1,001 - \$15,000
606	PAYCOR HCM INC REG SHS	Purchase	07/28/2021	\$1,001 - \$15,000
607	SPX CORP COM	Purchase	07/28/2021	\$1,001 - \$15,000
608	AMAZON COM INC COM	Purchase	08/13/2021	\$1,001 - \$15,000
609	BOOKING HLDGS INC USD0.008	Purchase	08/13/2021	\$1,001 - \$15,000
610	COSTAR GROUP INC COM	Purchase	08/13/2021	\$1,001 - \$15,000
611	MATCH GROUP INC	Purchase	08/13/2021	\$1,001 - \$15,000
612	PAYPAL HOLDINGS INC SHS	Purchase	08/13/2021	\$1,001 - \$15,000
613	RINGCENTRAL INC	Purchase	08/13/2021	\$1,001 - \$15,000
614	UBER TECHNOLOGIES INC	Purchase	08/13/2021	\$1,001 - \$15,000
615	PROLOGIS INC	Purchase	08/20/2021	\$1,001 - \$15,000
616	TIFFANY & CO NEW	Sale	01/07/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
617	ROKU INC CL A	Sale	01/15/2021	\$1,001 - \$15,000
618	HAEMONETICS CORP MASS	Sale	01/29/2021	\$1,001 - \$15,000
619	ABIOMED INC COM	Sale	02/10/2021	\$1,001 - \$15,000
620	ALIGN TECH INC DEL COM	Sale	02/10/2021	\$15,001 - \$50,000
621	EXACT SCIENCES CORP COM	Sale	02/10/2021	\$1,001 - \$15,000
622	PAYPAL HOLDINGS INC SHS	Sale	02/10/2021	\$15,001 - \$50,000
623	WILLSCOT MOBILE MINI HLDGS CORP	Sale	02/10/2021	\$1,001 - \$15,000
624	NEW ORIENTAL EDUCATIO ADR	Sale	02/12/2021	\$15,001 - \$50,000
625	NEW ORIENTAL EDUCATIO ADR	Sale	02/16/2021	\$15,001 - \$50,000
626	BLOCK INC	Sale	02/12/2021	\$15,001 - \$50,000
627	ROKU INC CL A	Sale	02/18/2021	\$15,001 - \$50,000
628	APPLIED MATERIAL INC	Sale	02/23/2021	\$15,001 - \$50,000
629	EMERGENT BIOSOLUTIONS INC	Sale	02/25/2021	\$1,001 - \$15,000
630	WILLSCOT MOBILE MINI HLDGS CORP	Sale	02/25/2021	\$1,001 - \$15,000
631	OLLIES BARGAIN OUTLET HLDGS INC	Sale	03/01/2021	\$1,001 - \$15,000
632	PROOFPOINT INC	Sale	03/03/2021	\$1,001 - \$15,000
633	SILICON LABS INC	Sale	03/03/2021	\$1,001 - \$15,000
634	APPLIED MATERIAL INC	Sale	03/10/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
635	ROGERS CORP	Sale	03/12/2021	\$1,001 - \$15,000
636	ALLEGIANT TRAVEL CO	Sale	03/11/2021	\$1,001 - \$15,000
637	ASAHI GROUP HOLDINGS LTD JPY PAR ORDINARY	Sale	03/22/2021	\$1,001 - \$15,000
638	REGENERON PHARMACTCLS	Sale	03/24/2021	\$1,001 - \$15,000
639	PERRIGO CO PLC	See Endnote	03/24/2021	\$1,001 - \$15,000
640	SERVICENOW INC	Sale	03/24/2021	\$1,001 - \$15,000
641	ALIGN TECH INC DEL COM	Sale	03/26/2021	\$1,001 - \$15,000
642	META PLATFORMS INC CLASS A COMMON STOCK	Sale	03/26/2021	\$1,001 - \$15,000
643	SHERWIN WILLIAMS	Sale	04/05/2021	\$1,001 - \$15,000
644	SHERWIN WILLIAMS	Sale	03/26/2021	\$1,001 - \$15,000
645	CACI INTL INC CL A	Sale	04/05/2021	\$1,001 - \$15,000
646	SHERWIN WILLIAMS	Sale	04/13/2021	\$15,001 - \$50,000
