

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Wood, Kimba M.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 10/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address 500 Pearl Street New York, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

- | | |
|-----------------|---|
| 1. Board Member | New York City Ballet, Inc. |
| 2. Trustee | The Frank E. Richardson 2011 Insurance Trust Agreement (See Note 4 in Section VIII) |
| 3. | |
| 4. | |
| 5. | |

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- | | |
|----|--|
| 1. | |
| 2. | |
| 3. | |

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income



NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)



NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019*	Morgan Stanley Pension Benefit
2. 2019*	Fee Income (Mgmt Fee Offset) - Blackstone VIII, Gemspring Capital, Vestar Capital, Tinicum
3.	
4.	
5. *(various)	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE (No reportable reimbursements.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Citibank	Line of Credit - #1	P1
2. Citibank	Line of Credit - #2	P1
3. Sentinel Capital Partners (See Note 12 in Section VIII)	Credit Extended by Sentinel for Purchase of Portfolio Companies	P1
4. Citibank (Includes original card and its replacement)	Credit Card	J
5. American Express	Credit Card	L

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. EXXON CORP COMMON STOCK	C	Dividend	L	T					
2. INVESTMENT ACCOUNT #1 (FKA US BANK #1) (LINES 3-38) (IA) (H)									
3. FIRST AM GOVT OB FUND CL Z (SEE NOTE 14 IN SECT VIII)	B	Dividend	K	T	Buy (add'l)	03/01/19	K		
4.					Sold (part)	03/05/19	K		
5.					Buy (add'l)	03/05/19	J		
6.					Sold (part)	03/06/19	J		
7.					Buy (add'l)	08/02/19	L		
8.					Sold (part)	08/02/19	K		
9.					Sold (part)	10/08/19	M		
10.					Buy (add'l)	10/08/19	M		
11.					Buy (add'l)	10/31/19	L		
12.					Buy (add'l)	11/18/19	J		
13.					Sold (part)	11/18/19	J		
14.					Buy (add'l)	12/17/19	J		
15.					Sold (part)	12/17/19	J		
16.					Sold (part)	12/18/19	J		
17.					Buy (add'l)	12/18/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	12/23/19	J		
19.					Sold (part)	12/26/19	K		
20. ARTISAN GLOBAL VALUE ADVISOR	A	Dividend	K	T	Sold (part)	10/08/19	J		
21. ARTISAN INTERNATIONAL VALUE ADVISOR	B	Dividend	L	T	Buy	10/08/19	K		
22.					Buy (add'l)	12/26/19	J		
23. BROWN ADV BEUTI GDMAN LRGE CAP INST	B	Dividend	M	T	Buy (add'l)	10/08/19	K		
24.					Buy (add'l)	12/26/19	J		
25. BROWN ADV EMG MKTS INS (SEE NOTE 21 IN SECT VIII)	A	Dividend	K	T	Buy	03/05/19	K		
26.					Buy (add'l)	03/06/19	J		
27. BROWN ADV FLEXIBLE EQUITY INV		None			Sold	10/08/19	L	A	
28. BROWN ADV GLOBAL LEADERS	A	Dividend	K	T	Sold (part)	10/08/19	J	A	
29. BROWN ADV SMALL CAP GROWTH INV	B	Dividend	L	T	Buy (add'l)	08/02/19	J		
30. BROWN ADV STRAT EUR EQ INS		None			Sold	08/02/19	L		
31. BROWN ADV SUSTAINABLE GROWTH	A	Dividend	M	T	Buy (add'l)	10/08/19	L		
32.					Buy (add'l)	12/26/19	J		
33. BROWN ADV TAX EXEMPT BND INS (FKA BRN ADV TAX EXEMPT BOND)	C	Dividend	M	T	Buy (add'l)	12/26/19	J		
34. DFA EMERGING MKTS SMALL CAP INC	A	Dividend			Sold	10/08/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. ISHARES MSCI EAFE SMALL CAP ETF	A	Dividend			Sold	10/08/19	J		
36. ISHARES MSCI EMERGING MARKETS ETF		None			Sold	03/01/19	K	B	
37. ISHARES MSCI EMERGING MARKETS ASIA ETF		None			Sold	03/05/19	J	A	
38. ISHARES RUSSELL 2000 VALUE ETF	A	Dividend	L	T	Buy (add'l)	08/02/19	K		
39. INVESTMENT ACCOUNT #2 - FOR IRA #1 (LINES 40-70) (H)									
40. FIRST AM GOVT OB FUND CL Z MM FUND (SEE NOTE 14 IN SECT VIII	C	Dividend	M	T	Buy (add'l)	03/04/19	L		
41.					Sold (part)	03/05/19	L		
42.					Buy (add'l)	06/21/19	J		
43.					Sold (part)	08/02/19	K		
44.					Buy (add'l)	08/02/19	L		
45.					Buy (add'l)	09/30/19	J		
46.					Sold (part)	10/08/19	O		
47.					Buy (add'l)	10/08/19	O		
48.					Buy (add'l)	11/14/19	J		
49.					Sold (part)	11/14/19	J		
50.					Buy (add'l)	11/21/19	J		
51.					Buy (add'l)	12/16/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Sold (part)	12/16/19	K		
53.					Buy (add'l)	12/20/19	J		
54. ARTISAN GLOBAL VALUE ADVISOR	B	Dividend	M	T					
55. ARTISAN INTERNATIONAL VALUE ADVISOR	D	Dividend	N	T	Buy	10/08/19	M		
56. BROWN ADV BEUTI GDMAN LRG CAP INST	D	Dividend	O	T	Buy (add'l)	10/08/19	L		
57. BROWN ADV EMG MKTS INS	C	Dividend	M	T	Buy (add'l)	03/05/19	L		
58. BROWN ADV FLEXIBLE EQUITY INV		None			Sold	10/08/19	N	D	
59. BROWN ADV GLOBAL LEADERS INST	A	Dividend	M	T					
60. BROWN ADV SMALL CAP GROWTH INV	C	Dividend	M	T	Buy (add'l)	10/08/19	K		
61. BROWN ADV STRATEGIC BOND FUND	B	Dividend	K	T					
62. BROWN ADV STRAT EUR EQ INS		None			Sold	10/08/19	N		
63. BROWN ADV SUSTAINABLE GROWTH	C	Dividend	O	T	Buy (add'l)	10/08/19	N		
64. BROWN ADV TOTAL RETURN INS	D	Dividend	M	T					
65. DFA EMERGING MKTS SML CAP INC	A	Dividend			Sold	10/08/19	K		
66. ISHARES RUSSELL 2000 VALUE ETF	C	Dividend	M	T	Buy (add'l)	08/02/19	K		
67.					Buy (add'l)	10/08/19	K		
68. ISHARES MSCI ALL COUNTRY ASIA EX ETF		None			Sold	03/04/19	L		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