647	LITHIA MOTORS INC CL A	Sale	04/16/2021	\$1,001 - \$15,000
648	CENTRAL GRDEN & PET CO	Sale	04/16/2021	\$1,001 - \$15,000
649	NVIDIA	Sale	04/16/2021	\$1,001 - \$15,000
650	UFP INDUSTRIES INC	Sale	04/16/2021	\$1,001 - \$15,000
651	CENTRAL GRDEN & PET CO	Sale	04/19/2021	\$1,001 - \$15,000
652	FLIR SYSTEMS INC	Sale	05/14/2021	\$15,001 - \$50,000
653	TRANE TECHNOLOGIES PLC	Sale	05/17/2021	\$1,001 - \$15,000
654	BRISTOL-MYERS SQUIBB CO	Sale	05/17/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
655	UNITEDHEALTH GROUP INC	Sale	05/17/2021	\$1,001 - \$15,000
656	IDEXX LAB INC DEL \$0.10	Sale	05/17/2021	\$1,001 - \$15,000
657	MSCI INC CLASS A	Sale	05/17/2021	\$1,001 - \$15,000
658	SITEONE LANDSCAPE SUPPLY INC SHS	Sale	05/18/2021	\$1,001 - \$15,000
659	UNITEDHEALTH GROUP INC	Sale	05/21/2021	\$15,001 - \$50,000
660	ACTIVISION BLIZZARD INC	Sale	05/28/2021	\$1,001 - \$15,000
661	BOOKING HLDGS INC USD0.008	Sale	05/28/2021	\$1,001 - \$15,000
662	BRISTOL-MYERS SQUIBB CO	Sale	05/28/2021	\$1,001 - \$15,000
663	COSTCO WHOLESALE CRP DEL	Sale	05/28/2021	\$1,001 - \$15,000
664	NEW ORIENTAL EDUCATIO ADR	Sale	05/28/2021	\$15,001 - \$50,000
665	NVIDIA	Sale	05/28/2021	\$1,001 - \$15,000
666	SALESFORCE COM INC	Sale	05/28/2021	\$1,001 - \$15,000
667	UNITEDHEALTH GROUP INC	Sale	05/28/2021	\$1,001 - \$15,000
668	VISA INC CL A SHRS	Sale	05/28/2021	\$1,001 - \$15,000
669	NEW ORIENTAL EDUCATIO ADR	Sale	06/01/2021	\$1,001 - \$15,000
670	NVIDIA	Sale	06/11/2021	\$1,001 - \$15,000
671	ATRICURE INC	Sale	06/15/2021	\$1,001 - \$15,000
672	BOOT BARN HOLDINGS INC SHS	Sale	06/15/2021	\$1,001 - \$15,000
673	STIFEL FINANCIAL CORP	Sale	06/15/2021	\$1,001 - \$15,000
674	SELECT SECTOR SPDR TR	Sale	06/17/2021	\$15,001 - \$50,000
675	SITEONE LANDSCAPE SUPPLY INC SHS	Sale	06/29/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
676	FOX CORP REG SHS CL A	Sale	07/01/2021	\$1,001 - \$15,000
677	GENERAL ELECTRIC	Sale	07/01/2021	\$1,001 - \$15,000
678	VERIZON COMMUNICATNS COM	Sale	07/01/2021	\$1,001 - \$15,000
679	WALGREENS BOOTS ALLIANCE INC	Sale	07/01/2021	\$1,001 - \$15,000
680	FIVE BELOW INC	Sale	07/07/2021	\$1,001 - \$15,000
681	NVIDIA	Sale	07/02/2021	\$1,001 - \$15,000
682	GRAND CANYON EDUCATN INC	Sale	07/07/2021	\$1,001 - \$15,000
683	LITHIA MOTORS INC CL A	Sale	07/07/2021	\$1,001 - \$15,000
684	SKYLINE CORP	Sale	07/07/2021	\$1,001 - \$15,000
685	GLACIER BANCORP INC NEW	Sale	07/14/2021	\$1,001 - \$15,000
686	ALEXION PHARMS INC	Sale	07/21/2021	\$1,001 - \$15,000
687	ENDAVA LTD	Sale	07/28/2021	\$1,001 - \$15,000
688	QTS RLTY TR INC COM CL A	Sale	07/28/2021	\$1,001 - \$15,000
689	RBC BEARINGS INC	Sale	07/30/2021	\$1,001 - \$15,000
690	META PLATFORMS INC CLASS A COMMON STOCK	Sale	07/30/2021	\$1,001 - \$15,000
691	BRISTOL-MYERS SQUIBB CO	Sale	08/13/2021	\$15,001 - \$50,000
692	BRISTOL-MYERS SQUIBB CO	Sale	08/16/2021	\$15,001 - \$50,000
693	INTERCONTINENTAL EXCHANGE INC	Sale	08/20/2021	\$1,001 - \$15,000
694	DOUBLELINE FDS TR LOW DURATION BD FD CL I	Purchase	01/14/2021	\$1,001 - \$15,000
695	ARCHER-DANIELS-MIDLN	Purchase	01/14/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
696	FEDERATED HERMES TAX FREE OBLIGATIONS FUND CL WS	Sale	01/11/2021	\$1,001 - \$15,000
697	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	01/14/2021	\$500,001 - \$1,000,000
698	MICROSTRATEGY INC C (NEW)	Purchase	01/14/2021	\$100,001 - \$250,000
699	TEXAS PAC LD CORP	Purchase	01/14/2021	\$100,001 - \$250,000
700	WISDOMTREE FLTG RATE TREAS FD	Sale	01/14/2021	\$100,001 - \$250,000
701	FEDERATED HERMES TAX FREE OBLIGATIONS FUND CL WS	Sale	01/14/2021	\$1,001 - \$15,000
702	WISDOMTREE FLTG RATE TREAS FD	Sale	01/14/2021	\$100,001 - \$250,000
703	FIDELITY FUNDS FIDELITY TREASURY PORT INSTITUTIONAL CLASS SHS	Sale	01/15/2021	\$50,001 - \$100,000
704	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	01/21/2021	\$250,001 - \$500,000
705	DOUBLELINE FDS TR LOW DURATION BD FD CL I	Purchase	01/21/2021	\$500,001 - \$1,000,000
706	FRANCO-NEVADA CORP	Purchase	01/21/2021	\$50,001 - \$100,000
707	PAN AMERICAN SILVER CORP	Purchase	01/21/2021	\$15,001 - \$50,000
708	WHEATON PRECIOUS MET CORP	Purchase	01/21/2021	\$15,001 - \$50,000
709	DOUBLELINE FDS TR LOW DURATION BD FD CL I	Purchase	01/29/2021	\$500,001 - \$1,000,000
710	FINSERV ACQUISITION CL A	Purchase	01/29/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
711	PERSHING SQUARE TONT HOLDINGS LTD CL A	Purchase	01/29/2021	\$1,001 - \$15,000
712	VPC IMPACT ACQUISITI HLDGS CL A	Purchase	01/29/2021	\$1,001 - \$15,000
713	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	02/01/2021	\$1,001 - \$15,000
714	DOUBLELINE FDS TR LOW DURATION BD FD CL I	Purchase	02/01/2021	\$1,001 - \$15,000
715	PLDT INC SPONSORED	Purchase	02/02/2021	\$1,001 - \$15,000
716	BURGERFI INTL INC COM	Purchase	02/12/2021	\$1,001 - \$15,000
717	COGNYTE SOFTWARE LTD ORD SHS	Purchase	02/19/2021	\$15,001 - \$50,000
718	EBIX INC	Purchase	02/22/2021	\$15,001 - \$50,000
719	BARON INVT FUNDS TR OPPORTUNITY FUND INSTL SHARES CLASS I	Purchase	02/24/2021	\$100,001 - \$250,000
720	BLACKROCK FUNDS TECHNOLOGY OPPORTUNITIES FUND INST CL	Purchase	02/24/2021	\$15,001 - \$50,000
721	BLACKROCK HEALTH SCIENCES OPP PORT INSTITUTIONAL	Purchase	02/24/2021	\$15,001 - \$50,000