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P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. ISHARES MSCI EAFE SMALL CAP ETF	A	Dividend			Sold	08/02/19	L		
70. ISHARES TIPS BOND ETF	A	Dividend	K	T	Buy	10/08/19	K		
71. MERRILL LYNCH BANK DEPOSIT MM/ CASH (ML EDGE)	A	Interest	L	T					
72. INVESTMENT ACCOUNT #3 - (LINES 73-103) (12-MAIN) (H)									
73. FIRST AMERICAN GOVT OBLIGATIONS FUND/CASH (NOTE 14 SEC VIII)	B	Interest	J	T	Buy (add'l)	01/02/19	J		
74.					Buy (add'l)	01/15/19	J		
75.					Buy (add'l)	02/01/19	J		
76.					Buy (add'l)	02/15/19	J		
77.					Buy (add'l)	03/01/19	J		
78.					Buy (add'l)	03/15/19	J		
79.					Buy (add'l)	04/02/19	J		
80.					Buy (add'l)	04/15/19	J		
81.					Buy (add'l)	05/02/19	J		
82.					Buy (add'l)	05/15/19	J		
83.					Buy (add'l)	06/03/19	J		
84.					Buy (add'l)	06/17/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
85.					Buy (add'l)	07/01/19	J		
86.					Sold (part)	07/02/19	K		
87.					Buy (add'l)	07/15/19	J		
88.					Sold (part)	07/30/19	J		
89.					Buy (add'l)	08/01/19	J		
90.					Buy (add'l)	08/15/19	J		
91.					Buy (add'l)	09/04/19	J		
92.					Buy (add'l)	09/16/19	J		
93.					Buy (add'l)	10/02/19	J		
94.					Buy (add'l)	10/15/19	J		
95.					Sold (part)	10/30/19	J		
96.					Buy (add'l)	11/04/19	J		
97.					Buy (add'l)	11/15/19	J		
98.					Buy (add'l)	12/02/19	J		
99.					Buy (add'l)	12/16/19	J		
100. NYC NY ADJ FISCAL BOND	D	Interest	O	T					
101. NYC NY MUNI WATER BOND	D	Interest	O	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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102. NYC NY SUBSER BOND	D	Interest	O	T					
103. NY NY ST HSG FN AGY BOND	D	Interest	O	T					
104. INVESTMENT ACCOUNT #4 (MUNI) (LINES 105-225) (H)									
105. FIRST AMERICAN GOVT OBLIG MMF/ CSH (SEE NOTE 14 IN SECT VIII)	D	Dividend	M	T	Sold (part)	01/01/19	J		
106.					Buy (add'l)	01/01/19	J		
107.					Sold (part)	01/02/19	O		
108.					Buy (add'l)	01/02/19	J		
109.					Sold (part)	01/03/19	O		
110.					Sold (part)	01/04/19	O		
111.					Sold (part)	01/09/19	O		
112.					Sold (part)	01/11/19	N		
113.					Sold (part)	01/16/19	N		
114.					Sold (part)	01/18/19	O		
115.					Sold (part)	01/22/19	N		
116.					Buy (add'l)	02/01/19	K		
117.					Sold (part)	02/05/19	N		
118.					Sold (part)	02/13/19	M		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
119.					Buy (add'l)	02/14/19	J		
120.					Buy (add'l)	02/15/19	J		
121.					Buy (add'l)	03/01/19	J		
122.					Buy (add'l)	03/08/19	J		
123.					Buy (add'l)	03/13/19	J		
124.					Buy (add'l)	03/15/19	J		
125.					Buy (add'l)	03/21/19	J		
126.					Buy (add'l)	04/01/19	K		
127.					Buy (add'l)	04/12/19	J		
128.					Buy (add'l)	04/25/19	J		
129.					Buy (add'l)	05/01/19	K		
130.					Buy (add'l)	05/15/19	J		
131.					Sold (part)	05/17/19	M		
132.					Buy (add'l)	05/17/19	J		
133.					Buy (add'l)	05/30/19	M		
134.					Buy (add'l)	06/01/19	K		
135.					Buy (add'l)	06/03/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
136.					Sold (part)	06/05/19	N		
137.					Buy (add'l)	06/12/19	M		
138.					Buy (add'l)	06/15/19	J		
139.					Buy (add'l)	06/21/19	J		
140.					Buy (add'l)	06/26/19	L		
141.					Sold (part)	07/02/19	M		
142.					Buy (add'l)	07/03/19	N		
143.					Sold (part)	08/16/19	N		
144.					Buy (add'l)	08/21/19	L		
145.					Sold (part)	10/04/19	M		
146.					Buy (add'l)	10/07/19	L		
147.					Buy (add'l)	11/01/19	L		
148.					Buy (add'l)	11/15/19	K		
149.					Sold (part)	11/20/19	N		
150.					Buy (add'l)	11/29/19	L		
151.					Sold (part)	12/10/19	M		
152.					Buy (add'l)	12/11/19	N		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
153. ALLEN CNTY OH HOSPITAL BOND DUE 5/1/26	C	Interest	L	T					
154. BALTIMORE COUNTY MD BOND DUE 3/1/31	C	Interest	L	T					
155. BLACK BELT ENERGY GAS DIST AL DUE 12/1/48	D	Interest	N	T	Buy	01/16/19	N		
156. CHANDLER AZ INDL DEV BOND DUE 12/1/37	C	Interest	M	T					
157. CLARK COUNTY NV PARKS IMPRV BOND DUE 12/1/33	D	Interest	N	T					
158. CLARK COUNTY NV SCH BOND DUE 6/15/32	D	Interest	M	T					
159. COMMONWEALTH FINANCING AUTHORITY PA DUE 6/1/23	D	Interest	M	T	Buy	01/02/19	M		
160. CO STATE HEALTH FACS AUTH DUE 2/1/31	D	Interest	M	T	Buy	01/02/19	M		
161. DALLAS FORT WORTH TX BOND DUE 11/1/20	C	Interest			Sold	10/07/19	L		
162. DENVER CO CONVENTION CENTER HOTEL 12/1/34	D	Interest	N	T	Buy	01/04/19	N		
163. EDINBURG TX CONSOL BOND DUE 2/15/31	C	Interest	M	T					
164. GOLDEN ST TABACCO SECURITIZATION BOND DUE 6/1/30	B	Interest	L	T					
165. HARRIS CNTY HOUSTON TX BOND DUE 11/15/2020	D	Interest	M	T					
166. HEALTHCARE AUTH BAPTIST HEALTH AL DUE 11/15/37	D	Interest	N	T	Buy	01/03/19	N		
167.					Sold (part)	11/15/19	K	A	
168. HIDALGO CO. TX GO DUE 8/15/35	D	Interest	M	T	Buy	01/03/19	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
169. HOUSTON CO. AL HEALTH CARE AUTH-SE AL MEDICAL CENTER 10/1/30	D	Interest	M	T	Buy	01/02/19	M		
170. HOUSTON TX ARPT SYS BOND DUE 7/1/29	C	Interest	L	T					
171. HOUSTON TX HOTEL BOND DUE 9/1/33	B	Interest			Sold	05/30/19	L		
172. ILLINOIS ST FIN AUTH BOND DUE 11/1/30	C	Interest	L	T					
173. INDIANA ST FIN AUTH 5/1/24 BOND	C	Interest	L	T					
174. INDIANA ST FIN AUTH 5/1/24 BOND	A	Interest	J	T					
175. IN FINANCE AUTH WASTEWATER UTILITY DUE 10/1/31	D	Interest	M	T	Buy	01/18/19	M		
176. JACKSONVILLE FL CAPITAL IMPT BOND DUE 10/1/25	C	Interest	L	T					
177. KENTUCKY ST ASSET LIAB COMM GEN FUND BOND DUE 11/1/21	D	Interest	M	T	Sold (part)	11/01/19	L	A	
178. KENTUCKY ST PPTY BLDGS BOND DUE 8/1/27	D	Interest			Sold	11/29/19	L		
179. LOUISIANA PUB FACS AUTH REV BOND DUE 12/15/31	C	Interest	L	T					
180. MARICOPA CNTY AZ BOND DUE 7/1/39	D	Interest			Sold	08/21/19	L		
181. MARYLAND ST COMMUNITY DEV ADMIN DEPT HSG&COMM DEV DUE 9/1/31		None	M	T	Buy	10/04/19	M		
182. MARYLAND ST HEALTH - 7/1/24 BOND	C	Interest	L	T					
183. MARYLAND ST HEALTH -7/1/30 BOND	C	Interest	L	T					
184. MET ATLANTA GA RAPID TRNSIT AUTH SALES TAX DUE 7/1/41		None	N	T	Buy	08/15/19	N		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
185. MET TRANSPORTATION NY - 11/15/20 BOND	D	Interest	M	T					
186. MET TRANSPORTATION NY - 11/15/33 BOND	D	Interest	N	T					
187. MET WASHINGTON DC AIRPORTS AUTH AIRPORT SYSTEMS DUE 10/1/39	C	Interest	N	T	Buy	06/05/19	N		
188. MIAMI DADE CNTY FL AVIATION REV (10/1/2030) BOND	D	Interest	M	T					
189. MIAMI DADE CNTY FL AVIATION REV (10/1/2020) BOND	D	Interest	N	T					
190. MICHIGAN ST BOND DUE 5/1/28	D	Interest	M	T					
191. MISSOURI ST ENVR ENERGY 2 (12/1/22) BOND	B	Interest			Sold	06/26/19	L		
192. MISSOURI ST ENVR ENERGY 3 (9/1/33) BOND	B	Interest			Sold	06/12/19	M		
193. MISSOURI ST ENVIRONMENTAL IMPR & ENERGY RES AUTH DUE 9/1/33	C	Interest			Buy	01/09/19	N		
194.					Sold	07/03/19	N		
195. MODESTO CA IRR DIST FING AUTH DUE 9/1/27	D	Interest	N	T	Buy	01/22/19	N		
196. NEWPORT NEWS VA ECONOMIC DEVELOP AUTH DUE 12/1/38	D	Interest	M	T	Buy	02/13/19	M		
197. NEW YORK NY GO DUE 8/1/25	D	Interest	N	T	Buy	01/09/19	N		
198. NEW YORK CITY NY TRANSITIONAL FIN 5/1/2022 BOND	D	Interest	M	T					
199. NEW YORK STATE DORM AUTH BOND DUE 10/1/21	C	Interest	L	T					
200. NEW YORK STATE DORM AUTH MEM SLOAN KETT CANCR CTR DUE 7/1/36		None	M	T	Buy	12/10/19	M		
201. NEW YORK STATE DORM AUTH PERSONAL INCOME TAX DUE 3/15/26	D	Interest	N	T	Buy	01/11/19	N		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
202. NEW YORK ST THRUWAY BOND DUE 1/1/22	C	Interest	L	T					
203. NEW YORK ST URBAN BOND DUE 3/15/27	D	Interest	M	T					
204. NORTH CAROLINA ST BOND DUE 11/1/30	C	Interest	L	T					
205. PALM BEACH CO FL HEALTH FACS AUTH DUE 11/15/32	C	Interest	M	T	Buy	05/17/19	M		
206. PENNSYLVANIA ST TURNPIKE COMM BOND DUE 12/1/28	C	Interest	L	T					
207. PHILADELPHIA PA REF SER A BOND DUE 8/1/26	C	Interest	L	T					
208. PORT AUTH OF NY & NJ NY AMT DUE 11/1/37		None	N	T	Buy	11/20/19	N		
209. PORT OF CORPUS CHRISTI TX AUTH BOND 12/1/31	C	Interest	M	T					
210. RIO HONDO CA COMMUNITY COLLEGE DIST GO DUE 8/1/31		None	M	T	Buy	02/05/19	M		
211. SEATTLE WA MUNI LIGHT PWR REV BOND DUE 1/1/30	C	Interest	L	T					
212. SOUTH DAKOTA ST EDU BOND DUE 6/1/25	C	Interest	L	T					
213. SPRINGFIELD IL ELECTRIC DUE 3/1/26	D	Interest	M	T	Buy	01/02/19	M		
214. SYRACUSE NY INDL DEV AGY CIVIC FAC BOND DUE 12/1/29	C	Interest	L	T					
215. TOBACCO SETTLEMENT NJ FINANCING CORP DUE 6/1/31	D	Interest	M	T	Buy	02/05/19	M		
216. TOBACCO SETTLMENT AUTH WA BOND DUE 6/1/22	C	Interest	L	T					
217. TOBACCO SETTLEMENT FINANCING CORP LA BOND 5/15/21	C	Interest	L	T					
218. UNIVERSITY OF TOLEDO OH DUE 6/1/36	D	Interest	N	T	Buy	01/04/19	N		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
219. WASHINGTON MD SUBURBAN SANITARY DISTR GO DUE 6/1/25	D	Interest			Buy	01/09/19	M		
220.					Sold	12/11/19	N	C	
221. WASHINGTON ST CONVENTION CENTER BOND DUE 7/1/32	C	Interest	M	T					
222. WAXAHACHIE TX INDEP SCH DIST REF BOND DUE 8/15/29	C	Interest	L	T					
223. WINNEBAGO CNTY IL REF SER C BOND DUE 12/30/26	C	Interest	L	T					
224. YAKIMA & KITTITAS CNTYS WA GO DUE 12/1/29	D	Interest	N	T	Buy	01/18/19	N		
225. YORKTOWN NY CENTRAL SCH DISTR BOND DUE 10/1/21	C	Interest	L	T					
226. INVEST ACCT #5 (EC) (LINES 227-332) (NOTE 20 SECT VIII) (H)		None			Open	02/15/19	P1		
227. FIRST AMERICAN GOVT OBLGTNS FND-MMF/CASH (NOTE 14 SECT VIII)	D	Dividend	M	T	Buy	02/15/19	P1		
228.					Sold (part)	02/15/19	P1		
229.					Buy (add'l)	02/26/19	J		
230.					Sold (part)	02/26/19	J		
231.					Buy (add'l)	03/01/19	J		
232.					Sold (part)	03/07/19	L		
233.					Buy (add'l)	03/14/19	J		
234.					Buy (add'l)	03/22/19	J		
235.					Buy (add'l)	03/28/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
236.					Buy (add'l)	04/05/19	K		
237.					Sold (part)	04/08/19	K		
238.					Buy (add'l)	04/09/19	L		
239.					Sold (part)	04/23/19	K		
240.					Buy (add'l)	04/24/19	J		
241.					Buy (add'l)	04/25/19	J		
242.					Sold (part)	05/02/19	K		
243.					Buy (add'l)	05/15/19	J		
244.					Sold (part)	05/21/19	J		
245.					Sold (part)	05/23/19	K		
246.					Buy (add'l)	05/24/19	J		
247.					Sold (part)	05/28/19	J		
248.					Buy (add'l)	06/01/19	J		
249.					Buy (add'l)	06/13/19	J		
250.					Buy (add'l)	06/21/19	J		
251.					Buy (add'l)	06/27/19	J		
252.					Buy (add'l)	06/28/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
253.					Sold (part)	07/01/19	L		
254.					Buy (add'l)	07/24/19	J		
255.					Sold (part)	07/25/19	J		
256.					Sold (part)	07/29/19	L		
257.					Sold (part)	08/05/19	J		
258.					Sold (part)	08/06/19	K		
259.					Sold (part)	08/09/19	J		
260.					Buy (add'l)	08/09/19	K		
261.					Buy (add'l)	08/15/19	J		
262.					Sold (part)	08/16/19	J		
263.					Buy (add'l)	08/23/19	J		
264.					Sold (part)	08/28/19	K		
265.					Buy (add'l)	09/01/19	J		
266.					Buy (add'l)	09/06/19	J		
267.					Buy (add'l)	09/12/19	J		
268.					Buy (add'l)	09/20/19	J		
269.					Buy (add'l)	09/27/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
270.					Sold (part)	10/16/19	K		
271.					Sold (part)	10/17/19	L		
272.					Buy (add'l)	10/23/19	J		
273.					Sold (part)	11/08/19	L		
274.					Buy (add'l)	11/15/19	J		
275.					Buy (add'l)	11/22/19	J		
276.					Buy (add'l)	12/01/19	J		
277.					Buy (add'l)	12/04/19	J		
278.					Buy (add'l)	12/12/19	J		
279.					Buy (add'l)	12/19/19	J		
280.					Buy (add'l)	12/30/19	J		
281. COMMON STOCKS (EC)(LINES 282-332) (H)									
282. AERCAP HOLDINGS (FORGN STOCK)		None	L	T	Buy	02/15/19	L		
283.					Buy (add'l)	08/05/19	J		
284. ALPHABET, INC		None	O	T	Buy	02/15/19	N		
285.					Buy (add'l)	07/25/19	J		
286. AMAZON.COM INC		None	N	T	Buy	02/15/19	N		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
287. ANADARKO PETROLEUM CORP (EXCHD FOR OCC PETE - SEE LINE 324)	A	Dividend			Buy	02/15/19	K		
288.					Sold	08/09/19	K	E	
289. AON PLC (FORGN STOCK)	A	Dividend	M	T	Buy	02/15/19	M		
290. BERKSHIRE HATHAWAY INC		None	N	T	Buy	02/15/19	N		
291.					Buy (add'l)	04/08/19	K		
292. CITIGROUP, INC	D	Dividend	N	T	Buy	02/15/19	N		
293. COMCAST CORP	C	Dividend	N	T	Buy	02/15/19	M		
294. DISH NETWORK CORP		None	L	T	Buy	07/29/19	L		
295. FACEBOOK, INC		None	M	T	Buy	02/15/19	M		
296.					Buy (add'l)	11/08/19	L		
297. FIRST DATA CORP		None			Buy	02/15/19	K		
298.					Merged (with line 299)	07/29/19	K		
299. FISERV, INC		None	L	T	Buy	02/15/19	K		
300. GCI LIBERTY, INC		None	M	T	Buy	02/15/19	M		
301. GENERAL ELECTRIC CO	C	Dividend	N	T	Buy	02/15/19	K		
302.					Buy (add'l)	03/07/19	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
303.					Buy (add'l)	04/23/19	K		
304.					Buy (add'l)	05/21/19	J		
305.					Buy (add'l)	08/06/19	K		
306.					Buy (add'l)	08/16/19	J		
307.					Buy (add'l)	08/28/19	K		
308. GENERAL MOTORS CO	D	Dividend	M	T	Buy	02/15/19	M		
309. GOLDMAN SACHS GROUP, INC	D	Dividend	N	T	Buy	02/15/19	N		
310. HILTON, INC	A	Dividend	M	T	Buy	02/15/19	M		
311. LIBERTY BROADBAND		None	M	T	Buy	02/15/19	M		
312. LIBERTY GLOBAL PLC		None	M	T	Buy	02/15/19	M		
313.					Buy (add'l)	05/28/19	J		
314. LIBERTY TRIPADVISOR HOLDINGS, INC		None	J	T	Buy	02/15/19	K		
315. MARRIOTT INTERNATIONAL, INC	C	Dividend	N	T	Buy	02/15/19	M		
316. MICROSOFT CORP	D	Dividend	O	T	Buy	02/15/19	N		
317. MOHAWK INDUSTRIES, INC		None	M	T	Buy	02/15/19	M		
318. MORGAN STANLEY	C	Dividend	M	T	Buy	02/15/19	M		
319. NETFLIX, INC		None	M	T	Buy	10/16/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
320.					Buy (add'l)	10/17/19	L		
321. OCCIDENTAL PETROLEUM CORP		None			Spinoff (from line 287)	08/09/19	J		
322.					Sold	09/06/19	J		
323. ORACLE CORP	B	Dividend	M	T	Buy	02/15/19	M		
324.					Sold (part)	04/05/19	K	A	
325.					Sold (part)	07/01/19	L	D	
326. TRIPADVISOR, INC	D	Dividend	K	T	Buy	02/15/19	L		
327. UNITEDHEALTH GROUP, INC	C	Dividend	M	T	Buy	02/15/19	M		
328.					Sold (part)	04/09/19	L		
329. WABTEC CORP	A	Dividend	L	T	Spinoff (from line 301)	02/26/19	J		
330.					Buy (add'l)	05/02/19	K		
331.					Buy (add'l)	05/23/19	K		
332. WELLS FARGO & CO	D	Dividend	N	T	Buy	02/15/19	M		
333. INV ACCT #6 (SCG) (LINES 334-1033) (NOTE 20 SECT VIII) (H)		None			Open	01/18/19	O		
334. FIRST AMERICN GOVT OBLGTNS FUND (MMF)/CSH (NOTE 14 SEC VIII)	C	Dividend	M	T	Buy	01/18/19	O		
335.					Sold (part)	01/22/19	O		
336.					Buy (add'l)	01/22/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
337.					Sold (part)	01/23/19	J		
338.					Sold (part)	01/24/19	J		
339.					Sold (part)	01/30/19	J		
340.					Sold (part)	01/31/19	K		
341.					Buy (add'l)	02/01/19	J		
342.					Buy (add'l)	02/04/19	J		
343.					Sold (part)	02/06/19	K		
344.					Sold (part)	02/08/19	J		
345.					Sold (part)	02/12/19	J		
346.					Buy (add'l)	02/12/19	J		
347.					Sold (part)	02/13/19	J		
348.					Buy (add'l)	02/13/19	J		
349.					Sold (part)	02/14/19	J		
350.					Buy (add'l)	02/14/19	J		
351.					Buy (add'l)	02/15/19	J		
352.					Buy (add'l)	02/19/19	K		
353.					Sold (part)	02/19/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
354.					Buy (add'l)	02/20/19	J		
355.					Sold (part)	02/21/19	J		
356.					Buy (add'l)	02/22/19	J		
357.					Sold (part)	02/25/19	J		
358.					Sold (part)	02/26/19	J		
359.					Sold (part)	03/01/19	J		
360.					Buy (add'l)	03/01/19	J		
361.					Sold (part)	03/06/19	J		
362.					Buy (add'l)	03/12/19	J		
363.					Sold (part)	03/15/19	J		
364.					Buy (add'l)	03/15/19	J		
365.					Sold (part)	03/18/19	J		
366.					Buy (add'l)	03/18/19	J		
367.					Buy (add'l)	03/21/19	O		
368.					Sold (part)	03/22/19	O		
369.					Sold (part)	03/28/19	J		
370.					Sold (part)	03/29/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
371.					Sold (part)	04/01/19	J		
372.					Sold (part)	04/02/19	J		
373.					Sold (part)	04/03/19	J		
374.					Buy (add'l)	04/05/19	J		
375.					Sold (part)	04/08/19	J		
376.					Buy (add'l)	04/08/19	J		
377.					Buy (add'l)	04/09/19	J		
378.					Buy (add'l)	04/10/19	J		
379.					Buy (add'l)	04/11/19	J		
380.					Sold (part)	04/12/19	J		
381.					Buy (add'l)	04/12/19	J		
382.					Sold (part)	04/15/19	J		
383.					Buy (add'l)	04/16/19	J		
384.					Sold (part)	04/17/19	J		
385.					Sold (part)	04/18/19	J		
386.					Sold (part)	04/22/19	J		
387.					Buy (add'l)	04/22/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
388.					Buy (add'l)	04/23/19	J		
389.					Buy (add'l)	04/24/19	J		
390.					Sold (part)	04/29/19	J		
391.					Buy (add'l)	04/29/19	J		
392.					Sold (part)	04/30/19	K		
393.					Sold (part)	05/01/19	J		
394.					Buy (add'l)	05/01/19	J		
395.					Sold (part)	05/02/19	J		
396.					Buy (add'l)	05/03/19	J		
397.					Buy (add'l)	05/06/19	K		
398.					Buy (add'l)	05/08/19	J		
399.					Sold (part)	05/09/19	J		
400.					Sold (part)	05/13/19	J		
401.					Sold (part)	05/14/19	J		
402.					Sold (part)	05/16/19	J		
403.					Buy (add'l)	05/20/19	J		
404.					Sold (part)	05/20/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
405.					Sold (part)	05/22/19	J		
406.					Sold (part)	05/24/19	J		
407.					Buy (add'l)	05/24/19	J		
408.					Sold (part)	05/28/19	J		
409.					Buy (add'l)	05/28/19	J		
410.					Sold (part)	05/29/19	J		
411.					Sold (part)	05/31/19	J		
412.					Buy (add'l)	05/31/19	J		
413.					Buy (add'l)	06/03/19	J		
414.					Buy (add'l)	06/04/19	J		
415.					Buy (add'l)	06/10/19	J		
416.					Sold (part)	06/11/19	J		
417.					Buy (add'l)	06/11/19	J		
418.					Sold (part)	06/12/19	J		
419.					Buy (add'l)	06/12/19	J		
420.					Sold (part)	06/13/19	J		
421.					Buy (add'l)	06/13/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
422.					Sold (part)	06/14/19	J		
423.					Sold (part)	06/19/19	J		
424.					Sold (part)	06/21/19	J		
425.					Buy (add'l)	06/21/19	J		
426.					Sold (part)	06/24/19	J		
427.					Sold (part)	06/26/19	J		
428.					Sold (part)	06/27/19	J		
429.					Sold (part)	06/28/19	K		
430.					Sold (part)	07/01/19	J		
431.					Buy (add'l)	07/01/19	J		
432.					Sold (part)	07/02/19	J		
433.					Buy (add'l)	07/03/19	J		
434.					Sold (part)	07/05/19	J		
435.					Buy (add'l)	07/05/19	K		
436.					Sold (part)	07/08/19	J		
437.					Buy (add'l)	07/08/19	J		
438.					Buy (add'l)	07/09/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
439.					Sold (part)	07/10/19	J		
440.					Buy (add'l)	07/10/19	J		
441.					Buy (add'l)	07/11/19	J		
442.					Buy (add'l)	07/12/19	J		
443.					Buy (add'l)	07/15/19	J		
444.					Buy (add'l)	07/16/19	J		
445.					Buy (add'l)	07/17/19	J		
446.					Sold (part)	07/18/19	J		
447.					Buy (add'l)	07/18/19	J		
448.					Buy (add'l)	07/19/19	J		
449.					Buy (add'l)	07/23/19	J		
450.					Sold (part)	07/29/19	J		
451.					Buy (add'l)	07/29/19	J		
452.					Sold (part)	07/30/19	K		
453.					Buy (add'l)	07/30/19	J		
454.					Buy (add'l)	07/31/19	K		
455.					Sold (part)	07/31/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
456.					Buy (add'l)	07/31/19	J		
457.					Sold (part)	08/01/19	J		
458.					Buy (add'l)	08/01/19	J		
459.					Sold (part)	08/02/19	J		
460.					Buy (add'l)	08/02/19	J		
461.					Sold (part)	08/06/19	J		
462.					Buy (add'l)	08/06/19	J		
463.					Buy (add'l)	08/07/19	J		
464.					Buy (add'l)	08/08/19	J		
465.					Sold (part)	08/09/19	J		
466.					Buy (add'l)	08/09/19	J		
467.					Sold (part)	08/12/19	J		
468.					Buy (add'l)	08/12/19	J		
469.					Buy (add'l)	08/13/19	J		
470.					Buy (add'l)	08/14/19	J		
471.					Sold (part)	08/15/19	J		
472.					Sold (part)	08/16/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
473.					Sold (part)	08/19/19	J		
474.					Buy (add'l)	08/19/19	J		
475.					Buy (add'l)	08/20/19	J		
476.					Sold (part)	08/23/19	J		
477.					Buy (add'l)	08/23/19	J		
478.					Buy (add'l)	08/26/19	J		
479.					Sold (part)	08/27/19	J		
480.					Buy (add'l)	08/27/19	J		
481.					Sold (part)	08/28/19	J		
482.					Sold (part)	08/29/19	J		
483.					Buy (add'l)	08/30/19	K		
484.					Sold (part)	08/30/19	K		
485.					Sold (part)	09/03/19	J		
486.					Buy (add'l)	09/05/19	J		
487.					Buy (add'l)	09/06/19	J		
488.					Sold (part)	09/12/19	J		
489.					Sold (part)	09/13/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
490.					Sold (part)	09/16/19	J		
491.					Buy (add'l)	09/16/19	J		
492.					Buy (add'l)	09/17/19	J		
493.					Buy (add'l)	09/18/19	J		
494.					Buy (add'l)	09/20/19	J		
495.					Sold (part)	09/24/19	J		
496.					Sold (part)	09/25/19	J		
497.					Sold (part)	09/26/19	J		
498.					Sold (part)	09/27/19	J		
499.					Sold (part)	09/30/19	K		
500.					Sold (part)	10/01/19	J		
501.					Sold (part)	10/02/19	J		
502.					Buy (add'l)	10/02/19	J		
503.					Buy (add'l)	10/09/19	J		
504.					Sold (part)	10/11/19	J		
505.					Sold (part)	10/17/19	J		
506.					Buy (add'l)	10/17/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
507.					Buy (add'l)	10/18/19	J		
508.					Buy (add'l)	10/21/19	J		
509.					Sold (part)	10/22/19	J		
510.					Buy (add'l)	10/22/19	J		
511.					Buy (add'l)	10/23/19	J		
512.					Sold (part)	10/24/19	J		
513.					Buy (add'l)	10/24/19	J		
514.					Buy (add'l)	10/29/19	J		
515.					Buy (add'l)	10/30/19	J		
516.					Sold (part)	10/31/19	J		
517.					Buy (add'l)	10/31/19	J		
518.					Buy (add'l)	11/01/19	J		
519.					Buy (add'l)	11/04/19	J		
520.					Buy (add'l)	11/05/19	J		
521.					Buy (add'l)	11/06/19	J		
522.					Buy (add'l)	11/07/19	J		
523.					Sold (part)	11/08/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
524.					Sold (part)	11/11/19	J		
525.					Sold (part)	11/12/19	J		
526.					Sold (part)	11/13/19	J		
527.					Buy (add'l)	11/18/19	J		
528.					Sold (part)	12/06/19	J		
529.					Sold (part)	12/09/19	J		
530.					Sold (part)	12/10/19	J		
531.					Buy (add'l)	12/11/19	J		
532.					Buy (add'l)	12/12/19	J		
533.					Sold (part)	12/13/19	J		
534.					Buy (add'l)	12/16/19	J		
535.					Sold (part)	12/18/19	J		
536.					Buy (add'l)	12/18/19	J		
537.					Sold (part)	12/19/19	J		
538.					Buy (add'l)	12/19/19	J		
539.					Sold (part)	12/20/19	J		
540.					Buy (add'l)	12/20/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
541.					Sold (part)	12/23/19	J		
542.					Sold (part)	12/24/19	J		
543.					Sold (part)	12/26/19	J		
544.					Sold (part)	12/27/19	J		
545.					Sold (part)	12/30/19	J		
546.					Sold (part)	12/31/19	J		
547. COMMON STOCKS (SCG)(H)									
548. 2U, INC		None			Buy	01/31/19	J		
549.					Buy (add'l)	02/06/19	J		
550.					Buy (add'l)	03/22/19	J		
551.					Sold	08/01/19	J		
552. ACCELERON PHARMA, INC		None	J	T	Buy	01/22/19	J		
553.					Buy (add'l)	03/22/19	J		
554. AGIOS PHARMACEUTICALS, INC		None			Buy	01/22/19	J		
555.					Buy (add'l)	03/22/19	J		
556.					Sold (part)	10/21/19	J		
557.					Sold	10/23/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
558. ANAPTYSBIO, INC		None			Buy	01/22/19	J		
559.					Buy (add'l)	03/22/19	J		
560.					Sold	08/20/19	J		
561. APPFOLIO, INC		None	J	T	Buy	01/22/19	J		
562.					Buy (add'l)	03/22/19	J		
563. ARES MANAGEMENT CORP	B	Dividend	K	T	Buy	01/22/19	J		
564.					Buy (add'l)	03/22/19	J		
565. ARRAY BIOPHARMA, INC		None			Buy	02/25/19	J		
566.					Buy (add'l)	03/01/19	J		
567.					Buy (add'l)	03/06/19	J		
568.					Buy (add'l)	03/22/19	J		
569.					Buy (add'l)	04/12/19	J		
570.					Buy (add'l)	04/15/19	J		
571.					Buy (add'l)	05/13/19	J		
572.					Sold	07/31/19	K	E	
573. ASPEN TECHNOLOGY, INC		None	K	T	Buy	01/22/19	K		
574.					Buy (add'l)	03/22/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 38 of 147

Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
575.					Sold (part)	07/08/19	J	A	
576.					Sold (part)	07/09/19	J	A	
577.					Sold (part)	07/11/19	J	B	
578.					Sold (part)	10/21/19	J	A	
579.					Sold (part)	10/22/19	J	A	
580.					Sold (part)	10/24/19	J	A	
581. BANKUNITED, INC	A	Dividend			Buy	01/22/19	J		
582.					Sold (part)	01/22/19	J		
583.					Buy (add'l)	03/22/19	J		
584.					Sold	07/23/19	J		
585. BIOHAVEN PHARMACEUTICAL HOLDING CO LTD		None	K	T	Buy	01/22/19	J		
586.					Buy (add'l)	01/23/19	J		
587.					Buy (add'l)	03/22/19	J		
588.					Buy (add'l)	06/21/19	J		
589.					Buy (add'l)	06/24/19	J		
590.					Buy (add'l)	06/26/19	J		
591.					Buy (add'l)	06/27/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
592.					Sold (part)	10/30/19	J		
593.					Sold (part)	10/31/19	J		
594.					Sold (part)	11/01/19	J		
595.					Sold (part)	11/04/19	J		
596.					Sold (part)	11/05/19	J	A	
597. BLACKBAUD, INC	A	Dividend	J	T	Buy	01/22/19	J		
598.					Buy (add'l)	03/22/19	J		
599. BLACKLINE, INC		None	K	T	Buy	01/22/19	K		
600.					Sold (part)	02/01/19	J	A	
601.					Buy (add'l)	03/22/19	J		
602.					Buy (add'l)	03/28/19	J		
603.					Buy (add'l)	09/24/19	J		
604.					Buy (add'l)	09/25/19	J		
605.					Buy (add'l)	09/27/19	J		
606.					Buy (add'l)	10/02/19	J		
607. BLUEPRINT MEDICINES CORP		None	K	T	Buy	01/31/19	J		
608.					Buy (add'l)	03/22/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
609.					Buy (add'l)	03/28/19	J		
610.					Buy (add'l)	06/28/19	J		
611.					Buy (add'l)	08/23/19	J		
612. BRIGHT HORIZONS FAMILY SOLUTION, INC		None	L	T	Buy	01/22/19	K		
613.					Buy (add'l)	03/22/19	K		
614.					Sold (part)	07/11/19	J	A	
615.					Sold (part)	07/12/19	J	A	
616.					Sold (part)	10/30/19	J	B	
617. BROADRIDGE FINANCIAL SOLUTIONS, INC.	A	Dividend	K	T	Buy	01/22/19	J		
618.					Buy (add'l)	03/22/19	J		
619.					Buy (add'l)	09/27/19	J		
620.					Buy (add'l)	09/30/19	J		
621. BWX TECHNOLOGIEGS INC	A	Dividend	K	T	Buy	01/22/19	K		
622.					Buy (add'l)	03/22/19	K		
623.					Buy (add'l)	07/30/19	J		
624. CACTUS, INC	A	Dividend	K	T	Buy	01/22/19	J		
625.					Buy (add'l)	03/22/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
626. CALAVO GROWERS, INC	A	Dividend			Buy	01/22/19	J		
627.					Buy (add'l)	01/30/19	J		
628.					Buy (add'l)	01/31/19	J		
629.					Buy (add'l)	02/19/19	J		
630.					Buy (add'l)	03/18/19	J		
631.					Buy (add'l)	03/22/19	J		
632.					Buy (add'l)	03/29/19	J		
633.					Sold (part)	07/31/19	J	A	
634.					Sold (part)	08/02/19	J	A	
635.					Sold (part)	08/13/19	J	A	
636.					Sold (part)	08/20/19	J	A	
637.					Sold (part)	09/16/19	J	A	
638.					Sold (part)	09/17/19	J	A	
639.					Sold (part)	09/18/19	J	A	
640.					Sold (part)	09/20/19	J	A	
641.					Sold (part)	10/02/19	J	A	
642.					Sold (part)	10/09/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
643.					Sold (part)	10/17/19	J	A	
644.					Sold (part)	10/21/19	J	A	
645.					Sold (part)	12/12/19	J	A	
646.					Sold (part)	12/16/19	J	A	
647.					Sold	12/19/19	J	A	
648. CARROLS RESTAURANT GROUP, INC		None	J	T	Buy	01/22/19	J		
649.					Buy (add'l)	03/22/19	J		
650. CASEY'S GENERAL STORES, INC	A	Dividend	K	T	Buy	01/22/19	J		
651.					Buy (add'l)	03/22/19	J		
652.					Buy (add'l)	12/19/19	J		
653. CATALENT, INC		None	K	T	Buy	01/22/19	K		
654.					Buy (add'l)	03/22/19	K		
655.					Sold (part)	05/24/19	J	A	
656.					Sold (part)	05/28/19	J	A	
657.					Sold (part)	06/04/19	J	A	
658.					Sold (part)	06/21/19	J	B	
659.					Sold (part)	07/05/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
660.					Sold (part)	07/09/19	J	A	
661.					Sold (part)	07/10/19	J	A	
662.					Sold (part)	07/12/19	J	A	
663.					Sold (part)	07/15/19	J	A	
664.					Sold (part)	07/18/19	J	A	
665.					Sold (part)	07/19/19	J	A	
666.					Sold (part)	08/23/19	J	A	
667.					Sold (part)	08/26/19	J	C	
668. CHARLES RIVER LABORATORIES INTERNATIONAL, INC		None	L	T	Buy	01/22/19	K		
669.					Buy (add'l)	03/22/19	K		
670.					Buy (add'l)	09/30/19	J		
671. CHEGG, INC		None	K	T	Buy	01/22/19	K		
672.					Buy (add'l)	03/22/19	K		
673.					Buy (add'l)	09/26/19	J		
674.					Buy (add'l)	09/30/19	J		
675.					Sold (part)	07/08/19	J	A	
676.					Sold (part)	07/09/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)



NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
677. CHOICE HOTELS INTERNATIONAL, INC	A	Dividend	L	T	Buy	01/22/19	K		
678.					Buy (add'l)	03/22/19	K		
679.					Buy (add'l)	09/30/19	J		
680. CLARUS CORP	A	Dividend	K	T	Buy	01/22/19	J		
681.					Buy (add'l)	03/22/19	J		
682. COGENT COMMUNICATIONS GROUP, INC	A	Dividend			Buy	01/22/19	J		
683.					Sold (part)	02/14/19	J	A	
684.					Sold (part)	02/19/19	J	A	
685.					Sold (part)	03/12/19	J	A	
686.					Buy (add'l)	03/22/19	J		
687.					Sold (part)	04/05/19	J	A	
688.					Sold	04/12/19	J	A	
689. COHERUS BIOSCIENCES, INC		None	J	T	Buy	01/22/19	J		
690.					Buy (add'l)	03/22/19	J		
691. CORELOGIC, INC		None			Buy	01/22/19	J		
692.					Buy (add'l)	03/22/19	J		
693.					Sold (part)	04/12/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
694.					Sold (part)	04/22/19	J	A	
695.					Sold (part)	04/23/19	J	A	
696.					Sold	04/24/19	J	A	
697. CORE-MARK HOLDING CO, INC	A	Dividend			Buy	01/22/19	J		
698.					Sold (part)	02/22/19	J	A	
699.					Buy (add'l)	03/22/19	J		
700.					Sold (part)	05/03/19	J	A	
701.					Sold	05/08/19	J	A	
702. COUPA SOFTWARE, INC		None			Buy	01/22/19	J		
703.					Buy (add'l)	03/22/19	J		
704.					Sold (part)	04/05/19	J	A	
705.					Sold	04/08/19	J	A	
706. COVETRUS, INC		None			Buy	02/08/19	J		
707.					Buy (add'l)	02/12/19	J		
708.					Buy (add'l)	02/13/19	J		
709.					Buy (add'l)	02/14/19	J		
710.					Buy (add'l)	02/21/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
711.					Buy (add'l)	03/22/19	J		
712.					Buy (add'l)	03/28/19	J		
713.					Buy (add'l)	05/24/19	J		
714.					Buy (add'l)	05/28/19	J		
715.					Buy (add'l)	05/29/19	J		
716.					Buy (add'l)	07/30/19	J		
717.					Sold (part)	10/17/19	J		
718.					Sold (part)	10/22/19	J		
719.					Sold (part)	10/29/19	J		
720.					Sold	10/30/19	J		
721. DESPEGAR.COM, CORP		None	J	T	Buy	01/22/19	J		
722.					Buy (add'l)	03/22/19	J		
723.					Buy (add'l)	03/28/19	J		
724.					Sold (part)	11/07/19	J		
725. DYNATRACE HOLDINGS LLC		None	K	T	Buy	08/01/19	J		
726.					Buy (add'l)	09/16/19	J		
727.					Buy (add'l)	09/26/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
728.					Buy (add'l)	09/27/19	J		
729.					Buy (add'l)	10/17/19	J		
730.					Buy (add'l)	10/22/19	J		
731.					Buy (add'l)	10/31/19	J		
732.					Buy (add'l)	11/11/19	J		
733. ENVESTNET, INC		None			Buy	01/22/19	J		
734.					Buy (add'l)	03/22/19	J		
735.					Sold	04/05/19	J	A	
736. ESCO TECHNOLOGIES, INC	A	Dividend	K	T	Buy	01/22/19	J		
737.					Buy (add'l)	03/22/19	J		
738.					Sold (part)	08/06/19	J	A	
739.					Sold (part)	08/08/19	J	A	
740.					Sold (part)	08/14/19	J	A	
741.					Sold (part)	09/05/19	J	A	
742.					Sold (part)	09/06/19	J	A	
743.					Sold (part)	11/18/19	J	A	
744. ESTABLISHMENT LABS HOLDINGS (X) (SEE NOTE 21 IN SECT VIII)		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
745. ETSY, INC		None	K	T	Buy	01/22/19	K		
746.					Buy (add'l)	03/22/19	K		
747.					Buy (add'l)	08/23/19	J		
748.					Buy (add'l)	08/30/19	J		
749.					Buy (add'l)	10/31/19	J		
750.					Buy (add'l)	12/23/19	J		
751.					Buy (add'l)	12/30/19	J		
752. EVO PAYMENTS HOLDINGS, INC		None	L	T	Buy	01/22/19	K		
753.					Buy (add'l)	03/22/19	K		
754.					Buy (add'l)	09/30/19	J		
755.					Buy (add'l)	11/11/19	J		
756.					Buy (add'l)	12/19/19	J		
757. FAIR ISAAC CORP		None	K	T	Buy	01/22/19	J		
758.					Buy (add'l)	03/22/19	K		
759.					Sold (part)	06/11/19	J	A	
760.					Sold (part)	06/12/19	J	A	
761.					Sold (part)	07/09/19	J	B	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
762.					Sold (part)	11/04/19	J	A	
763. GCI LIBERTY, INC		None	L	T	Buy	01/22/19	K		
764.					Buy (add'l)	03/22/19	K		
765.					Buy (add'l)	07/30/19	J		
766.					Buy (add'l)	07/31/19	J		
767. GENPACT LTD	A	Dividend	L	T	Buy	01/22/19	K		
768.					Buy (add'l)	03/22/19	K		
769.					Buy (add'l)	09/24/19	J		
770.					Buy (add'l)	09/30/19	J		
771.					Buy (add'l)	11/08/19	J		
772. GLOBAL BLOOD THERAPEUTICS, INC		None	K	T	Buy	01/22/19	J		
773.					Buy (add'l)	03/22/19	J		
774.					Buy (add'l)	08/28/19	J		
775. GUIDEWIRE SOFTWARE, INC		None	K	T	Buy	01/22/19	J		
776.					Buy (add'l)	03/22/19	J		
777. HABIT RESTAURANTS INC		None	J	T	Buy	01/22/19	J		
778.					Buy (add'l)	03/22/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
779. HAIN CELESTIAL GROUP, INC		None	L	T	Buy	01/22/19	J		
780.					Buy (add'l)	03/22/19	J		
781.					Buy (add'l)	08/29/19	J		
782.					Buy (add'l)	08/30/19	J		
783.					Buy (add'l)	09/24/19	J		
784.					Buy (add'l)	09/27/19	J		
785.					Buy (add'l)	09/30/19	J		
786.					Buy (add'l)	10/01/19	J		
787.					Buy (add'l)	10/02/19	J		
788. HAMILTON LANE, INC	A	Dividend	K	T	Buy	01/22/19	J		
789.					Buy (add'l)	03/22/19	J		
790.					Sold (part)	10/31/19	J	A	
791.					Sold (part)	11/05/19	J	A	
792. HEALTHCARE SERVICES GROUP, INC	A	Dividend			Buy	01/22/19	J		
793.					Buy (add'l)	03/22/19	J		
794.					Sold	05/01/19	J		
795. HEALTHEQUITY, INC		None	K	T	Buy	01/22/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
796.					Buy (add'l)	03/22/19	J		
797.					Buy (add'l)	12/06/19	J		
798.					Buy (add'l)	12/09/19	J		
799.					Buy (add'l)	12/10/19	J		
800. HEICO CORP	A	Dividend	K	T	Buy	01/22/19	J		
801.					Buy (add'l)	03/22/19	J		
802.					Sold (part)	07/01/19	J	B	
803.					Sold (part)	07/05/19	J	B	
804.					Sold (part)	07/08/19	J	A	
805.					Sold (part)	08/27/19	J	B	
806.					Sold (part)	12/11/19	J	A	
807. HENRY SCHEIN, INC		None	J	T	Buy	01/22/19	J		
808.					Buy (add'l)	03/22/19	J		
809.					Sold (part)	07/05/19	J	A	
810.					Sold (part)	07/08/19	J	A	
811.					Sold (part)	11/04/19	J	A	
812. HEXCEL CORP	A	Dividend	K	T	Buy	01/22/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
813.					Buy (add'l)	01/31/19	J		
814.					Buy (add'l)	03/22/19	K		
815.					Buy (add'l)	09/30/19	J		
816. HUDSON, LTD		None	K	T	Buy	01/22/19	J		
817.					Buy (add'l)	01/23/19	J		
818.					Buy (add'l)	01/24/19	J		
819.					Buy (add'l)	03/22/19	J		
820. IAA SPINCO, INC		None	L	T	Buy	06/28/19	J		
821.					Buy (add'l)	07/01/19	J		
822.					Buy (add'l)	07/02/19	J		
823.					Buy (add'l)	07/05/19	J		
824.					Buy (add'l)	07/10/19	J		
825.					Buy (add'l)	07/29/19	J		
826.					Buy (add'l)	07/30/19	J		
827.					Buy (add'l)	07/31/19	J		
828.					Buy (add'l)	08/09/19	J		
829.					Buy (add'l)	08/12/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
830.					Buy (add'l)	09/27/19	J		
831.					Buy (add'l)	09/30/19	J		
832.					Buy (add'l)	10/11/19	J		
833. IDEX CORP	A	Dividend	K	T	Buy	01/22/19	J		
834.					Buy (add'l)	03/22/19	J		
835. INTEGRA LIFESCIENCES HOLDINGS		None	K	T	Buy	01/22/19	J		
836.					Buy (add'l)	03/15/19	J		
837.					Buy (add'l)	03/22/19	K		
838.					Buy (add'l)	03/29/19	J		
839.					Buy (add'l)	04/22/19	J		
840.					Buy (add'l)	07/30/19	J		
841. IOVANCE BIOTHERAPEUTICS, INC		None	J	T	Buy	07/31/19	J		
842.					Buy (add'l)	08/01/19	J		
843.					Buy (add'l)	08/02/19	J		
844. JOHN BEAN TECHNOLOGIES CORP	A	Dividend	K	T	Buy	01/22/19	J		
845.					Buy (add'l)	03/22/19	J		
846.					Buy (add'l)	11/11/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
847.					Buy (add'l)	12/27/19	J		
848. KNIGHT-SWIFT TRANSPORTATION HOLDINGS, INC	A	Dividend	J	T	Buy	01/22/19	J		
849.					Buy (add'l)	03/22/19	J		
850.					Sold (part)	12/18/19	J	A	
851.					Sold (part)	12/19/19	J	A	
852.					Sold (part)	12/20/19	J	A	
853. KURA ONCOLOGY, INC		None	J	T	Buy	06/14/19	J		
854.					Buy (add'l)	06/19/19	J		
855. LINDBLAD EXPEDITIONS HOLDINGS, INC.		None	K	T	Buy	01/22/19	J		
856.					Buy (add'l)	03/22/19	J		
857. LITTELFUSE, INC	A	Distribution	K	T	Buy	01/22/19	J		
858.					Buy (add'l)	01/31/19	J		
859.					Buy (add'l)	03/22/19	J		
860.					Buy (add'l)	03/29/19	J		
861. LOXO ONCOLOGY, INC		None			Buy	01/22/19	K		
862.					Sold	02/19/19	K	A	
863. MAKEMYTRIP LTD		None	K	T	Buy	01/22/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
864.					Buy (add'l)	03/22/19	J		
865.					Buy (add'l)	04/01/19	J		
866.					Buy (add'l)	04/02/19	J		
867.					Buy (add'l)	04/03/19	J		
868.					Buy (add'l)	04/30/19	J		
869.					Buy (add'l)	12/23/19	J		
870. MARVELL TECHNOLOGY GROUP LTD	A	Dividend	K	T	Buy	01/22/19	J		
871.					Buy (add'l)	03/22/19	J		
872.					Sold (part)	07/05/19	J	A	
873. MAXIMUS, INC	A	Dividend	J	T	Buy	01/22/19	J		
874.					Buy (add'l)	03/22/19	J		
875. MERCURY SYSTEMS, INC		None	J	T	Buy	01/22/19	J		
876.					Buy (add'l)	03/22/19	J		
877.					Sold (part)	04/12/19	J	A	
878.					Sold (part)	04/16/19	J	A	
879. MIMICAST, LTD		None	L	T	Buy	01/22/19	K		
880.					Buy (add'l)	03/22/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
881.					Sold (part)	04/29/19	J	A	
882.					Sold (part)	05/01/19	J	A	
883.					Sold (part)	07/09/19	J	A	
884.					Sold (part)	07/29/19	J	A	
885.					Sold (part)	07/30/19	J	A	
886. MSA SAFETY, INC	A	Dividend	K	T	Buy	07/31/19	J		
887.					Buy (add'l)	08/01/19	J		
888.					Buy (add'l)	08/02/19	J		
889.					Buy (add'l)	08/23/19	J		
890.					Buy (add'l)	08/27/19	J		
891.					Buy (add'l)	09/24/19	J		
892.					Buy (add'l)	12/31/19	J		
893. NATIONAL VISION HOLDINGS, INC		None	L	T	Buy	01/22/19	K		
894.					Buy (add'l)	03/15/19	J		
895.					Buy (add'l)	03/22/19	J		
896.					Buy (add'l)	04/22/19	J		
897.					Buy (add'l)	05/13/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
898.					Buy (add'l)	05/16/19	J		
899.					Buy (add'l)	07/30/19	J		
900.					Buy (add'l)	08/06/19	J		
901.					Buy (add'l)	08/12/19	J		
902.					Buy (add'l)	08/28/19	J		
903. NEOGENOMICS, INC		None	K	T	Buy	01/22/19	J		
904.					Buy (add'l)	03/22/19	J		
905. NESCO HOLDINGS, INC		None	J	T	Buy	04/29/19	J		
906.					Buy (add'l)	04/30/19	J		
907.					Buy (add'l)	05/14/19	J		
908.					Buy (add'l)	06/26/19	J		
909.					Buy (add'l)	07/30/19	J		
910. NEUROCRINE BIOSCIENCES, INC		None	K	T	Buy	01/22/19	J		
911.					Buy (add'l)	03/22/19	J		
912.					Buy (add'l)	04/30/19	J		
913.					Buy (add'l)	05/01/19	J		
914. ORTHOPEDIATRICS CORP (X) (SEE NOTE 21 IN SECT VIII)		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
915. PAGERDUTY, INC (X) (SEE NOTE 21 IN SECT VIII)		None			Sold	07/29/19	J	A	
916. PAYLOCITY HOLDING CORP		None			Buy	01/22/19	J		
917.					Buy (add'l)	03/22/19	J		
918.					Sold (part)	04/08/19	J		
919.					Sold (part)	04/09/19	J		
920.					Sold (part)	04/10/19	J		
921.					Sold (part)	04/11/19	J		
922.					Sold (part)	04/24/19	J	A	
923.					Sold (part)	05/31/19	J	A	
924.					Sold (part)	06/10/19	J	A	
925.					Sold (part)	06/11/19	J	A	
926.					Sold (part)	06/12/19	J	A	
927.					Sold (part)	07/09/19	J	B	
928.					Sold (part)	07/29/19	J	B	
929.					Sold (part)	07/30/19	J	A	
930.					Sold	07/31/19	J	A	
931. PHREESIA, INC		None	J	T	Buy	07/18/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
932.					Buy (add'l)	09/26/19	J		
933.					Buy (add'l)	12/13/19	J		
934. PROS HOLDINGS, INC		None	K	T	Buy	03/22/19	J		
935.					Buy (add'l)	04/08/19	J		
936.					Buy (add'l)	04/17/19	J		
937.					Buy (add'l)	11/11/19	J		
938. PROSPERITY BANCSHARES, INC	A	Dividend	K	T	Buy	01/22/19	J		
939.					Buy (add'l)	03/22/19	J		
940.					Buy (add'l)	06/26/19	J		
941.					Buy (add'l)	06/27/19	J		
942.					Buy (add'l)	06/28/19	J		
943.					Buy (add'l)	07/30/19	J		
944.					Buy (add'l)	07/31/19	J		
945.					Buy (add'l)	08/01/19	J		
946. SITEONE LANDSCAPE SUPPLY, INC		None	L	T	Buy	01/22/19	J		
947.					Buy (add'l)	03/22/19	J		
948.					Buy (add'l)	03/28/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
949.					Buy (add'l)	05/13/19	J		
950.					Buy (add'l)	05/22/19	J		
951. STITCH FIX, INC		None	J	T	Buy	03/15/19	J		
952.					Buy (add'l)	03/18/19	J		
953.					Buy (add'l)	03/22/19	J		
954.					Buy (add'l)	03/28/19	J		
955.					Buy (add'l)	03/29/19	J		
956.					Buy (add'l)	04/22/19	J		
957.					Buy (add'l)	05/13/19	J		
958.					Buy (add'l)	07/30/19	J		
959. TABULA RASA HEALTHCARE, INC		None	J	T	Buy	06/13/19	J		
960.					Buy (add'l)	06/27/19	J		
961.					Buy (add'l)	08/27/19	J		
962.					Buy (add'l)	08/28/19	J		
963.					Buy (add'l)	08/29/19	J		
964.					Buy (add'l)	08/30/19	J		
965. TOPBUILD CORP		None	K	T	Buy	01/22/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
966.					Buy (add'l)	03/22/19	K		
967.					Sold (part)	06/03/19	J	A	
968.					Sold (part)	06/04/19	J	A	
969.					Sold (part)	06/11/19	J	A	
970.					Sold (part)	06/12/19	J	A	
971.					Sold (part)	06/13/19	J	A	
972.					Sold (part)	07/01/19	J	A	
973.					Sold (part)	07/03/19	J	A	
974.					Sold (part)	07/16/19	J	A	
975. ULTIMATE SOFTWARE GROUP, INC		None			Buy	01/22/19	J		
976.					Buy (add'l)	03/22/19	J		
977.					Sold	05/06/19	K	C	
978. WAGEWORKS, INC		None			Buy	04/17/19	J		
979.					Buy (add'l)	04/18/19	J		
980.					Buy (add'l)	04/22/19	J		
981.					Buy (add'l)	04/30/19	J		
982.					Buy (add'l)	05/09/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
983.					Sold	08/30/19	K	C	
984. WASTE CONNECTIONS INC	A	Dividend	L	T	Buy	01/22/19	K		
985.					Buy (add'l)	03/22/19	K		
986.					Buy (add'l)	09/30/19	J		
987.					Sold (part)	07/05/19	J	A	
988.					Sold (part)	07/08/19	J	A	
989.					Sold (part)	07/09/19	J	A	
990. WEBSTER FINANCIAL CORP	A	Dividend	K	T	Buy	01/22/19	K		
991.					Buy (add'l)	03/22/19	J		
992.					Buy (add'l)	07/31/19	J		
993. WELBILT, INC		None			Buy	01/22/19	J		
994.					Sold (part)	02/12/19	J	A	
995.					Sold (part)	02/13/19	J	A	
996.					Sold (part)	02/14/19	J	A	
997.					Sold (part)	02/15/19	J	A	
998.					Sold	03/15/19	J	A	
999. WEX, INC		None	K	T	Buy	01/22/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1000.					Buy (add'l)	03/22/19	K		
1001. WOODWARD, INC	A	Dividend	K	T	Buy	01/22/19	J		
1002.					Buy (add'l)	03/22/19	J		
1003. WORKIVA, INC		None	K	T	Buy	01/22/19	J		
1004.					Buy (add'l)	02/06/19	J		
1005.					Buy (add'l)	03/22/19	K		
1006.					Buy (add'l)	08/27/19	J		
1007.					Buy (add'l)	09/12/19	J		
1008.					Buy (add'l)	09/13/19	J		
1009.					Buy (add'l)	09/24/19	J		
1010.					Buy (add'l)	09/27/19	J		
1011.					Buy (add'l)	12/18/19	J		
1012.					Buy (add'l)	12/30/19	J		
1013. ZUORA, INC		None	K	T	Buy	01/22/19	J		
1014.					Buy (add'l)	03/22/19	J		
1015.					Buy (add'l)	05/31/19	J		
1016.					Buy (add'l)	06/11/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1017.					Buy (add'l)	06/12/19	J		
1018.					Buy (add'l)	08/23/19	J		
1019.					Buy (add'l)	08/27/19	J		
1020. ZYNGA, INC		None	L	T	Buy	01/22/19	J		
1021.					Buy (add'l)	03/22/19	J		
1022.					Buy (add'l)	06/28/19	J		
1023.					Buy (add'l)	07/30/19	J		
1024.					Buy (add'l)	08/19/19	J		
1025.					Buy (add'l)	08/23/19	J		
1026.					Buy (add'l)	08/28/19	J		
1027.					Buy (add'l)	08/30/19	J		
1028.					Buy (add'l)	09/30/19	J		
1029.					Buy (add'l)	11/08/19	J		
1030.					Buy (add'l)	12/13/19	J		
1031.					Buy (add'l)	12/20/19	J		
1032.					Buy (add'l)	12/23/19	J		
1033.					Buy (add'l)	12/30/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1034. INV ACCT #7 (ACM) (LINES 1035-1192) (NOTE 20 SECT VIII) (H)		None			Open	01/18/19	P1		
1035. FIRST AMERICN GOVT OBLGTN FUND MMF/CASH (NOTE 14 SECT VII)	C	Dividend	M	T	Buy	01/18/19	P1		
1036.					Sold (part)	01/22/19	O		
1037.					Sold (part)	01/30/19	O		
1038.					Sold (part)	02/07/19	K		
1039.					Sold (part)	02/12/19	K		
1040.					Sold (part)	02/28/19	M		
1041.					Sold (part)	04/04/19	K		
1042.					Buy (add'l)	04/24/19	K		
1043.					Sold (part)	05/23/19	K		
1044.					Sold (part)	05/29/19	M		
1045.					Buy (add'l)	07/24/19	K		
1046.					Buy (add'l)	08/06/19	J		
1047.					Sold (part)	09/18/19	J		
1048.					Buy (add'l)	09/19/19	J		
1049.					Sold (part)	09/19/19	J		
1050.					Buy (add'l)	10/29/19	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1051.					Sold (part)	11/15/19	J		
1052.					Sold (part)	12/09/19	J		
1053.					Sold (part)	12/18/19	J		
1054. COMMON STOCKS (ACM) (H)									
1055. ABIOMED INC		None	K	T	Buy	04/04/19	K		
1056.					Buy (add'l)	12/09/19	J		
1057. AEROVIRONMENT INC		None	L	T	Buy	01/22/19	K		
1058.					Buy (add'l)	01/30/19	K		
1059.					Buy (add'l)	02/28/19	J		
1060.					Buy (add'l)	05/29/19	J		
1061. ANSYS INC		None	M	T	Buy	01/22/19	K		
1062.					Buy (add'l)	01/30/19	K		
1063.					Buy (add'l)	02/28/19	J		
1064.					Buy (add'l)	05/29/19	J		
1065. BIO TECHNE CORP	A	Dividend	K	T	Buy	01/22/19	K		
1066.					Buy (add'l)	01/30/19	J		
1067.					Buy (add'l)	02/28/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1068.					Buy (add'l)	05/29/19	J		
1069. BLACKBAUD INC	A	Dividend	L	T	Buy	01/22/19	K		
1070.					Buy (add'l)	01/30/19	K		
1071.					Buy (add'l)	02/28/19	J		
1072.					Buy (add'l)	05/29/19	J		
1073.					Buy (add'l)	11/15/19	J		
1074. CAMBREX CORP		None			Buy	01/22/19	K		
1075.					Buy (add'l)	01/30/19	J		
1076.					Buy (add'l)	02/28/19	J		
1077.					Buy (add'l)	05/29/19	J		
1078.					Sold	10/29/19	K	D	
1079. COGNEX CORP	A	Dividend	L	T	Buy	01/22/19	K		
1080.					Buy (add'l)	01/30/19	K		
1081.					Buy (add'l)	02/28/19	J		
1082.					Buy (add'l)	05/29/19	J		
1083. COSTAR GROUP INC		None	L	T	Buy	01/22/19	K		
1084.					Buy (add'l)	05/29/19	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1085. CYBERARK SOFTWARE LTD ISRAEL		None	L	T	Buy	01/22/19	K		
1086.					Buy (add'l)	01/30/19	K		
1087.					Buy (add'l)	02/28/19	J		
1088.					Buy (add'l)	05/29/19	J		
1089. FACTSET RESEARCH SYSTEMS INC	A	Dividend	L	T	Buy	01/22/19	K		
1090.					Buy (add'l)	01/30/19	J		
1091.					Buy (add'l)	02/28/19	J		
1092.					Buy (add'l)	05/29/19	J		
1093. FORTINET INC		None	M	T	Buy	01/22/19	L		
1094.					Buy (add'l)	01/30/19	K		
1095.					Buy (add'l)	02/07/19	J		
1096. GENTEX CORP	A	Dividend	L	T	Buy	01/22/19	K		
1097.					Buy (add'l)	01/30/19	K		
1098.					Buy (add'l)	02/28/19	J		
1099.					Sold (part)	04/24/19	J	A	
1100. GRAHAM CORP (SEE NOTE 21 IN SECT VIII)	A	Dividend			Buy	01/22/19	J		
1101.					Buy (add'l)	01/30/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1102.					Buy (add'l)	02/28/19	J		
1103.					Buy (add'l)	05/29/19	J		
1104.					Sold (part)	08/06/19	J		
1105. HEALTHCARE SERVICES GROUP, INC	A	Dividend			Buy	01/22/19	K		
1106.					Buy (add'l)	01/30/19	J		
1107.					Buy (add'l)	02/28/19	J		
1108.					Sold (part)	04/24/19	J		
1109.					Sold	07/24/19	K		
1110. HMS HLDGS CORP		None	L	T	Buy	01/22/19	K		
1111.					Buy (add'l)	01/30/19	K		
1112.					Buy (add'l)	02/28/19	J		
1113.					Buy (add'l)	05/29/19	J		
1114. ICON PLC		None	M	T	Buy	01/22/19	K		
1115.					Buy (add'l)	01/30/19	K		
1116.					Buy (add'l)	02/28/19	J		
1117.					Buy (add'l)	05/29/19	J		
1118. IDEXX LABS INC		None	M	T	Buy	01/22/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1119.					Buy (add'l)	01/30/19	K		
1120.					Buy (add'l)	02/28/19	J		
1121.					Buy (add'l)	05/29/19	J		
1122. ILLUMINA INC		None	M	T	Buy	01/22/19	L		
1123.					Buy (add'l)	01/30/19	J		
1124.					Buy (add'l)	02/28/19	K		
1125.					Buy (add'l)	05/29/19	J		
1126. JACK HENRY ASSOCIATES INC	A	Dividend	L	T	Buy	01/22/19	K		
1127.					Buy (add'l)	01/30/19	J		
1128.					Buy (add'l)	02/28/19	J		
1129.					Buy (add'l)	05/29/19	J		
1130. KORNIT DIGITAL LTD		None	L	T	Buy	01/22/19	K		
1131.					Buy (add'l)	01/30/19	K		
1132.					Buy (add'l)	02/28/19	J		
1133.					Buy (add'l)	05/29/19	J		
1134. LOGMEIN INC	A	Dividend	K	T	Buy	01/22/19	K		
1135.					Buy (add'l)	01/30/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1136.					Buy (add'l)	02/28/19	J		
1137.					Buy (add'l)	05/29/19	J		
1138.					Buy (add'l)	09/19/19	J		
1139.					Buy (add'l)	11/15/19	J		
1140. MANHATTAN ASSOCS INC		None	L	T	Buy	01/22/19	K		
1141.					Buy (add'l)	01/30/19	J		
1142.					Buy (add'l)	02/28/19	J		
1143.					Buy (add'l)	05/29/19	J		
1144. MEDIDATA SOLUTIONS, INC		None			Buy	01/22/19	K		
1145.					Buy (add'l)	01/30/19	J		
1146.					Buy (add'l)	02/28/19	J		
1147.					Buy (add'l)	05/29/19	J		
1148.					Sold	10/29/19	L	E	
1149. MORNINGSTAR INC	A	Dividend	L	T	Buy	01/22/19	K		
1150.					Buy (add'l)	01/30/19	J		
1151.					Buy (add'l)	02/28/19	J		
1152.					Buy (add'l)	05/29/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1153. NICE LTD ADR		None	M	T	Buy	01/22/19	K		
1154.					Buy (add'l)	01/30/19	K		
1155.					Buy (add'l)	02/28/19	J		
1156.					Buy (add'l)	05/29/19	J		
1157. ORASURE TECHNOLOGIES INC		None	K	T	Buy	01/22/19	J		
1158.					Buy (add'l)	01/30/19	J		
1159.					Buy (add'l)	02/07/19	J		
1160. QUALYS INC		None	L	T	Buy	01/22/19	K		
1161.					Buy (add'l)	01/30/19	J		
1162.					Buy (add'l)	02/28/19	J		
1163.					Buy (add'l)	05/29/19	J		
1164. RBC BEARINGS INC		None	K	T	Buy	09/18/19	J		
1165.					Buy (add'l)	12/18/19	J		
1166. REALPAGE INC		None	K	T	Buy	01/22/19	K		
1167.					Buy (add'l)	01/30/19	J		
1168.					Buy (add'l)	02/28/19	J		
1169.					Buy (add'l)	05/29/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1170. RESMED INC	A	Dividend	L	T	Buy	01/22/19	K		
1171.					Buy (add'l)	01/30/19	J		
1172.					Buy (add'l)	02/28/19	J		
1173.					Buy (add'l)	05/29/19	J		
1174. SEI INVESTMENTS CO	A	Dividend	L	T	Buy	01/22/19	K		
1175.					Buy (add'l)	01/30/19	J		
1176.					Buy (add'l)	02/28/19	J		
1177.					Buy (add'l)	05/29/19	J		
1178. TIVITY HEALTH INC		None	K	T	Buy	01/22/19	K		
1179.					Buy (add'l)	01/30/19	J		
1180.					Buy (add'l)	02/12/19	K		
1181. TRIMBLE NAV LTD		None	L	T	Buy	01/22/19	K		
1182.					Buy (add'l)	01/30/19	J		
1183.					Buy (add'l)	02/28/19	J		
1184.					Buy (add'l)	05/29/19	J		
1185. VEEVA SYSTEMS INC		None	L	T	Buy	01/22/19	K		
1186.					Buy (add'l)	01/30/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1187.					Buy (add'l)	02/28/19	J		
1188.					Buy (add'l)	05/29/19	J		
1189. VERINT SYSTEMS INC		None	L	T	Buy	01/22/19	K		
1190.					Buy (add'l)	01/30/19	K		
1191.					Buy (add'l)	02/28/19	J		
1192.					Buy (add'l)	05/23/19	K		
1193. ADDL COMMON STOCKS & FUNDS (NON-IRA)(LINES 1194-1472) (H)									
1194. ABBVIE, INC COMMON STOCK	B	Dividend	M	T	Buy	09/06/19	L		
1195.					Buy (add'l)	09/27/19	J		
1196.					Buy (add'l)	10/22/19	L		
1197. ACCENTURE COMMON STOCK	B	Dividend			Buy (add'l)	01/11/19	J		
1198.					Buy (add'l)	01/14/19	J		
1199.					Buy (add'l)	01/22/19	J		
1200.					Buy (add'l)	01/23/19	J		
1201.					Buy (add'l)	01/28/19	J		
1202.					Buy (add'l)	01/29/19	J		
1203.					Buy (add'l)	02/05/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1204.					Sold (part)	04/22/19	J	C	
1205.					Sold (part)	09/27/19	J	C	
1206.					Sold	10/22/19	M	E	
1207. CHUBB COMMON STOCK	B	Dividend			Sold	02/28/19	N	E	
1208. AIR PRODS & CHEMS COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1209.					Buy (add'l)	01/14/19	J		
1210.					Buy (add'l)	01/22/19	J		
1211.					Buy (add'l)	01/23/19	J		
1212.					Buy (add'l)	01/28/19	J		
1213.					Sold (part)	05/06/19	K	D	
1214.					Sold (part)	09/27/19	J	C	
1215. ALIBABA GROUP COMMON STOCK		None	N	T	Buy	11/27/19	N		
1216. ALPHABET COMMON STOCK		None	O	T					
1217. AMAZON.COM COMMON STOCK		None	P1	T					
1218. AMGEN COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1219.					Buy (add'l)	01/14/19	J		
1220.					Buy (add'l)	01/22/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1221.					Buy (add'l)	01/23/19	J		
1222.					Buy (add'l)	01/28/19	J		
1223.					Buy (add'l)	01/29/19	J		
1224.					Sold (part)	02/05/19	J		
1225.					Sold (part)	05/30/19	J	B	
1226. ANALOG DEVICES COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1227.					Buy (add'l)	01/14/19	J		
1228.					Buy (add'l)	01/22/19	J		
1229.					Buy (add'l)	01/23/19	J		
1230.					Buy (add'l)	01/28/19	J		
1231.					Buy (add'l)	01/29/19	J		
1232.					Sold (part)	04/22/19	J	C	
1233. APPLE INC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1234.					Buy (add'l)	01/14/19	J		
1235.					Buy (add'l)	01/22/19	J		
1236.					Buy (add'l)	01/23/19	J		
1237.					Buy (add'l)	01/28/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1238.					Sold (part)	02/05/19	K	D	
1239.					Sold (part)	10/22/19	K	E	
1240. AT&T COMMON STOCK	D	Dividend	M	T	Buy (add'l)	01/11/19	J		
1241.					Buy (add'l)	01/14/19	J		
1242.					Buy (add'l)	01/22/19	J		
1243.					Buy (add'l)	01/23/19	J		
1244.					Buy (add'l)	01/28/19	J		
1245.					Buy (add'l)	01/29/19	J		
1246.					Sold (part)	02/05/19	K	C	
1247.					Buy (add'l)	06/14/19	J		
1248.					Buy (add'l)	10/22/19	K		
1249. BERKSHIRE HATHAWAY COMMON STOCK		None	P1	T					
1250. BLACKROCK INC COMMON STOCK	E	Dividend	O	T	Buy (add'l)	01/11/19	J		
1251.					Buy (add'l)	01/14/19	J		
1252.					Buy (add'l)	01/22/19	J		
1253.					Buy (add'l)	01/23/19	J		
1254.					Buy (add'l)	01/28/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1255.					Buy (add'l)	01/29/19	J		
1256.					Sold (part)	03/27/19	M	G	
1257.					Buy (add'l)	04/22/19	J		
1258.					Buy (add'l)	05/06/19	J		
1259.					Buy (add'l)	10/30/19	K		
1260.					Sold (part)	11/22/19	N	G	
1261. BLACKSTONE GROUP COMMON STOCK	C	Dividend	N	T	Buy	10/04/19	N		
1262. BOEING COMMON STOCK	C	Dividend	L	T	Buy (add'l)	01/11/19	J		
1263.					Buy (add'l)	01/14/19	J		
1264.					Buy (add'l)	01/22/19	J		
1265.					Buy (add'l)	01/23/19	J		
1266.					Buy (add'l)	01/28/19	J		
1267.					Buy (add'l)	01/29/19	J		
1268.					Sold (part)	03/12/19	K	D	
1269.					Buy (add'l)	03/15/19	N		
1270.					Buy (add'l)	04/22/19	J		
1271.					Sold (part)	05/13/19	M		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1272.					Buy (add'l)	06/28/19	J		
1273.					Sold (part)	10/22/19	L	D	
1274. BROADCOM, INC COMMON STOCK	B	Dividend	M	T	Buy	10/22/19	M		
1275.					Buy (add'l)	10/30/19	K		
1276. CARNIVAL CORP COMMON STOCK	A	Dividend			Buy	02/27/19	L		
1277.					Buy (add'l)	03/20/19	J		
1278.					Buy (add'l)	04/08/19	J		
1279.					Buy (add'l)	04/22/19	K		
1280.					Buy (add'l)	05/30/19	J		
1281.					Buy (add'l)	06/14/19	J		
1282.					Sold	08/01/19	M		
1283. CHEVRON COMMON STOCK	D	Dividend	M	T	Buy (add'l)	01/11/19	J		
1284.					Buy (add'l)	01/14/19	J		
1285.					Buy (add'l)	01/22/19	J		
1286.					Buy (add'l)	01/23/19	J		
1287.					Buy (add'l)	01/28/19	J		
1288.					Buy (add'l)	01/29/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1289. CISCO SYS COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1290.					Buy (add'l)	01/14/19	J		
1291.					Buy (add'l)	01/22/19	J		
1292.					Buy (add'l)	01/23/19	J		
1293.					Buy (add'l)	01/28/19	J		
1294.					Buy (add'l)	01/29/19	J		
1295.					Sold (part)	04/22/19	K	D	
1296.					Sold (part)	05/30/19	K	D	
1297.					Buy (add'l)	09/27/19	K		
1298.					Buy (add'l)	10/22/19	K		
1299. CME GROUP COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1300.					Buy (add'l)	01/14/19	J		
1301.					Buy (add'l)	01/22/19	J		
1302.					Buy (add'l)	01/23/19	J		
1303.					Buy (add'l)	01/28/19	J		
1304.					Buy (add'l)	01/29/19	K		
1305.					Sold (part)	10/22/19	K	D	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1306. CMS ENERGY COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1307.					Buy (add'l)	01/14/19	J		
1308.					Buy (add'l)	01/22/19	J		
1309.					Buy (add'l)	01/23/19	J		
1310.					Buy (add'l)	01/28/19	J		
1311.					Buy (add'l)	01/29/19	J		
1312.					Buy (add'l)	02/05/19	J		
1313. COMCAST COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1314.					Buy (add'l)	01/14/19	J		
1315.					Buy (add'l)	01/22/19	J		
1316.					Buy (add'l)	01/23/19	J		
1317.					Buy (add'l)	01/28/19	J		
1318.					Buy (add'l)	01/29/19	J		
1319.					Buy (add'l)	02/05/19	K		
1320.					Sold (part)	10/22/19	K	D	
1321. CONSTELLATION BRANDS	C	Dividend			Sold	11/18/19	N	D	
1322. CORTEVA INC COMMON STOCK		None			Spinoff (from line 1332)	06/03/19	K		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1323.					Sold	06/14/19	K	D	
1324. CROWN CASTLE COMMON STOCK	D	Dividend	M	T	Buy (add'l)	01/11/19	J		
1325.					Buy (add'l)	01/14/19	J		
1326.					Buy (add'l)	01/22/19	J		
1327.					Buy (add'l)	01/23/19	J		
1328.					Buy (add'l)	01/28/19	J		
1329.					Buy (add'l)	01/29/19	J		
1330.					Buy (add'l)	02/05/19	J		
1331.					Sold (part)	09/27/19	K	C	
1332. DOWDUPONT COMMON STOCK (SEE NOTE 17 IN SECTION VIII)		None			Buy (add'l)	01/11/19	J		
1333.					Buy (add'l)	01/14/19	J		
1334.					Buy (add'l)	01/22/19	J		
1335.					Buy (add'l)	01/23/19	J		
1336.					Buy (add'l)	01/28/19	J		
1337.					Buy (add'l)	01/29/19	J		
1338.					Buy (add'l)	02/05/19	J		
1339. DOW, INC COMMON STOCK	C	Dividend	L	T	Spinoff (from line 1332)	04/01/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1340.					Buy (add'l)	04/22/19	J		
1341.					Buy (add'l)	05/06/19	K		
1342.					Buy (add'l)	06/14/19	K		
1343. DUPONT DE NEMOURS, INC COMMON STOCK	B	Dividend			Spinoff (from line 1332)	06/03/19	M		
1344.					Sold	06/14/19	L		
1345. FEDERAL EXPRESS CORP COMMON STOCK	C	Dividend			Buy	02/15/19	N		
1346.					Sold	12/27/19	M		
1347. GENERAL DYNAMICS COMMON STOCK	A	Dividend			Buy (add'l)	01/11/19	J		
1348.					Buy (add'l)	01/14/19	J		
1349.					Buy (add'l)	01/22/19	J		
1350.					Buy (add'l)	01/23/19	J		
1351.					Buy (add'l)	01/28/19	J		
1352.					Sold (part)	02/05/19	J		
1353.					Sold	02/27/19	L		
1354. GOLDMAN SACHS HIGH YIELD MUNICIPAL FUND	C	Dividend	N	T	Buy	08/15/19	N		
1355. HEALTHPEAK PROPERTIES, INC COMMON STOCK	B	Dividend	M	T	Buy	09/27/19	L		
1356.					Buy (add'l)	10/22/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1357. HOME DEPOT COMMON STOCK	D	Dividend	O	T	Buy (add'l)	01/11/19	J		
1358.					Buy (add'l)	01/14/19	J		
1359.					Buy (add'l)	01/22/19	J		
1360.					Buy (add'l)	01/23/19	J		
1361.					Buy (add'l)	01/28/19	J		
1362.					Buy (add'l)	01/29/19	J		
1363.					Buy (add'l)	02/28/19	N		
1364.					Buy (add'l)	11/20/19	L		
1365. HONEYWELL COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1366.					Buy (add'l)	01/14/19	J		
1367.					Buy (add'l)	01/22/19	J		
1368.					Buy (add'l)	01/23/19	J		
1369.					Buy (add'l)	01/28/19	J		
1370.					Buy (add'l)	01/29/19	J		
1371. JOHNSON & JOHNSON COMMON STOCK	F	Dividend	P1	T	Buy (add'l)	05/30/19	L		
1372.					Buy (add'l)	08/01/19	J		
1373.					Sold (part)	09/06/19	L		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1374. JPMORGAN CHASE COMMON STOCK	D	Dividend	M	T	Buy (add'l)	01/11/19	J		
1375.					Buy (add'l)	01/22/19	J		
1376.					Buy (add'l)	01/23/19	J		
1377.					Buy (add'l)	01/28/19	J		
1378.					Buy (add'l)	01/29/19	J		
1379. LAS VEGAS SANDS CORP COMMON STOCK	A	Dividend	L	T	Buy	10/22/19	L		
1380.					Buy (add'l)	10/30/19	J		
1381. LOCKHEED MARTIN CORP COMMON STOCK	C	Dividend	M	T	Buy	02/27/19	M		
1382.					Buy (add'l)	04/22/19	K		
1383.					Buy (add'l)	05/06/19	K		
1384.					Buy (add'l)	05/30/19	K		
1385. MCDONALDS INC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1386.					Buy (add'l)	01/14/19	J		
1387.					Buy (add'l)	01/22/19	J		
1388.					Buy (add'l)	01/23/19	J		
1389.					Buy (add'l)	01/28/19	J		
1390.					Buy (add'l)	01/29/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1391.					Buy (add'l)	10/30/19	J		
1392. MEDTRONIC PLC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1393.					Buy (add'l)	01/14/19	J		
1394.					Buy (add'l)	01/22/19	J		
1395.					Buy (add'l)	01/23/19	J		
1396.					Buy (add'l)	01/28/19	J		
1397.					Buy (add'l)	01/29/19	J		
1398.					Sold (part)	05/31/19	K	C	
1399.					Sold (part)	09/27/19	K	C	
1400.					Sold (part)	10/22/19	K	D	
1401. MERCK & CO COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1402.					Buy (add'l)	01/14/19	J		
1403.					Buy (add'l)	01/22/19	J		
1404.					Buy (add'l)	01/23/19	J		
1405.					Buy (add'l)	01/28/19	J		
1406.					Buy (add'l)	01/29/19	J		
1407.					Sold (part)	02/05/19	K	C	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1408. MICROSOFT COMMON STOCK	D	Dividend	P1	T	Buy (add'l)	01/11/19	J		
1409.					Buy (add'l)	01/14/19	J		
1410.					Buy (add'l)	01/22/19	J		
1411.					Buy (add'l)	01/23/19	J		
1412.					Buy (add'l)	01/28/19	J		
1413.					Buy (add'l)	01/29/19	J		
1414.					Buy (add'l)	02/05/19	J		
1415.					Sold (part)	05/30/19	K	D	
1416.					Buy (add'l)	08/15/19	K		
1417.					Sold (part)	10/22/19	K	D	
1418. MONDELEZ INTL COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1419.					Buy (add'l)	01/14/19	J		