722	LAZARD FDS INC GLOBAL LISTED INFRASTRUCTURE PORT INST	Purchase	02/24/2021	\$50,001 - \$100,000
723	MASTERCARD INC CL A	Purchase	02/24/2021	\$50,001 - \$100,000
724	WELLS FARGO FUNDS WELLS FARGO SPECIALIZED TECH FUND INSTL CL SHS	Purchase	02/24/2021	\$15,001 - \$50,000
725	MOODY'S CORP	Purchase	02/24/2021	\$50,001 - \$100,000
726	T ROWE PRICE HEALTH SCIENCES FD INC	Purchase	02/24/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
727	VISA INC CLASS A	Purchase	02/24/2021	\$50,001 - \$100,000
728	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	03/01/2021	\$1,001 - \$15,000
729	DOUBLELINE FDS TR LOW DURATION BD FD CL I	Purchase	03/01/2021	\$1,001 - \$15,000
730	WISDOMTREE FLTG RATE TREAS FD	Sale	03/26/2021	\$100,001 - \$250,000
731	MADISON SQUARE GARDEN ENTMT CORP CL A	Purchase	03/29/2021	\$50,001 - \$100,000
732	CREDIT SUISSE HIGH INCOME FUNDCOMMON CLASS	Purchase	04/01/2021	\$1,001 - \$15,000
733	DOUBLELINE FDS TR LOW DURATION BD FD CL I	Purchase	04/01/2021	\$1,001 - \$15,000
734	LAMAR ADVERTISING CO CLASS A	Purchase	04/07/2021	\$15,001 - \$50,000
735	NUVEEN MUN TR SHORT DURATION HIGH YIELD MUN BD FD CL I	Purchase	04/08/2021	\$500,001 - \$1,000,000
736	TENCENT MUSIC ENTERTAINMENT GRP	Purchase	04/27/2021	\$15,001 - \$50,000
737	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	05/03/2021	\$1,001 - \$15,000
738	DOUBLELINE FDS TR LOW DURATION BD FD CL I	Purchase	05/03/2021	\$1,001 - \$15,000
739	NUVEEN MUN TR EDP SHORT DURATION HIGH YIELD MUN BD FD CL I	Purchase	08/02/2021	\$1,001 - \$15,000
740	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	06/01/2021	\$1,001 - \$15,000
741	DOUBLELINE FDS TR EDP LOW DURATION BD FD CL I	Purchase	06/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
742	NUVEEN MUN TR EDP SHORT DURATION HIGH YIELD MUN BD FD CL I	Purchase	05/03/2021	\$1,001 - \$15,000
743	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	07/01/2021	\$1,001 - \$15,000
744	DOUBLELINE FDS TR EDP LOW DURATION BD FD CL I	Purchase	07/01/2021	\$1,001 - \$15,000
745	NUVEEN MUN TR EDP SHORT DURATION HIGH YIELD MUN BD FD CL I	Purchase	06/01/2021	\$1,001 - \$15,000
746	BLACKROCK FUNDS TECHNOLOGY OPPORTUNITIES FUND INST CL	Purchase	07/16/2021	\$1,001 - \$15,000
747	BLACKROCK HEALTH SCIENCES OPP PORT INSTITUTIONAL	Purchase	07/16/2021	\$1,001 - \$15,000
748	CREDIT SUISSE HIGH INCOME FUND COMMON CLASS	Purchase	08/02/2021	\$1,001 - \$15,000
749	DOUBLELINE FDS TR EDP LOW DURATION BD FD CL I	Purchase	08/02/2021	\$1,001 - \$15,000
750	NUVEEN MUN TR EDP SHORT DURATION HIGH YIELD MUN BD FD CL I	Purchase	07/01/2021	\$1,001 - \$15,000