1420.					Buy (add'l)	01/22/19	J		
1421.					Buy (add'l)	01/23/19	J		
1422.					Buy (add'l)	01/28/19	J		
1423.					Buy (add'l)	01/29/19	J		
1424.					Sold (part)	05/30/19	K	C	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1425. MONGODB INC COMMON STOCK		None	N	T					
1426. NEWELL BRANDS COMMON STOCK	A	Dividend			Buy (add'l)	01/11/19	J		
1427.					Buy (add'l)	01/14/19	J		
1428.					Buy (add'l)	01/22/19	J		
1429.					Buy (add'l)	01/23/19	J		
1430.					Buy (add'l)	01/28/19	J		
1431.					Sold	02/27/19	L		
1432. OCCIDENTAL PETE CORP COMMON STOCK	C	Dividend			Buy (add'l)	01/11/19	J		
1433.					Buy (add'l)	01/14/19	J		
1434.					Buy (add'l)	01/22/19	J		
1435.					Buy (add'l)	01/23/19	J		
1436.					Buy (add'l)	01/28/19	J		
1437.					Buy (add'l)	01/29/19	J		
1438.					Sold	04/24/19	M		
1439. PAYPAL HOLDINGS COMMON STOCK		None	O	T					
1440. PEPSICO COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1441.					Buy (add'l)	01/14/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1442.					Buy (add'l)	01/22/19	J		
1443.					Buy (add'l)	01/23/19	J		
1444.					Buy (add'l)	01/28/19	J		
1445.					Buy (add'l)	02/27/19	J		
1446.					Buy (add'l)	10/22/19	K		
1447. PFIZER INC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1448.					Buy (add'l)	01/14/19	J		
1449.					Buy (add'l)	01/22/19	J		
1450.					Buy (add'l)	01/23/19	J		
1451.					Buy (add'l)	01/28/19	J		
1452.					Buy (add'l)	01/29/19	J		
1453.					Sold (part)	02/05/19	K	B	
1454. PHILLIPS 66 COMMON STOCK	C	Dividend	M	T	Buy	05/06/19	L		
1455.					Buy (add'l)	06/14/19	K		
1456.					Buy (add'l)	09/27/19	J		
1457. PIONEER NATURAL RESOURCES COMMON STOCK	B	Dividend			Donated				
1458. PROCTER & GAMBLE COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1459.					Buy (add'l)	01/14/19	J		
1460.					Buy (add'l)	01/22/19	J		
1461.					Buy (add'l)	01/23/19	J		
1462.					Buy (add'l)	01/28/19	J		
1463.					Sold (part)	09/27/19	K	D	
1464. RAYTHEON COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1465.					Buy (add'l)	01/14/19	J		
1466.					Buy (add'l)	01/22/19	J		
1467.					Buy (add'l)	01/23/19	J		
1468.					Buy (add'l)	01/28/19	J		
1469.					Buy (add'l)	01/29/19	J		
1470.					Buy (add'l)	02/05/19	J		
1471.					Sold (part)	05/06/19	K	B	
1472.					Sold (part)	10/22/19	L	D	
1473. IRA ACCOUNT #2 (LINES 1474-1564) (H)									
1474. AIMMUNE THERAPEUTICS INC COMMON STOCK		None	K	T	Buy (add'l)	09/10/19	J		
1475. ALLIANCE BERNSTEIN INCOME ADV MUTUAL FUND	A	Dividend	K	T	Buy	02/26/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1476.					Buy (add'l)	03/22/19	J		
1477. ALPHABET INC COMMON STOCK		None	K	T					
1478. AMAZON COM INC COMMON STOCK		None	K	T	Sold (part)	01/31/19	J	B	
1479. AQR LONG-SHORT EQ INST MUTUAL FUND		None			Sold	05/13/19	J		
1480. AQR STYLE PREMIA ALTERNATIVE MUTUAL FUND		None			Sold	05/13/19	J		
1481. ARES CAPITAL CORP FUND (SEE NOTE 24 IN SECT VIII)	B	Dividend	K	T					
1482. CIGNA CORP COMMON STOCK		None	K	T	Buy	05/23/19	J		
1483.					Buy (add'l)	05/31/19	J		
1484. COMCAST CORP COMMON STOCK	A	Dividend	K	T	Sold (part)	01/03/19	J		
1485. CORBUS PHARMACEUTICALS HLDGS COMMON STOCK		None	J	T	Buy (add'l)	01/25/19	J		
1486. CROWN CASTLE INTL CORP COMMON STOCK	A	Dividend	K	T					
1487. DANAHER CORP COMMON STOCK	A	Dividend	K	T					
1488. E V ADV FLOATING RATE MUTUAL FUND	A	Dividend	K	T	Buy	02/26/19	K		
1489. EATON VANCE SHORT DURATION GOVT INC MUTUAL FUND	A	Dividend	K	T	Buy (add'l)	03/22/19	J		
1490. FACEBOOK INC COMMON STOCK		None	K	T					
1491. FALCON MINERALS CORP COMMON STOCK	A	Dividend	K	T	Buy	10/17/19	J		
1492.					Buy (add'l)	10/18/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1493.					Buy (add'l)	10/21/19	J		
1494.					Buy (add'l)	10/22/19	J		
1495.					Buy (add'l)	10/25/19	J		
1496.					Buy (add'l)	10/30/19	J		
1497.					Buy (add'l)	11/13/19	J		
1498.					Buy (add'l)	11/14/19	J		
1499.					Buy (add'l)	11/15/19	J		
1500. FEDERATED GOVT OBLIG ADV MMF	A	Dividend	J	T	Buy	08/20/19	K		
1501.					Sold (part)	09/17/19	J		
1502.					Sold (part)	10/15/19	J		
1503.					Sold (part)	10/18/19	J		
1504.					Sold (part)	10/25/19	J		
1505.					Sold (part)	10/30/19	J		
1506.					Sold (part)	11/15/19	K		
1507.					Buy (add'l)	12/30/19	J		
1508. FIRST TRUST SENIOR LOAN FUND	A	Dividend	J	T					
1509. GQG PARTNERS EMRG MKTS EQ INS	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1510. GREENSKY INC CL A COMMON STOCK		None			Buy (add'l)	02/13/19	J		
1511.					Sold (part)	03/20/19	J	B	
1512.					Sold (part)	03/21/19	J	C	
1513.					Sold	03/29/19	J	C	
1514. HONEYWELL INTERNATIONAL INC COMMON STOCK	A	Dividend	K	T					
1515. INVESCO PREMIER INST FUND	A	Dividend			Buy	01/17/19	K		
1516.					Buy (add'l)	05/06/19	J		
1517.					Sold (part)	05/31/19	J		
1518.					Buy (add'l)	06/28/19	J		
1519.					Sold (part)	09/10/19	J		
1520.					Sold	09/17/19	J		
1521. IQVIA HOLDINGS INC COMMON		None	K	T	Sold (part)	01/03/19	J	A	
1522.					Sold (part)	11/15/19	J	A	
1523. ISHARES EDGE MSCI MUL INTL ETF	A	Dividend	K	T	Buy	04/05/19	K		
1524. ISHARES EDGE MSCI US MOMENTUM	A	Dividend	K	T					
1525. ISHARES EDGE MSCI US QLTY FAC	A	Dividend	K	T	Buy	09/17/19	K		
1526. ISHARES FACTOR SELECT MSCI	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1527. ISHARES MSCI GROWTH ETF	A	Dividend	J	T					
1528. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	K	T					
1529. KINDER MORGAN INCORP COMMON STOCK	A	Dividend	J	T	Sold (part)	03/22/19	J	B	
1530. KRANESH BOSERA MSCI CHINA ETF	A	Dividend	J	T	Buy	11/15/19	J		
1531. KRANESHARES CSI CHINA INTERNET ETF	A	Dividend	J	T	Buy	11/15/19	J		
1532. MICROSOFT CORP COMMON STOCK	A	Dividend	K	T	Buy	01/03/19	J		
1533. OAKMARK INTERNATIONAL MUTUAL FUND		None			Buy (add'l)	04/03/19	J		
1534.					Sold	08/14/19	J		
1535. ONEOK INC COMMON STOCK	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
1536.					Sold (part)	03/22/19	J	B	
1537. PENNANTPARK FLTG RT CAP LTD FUND	B	Dividend	J	T					
1538. PENNANTPARK INVESTMENT CORP FUND	B	Dividend	J	T					
1539. PLAINS GP HOLDINGS LP	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
1540.					Sold (part)	03/22/19	J	A	
1541. INVESCO BUYBACK ACH ETF	A	Dividend	J	T					
1542. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend	K	T					
1543. SALESFORCE.COM INC COMMON STOCK		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1544. SOLAR CAPITAL LTD FUND	A	Dividend	J	T					
1545. SPDR S&P 500 ETF TRUST	A	Dividend	K	T					
1546. STARWOOD PROPERTY TRUST CMN STOCK	B	Dividend	J	T					
1547. TERRAFORM PWR INC COMMON STOCK		None			Sold (part)	01/02/19	J		
1548.					Sold (part)	01/03/19	J		
1549.					Sold (part)	01/07/19	J		
1550.					Sold (part)	01/08/19	J		
1551.					Sold	01/09/19	J	A	
1552. THERMO FISHER SCIENTIFIC COMMON STOCK	A	Dividend	K	T					
1553. VANGUARD INFO TECH ETF	A	Dividend	K	T	Sold (part)	01/03/19	J	B	
1554. VANGUARD MID-CAP ETF	A	Dividend			Sold	08/16/19	J	C	
1555. VERIZON COMMUNICATIONS COMMON STOCK	B	Dividend	K	T					
1556. VISA INC COMMON STOCK	A	Dividend	K	T					
1557. WALT DISNEY CO HLDG CO COMMON STOCK	A	Dividend	K	T	Sold (part)	01/03/19	J	A	
1558.					Buy (add'l)	03/28/19	J		
1559.					Sold (part)	11/15/19	J	B	
1560. WISDOMTREE CBOE S&P 500 ETF		None			Sold	02/25/19	K		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1561. WISDOMTREE EURO SM CAP DIV ETF	A	Dividend			Sold	08/14/19	J		
1562. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	J	T					
1563. WISDOMTREE TRUST MIDCAP EARN FUND	A	Dividend	K	T					
1564. WISDOMTREE TRUST CHINA DIV EX	A	Dividend	J	T					
1565. ADDL COMMN STOCKS & FUNDS (NON-IRA) (LINES 1566-1601) (H)									
1566. SCHLUMBERGER COMMON STOCK (NOTE 11 IN SECT VIII)	A	Dividend							
1567. SEMPRA ENERGY COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1568.					Buy (add'l)	01/14/19	J		
1569.					Buy (add'l)	01/22/19	J		
1570.					Buy (add'l)	01/23/19	J		
1571.					Buy (add'l)	01/28/19	J		
1572.					Buy (add'l)	01/29/19	J		
1573. TE CONNECTIVITY COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1574.					Buy (add'l)	01/14/19	J		
1575.					Buy (add'l)	01/22/19	J		
1576.					Buy (add'l)	01/23/19	J		
1577.					Buy (add'l)	01/28/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1578.					Buy (add'l)	01/29/19	J		
1579.					Buy (add'l)	04/08/19	J		
1580. UNITED HEALTH GROUP COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1581.					Buy (add'l)	01/14/19	J		
1582.					Buy (add'l)	01/22/19	J		
1583.					Buy (add'l)	01/23/19	J		
1584.					Buy (add'l)	01/28/19	J		
1585.					Buy (add'l)	01/29/19	J		
1586. VISA COMMON STOCK	C	Dividend	O	T					
1587. WALGREENS COMMON STOCK	E	Dividend	O	T					
1588. WALMART CORP COMMON STOCK	B	Dividend	M	T	Buy (add'l)	01/11/19	J		
1589.					Buy (add'l)	01/14/19	J		
1590.					Buy (add'l)	01/22/19	J		
1591.					Buy (add'l)	01/23/19	J		
1592.					Buy (add'l)	01/28/19	J		
1593.					Buy (add'l)	02/27/19	J		
1594.					Sold (part)	10/22/19	K	D	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1595. WELLS FARGO COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
1596.					Buy (add'l)	01/22/19	J		
1597.					Buy (add'l)	01/23/19	J		
1598.					Buy (add'l)	01/28/19	J		
1599.					Buy (add'l)	01/29/19	K		
1600.					Buy (add'l)	10/22/19	K		
1601.					Buy (add'l)	10/30/19	J		
1602. PUT ACCT (LINES 1603-1669) (NOTE 3 IN SECT VIII) (H)									
1603. XSP PUT - CONTRACT OPENED (EXP 2/22/19)		None			Sold	01/03/19	J		
1604. CONTRACT CLOSED					Buy	02/01/19	J	C	
1605. XSP PUT - CONTRACT CLOSED (EXPIRES 1/4/19) OPENED IN 2018		None			Buy	01/03/19	J		
1606. XSP PUT - CONTRACT OPENED (EXPIRES - 3/1/19)		None			Sold	01/16/19	J		
1607. CONTRACT CLOSED					Buy	02/11/19	J	B	
1608. XSP PUT - CONTRACT CLOSED (EXPIRES 2/1/19) OPENED IN 2018		None			Buy	01/16/19	J	C	
1609. XSP PUT - CONTRACT CLOSED (EXPIRES 1/18/19) OPENED IN 2018		None			Buy	01/16/19	J	C	
1610. XSP PUT - CONTRACT OPENED (EXPIRES 3/15/19)		None			Sold	01/18/19	J		
1611. CONTRACT CLOSED					Buy	03/12/19	J	C	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1612. XSP PUT - CONTRACT CLOSED (EXPIRES 1/25/19) (OPENED IN 2018)		None			Buy	01/18/19	J	B	
1613. XSP PUT - CONTRACT OPENED (EXPIRES 3/29/19)		None			Sold	01/23/19	J		
1614. CONTRACT CLOSED					Buy	03/12/19	J	C	
1615. XSP PUT - CONTRACT OPENED (EXPIRES 3/8/2019)		None			Sold	02/01/19	J		
1616. CONTRACT CLOSED					Buy	02/27/19	J	B	
1617. XSP PUT - CONTRACT CLOSED (EXPIRES 2/15/19) OPENED IN 2018		None			Buy	02/01/19	J	C	
1618. XSP PUT - CONTRACT OPENED (EXPIRES 3/23/19)		None			Sold	02/12/19	J		
1619. CONTRACT CLOSED					Buy	03/12/19	J	B	
1620. XSP PUT - CONTRACT OPENED (EXPIRES 4/18/19)		None			Sold	02/19/19	J		
1621. CONTRACT CLOSED					Buy	04/15/19	J	B	
1622. XSP PUT - CONTRACT OPENED (EXPIRES 4/5/19)		None			Sold	02/27/19	J		
1623. CONTRACT CLOSED					Buy	04/01/19	J	B	
1624. XSP PUT - CONTRACT OPENED (EXPIRES 4/12/19)		None			Sold	03/12/19	J		
1625. CONTRACT CLOSED					Buy	04/08/19	J	B	
1626. XSP PUT - CONTRACT OPENED (EXPIRES 5/17/19)		None			Sold	03/19/19	J		
1627. CONTRACT CLOSED					Buy	05/01/19	J	B	
1628. XSP PUT - CONTRACT OPENED (EXPIRES 6/21/19)		None			Sold	04/01/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1629. CONTRACT CLOSED					Expired	06/20/19	J	B	
1630. XSP PUT - CONTRACT OPENED (EXPIRES 5/24/19)		None			Sold	04/08/19	J		
1631. CONTRACT CLOSED					Buy	05/01/19	J	A	
1632. XSP PUT - CONTRACT OPENED (EXPIRES 6/28/19)		None			Sold	04/15/19	J		
1633. CONTRACT CLOSED					Buy	06/20/19	J	B	
1634. XSP PUT - CONTRACT OPENED (EXPIRES 6/7/19)		None			Sold	05/01/19	J		
1635. CONTRACT CLOSED					Buy	06/05/19	J		
1636. XSP PUT - CONTRACT OPENED (EXPIRES 7/19/19)		None			Sold	05/01/19	J		
1637. CONTRACT CLOSED					Buy	07/02/19	J	C	
1638. XSP PUT - CONTRACT OPENED (EXPIRES 7/12/19)		None			Sold	06/05/19	J		
1639. CONTRACT CLOSED					Buy	07/09/19	J	B	
1640. XSP PUT - CONTRACT OPENED (EXPIRES 8/16/19)		None			Sold	06/05/19	J		
1641. CONTRACT CLOSED					Buy	07/16/19	J	C	
1642. XSP PUT - CONTRACT OPENED (EXPIRES 8/2/19)		None			Sold	06/20/19	J		
1643. CONTRACT CLOSED					Buy	07/26/19	J	B	
1644. XSP PUT - CONTRACT OPENED (EXPIRES 9/20/19)		None			Sold	07/02/19	J		
1645. CONTRACT CLOSED					Buy	09/12/19	J	B	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1646. XSP PUT - CONTRACT OPENED (EXPIRES 8/23/19)		None			Sold	07/09/19	J		
1647. CONTRACT CLOSED					Buy	08/21/19	J	B	
1648. XSP PUT - CONTRACT OPENED (EXPIRES 8/30/19)		None			Sold	07/16/19	J		
1649. CONTRACT CLOSED					Buy	08/21/19	J	A	
1650. XSP PUT - CONTRACT OPENED (EXPIRES 9/30/19)		None			Sold	07/26/19	J		
1651. CONTRACT CLOSED					Buy	09/24/19	J	B	
1652. XSP PUT - CONTRACT OPENED (EXPIRES 10/18/19)		None			Sold	08/21/19	J		
1653. CONTRACT CLOSED					Buy	10/14/19	J	B	
1654. XSP PUT - CONTRACT OPENED (EXPIRES 11/15/19)		None			Sold	08/29/19	J		
1655. CONTRACT CLOSED					Buy	10/29/19	J	C	
1656. XSP PUT - CONTRACT OPENED (EXPIRES 10/25/19)		None			Sold	09/12/19	J		
1657. CONTRACT CLOSED					Buy	10/21/19	J	B	
1658. XSP PUT - CONTRACT OPENED (EXPIRES 12/20/19)		None			Sold	09/24/19	J		
1659. CONTRACT CLOSED					Buy	12/05/19	J	C	
1660. XSP PUT - CONTRACT OPENED (EXPIRES 11/22/19)		None			Sold	10/14/19	J		
1661. CONTRACT CLOSED					Buy	11/11/19	J	B	
1662. XSP PUT - CONTRACT OPENED (EXPIRES 12/6/19)		None			Sold	10/29/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/05/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1663. CONTRACT CLOSED					Buy	11/21/19	J	A	
1664. XSP PUT - CONTRACT OPENED (EXPIRES 1/3/20)		None			Sold	11/21/19	J		
1665. CONTRACT CLOSED					Buy	12/26/19	J	B	
1666. XSP PUT - CONTRACT OPENED (EXPIRES 1/17/2020)		None			Sold	10/21/19	J		
1667. XSP PUT - CONTRACT OPENED (EXPIRES 2/21/2020)		None			Sold	11/11/19	J		
1668. XSP PUT - CONTRACT OPENED (EXPIRES 1/24/2020)		None			Sold	12/05/19	J		
1669. XSP PUT - CONTRACT OPENED (EXPIRES 2/7/2020)		None			Sold	12/26/19	J		
1670. CASH/S/T INVESTS/MM ACCTS (LINES 1671-1786) (H)									
1671. GOLDMN SACHS BANK MM/CASH	E	Interest	P1	T					
1672. GOLDMN SACHS (PUT) MM/CSH	B	Interest	M	T					
1673. GOLDMAN SACHS BANK MM/CASH (EQTY)	A	Interest	M	T					
1674. GOLDMAN SACHS DEPOSIT/CASH #2 (FDN)	A	Interest	J	T					
1675. CITIBANK CHECKING ACCOUNT - FOUNDATION		None	K	T					
1676. CITIBANK INTEREST CHECKING ACCOUNT #1 (FERP)	A	Interest	K	T					
1677. CITIBANK CHECKING ACCOUNT (HH)		None	K	T					
1678. CITI AGENCY CASH/WESTERN ASSET MM FUND (NOTE 14 SECT VIII)	D	Dividend	M	T	Buy (add'l)	01/10/19	P1		
1679.					Sold (part)	01/10/19	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1680.					Sold (part)	01/14/19	L		
1681.					Buy (add'l)	01/15/19	J		
1682.					Sold (part)	01/15/19	J		
1683.					Buy (add'l)	01/16/19	J		
1684.					Sold (part)	01/22/19	N		
1685.					Sold (part)	01/23/19	M		
1686.					Buy (add'l)	01/23/19	J		
1687.					Sold (part)	01/28/19	M		
1688.					Sold (part)	01/29/19	M		
1689.					Buy (add'l)	01/31/19	J		
1690.					Buy (add'l)	02/01/19	J		
1691.					Sold (part)	02/05/19	L		
1692.					Buy (add'l)	02/05/19	M		
1693.					Sold (part)	02/14/19	J		
1694.					Sold (part)	02/27/19	M		
1695.					Buy (add'l)	02/27/19	L		
1696.					Buy (add'l)	03/01/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1697.					Buy (add'l)	03/08/19	J		
1698.					Buy (add'l)	03/11/19	J		
1699.					Buy (add'l)	03/12/19	K		
1700.					Buy (add'l)	03/15/19	J		
1701.					Sold (part)	03/20/19	J		
1702.					Buy (add'l)	03/25/19	J		
1703.					Sold (part)	03/25/19	J		
1704.					Buy (add'l)	03/28/19	J		
1705.					Buy (add'l)	03/29/19	J		
1706.					Buy (add'l)	04/01/19	J		
1707.					Buy (add'l)	04/05/19	J		
1708.					Sold (part)	04/08/19	K		
1709.					Buy (add'l)	04/12/19	J		
1710.					Sold (part)	04/12/19	J		
1711.					Buy (add'l)	04/15/19	J		
1712.					Buy (add'l)	04/22/19	L		
1713.					Sold (part)	04/22/19	L		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1714.					Buy (add'l)	04/24/19	M		
1715.					Buy (add'l)	04/30/19	J		
1716.					Buy (add'l)	05/01/19	J		
1717.					Buy (add'l)	05/06/19	K		
1718.					Sold (part)	05/06/19	M		
1719.					Sold (part)	05/14/19	J		
1720.					Buy (add'l)	05/15/19	J		
1721.					Buy (add'l)	05/16/19	J		
1722.					Buy (add'l)	05/30/19	L		
1723.					Sold (part)	05/30/19	L		
1724.					Buy (add'l)	05/31/19	K		
1725.					Buy (add'l)	06/03/19	J		
1726.					Buy (add'l)	06/07/19	J		
1727.					Buy (add'l)	06/10/19	J		
1728.					Buy (add'l)	06/14/19	L		
1729.					Sold (part)	06/14/19	L		
1730.					Buy (add'l)	06/20/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1731.					Buy (add'l)	06/25/19	J		
1732.					Sold (part)	06/25/19	K		
1733.					Buy (add'l)	06/28/19	J		
1734.					Sold (part)	06/28/19	J		
1735.					Buy (add'l)	07/08/19	J		
1736.					Sold (part)	07/15/19	J		
1737.					Buy (add'l)	07/24/19	J		
1738.					Buy (add'l)	07/31/19	J		
1739.					Buy (add'l)	08/01/19	M		
1740.					Sold (part)	08/01/19	J		
1741.					Sold (part)	08/14/19	J		
1742.					Buy (add'l)	08/15/19	J		
1743.					Sold (part)	08/15/19	K		
1744.					Buy (add'l)	09/03/19	J		
1745.					Buy (add'l)	09/06/19	L		
1746.					Sold (part)	09/06/19	L		
1747.					Buy (add'l)	09/10/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1748.					Buy (add'l)	09/13/19	J		
1749.					Sold (part)	09/13/19	J		
1750.					Buy (add'l)	09/19/19	J		
1751.					Buy (add'l)	09/24/19	J		
1752.					Sold (part)	09/25/19	K		
1753.					Buy (add'l)	09/27/19	L		
1754.					Sold (part)	09/27/19	M		
1755.					Buy (add'l)	09/30/19	J		
1756.					Buy (add'l)	10/07/19	J		
1757.					Buy (add'l)	10/15/19	J		
1758.					Sold (part)	10/15/19	J		
1759.					Buy (add'l)	10/22/19	N		
1760.					Sold (part)	10/22/19	N		
1761.					Buy (add'l)	10/23/19	J		
1762.					Sold (part)	10/30/19	L		
1763.					Buy (add'l)	10/31/19	J		
1764.					Buy (add'l)	11/01/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1765.					Buy (add'l)	11/15/19	J		
1766.					Sold (part)	11/15/19	J		
1767.					Buy (add'l)	11/19/19	J		
1768.					Buy (add'l)	12/02/19	J		
1769.					Buy (add'l)	12/06/19	J		
1770.					Buy (add'l)	12/10/19	J		
1771.					Buy (add'l)	12/13/19	J		
1772.					Sold (part)	12/13/19	J		
1773.					Buy (add'l)	12/17/19	J		
1774.					Buy (add'l)	12/19/19	J		
1775.					Buy (add'l)	12/23/19	J		
1776.					Sold (part)	12/26/19	K		
1777.					Buy (add'l)	12/27/19	J		
1778.					Buy (add'l)	12/31/19	J		
1779. CITIBANK ASSET ACCOUNT (REPLACEMENT)		None	J	T					
1780. CITIBANK MONEY MARKET PLUS	G	Interest	P1	T					
1781. CERTIFICATE OF DEPOSIT	F	Interest			Buy	01/07/19	P2		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1782.					Matured	04/07/19	P2		
1783. CITIBANK INTEREST CHECKING ACCOUNT #2 (KATNH)	A	Interest	J	T					
1784. CITIBANK CHECKING ACCOUNT (REV TR)	A	Interest	J	T					
1785. UBS BANK USA DEPOSIT ACCOUNT (SEE NOTE 8 IN SECT VIII)		None	J	T					
1786. MORGAN STANLEY BANK/TRUST DEPOSITS #3 (ROTH IRA)	A	Interest	J	T					
1787. FDN BROKERAGE #1 (NOTE 16 IN SECT VIII) (H)									
1788. JOHNSON & JOHNSON COMMON STOCK (X)	A	Dividend	K	T	Sold (part)	12/17/19	L	F	
1789. PIONEER NATURAL RESOURCES COMMON STOCK (X)		None			Sold	11/05/19	M	G	
1790. FDN BRKG ACCT #2 (LINES 1791-1889) (NOTE 16 SECT VIII) (H)									
1791. MORGAN STANLEY BANK/TRUST #2 (CASH/MM)	A	Interest	K	T					
1792. COMMON STOCKS AND FUNDS (LINES 1793-1889) (H)									
1793. AIMMUNE THERAPEUTICS INC COMMON STOCK		None	M	T	Buy (add'l)	09/10/19	J		
1794. ALLIANCE BERNSTEIN INCOME ADV	D	Dividend	M	T	Buy	02/26/19	L		
1795.					Buy (add'l)	03/22/19	L		
1796. ALPHABET INC COMMON STOCK		None	M	T					
1797. AMAZON COM INC COMMON STOCK		None	M	T	Sold (part)	01/10/19	J		
1798.					Sold (part)	01/31/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1799. AQR LONG SHORT EQ INST FUND		None			Sold	05/13/19	K		
1800. AQR STYLE PREMIA ALTERNATIVE FUND		None			Sold	05/13/19	K		
1801. ARES CAPITAL CORP FUND (SEE NOTE 24 IN SECT VIII)	D	Dividend	M	T					
1802. CIGNA CORP COMMON STOCK		None	M	T	Buy	05/23/19	K		
1803.					Buy (add'l)	05/31/19	K		
1804. COMCAST CORP COMMON STOCK	B	Dividend	M	T	Sold (part)	01/03/19	K		
1805. CORBUS PHARMACEUTICALS HLDGS		None	L	T					
1806. CROWN CASTLE INTL CORP COMMON STOCK	C	Dividend	M	T					
1807. DANAHER CORP COMON STOCK	A	Dividend	M	T	Buy (add'l)	04/03/19	J		
1808. E V ADV FLOATING RATE I FUND	C	Dividend	L	T	Buy	02/26/19	L		
1809. EV SHT DURATION GOVT INC FUND	D	Dividend	K	T	Sold (part)	04/03/19	K		
1810.					Sold (part)	07/29/19	M		
1811. FACEBOOK INC COMMON STOCK		None	M	T					
1812. FALCON MINERALS CORP COMMON STOCK	B	Dividend	M	T	Buy	10/15/19	J		
1813.					Buy (add'l)	10/17/19	J		
1814.					Buy (add'l)	10/18/19	J		
1815.					Buy (add'l)	10/21/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1816.					Buy (add'l)	10/22/19	J		
1817.					Buy (add'l)	10/25/19	J		
1818.					Buy (add'l)	10/30/19	J		
1819.					Buy (add'l)	11/13/19	J		
1820.					Buy (add'l)	11/14/19	J		
1821.					Buy (add'l)	11/15/19	J		
1822.					Buy (add'l)	12/12/19	K		
1823. FEDERATED GOVT OBLIG MMF (SEE NOTE 14 IN SECT VIII)	B	Dividend			Buy	03/29/19	N		
1824.					Sold (part)	04/03/19	K		
1825.					Sold (part)	04/05/19	L		
1826.					Sold (part)	04/25/19	J		
1827.					Sold (part)	05/23/19	K		
1828.					Buy (add'l)	05/29/19	K		
1829.					Sold (part)	05/31/19	L		
1830.					Sold (part)	06/24/19	K		
1831.					Buy (add'l)	08/20/19	N		
1832.					Sold (part)	09/05/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1833.					Sold (part)	09/10/19	K		
1834.					Sold (part)	09/17/19	M		
1835.					Sold (part)	10/15/19	J		
1836.					Sold (part)	10/18/19	K		
1837.					Sold (part)	10/21/19	K		
1838.					Sold	10/30/19	K		
1839.					Buy	11/27/19	J		
1840.					Sold	12/12/19	J		
1841. FIRST TRUST SENIOR LOAN FUND	C	Dividend	L	T					
1842. GQG PARTNERS EMRG MKTS EQ INS FUND	B	Dividend	M	T	Buy (add'l)	04/03/19	J		
1843. GREENSKY INC COMMON STOCK		None			Buy (add'l)	02/13/19	K		
1844.					Sold (part)	03/20/19	L	E	
1845.					Sold (part)	03/21/19	L	E	
1846.					Sold	03/29/19	L	E	
1847. HONEYWELL INTERNATIONAL INC COMMON STOCK	B	Dividend	M	T					
1848. HP WORLDQUANT - FOUNDERS ESC HDGE FUND		None	M	T					
1849. IQVIA HOLDINGS COMMON STOCK		None	M	T	Sold (part)	01/03/19	K	D	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1850.					Sold (part)	11/15/19	K	D	
1851. ISHARES EDGE MSCI MUL INTL ETF	C	Dividend	M	T	Buy	04/05/19	M		
1852. ISHARES EDGE MSCI US MOMENTUM FUND	B	Dividend	M	T	Buy (add'l)	04/03/19	K		
1853. ISHARES EDGE MSCI US QLTY FAC	B	Dividend	M	T	Buy	09/17/19	M		
1854. ISHARES FACTORSELECT MSCI EM FUND	C	Dividend	M	T	Buy (add'l)	04/03/19	K		
1855. ISHARES MSCI EAFE GROWTH ETF	A	Dividend	L	T					
1856. ISHARES S&P MIDCAP 400 INDEX FUND	B	Dividend	M	T	Buy (add'l)	04/03/19	J		
1857. KINDER MORGAN INCORP COMMON STOCK	C	Dividend	L	T	Sold (part)	03/22/19	L	D	
1858. KRANESH BOSERA MSCI CHINA	A	Dividend	L	T	Buy	11/15/19	K		
1859. MICROSOFT CORP COMMON STOCK	B	Dividend	M	T	Buy	01/03/19	L		
1860. OAKMARK INTERNATIONAL MUTUAL FUND		None			Buy (add'l)	04/03/19	J		
1861.					Sold	08/14/19	L		
1862. ONEOK INC COMMON STOCK	C	Dividend	L	T	Buy (add'l)	01/03/19	K		
1863.					Sold (part)	03/22/19	L	E	
1864. PENNANTPARK FLTG RATE CAP LTD FUND	D	Dividend	L	T					
1865. PENNANTPARK INVESTMENT CORP FUND	D	Dividend	L	T					
1866. PLAINS GP HOLDINGS LP COMMON STOCK	C	Distribution	L	T	Buy (add'l)	01/03/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less (See Columns C1 and D3)	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000				
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1867.					Sold (part)	03/22/19	K	B	
1868. INVESCO INTL BUYBACK ACH	B	Dividend	M	T					
1869. PROSHARES TR S&P 500 DV ARIST FUND	C	Dividend	M	T					
1870. SALESFORCE.COM, INC COMMON STOCK		None	L	T	Buy (add'l)	06/11/19	J		
1871. SOLAR CAPITAL LTD FUND	D	Dividend	L	T					
1872. STARWOOD PROPERTY TRUST INC COMMON STOCK	D	Dividend	L	T					
1873. TERRAFORM PWR INC COMMON STOCK		None			Sold (part)	01/02/19	K		
1874.					Sold (part)	01/07/19	J		
1875.					Sold (part)	01/08/19	K		
1876.					Sold	01/09/19	K	A	
1877. THERMO FISHER SCIENTIFIC COMMON STOCK	A	Dividend	M	T					
1878. VANGUARD INFO TECH ETF	B	Dividend	M	T	Buy (add'l)	04/03/19	K		
1879. VANGUARD MID-CAP ETF	A	Dividend			Sold	08/16/19	M	E	
1880. VERIZON COMMUNICATIONS COMMON STOCK	D	Dividend	M	T	Buy (add'l)	04/03/19	K		
1881. VISA INC COMMON STOCK	B	Dividend	M	T					
1882. WALT DISNEY CO HLDG CO COMMON STOCK	B	Dividend	M	T	Sold (part)	01/03/19	K	A	
1883.					Buy (add'l)	03/28/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1884.					Sold (part)	11/15/19	K	D	
1885. WISDOMTREE CBOE S&P 500 ETF		None			Sold	02/25/19	M		
1886. WISDOMTREE EUROPE SMALL CAP DIV ETF	C	Dividend			Sold	08/14/19	M		
1887. WISDOMTREE SMALL CAP DIV FUND	C	Dividend	M	T	Buy (add'l)	04/03/19	J		
1888. WISDOMTREE TR CHINA DIV EX FI FUND	A	Dividend	L	T					
1889. WISDOMTREE TRUST MDCP EARN FUND	B	Dividend	M	T					
1890. NON-PUBLICS (NOTES 5 & 7 IN SECT VIII) (LNES 1891-2049) (H)									
1891. ELGIN CAPITAL (SEE NOTE 1 IN SECT VIII)		None	L	W	Distributed (part)	12/20/19	K		
1892. CENTERBRIDGE CREDIT PARTNERS (SEE NOTE 1 IN SECT VIII)	F	Distribution	M	U	Distributed (part)	01/29/19	J		
1893.					Distributed (part)	03/25/19	K		
1894.					Distributed (part)	04/29/19	J		
1895.					Redeemed (part)	10/29/19	N		
1896. TAMPA BAY RAYS (SEE NOTE 1 IN SECT VIII)	G	Distribution	O	W					
1897. HARDING SERVICE, LLC (Y)									
1898. OFFIT CAPITAL ADVISORS (SEE NOTE 1 IN SECTION VIII)	F	Distribution	M	W	Distributed (part)	05/17/19	L		
1899. SUMMERFIELD ROTOR HSI (SEE NOTE 1 IN SECT VIII)	A	Distribution	N	W	Buy	04/25/19	N		
1900. UNIVERSAL HOSPITAL SERVICES HLDG CO (NOTE 1 IN SECT VIII)		None			Sold	01/10/19	N	G	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1901.					Distributed	07/03/19	J	D	
1902. WHOLESOME FOODS (SEE NOTE 1 IN SECTION VIII)		None	O	W					
1903. IRVING PLACE CAPITAL II (SEE NOTE 9 IN SECT VIII)	A	Distribution	K	W					
1904. BLACKSTONE REAL ESTATE VI & VIII (NOTE 9 SECT VIII)	G	Distribution	P1	W	Buy (add'l)	01/14/19	K		
1905.					Buy (add'l)	01/18/19	J		
1906.					Distributed (part)	02/28/19	K		
1907.					Buy (add'l)	02/28/19	J		
1908.					Distributed (part)	03/01/19	K		
1909.					Buy (add'l)	03/11/19	L		
1910.					Buy (add'l)	03/21/19	J		
1911.					Buy (add'l)	04/01/19	K		
1912.					Distributed (part)	04/16/19	J		
1913.					Buy (add'l)	04/22/19	L		
1914.					Buy (add'l)	04/25/19	J		
1915.					Buy (add'l)	05/02/19	J		
1916.					Buy (add'l)	05/22/19	J		
1917.					Distributed (part)	05/31/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1918.					Buy (add'l)	06/25/19	J		
1919.					Distributed (part)	07/12/19	L		
1920.					Buy (add'l)	07/24/19	K		
1921.					Buy (add'l)	08/08/19	J		
1922.					Distributed (part)	08/15/19	L		
1923.					Distributed (part)	09/03/19	K		
1924.					Buy (add'l)	09/06/19	K		
1925.					Buy (add'l)	09/20/19	M		
1926.					Distributed (part)	09/23/19	J		
1927.					Buy (add'l)	09/27/19	K		
1928.					Distributed (part)	09/30/19	J		
1929.					Buy (add'l)	10/07/19	J		
1930.					Distributed (part)	10/22/19	J		
1931.					Distributed (part)	10/28/19	K		
1932.					Buy (add'l)	11/04/19	K		
1933.					Buy (add'l)	11/07/19	J		
1934.					Buy (add'l)	11/15/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1935.					Distributed (part)	11/15/19	K		
1936.					Distributed (part)	11/29/19	J		
1937.					Distributed (part)	12/02/19	L		
1938.					Buy (add'l)	12/04/19	J		
1939.					Buy (add'l)	12/13/19	K		
1940.					Buy (add'l)	12/19/19	J		
1941.					Distributed (part)	12/24/19	L		
1942. CENTERVIEW CAPITAL (SEE NOTE 9 IN SECT VIII)	E	Distribution	O	W	Distributed (part)	05/13/19	J		
1943. DGNL VENTURES (SEE NOTE 9 IN SECT VIII)		None	M	W	Distributed (part)	06/20/19	K		
1944.					Buy (add'l)	10/24/19	K		
1945. ELGIN CAPITAL PARTNERS II (SEE NOTE 9 IN SECT VIII)	G	Distribution	O	W	Buy (add'l)	06/20/19	M		
1946. FIRST NECK SELF STORAGE LP (SEE NOTE 9 IN SECT VIII)		None	N	W	Distributed (part)	02/28/19	J		
1947.					Distributed (part)	03/25/19	J		
1948.					Distributed (part)	04/23/19	J		
1949.					Distributed (part)	05/28/19	J		
1950.					Buy (add'l)	06/06/19	J		
1951.					Distributed (part)	06/21/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1952.					Buy (add'l)	07/01/19	L		
1953.					Distributed (part)	07/23/19	J		
1954.					Buy (add'l)	08/12/19	J		
1955.					Distributed (part)	08/23/19	J		
1956.					Buy (add'l)	09/13/19	L		
1957.					Distributed (part)	09/27/19	J		
1958.					Distributed (part)	10/28/19	J		
1959.					Distributed (part)	11/25/19	J		
1960.					Distributed (part)	12/20/19	J		
1961. GEMSPRING CAPITAL (SEE NOTE 9 IN SECTION VIII)		None	P1	W	Distributed (part)	04/04/19	M		
1962.					Buy (add'l)	04/12/19	M		
1963.					Distributed (part)	10/02/19	N		
1964.					Buy (add'l)	12/19/19	N		
1965. HIGHCAPE PARTNERS (SEE NOTE 9 IN SECT VIII)	G	Distribution	P1	W	Buy (add'l)	04/25/19	L		
1966.					Distributed (part)	11/07/19	N		
1967.					Buy (add'l)	12/27/19	L		
1968. KAYNE ANDERSON (SEE NOTE 9 IN SECT VIII)	G	Distribution	K	W	Distributed (part)	04/11/19	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1969.					Distributed (part)	11/27/19	M		
1970. KITCHEN FUND (SEE NOTE 9 IN SECT VIII)		None	N	W	Buy (add'l)	02/01/19	K		
1971. VESTAR CAPL PRTNRS/ASSC IV/AIV (SEE NOTE 9 SECT VIII)	C	Distribution	M	W					
1972. VESTAR CAP/ASSOC V (SEE NOTE 9 IN SECT VIII)	G	Distribution	N	W	Distributed (part)	03/19/19	N		
1973.					Distributed (part)	10/29/19	J		
1974.					Distributed (part)	12/12/19	K		
1975. VESTAR ASSOCIATES, VI (SEE NOTE 18 IN SECT VIII)	B	Distribution							
1976. RAZOR'S EDGE FUND (SEE NOTE 9 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	08/02/19	O		
1977. RAZOR'S EDGE FUND II (SEE NOTE 9 IN SECT VIII)	B	Distribution	O	W	Buy (add'l)	09/16/19	M		
1978. RED ABBEY (SEE NOTE 9 IN SECT VIII)	B	Distribution	J	W	Distributed (part)	04/09/19	J		
1979. SENTINEL CAPITAL IV (SEE NOTE 10 IN SECT VIII)	D	Distribution			Buy (add'l)	07/01/19	J		
1980. SENTINEL CAPITAL V (SEE NOTE 10 IN SECT VIII)		None			Buy (add'l)	01/01/19	K		
1981.					Buy (add'l)	04/01/19	L		
1982. SENTINEL CAPITAL VI (SEE NOTE 10 IN SECT VIII)	F	Distribution							
1983. ALTIMA DENTAL (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy (add'l)	08/06/19	K		
1984. CABI HOLDING (SEE NOTE 15 IN SECT VIII)		None	O	W	Distributed (part)	07/01/19	J		
1985.					Distributed (part)	09/24/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1986. APEX COMPANIES (SEE NOTE 15 IN SECT VIII)		None	O	W	Buy	08/06/19	O		
1987. CAPTAIN D'S (SEE NOTE 15 IN SECT VIII)		None	O	W					
1988. CHASE DOORS (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	06/21/19	J	C	
1989. COLSON GROUP HOLDINGS (SEE NOTE 15 IN SECTION VIII)		None	N	W	Distributed (part)	03/05/19	J		
1990. CORPORATE VISIONS (SEE NOTE 15 IN SECT VIII)		None	M	W					
1991. CREDIT INFONET HOLDINGS (SEE NOTE 15 IN SECT VIII)		None			Sold	03/05/19	P1	H1	STONE POINT CAPITAL
1992.					Distributed	06/21/19	J	D	
1993. CRITICAL SOLUTIONS (SEE NOTE 15 IN SECTION VIII)		None	M	W	Distributed (part)	03/05/19	J		
1994.					Distributed (part)	06/21/19	J		
1995.					Distributed (part)	12/16/19	J		
1996. ECM INDUSTRIES (SEE NOTES 12 & 15 IN SECT VIII)		None	O	W	Buy	12/23/19	O		
1997. HOLLEY (FKA DRIVEN PERF BRANDS (SEE NOTE 15 IN SECT VIII)		None	P1	W	Buy (add'l)	08/06/19	O		
1998. FAZOLI GROUP (SEE NOTE 15 IN SECT VIII)		None	M	W					
1999. GSM OUTDOOR (SEE NOTE 15 IN SECT VIII)		None	O	W					
2000. HOLLANDER SLEEP PRODUCTS (SEE NOTE 15 IN SECT VIII)		None			Buy (add'l)	08/06/19	M		
2001.					Sold	09/24/19	M		CENTRE LANE PARTNERS
2002. HUDDLE HOUSE (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed (part)	03/05/19	K	E	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)



NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
2003.					Distributed	06/21/19	K	E	
2004. LUMINARIES GROUP (SEE NOTE 15 IN SECT VIII)		None			Sold	09/24/19	O	G	ACUITY BRANDS
2005. MARKETPLACE EVENTS (SEE NOTE 15 IN SECT VIII)		None	O	W	Distributed (part)	01/01/19	J		
2006.					Distributed (part)	04/01/19	K		
2007.					Distributed (part)	07/01/19	J		
2008.					Distributed (part)	10/01/19	J		
2009. MB2 DENTAL (SEE NOTE 15 IN SECT VIII)		None	O	W					
2010. MOBILE COMMUNICATIONS (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	10/24/19	N		
2011. NATIONAL SPINE (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	06/21/19	J	D	
2012. NEKOOSA (SEE NOTE 15 IN SECT VIII)		None	N	W					
2013. NEW ERA TECHNOLOGIES (SEE NOTES 12 & 15 IN SECT VIII)		None	O	W	Buy	09/24/19	O		
2014. NEWK'S HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	N	W					
2015. PCH HOLDINGS (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	12/12/19	K	E	
2016. PET SUPPLIES PLUS (SEE NOTE 15 IN SECT VIII)		None	O	W	Buy	07/10/19	O		
2017. QUICK WEIGHT LOSS CENTERS (SEE NOTE 15 IN SECT VIII)		None	J	W	Buy (add'l)	08/06/19	K		
2018. REVENUEW INTERNATIONAL (SEE NOTE 15 IN SECT VIII)		None	N	W	Distributed (part)	04/01/19	K		
2019.					Distributed (part)	07/01/19	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