751	MICROSTRATEGY INC CL (NEW)	Sale	08/12/2021	\$50,001 - \$100,000
752	VPC IMPACT ACQUISITI HLDGS CL A	Sale	08/12/2021	\$1,001 - \$15,000
753	Atlassian Corp PLC	Sale	06/01/2021	\$1,001 - \$15,000
754	Atlassian Corp PLC	Sale	07/13/2021	\$50,001 - \$100,000
755	Varian Medical Systems, Inc. (VAR)	Sale	04/15/2021	\$15,001 - \$50,000
756	Xilinx, Inc. (XLNX)	Sale	01/08/2021	\$15,001 - \$50,000
757	Xilinx, Inc. (XLNX)	Sale	01/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
758	Crown Castle REIT Inc.	Sale	07/22/2021	\$50,001 - \$100,000
759	Alliant Energy Corp. (LNT)	Purchase	01/13/2021	\$1,001 - \$15,000
760	Alliant Energy Corp. (LNT)	Purchase	01/21/2021	\$1,001 - \$15,000
761	Alliant Energy Corp. (LNT)	Purchase	01/22/2021	\$1,001 - \$15,000
762	Liberty Media Corp. (FWONK)	Purchase	05/20/2021	\$15,001 - \$50,000
763	Liberty Media Corp. (FWONK)	Purchase	05/21/2021	\$1,001 - \$15,000
764	Liberty Media Corp. (FWONK)	Purchase	05/24/2021	\$1,001 - \$15,000
765	Liberty Media Corp. (FWONK)	Purchase	05/25/2021	\$1,001 - \$15,000
766	Liberty Media Corp. (FWONK)	Purchase	07/22/2021	\$1,001 - \$15,000
767	Wayfair, Inc. (W)	Purchase	03/03/2021	\$15,001 - \$50,000
768	Wayfair, Inc. (W)	Purchase	03/17/2021	\$1,001 - \$15,000
769	Wayfair, Inc. (W)	Purchase	05/20/2021	\$1,001 - \$15,000
770	Wayfair, Inc. (W)	Purchase	08/12/2021	\$1,001 - \$15,000
771	Redfin Corp. (RDFN)	Purchase	07/22/2021	\$15,001 - \$50,000
772	Redfin Corp. (RDFN)	Purchase	07/23/2021	\$1,001 - \$15,000
773	Redfin Corp. (RDFN)	Purchase	08/12/2021	\$1,001 - \$15,000
774	Vroom Inc. (VRM)	Purchase	06/01/2021	\$1,001 - \$15,000
775	Vroom Inc. (VRM)	Purchase	06/02/2021	\$1,001 - \$15,000
776	Vroom Inc. (VRM)	Purchase	06/16/2021	\$1,001 - \$15,000
777	Atlassian Corporation Plc (TEAM)	Sale	06/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
778	Atlassian Corporation Plc (TEAM)	Sale	07/15/2021	\$50,001 - \$100,000	
779	Daimler A	Purchase	07/07/2021	\$1,001 - \$15,000	
780	Wix.com Ltd. (WIX)	Purchase	07/15/2021	\$50,001 - \$100,000	
781	Wix.com Ltd. (WIX)	Purchase	07/22/2021	\$1,001 - \$15,000	
782	Finserv Acquisitions	See Endnote	Exchange	06/10/2021	\$1,001 - \$15,000
783	Pioneer Natural Resources Co. (PXD)	Purchase	07/16/2021	\$250,001 - \$500,000	

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of America	Margin Account	\$5,000,001 - \$25,000,000	2014	30-day LIBOR	Revolving
2	Carlyle AIP Secondaries Access V II LP	Capital commitment	\$250,001 - \$500,000	2020	n/a	on demand
3	Carlyle Energy Mezzanine Access ASP Fund	Capital commitment	\$15,001 - \$50,000	2012	n/a	on demand
4	BlackRock Special Credit Opportunities Fund	Capital commitment	\$15,001 - \$50,000	2013	n/a	on demand
5	Secondary Opportunities Fund	Capital commitment	\$15,001 - \$50,000	2014	n/a	on demand
6	NB Private Markets Fund II (TI) LLC	Capital commitment	\$50,001 - \$100,000	2012	n/a	on demand

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	1.2.9	Redeemed Oct. 2021
6.	1.2.22	Redeemed Aug. 2021
6.	1.2.29	Partially redeemed July 2021
6.	1.2.40	Redeemed Aug. 2021
6.	1.2.54	Redeemed July 2021
6.	1.2.56	Redeemed Aug. 2021
6.	1.2.57	Redeemed Oct. 2021
6.	1.3.21	No transaction over \$1,000
6.	1.3.33	Sold Feb. 2022
6.	1.3.57	Formerly Brooks Automation, Inc. (BRKS)
6.	1.3.61	Estimate; K1 not yet available. Change in value due to capital call. Asset sold 3/31/2022.
6.	1.3.107	Estimate; K1 not yet available. Asset sold 3/31/2022.
6.	1.3.145	Formerly Facebook Inc.
6.	1.3.202	Estimate; K1 not yet available.
6.	1.3.215	Sold Feb. 2022
6.	1.3.226	No transaction >\$1,000

PART	#	ENDNOTE
6.	1.3.248	Sold Feb. 2022
6.	1.3.249	Exchanged for Independent Bank Corp
6.	1.3.263	Estimate; K1 not yet available. Asset sold 3/31/2022.
6.	1.3.295	Sold Feb. 2022
6.	1.3.318	Formerly Rexnord Corporation (RXN); name changed in 2021.
6.	1.3.345	Formerly Square, Inc.
6.	1.3.388	Sold Feb. 2022
6.	1.3.413	Stock sold in 2020; was included in nominee report in error.
6.	1.3.414	No transaction >\$1,000.
6.	1.3.433	No transaction >\$1,000.
6.	1.3.435	No transaction >\$1,000.
6.	1.3.441	No transaction >\$1,000
6.	1.3.451	Value in previous report (2021) was in error and should have been \$1,001-15,000.
6.	1.3.462	Sold for <\$1000 in 2021
6.	1.3.471	Shares acquired due to non-taxable spin-off in Oct. 2021.
6.	1.3.476	Purchased for <\$1,000
6.	1.3.487	No transactions >\$1,000
6.	1.3.490	No transaction >\$1,000
6.	1.3.492	No transaction >\$1,000
6.	1.3.494	No transaction >\$1,000
6.	1.3.495	Value change due to market fluctuation.
6.	1.3.498	Purchased for <\$1,000.

PART	#	ENDNOTE
6.	1.3.504	Purchased for <\$1,000
6.	1.3.511	Acquired for <\$1,000.
6.	1.3.521	No transaction >\$1,000.
6.	1.4.23	Formerly Wells Fargo Specialized Technology Fund
6.	1.4.25	Formerly Wells Fargo Money Market Fund
6.	1.6	Estimate; K1 not yet available.
6.	1.7	Estimate; K1 not yet available.
6.	1.8	Sold March 2022.
6.	1.9.1	Estimate; K1 not yet available.
6.	1.10.1	Estimate; K1 not yet available.
6.	1.11.1	Estimate; K1 not yet available.
6.	1.12.1	imputed income
6.	1.13.1	Estimate; K1 not yet available.
6.	1.14.1	Estimate; K1 not yet available.
6.	1.17.1	Estimate; K1 not yet available; sold in 2022.