2020. ROTOMETRICS (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	07/01/19	J	C	
2021. SONNY'S ENTERPRISES (SEE NOTE 15 IN SECT VIII)		None	P1	W	Distributed (part)	01/01/19	J		
2022.					Distributed (part)	04/01/19	J		
2023.					Distributed (part)	07/01/19	J		
2024. SSJA BARIATRIC MGMT (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	10/24/19	N		
2025. TGI FRIDAYS (SEE NOTE 15 IN SECT VIII)		None			Distributed (part)	07/01/19	J		
2026.					Sold (part)	12/12/19	L		
2027.					Sold	12/16/19	L		TRI ARTISAN CAPITAL PRTNRS
2028. TOTAL MILITARY MANAGEMENT (SEE NOTE 15 IN SECT VIII)		None	O	W	Distributed (part)	09/24/19	K		
2029. UBEO (SEE NOTE 15 IN SECT VIII)		None	N	W					
2030. WELLSPRING PHARMACEUTICALS (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed (part)	03/05/19	J	C	
2031.					Distributed	12/16/19	J	C	
2032. QUINTANA ENERGY PARTNERS (SEE NOTE 9 IN SECT VIII)		None	L	W	Distributed (part)	05/14/19	K		
2033. TINICUM LP (SEE NOTE 9 IN SECT VIII)	F	Distribution	P1	W	Buy (add'l)	02/15/19	M		
2034.					Distributed (part)	02/15/19	K		
2035.					Buy (add'l)	08/22/19	M		
2036.					Distributed (part)	08/22/19	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2037.					Buy (add'l)	11/13/19	K		
2038.					Distributed (part)	11/13/19	M		
2039.					Distributed (part)	12/23/19	L		
2040. 3G KRAFT HEINZ (NOTE 9 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	03/25/19	K		
2041.					Distributed (part)	06/17/19	K		
2042.					Distributed (part)	09/13/19	K		
2043.					Distributed (part)	12/16/19	K		
2044. 3G FUND IV (SEE NOTE 9 IN SECT VIII)	F	Distribution	P1	W	Distributed (part)	03/26/19	K		
2045.					Distributed (part)	06/17/19	K		
2046.					Distributed (part)	09/16/19	K		
2047.					Distributed (part)	12/16/19	K		
2048. VALINOR LP (SEE NOTE 9 IN SECT VIII)		None	O	W	Buy (add'l)	05/08/19	M		
2049.					Buy (add'l)	10/02/19	L		
2050. OTHER INVESTMENTS/NOTES RECEIVABLES (LINES 2051-2099) (H)									
2051. AMBULNZ LLC		None	O	W					
2052. ATLANTA VININGS (SEE NOTE 1 IN SECT VIII)		None	O	W	Distributed (part)	01/15/19	J		
2053.					Distributed (part)	02/15/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2054.					Distributed (part)	03/15/19	J		
2055.					Distributed (part)	04/15/19	J		
2056.					Distributed (part)	05/15/19	J		
2057.					Distributed (part)	06/14/19	J		
2058.					Distributed (part)	07/16/19	J		
2059.					Distributed (part)	08/15/19	J		
2060.					Distributed (part)	09/13/19	J		
2061.					Distributed (part)	10/15/19	J		
2062.					Distributed (part)	11/15/19	J		
2063.					Distributed (part)	12/13/19	J		
2064. BLACKSTONE REIT	G	Dividend	P1	U	Buy	01/29/19	P1		
2065. BLUE LOTUS INVESTMENT FUND (SEE NOTE 1 IN SECT VIII)	B	Distribution	O	U					
2066. BLUEPRINT BALTIMORE OPPORTUNITY ZONE FUND (NOTE 1 SECT VIII)	C	Distribution	P1	U	Buy	06/04/19	P1		
2067. BLUEPRINT TEXAS OPPORTUNITY ZONE FUND (NOTE 1 SECT VIII)	A	Distribution	P1	U	Buy	04/15/19	P1		
2068. CEDAR ROCK CAPITAL PARTNERS (SEE NOTE 1 IN SECT VIII)	G	Distribution	P2	U	Redeemed (part)	05/08/19	P1		
2069. CHEETAH MEDICAL DIRECT		None			Sold	10/25/19	N	G	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2070. GOLD BULLION		None	N	T					
2071. F. E. RICHARDSON & CO (SEE NOTES 1 & 13 IN SECT VIII)		None	L	V	Buy (add'l)	01/04/19	K		
2072.					Buy (add'l)	01/25/19	K		
2073.					Buy (add'l)	02/15/19	K		
2074.					Buy (add'l)	03/15/19	K		
2075.					Buy (add'l)	03/29/19	K		
2076.					Buy (add'l)	04/18/19	K		
2077.					Buy (add'l)	05/08/19	K		
2078.					Buy (add'l)	05/31/19	M		
2079.					Buy (add'l)	06/14/19	K		
2080.					Buy (add'l)	07/03/19	K		
2081.					Buy (add'l)	07/18/19	K		
2082.					Buy (add'l)	08/15/19	K		
2083.					Buy (add'l)	08/29/19	K		
2084.					Buy (add'l)	09/20/19	K		
2085.					Buy (add'l)	10/11/19	K		
2086.					Buy (add'l)	11/15/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
2087.					Buy (add'l)	12/06/19	L		
2088.					Buy (add'l)	12/20/19	K		
2089. ORBIMED (SEE NOTE 1 IN SECT VIII)		None			Distributed	04/23/19	K		
2090. OVERLOOK PARTNERS (SEE NOTE 1 IN SECT VIII)	F	Distribution	P1	U					
2091. OVERLOOK 3G PARTNERS (SEE NOTE 1 IN SECT VIII)	E	Distribution	N	U					
2092. BLACK LYNX (AKA RE SIDECAR 2) (SEE NOTE 1 IN SECT VIII)		None	K	U	Buy	01/18/19	K		
2093. COUNTER TACK, INC (AKA RE 6)(SEE NOTE 1 IN SECT VIII)		None	M	U					
2094. RYFT (AKA RE SIDECAR 2) (SEE NOTE 1 IN SECT VIII)		None	O	U					
2095. WHALE ROCK FLAGSHIP FUND (NOTE 1 IN SECT VIII)		None	P1	U	Buy	04/29/19	P1		
2096. ZOOM DATA DRCT (AKA RE SIDECAR 5) (NOTE 1 IN SECT VIII)		None			Sold	06/10/19	J		LOGI ANALYTICS
2097. ELIZABETH REILLY, PERSONAL LOAN - NOTE RECEIVABLE		None	K	U					
2098. SARA LAJOIE, PERSONAL LOAN - NOTE RECEIVABLE	A	Interest	K	U					
2099. JAMES MCNAMARA, PERSONAL LOAN - NOTE RECEIVABLE		None	J	U	Redeemed (part)	05/31/19	J		
2100. TRUST #1 (LINES 2101-2127) (SEE NOTES 1, 2 & 7 SECT VIII)(H)									
2101. ---CITI TRUST CHECKING ACCOUNT (2010)	A	Interest	J	T	Open	05/20/19	K		
2102. ---GOLDMAN SACHS BANK DEPOSIT/ CASH #4	C	Interest	K	T					
2103. ---ABB-VIE INC. COMMON STOCK	D	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
2104. ---ALIBABA GROUP HOLDING LIMITED COMMON STOCK		None	L	T	Buy	11/27/19	L		
2105. ---AMAZON.COM INC COMMON STOCK		None	N	T					
2106. ---BLACKROCK INC COMMON STOCK	C	Dividend	M	T	Sold (part)	11/27/19	K	E	
2107. ---CHUBB LTD COMMON	B	Dividend	M	T					
2108. ---COMCAST CORPORATION COMMON STOCK		None			Buy	10/08/19	L		
2109.					Sold	11/27/19	L	A	
2110. ---ENTERPRISE PRODUCTS (FROM TRUST #1A-LINE 2135)	C	Distribution	K	T	Buy (add'l)	10/08/19	K		
2111.					Sold (part)	12/10/19	L		
2112. ---FACEBOOK INC COMMON STOCK		None	M	T					
2113. ---HOME DEPOT, INC COMMON STOCK	A	Dividend	M	T	Buy	11/27/19	L		
2114.					Buy (add'l)	12/10/19	L		
2115. ---JOHNSON & JOHNSON COMMON STOCK	C	Dividend	M	T					
2116. ---MAGELLAN MIDSTREAM (FROM TRUST #1A)	A	Distribution			Sold	04/29/19	K	D	
2117. ---MASTERCARD INC COMMON STOCK	B	Dividend	N	T					
2118. ---MICROSOFT CORPORATION COMMON STOCK	A	Dividend	M	T	Buy	05/22/19	L		
2119.					Buy (add'l)	07/19/19	K		
2120.					Buy (add'l)	08/01/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
2121. ---NORTHROP GRUMMAN CORP COMMON STOCK	A	Dividend			Sold (part)	01/30/19	K		
2122.					Sold (part)	04/16/19	K		
2123.					Sold	04/29/19	M		
2124. ---UNITEDHEALTH GROUP INC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	04/11/19	L		
2125.					Sold (part)	05/22/19	L		
2126.					Sold (part)	07/11/19	K	A	
2127.					Sold (part)	10/15/19	L		
2128. TRUST #1A (LINES 2129-2133) (NOTES 1, 2 & 7 SECT VIII) (H)									
2129. ---GOLDMAN SACHS BANK DEPOSITS/ CASH #4B	A	Interest			Closed	02/28/19	J		
2130. ---WILLIAMS COMPANIES (FKA WILLIAMS PARTNERS)		None			Sold	01/30/19	K		
2131. ---ENTERPRISE PRODUCTS PARTNERS LP (MOVED TO TRUST #1 ABOVE)									
2132. ---MAGELLAN MIDSTREAM PARTNERS LP (MOVED TO TRUST #1 ABOVE)									
2133. ---TARGA RESOURCES CORP COMMON	A	Dividend			Sold	01/30/19	K	D	
2134. TRUST #1B (LINES 2135-2206) (NOTES 2 & 5 IN SECT VIII) (H)									
2135. ---CITI TRUST CHECKING ACCOUNT (2012)		None	J	T					
2136. ---FARALLON CAPITAL (SEE NOTES 7 & 9 IN SECT VIII)	B	Interest	N	W	Distributed (part)	02/21/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2137.					Distributed (part)	05/10/19	J		
2138.					Distributed (part)	08/13/19	K		
2139.					Distributed (part)	11/18/19	J		
2140. ---VESTAR III (SEE NOTE 9 IN SECT VIII)	A	Distribution	K	W					
2141. ---VANGUARD FEDERAL MONEY MARKET FUND	C	Dividend			Sold (part)	01/31/19	L		
2142.					Buy (add'l)	03/08/19	J		
2143.					Sold (part)	03/19/19	M		
2144.					Buy (add'l)	03/21/19	J		
2145.					Sold (part)	03/22/19	K		
2146.					Buy (add'l)	03/26/19	J		
2147.					Buy (add'l)	03/29/19	K		
2148.					Buy (add'l)	04/02/19	J		
2149.					Sold (part)	04/18/19	K		
2150.					Sold (part)	04/22/19	L		
2151.					Sold (part)	04/23/19	K		
2152.					Buy (add'l)	04/26/19	L		
2153.					Buy (add'l)	05/01/19	K		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2154.					Sold (part)	06/04/19	M		
2155.					Buy (add'l)	06/14/19	J		
2156.					Sold (part)	06/17/19	K		
2157.					Sold (part)	06/18/19	K		
2158.					Buy (add'l)	06/20/19	J		
2159.					Buy (add'l)	06/26/19	J		
2160.					Buy (add'l)	07/05/19	J		
2161.					Sold	07/10/19	K		
2162. ---PRIME MONEY MARKET FUND	A	Interest			Buy	03/11/19	J		
2163.					Sold	03/20/19	J		
2164.					Buy	06/26/19	J		
2165.					Sold	07/03/19	J		
2166. TD AMERITRADE MONEY MARKET/ CASH	A	Interest	K	T	Open	07/11/19	K		
2167. ---ADOBE INC COMMON STOCK		None	M	T	Buy	03/15/19	M		
2168.					Buy (add'l)	08/05/19	K		
2169. ---ALPHABET INC COMMON STOCK		None	N	T					
2170. ---AMAZON.COM INC COMMON STOCK		None	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
2171. ---BERKSHIRE HATHAWAY INC CL B COMMON STOCK		None	M	T	Sold (part)	07/24/19	K	C	
2172.					Sold (part)	07/30/19	K	C	
2173.					Sold (part)	11/06/19	J	C	
2174. ---CHUBB LTD COMMON STOCK	A	Dividend			Sold (part)	03/27/19	K	C	
2175.					Sold	04/29/19	K	C	
2176. ---CROWDSTRIKE HOLDINGS COMMON STOCK		None	K	T	Buy	06/13/19	K		
2177.					Buy (add'l)	06/14/19	K		
2178.					Buy (add'l)	09/06/19	K		
2179.					Sold (part)	10/18/19	J		
2180.					Buy (add'l)	12/10/19	J		
2181. ---DOMINOS PIZZA INC COMMON STOCK	B	Dividend	M	T	Buy (add'l)	03/20/19	K		
2182.					Sold (part)	04/24/19	L	D	
2183.					Sold (part)	09/06/19	K		
2184. ---DXC TECH CO (SEE NOTE 11 IN SECT VIII)	A	Dividend							
2185. ---HCA HEALTHCARE INC COMMON STOCK	B	Dividend	M	T	Buy (add'l)	04/18/19	K		
2186.					Buy (add'l)	05/31/19	K		
2187.					Buy (add'l)	07/30/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2188.					Buy (add'l)	08/22/19	K		
2189.					Sold (part)	10/11/19	K		
2190. ---HONEYWELL INTL INC COMMON STOCK	C	Dividend	M	T					
2191. ---JOHNSON & JOHNSON COMMON STOCK	B	Dividend	L	T					
2192. ---L3 HARRIS TECHNOLOGIES INC COMMON STOCK	A	Dividend	M	T	Buy	10/01/19	L		
2193.					Buy (add'l)	10/17/19	K		
2194.					Buy (add'l)	12/05/19	K		
2195. ---LOWES COMPANIES INC COMMON STOCK	B	Dividend	M	T	Buy	05/31/19	L		
2196.					Buy (add'l)	07/24/19	K		
2197. ---MASTERCARD INC COMMON STOCK	A	Dividend	L	T	Buy (add'l)	07/24/19	K		
2198. ---MICROSOFT CORP COMMON STOCK	B	Dividend	M	T	Buy	01/29/19	L		
2199.					Buy (add'l)	04/17/19	L		
2200. ---NEXTERA ENERGY INC COMMON STOCK	A	Dividend			Buy	11/07/19	K		
2201.					Sold	12/05/19	K	B	
2202. ---PRIME CAP ODYSSEY AGGRESSIVE GROWTH MUTUAL FUND	E	Dividend	N	T	Sold (part)	08/05/19	K		
2203. ---VANGUARD CONSUMER DISCRETIONARY ETF	B	Dividend	M	T	Buy (add'l)	04/16/19	K		
2204.					Sold (part)	08/05/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2205. ---VANGUARD DIVIDEND APPRECIATION FUND	D	Dividend	N	T					
2206. ---VANGUARD INFORMATION TECHNOLOGY ETF	D	Dividend	N	T	Sold (part)	08/06/19	K	D	
2207. TRUST #2 (LINES 2208-2217) (SEE NOTE 19 IN SECT VIII) (H)									
2208. ---TD AMERITRADE INSURED DEPOSIT/CASH ACCOUNT	A	Interest	J	T					
2209. ---PRIMECAP ODYSSEY GR FD	D	Dividend	M	T	Sold (part)	08/27/19	J	A	
2210. ---INVESCO QQQ TRUST SERVICES FUND	A	Dividend	K	T	Buy	04/16/19	K		
2211.					Buy (add'l)	08/01/19	J		
2212. ---ISHARES CORE S&P MID-CAP ETF	A	Dividend	K	T	Sold (part)	04/23/19	K	C	
2213. ---ISHARES NATL MUNI BND ETF	A	Dividend	K	T	Buy (add'l)	02/11/19	K		
2214.					Sold (part)	03/14/19	K	B	
2215. ---ISHARES RUSSELL MID-CAP GROWTH ETF	A	Dividend	K	T	Buy	04/23/19	K		
2216. ---SPDR DOUBLELINE TOTAL RETURN TACTICAL ETF	B	Dividend	K	T	Buy	03/14/19	K		
2217. ---VANGUARD DIVIDEND APPRECIATION ETF	B	Dividend	L	T					
2218. TRUST #3 (LINES 2219-2249) (SEE NOTE 19 IN SECT VIII) (H)									
2219. ---TD AMERITRADE CASH ACCOUNT	A	Interest	J	T					
2220. ---ADOBE INC COMMON STOCK		None	K	T	Buy	03/15/19	K		
2221.					Buy (add'l)	08/01/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
2222. ---AMAZON.COM INC COMMON STOCK		None	K	T					
2223. ---AMGEN INC COMMON STOCK	A	Dividend	K	T					
2224. ---APPLE INC COMMON STOCK	A	Dividend	K	T					
2225. ---CARILLON EAGLE SM CAP MUTL FUND	A	Dividend	J	T					
2226. ---EOG RESOURCES INC COMMON STOCK	A	Dividend			Sold	08/05/19	J		
2227. ---FIRST TRUST DJ INTERNET COMMON STOCK		None	K	T					
2228. ---ALPHABET INC COMMON STOCK		None	K	T	Sold (part)	07/26/19	J	B	
2229. ---HOME DEPOT INC COMMON STOCK	A	Dividend	K	T					
2230. ---ISHARES S&P MID-CAP ETF	A	Dividend	J	T	Sold (part)	04/23/19	J	B	
2231. ---ISHARES NATL MUNI BND FUND	B	Dividend	L	T	Buy (add'l)	02/28/19	J		
2232.					Buy (add'l)	03/15/19	J		
2233. ---ISHARES US MED DVC ETF	A	Dividend	K	T	Buy (add'l)	04/18/19	J		
2234.					Buy (add'l)	10/08/19	J		
2235. ---ISHARES 0-5 YRS TIPS ETF	A	Dividend	K	T					
2236. ---JP MORGAN CHASE & CO COMMON STOCK	A	Dividend	K	T					
2237. ---L3 HARRIS TECHNOLOGIES INC COMMON STOCK	A	Dividend	K	T	Buy	08/05/19	K		
2238.					Buy (add'l)	10/01/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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2239.					Buy (add'l)	10/17/19	J		
2240.					Buy (add'l)	12/09/19	J		
2241. ---MICROSOFT CORP COMMON STOCK	A	Dividend	K	T					
2242. ---3M COMPANY COMMON STOCK	A	Dividend			Sold (part)	04/12/19	J	B	
2243.					Buy (add'l)	05/21/19	J		
2244.					Sold (part)	07/24/19	J		
2245.					Sold	08/05/19	J		
2246. ---UNITEDHEALTH GROUP INC COMMON STOCK	A	Dividend	K	T	Buy (add'l)	04/11/19	J		
2247.					Sold (part)	10/11/19	J		
2248.					Sold (part)	10/15/19	J	A	
2249. ---VISA INC COMMON STOCK	A	Dividend	K	T					
2250. TRUST #4 (SEE NOTES 2, 5 & 7 IN SECT VIII) (H)									
2251. ---PARK AVENUE EQUITY LP (SEE NOTES 6 & 9 IN SECT VIII)	A	Distribution	J	V					
2252. TRUST #5 (NOTES 2, 5 & 7 IN SECT VIII) (LINES 2253-2280) (H)									
2253. ---ULTRA SHORT TERM BOND ADM	A	Dividend			Sold (part)	04/05/19	K		
2254.					Sold	06/17/19	K		
2255. ---VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend			Sold (part)	02/22/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2256.					Sold (part)	03/06/19	K		
2257.					Buy (add'l)	04/08/19	K		
2258.					Sold (part)	04/09/19	K		
2259.					Sold (part)	04/18/19	K		
2260.					Buy (add'l)	06/18/19	K		
2261.					Sold (part)	07/19/19	K		
2262.					Sold	08/08/19	K		
2263. ---TD AMERITRADE DEPOSIT ACCOUNT/CASH	A	Interest	J	T	Open	08/09/19	K		
2264. ---INVESCO QQQ ETF	A	Dividend	L	T	Buy	02/20/19	K		
2265.					Buy (add'l)	03/04/19	K		
2266.					Buy (add'l)	04/05/19	K		
2267.					Buy (add'l)	04/16/19	K		
2268.					Sold (part)	11/18/19	J	A	
2269.					Sold (part)	12/16/19	J	A	
2270. ---NEXTERA ENERGY INC COMMON STOCK	A	Dividend	K	T					
2271. ---PARK AVENUE EQUITY LP (SEE NOTES 6 & 9 IN SECT VIII)	A	Distribution	J	V					
2272. ---PIMCO ETF TRUST	A	Dividend			Buy	08/28/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2273.					Sold	09/09/19	K		
2274. ---SPDR DOUBELINE TOTAL RETURN TACTICAL ETF	B	Dividend	L	T	Buy	02/20/19	K		
2275.					Buy (add'l)	03/04/19	K		
2276.					Buy (add'l)	04/05/19	K		
2277. ---VANGUARD DIVIDEND APPRECIATION ETF	B	Dividend	L	T	Sold (part)	08/20/19	K	D	
2278.					Sold (part)	09/11/19	J	C	
2279.					Sold (part)	11/18/19	J	C	
2280. --- VANGUARD TOTAL STOCK MARKET ETF	B	Dividend	L	T					
2281. TRUST #6 (NOTES 2, 5 & 7 IN SECT VIII)(LINES 2282-2356) (H)									
2282. ---VANGUARD PRIME MONEY MKT FUND ACCT #3	A	Dividend	L	T	Buy (add'l)	06/28/19	J		
2283.					Buy (add'l)	12/27/19	K		
2284. ---STAR FUND	E	Dividend	O	T					
2285. ---VANGUARD FEDL MONEY MKT FUND ACCT #3	B	Dividend	J	T	Sold (part)	02/22/19	K		
2286.					Sold (part)	03/04/19	K		
2287.					Sold (part)	03/06/19	K		
2288.					Sold (part)	03/19/19	K		
2289.					Sold (part)	04/02/19	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2290.					Sold (part)	04/18/19	L		
2291.					Buy (add'l)	06/20/19	J		
2292.					Sold (part)	08/06/19	J		
2293.					Sold (part)	12/20/19	K		
2294. ---INVESCO QQQ ETF	B	Dividend	M	T	Buy	02/20/19	K		
2295.					Buy (add'l)	02/28/19	K		
2296.					Buy (add'l)	03/04/19	K		
2297.					Buy (add'l)	03/15/19	K		
2298.					Buy (add'l)	03/29/19	K		
2299.					Buy (add'l)	04/16/19	K		
2300.					Buy (add'l)	08/02/19	J		
2301.					Buy (add'l)	12/18/19	J		
2302. ---PIMCO ENHANCED SHORT MATURITY ACTIVE ETF	A	Dividend			Sold	02/28/19	L		
2303. ---SPDR DOUBLELINE TOTAL RETURN TACTICAL ETF	C	Dividend	L	T	Buy	02/28/19	K		
2304.					Buy (add'l)	03/15/19	K		
2305.					Buy (add'l)	03/29/19	K		
2306. ---VANGUARD DIVIDEND APPRECIATION ETF	C	Dividend	M	T	Buy (add'l)	04/16/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Date of Report

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2307.					Buy (add'l)	12/18/19	K		
2308. ---VANGUARD TOTAL STOCK MARKET ETF	C	Dividend	M	T	Buy (add'l)	02/28/19	J		
2309.					Buy (add'l)	03/04/19	J		
2310.					Buy (add'l)	03/29/19	J		
2311.					Buy (add'l)	04/16/19	K		
2312. ---PARK AVENUE EQUITY LP (SEE NOTES 6 & 9 IN SECT VIII)	A	Distribution	J	V					
2313. ---VANGUARD FEDL MONEY MKT FUND ACCT #3A	A	Dividend	J	T	Sold (part)	03/06/19	J		
2314.					Sold (part)	03/07/19	K		
2315.					Buy (add'l)	04/11/19	J		
2316.					Sold (part)	04/15/19	J		
2317.					Sold (part)	04/22/19	K		
2318.					Sold (part)	06/04/19	J		
2319.					Buy (add'l)	07/12/19	K		
2320.					Buy (add'l)	07/15/19	J		
2321.					Sold (part)	07/26/19	J		
2322.					Sold (part)	08/06/19	K		
2323.					Buy (add'l)	08/29/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2324.					Sold (part)	09/12/19	J		
2325.					Buy (add'l)	10/16/19	J		
2326.					Buy (add'l)	10/17/19	J		
2327.					Sold (part)	11/05/19	J		
2328.					Sold (part)	12/02/19	K		
2329.					Buy (add'l)	12/18/19	J		
2330. ---ALIBABA GROUP HOLDING LTD COMMON STOCK		None	K	T	Buy	11/27/19	J		
2331. ---HOME DEPOT INC COMMON STOCK	A	Dividend	K	T	Buy	11/27/19	K		
2332. ---INTUITIVE SURGICAL INC COMMON STOCK		None	J	T	Buy	05/31/19	J		
2333. ---ISHARES US MEDICAL DEVICES ETF	A	Dividend	K	T					
2334. ---LIVE NATION ENTERTAINMENT INC		None	K	T	Buy (add'l)	07/24/19	J		
2335.					Buy (add'l)	11/01/19	J		
2336. ---MASTERCARD INC CL A COMMON STOCK	A	Dividend	L	T					
2337. ---MICROSOFT CORP COMMON STOCK	A	Dividend	K	T	Buy	04/17/19	K		
2338.					Buy (add'l)	08/02/19	J		
2339. ---MONGODB INC COMMON STOCK		None	J	T	Buy	08/02/19	J		
2340.					Buy (add'l)	09/10/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2341.					Sold (part)	10/14/19	J	A	
2342. ---PIMCO ENHANCED SHORT MATURITY ACTIVE ETF	B	Dividend	K	T					
2343. ---PRIME CAP ODYSSEY GROWTH	D	Dividend	M	T	Sold (part)	04/10/19	J	A	
2344.					Sold (part)	07/11/19	K	D	
2345. ---SALESFORCE.COM INC COMMON STOCK		None			Buy	03/05/19	K		
2346.					Buy (add'l)	05/31/19	J		
2347.					Buy (add'l)	08/02/19	J		
2348.					Sold	08/27/19	K	A	
2349. ---TELADOC HEALTH INC COMMON STOCK		None	K	T	Buy	08/27/19	K		
2350. ---UNITEDHEALTH GROUP INC COMMON STOCK	A	Dividend			Buy (add'l)	03/04/19	J		
2351.					Buy (add'l)	04/11/19	J		
2352.					Sold (part)	05/31/19	J		
2353.					Sold (part)	07/11/19	J		
2354.					Sold (part)	08/27/19	J		
2355.					Sold	10/15/19	J	A	
2356. ---VANGUARD DIVIDEND APPRECIATION ETF	B	Dividend	L	T					
2357. TRUST #7 (SEE NOTE 4 IN SECT VIII) (H)									