6.	1.18.1	Estimate; K1 not yet available.
6.	2.2	Asset inadvertently omitted from previous report.
6.	3.2	Asset inadvertently omitted from previous report.
6.	4.1.1	This underlying asset was inadvertently omitted from previous report.
6.	4.1.2	This underlying asset was inadvertently omitted from previous report.
6.	4.1.3	This underlying asset was inadvertently omitted from previous report.
6.	4.1.4	This underlying asset was inadvertently omitted from previous report.

PART	#	ENDNOTE
6.	4.3	Policy transferred from TIAA-CREF to Prudential.
7.	8	opened written put option position
7.	9	opened written put option position; strike price \$135; expr. 9/17/21.
7.	10	opened written put option position; strike price \$150; expr. 9/17/21.
7.	11	opened written put option position; strike price \$280; expr. 9/17/21.
7.	12	opened written put option position; strike price \$90; expr. 9/17/21.
7.	13	opened written put option position; strike price \$510; expr. 9/17/21.
7.	14	opened written put option position; strike price \$340; expr. 9/17/21.
7.	15	opened written put option position; strike price \$200; expr. 9/17/21.
7.	16	opened written put option position; strike price \$250; expr. 9/17/21.
7.	17	opened written put option position; strike price \$130; expr. 9/17/21.
7.	18	opened written put option position; strike price \$240; expr. 9/17/21.
7.	19	opened written put option position; strike price \$105; expr. 9/17/21.
7.	20	opened written put option position; strike price \$380; expr. 9/17/21.
7.	21	opened written put option position; strike price \$115; expr. 9/17/21.
7.	22	opened written put option position; strike price \$195; expr. 9/17/21.
7.	23	opened written put option position; strike price \$195; expr. 9/17/21.
7.	24	opened written put option position; strike price \$605; expr. 9/17/21.
7.	25	opened written put option position; strike price \$325; expr. 9/17/21.
7.	26	opened written put option position; strike price \$155; expr. 9/17/21.
7.	27	opened written put option position; strike price \$155; expr. 9/17/21.
7.	28	opened written put option position; strike price \$195; expr. 9/17/21.

PART	#	ENDNOTE
7.	29	opened written put option position; strike price \$2680; expr. 9/17/21.
7.	35	Exchange of PRA Health Sciences Inc. stock for Icon PLC following merger
7.	49	Exchange of Alexion Pharmaceuticals, Inc. for Astrazeneca PLC Sponsored ADR following merger.
7.	80	opened written put position; 100 shares; \$275 strike price; 1/21/22 expiration.
7.	137	Exchange of Meridian Bancorp Inc. for Independent Bank Corp following merger
7.	152	Exchange of Kansas City Southern stock for Canadian Pacific Railway Ltd. following acquisition of KCS by CPR.
7.	153	Exchange of Daimler AG for Daimler Truck Holdings following spinoff; this transaction appeared on initial bank statement, but filer received 0 in Daimler Truck Holdings
7.	202	This stock was sold on February 8, 2022.
7.	219	This stock was sold on February 8, 2022.
7.	220	This stock was sold on February 8, 2022.
7.	226	This stock was sold on February 8, 2022.
7.	239	This stock was sold on February 8, 2022.
7.	310	opened written put option position
7.	311	opened written put option position
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PART	#	ENDNOTE
7.	321	opened written put option position
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PART	#	ENDNOTE
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PART	#	ENDNOTE
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PART	#	ENDNOTE
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PART	#	ENDNOTE
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PART	#	ENDNOTE
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PART	#	ENDNOTE
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7.	468	opened written put option position
7.	469	opened written put option position
7.	470	opened written put option position
7.	471	opened written put option position
7.	472	opened written put option position
7.	521	Sold; no transaction >\$1,000.
7.	639	Asset acquired through purchase <\$1,000.
7.	782	Exchange of Finserv Acquisitions for Katapult Holdings Inc.

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).