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
2358. ---CITIBANK CHECKING ACCOUNT		None	J	T					
2359. OCH ZIFF - CLASS ACTION SETTLEMENT (NOTE 23 SECT VIII)	D	Distribution							
2360.									

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

ALL FOOTNOTES RELATE TO SECTION VII

GENERAL NOTE: Based on information obtained from the Financial Disclosure Office, it is the understanding of this Report's preparer that there were no substantive changes to the instructions accompanying the 2019 Financial Disclosure Report. As such, the preparer used the same format as the prior year to produce this report.

NOTE 1: If a 2019 K-1 is issued for this entity, it is a non-traded entity, and there is an investment remaining at year-end, all activity (interest, dividends, capital gains, ordinary income, etc.) was netted together, and, if that net figure was larger than the required income threshold, it was included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then Column B.(1) was left blank and "None" was included in Column B.(2). If the entity (non traded) received distributions during the year, those amounts are included as transactions in Column D. regardless of K-1 amounts included in Column B.

If the interest was either sold or fully withdrawn from during the reporting year, the capital gain amount is included in Column D along with other transaction details. The remaining K-1 figures were netted together, and if larger than the required income threshold, included in Column B.(1) with Column B.(2) noting "Distribution."

Both of the above approaches were obtained from Mr. George Reynolds, former Financial Disclosure Report Examiner.

If a 2019 K-1 is issued for this investment, and it is traded, all K-1 information is summed and if it meets the required income threshold, reported in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 netted to a loss, then "NONE" is included in Column B.(2). If the traded partnership made distributions throughout the year, the sum total of all the distributions was included in the amount reported in Column B.(1).

NOTE 2: Reporting person's [REDACTED] is either the Trustee or the Investment Trustee of this Trust and the Trust was formed by the reporting person and/or her [REDACTED]. Therefore, its assets are deemed reportable.

NOTE 3: For the contracts that were opened (sold short), any related gains that occur will be included on the FDR when the options either expire or require action. When closing a contract requires the purchase of shares, the transaction may produce a gain if the amount received when the option was sold is more than the amount required to purchase the shares at the closing of the contract. There is no year end value reported because the contracts had no value at the end of 2019. Please note that if a contract is opened and closed in the same year, the two transactions are included on successive lines and refer to the same contract.

NOTE 4: The trust holds two term life insurance policies and a non-interest bearing checking account. The term life policies are not reportable because they are not investment assets and they have no value. Sue Issa, Financial Disclosure Report Examiner, confirmed that the term life insurance policies are not reportable. The trust and the checking account are included on this report as Trust #7.

NOTE 5: There are many investments in non-public companies. The estimated market values used for all such investments, unless otherwise noted, are the amounts shown either on the 12/31/2019 valuation from the fund or on the family's books as of 12/31/2019. The reporting family's book amounts are based upon the current knowledge of the worth of such companies, available company issued reports and the cost of the initial investment, less distributions plus additional investments, if no updated value is available.

NOTE 6: Either the Ending Capital Account value from the entity's 2019 K-1, or an estimate of the same, was used to determine the year-end value code for Column C.(1).

NOTE 7: For those entities which issued K-1s, if the K-1 netted to a loss but there was another source of income from the entity, the source of the other income and the related income are included. If there was K-1 income and an additional source of income, both amounts were summed to determine the code for Columns B.(1) and "Distribution" is noted in Column B.(2).

NOTE 8: Neither the income nor the cash balance at year end met the threshold for reporting. However, since the cash account is associated with either a reportable investment or financial institution that is listed separately on this report, the account is deemed reportable.

NOTE 9: There is a limited partnership interest in this entity. The Financial Disclosure Report instructions no longer offer specific guidance on this type of investment. Per my discussion with an examiner in the Financial Disclosure Office on March 22, 2019, this partnership should be presented the same way as it has been in the past. Since neither the filer nor her spouse can direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity, the assets held by the partnership are not reportable (in accordance with previous Financial Disclosure Instructions).

If the partnership had a capital call for an investment in a specific company, either "Buy" or "Buy (add'l)" is noted. The name of the underlying company is not listed. Further, if the partnership distributed funds for any reason (sale of underlying asset, return of capital, current income, etc), "Distributed (part)" is listed in Column D.(1).

The entity's K-1 is considered the source document for all income from this investment (including capital gains/losses). All K-1 activity was netted together and if greater than the required income threshold, included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then Column B.(1) was left blank and "None" was included in Column B.(2).

NOTE 10: There are several Sentinel Partnerships including Sentinel IV, V and VI. The Financial Disclosure Report instructions no longer offer specific guidance on this type of investment. Per my discussion with a Financial Disclosure Examiner on March 22, 2019, these Partnerships should be presented the same way as they have been in the past. For previous reports, portfolio companies were listed separately because the filer's spouse could potentially direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity (in accordance with previous Financial Disclosure Instructions).

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

There are both limited partner and general partner interests. For this report, the K-1 information for both interests is combined and included on one line. This approach matches the way the Funds' portfolio companies are included on this report.

Each year, there are K-1s issued for these partnerships. The K-1s summarize all of the ordinary income (loss), portfolio income, capital gains/losses, etc., for all of the underlying companies. To avoid double counting, if an underlying company was sold, the capital gain/loss is included on the line where the actual company is listed and is excluded from the K-1 income reported in Column B.(1) for each of the partnerships.

The remaining K-1 items were netted together. If the net amount was larger than the required income threshold, that amount was included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then "None" is included in Column B.(2). As a result, since all K-1 activity is accounted for at the partnership level, the underlying companies which are listed separately do not show any income in Column B.(1) (unless there is an item that is not included on the K-1).

Generally, there are no year-end market values listed for the Partnerships because the portfolio companies are listed separately. If a market value code is shown, it is most likely due to an unclassified investment piece.

NOTE 11: Either this investment was sold or the private equity fund LP was dissolved in a prior year. So, although the reporting family received distributions (e.g. escrow, dividends, etc) and/or a K-1, there is no year-end value to report. If the entity was issued a K-1, any income was summed and included in Column B.(1) with Column B.(2) noting "Distribution."

NOTE 12: Sentinel Capital purchased two portfolio companies using cash it had on hand. As of 12/31/19, it had not yet asked Limited Partners to fund the investment via capital call. As such, there is a corresponding liability listed in Section VI.

NOTE 13: The filer's [REDACTED] is the sole shareholder of this S Corporation. The company's assets are limited to office furniture, office equipment, a checking account and a money market account. The value used to determine the year-end valuation code was the checking/money market account balances, A/R and the office furniture and equipment balance (less accumulated depreciation).

NOTE 14: For the money market funds, if the investment bank could not produce a report showing mmf activity, preparer reviewed all 2019 cash activity for the investment account because all activity is funded by the associated money market fund. For amounts over the reporting threshold, preparer assumed the amount was swept from/into the money market fund and included the information on this report.

NOTE 15: This investment is made through one of the Sentinel Partnerships. Per my discussion with a Financial Disclosure Examiner on March 22, 2019, the aforementioned Partnerships' holdings should be listed individually on this report as they have been in the past. Therefore, this portfolio company is deemed reportable. See Note 10 for further information.

All transactions (investments, sales and related gain/(loss), etc.) are reported for the company. If a company paid a dividend/distribution, it is included in Column B. and noted as "Distribution." Any K-1 income (excluding gain/(loss) on sales) attributable to the company, however, is included in the partnership's line. If income was received separate from the K-1, it is recorded on the portfolio company's line in Column B. If the reporting person carries no year end value for a portfolio company, there is no year end value included in Column C of this report. But, the company is still noted on this report because it is a portfolio company of a reportable limited partnership. See Note 10 for more information.

For purposes of this report, deemed contributions/distributions that occurred in 2018, are dated as of the end of the quarter in which they were deemed to have occurred.

NOTE 16: Gains/Losses on Foundation activity are included on a tax basis.

NOTE 17: DowDupont was split into three companies: Dow, Dupont and Corteva. All three companies are noted on this report as spin-offs. As such, there is no remaining value for DowDupont to be reported in Column C.1. at 12/31/2019.

NOTE 18: The reporting person's [REDACTED] is expecting a 2019 K-1 from this entity. The K-1 is for a carried interest allocation due to a relationship with the original Vestar funds not because the reporting family made an investment in the entity. All the income lines were summed and included on this report in Column B and noted as "Distribution." Since there is no investment in this partnership, there is no year-end value to report.

NOTE 19: The reporting person's [REDACTED] has a beneficial interest in this trust. Therefore, its assets are deemed reportable.

NOTE 20: There are no codes in Columns B and C because all assets are listed separately on this report.

NOTE 21: If there is no year-end value it is because this asset was completely sold on various dates in 2019. The final piece was sold in a transaction that did not meet the \$1,000 reporting requirement. If there is a year-end value and the description has an (x) next to it with no transactions noted, it is because the year-end position was amassed through more than one non-reportable transaction.

NOTE 22: This footnote was only needed for the original filing. It is not necessary for the amended report because all K-1s have now been received and compared to original estimates.

NOTE 23: Filer's [REDACTED], filer and the family's Foundation received class action litigation settlement checks related to Och Ziff. For purposes of this report, preparer summed all of the checks and reported the total as Distribution Income. Any Och Ziff investments were sold prior to 2019.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Kimba M. Wood**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

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