

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) MOODY, JR., JAMES S.	2. Court or Organization U.S. DISTRICT COURT MIDDLE DISTRICT FL	3. Date of Report 08/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT COURT JUDGE (SENIOR STATUS)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. DISTRICT COURT 801 N. FLORIDA AVE TAMPA, FL 33602		
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.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust #1
2.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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.	
2.	
3.	
4.	

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.				

Name of Person Reporting	Date of Report
MOODY, JR., JAMES S.	08/10/2020

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.	Merrill Lynch	Margin Loan	M
2.	Moody Investments, LP	Loan	K
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)

1. Individual Assets (H)									
2. Suntrust (cash)	A	Interest	J	T					
3. Merrill Lynch Bank Deposit Program (cash) (Y)									
4. Trust Account #1 (H)									
5. ML Bank Deposit Program (cash)	A	Interest	L	T					
6. Akoustis Technologies (AKTS)		None	K	T					
7. Ambarella Inc (AMBA)		None	L	T					
8. Aphria Inc SHS (APHQF)		None	J	T					
9. Ardelyx Inc SH A (ARDX)		None	K	T					
10. Arista Networks Inc (ANET)		None	L	T	Buy (add'l)	07/25/19	L		
11.					Buy (add'l)	09/09/19	K		
12. Aurora Cannabis Inc (ACBFF)		None			Sold (part)	01/16/19	K		
13.					Sold	01/17/19	J	D	
14. Calyxt Inc Reg SHS (CLXT)		None	J	T					
15. Canopy Growth Corp (TWMJF)		None	L	T					
16. Carbon Black Inc Reg Shs (CBLK)		None			Buy	02/28/19	J		
17.					Buy (add'l)	07/25/19	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 5 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
18.					Buy (add'l)	08/21/19	L		
19.					Sold	09/23/19	L	D	
20. Cloudera Inc (CLDR)		None	L	T	Buy	01/04/19	K		
21. Corning Inc (GLW)	A	Dividend	J	T	Buy	07/31/19	K		
22. Crispr Therapeutics AG (CRSP)		None	K	T	Buy (add'l)	03/20/19	K		
23.					Buy (add'l)	07/25/19	L		
24.					Buy (add'l)	11/21/19	K		
25.					Buy (add'l)	12/26/19	K		
26. Docusign Inc (DOCU)		None	L	T	Buy	07/25/19	K		
27.					Buy (add'l)	12/26/19	L		
28. Editas Medicine Inc SHS (EDIT)		None	L	T	Buy (add'l)	01/18/19	J		
29.					Buy (add'l)	01/28/19	K		
30.					Buy (add'l)	12/26/19	L		
31. Eventbrite Inc Reg Shs Cl A (EB)		None	L	T	Buy	04/22/19	K		
32.					Buy (add'l)	05/21/19	K		
33. Everspin Technologies (MRAM)		None	J	T	Buy	02/22/19	K		
34. Fireeye Inc (FEYE)		None	K	T	Buy (add'l)	11/21/19	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 6 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
35. Forescout Technologies (FSCT)		None	K	T	Buy	01/25/19	K		
36.					Buy (add'l)	03/20/19	K		
37. Gossamer Bro Inc (GOSS)		None	K	T	Buy	11/21/19	K		
38.					Buy (add'l)	12/19/19	J		
39. Hortonworks Inc SHS (HDP)		None			Sold	01/04/19	K		
40. II-VI Inc (IIVI)		None	M	T	Buy (add'l)	02/22/19	K		
41.					Buy (add'l)	03/20/19	K		
42.					Buy (add'l)	11/21/19	J		
43.					Buy (add'l)	12/19/19	K		
44. Intellia Therapeutics (NTLA)		None	K	T	Buy	01/18/19	J		
45.					Buy (add'l)	03/20/19	K		
46.					Buy (add'l)	11/21/19	K		
47.					Buy (add'l)	12/26/19	K		
48. Invitae Corp (NVT A)		None	K	T	Buy	12/17/19	K		
49. Kaleido Biosciences Inc (KLDO)		None	J	T	Buy	11/22/19	J		
50. Lumentum Holdings Inc (LITE)		None	M	T	Buy (add'l)	05/16/19	K		
51.					Buy (add'l)	05/17/19	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

Page 7 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
52.					Buy (add'l)	11/21/19	M		
53.					Buy (add'l)	12/26/19	M		
54. Macom Technology (MTSI)		None	L	T	Buy (add'l)	02/22/19	K		
55.					Buy (add'l)	08/21/19	K		
56.					Buy (add'l)	11/21/19	L		
57.					Buy (add'l)	12/26/19	L		
58. New Gold Inc CDA (NGD)		None	J	T					
59. New Relic Inc (NEWR)		None	M	T	Buy (add'l)	01/25/19	L		
60.					Buy (add'l)	10/01/19	K		
61. Nokia Corp Spon Adr (NOK)		None			Buy	10/10/19	K		
62.					Sold	11/21/19	J		
63. Nuance Communications (NUAN)		None			Sold	11/18/19	K		
64. OKTA Inc Reg SHS (OKTA)		None	M	T	Buy (add'l)	06/24/19	M		
65. Overstock.com Inc (OSTK)		None			Sold	07/31/19	K		
66. Regeneron Pharmactcls (REGN)		None	M	T	Buy	12/06/19	M		
67. Regions Finl Corp (RF)	B	Dividend	L	T					
68. Shopify Inc (SHOP)		None			Sold	01/22/19	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	
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 8 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
69. Skyworks Solutions Inc (SWKS)	A	Dividend			Buy	07/11/19	K		
70.					Buy (add'l)	07/25/19	L		
71.					Buy (add'l)	08/09/19	K		
72.					Buy (add'l)	10/10/19	K		
73.					Sold	11/18/19	M	D	
74. Snap Inc CL A (SNAP)		None			Sold	09/23/19	K	A	
75. Splunk Inc (SPLK)		None	M	T	Buy	10/10/19	M		
76. Square Inc (SQ)		None	L	T					
77. Suntrust Bks Inc (STI)	A	Dividend			Sold	12/09/19	J		
78. Torex Gold Resources Inc (TORXF)		None	K	T					
79. Truist Finl Corp		None	J	T	Buy	12/09/19	J		
80. Twilio Inc Cl A (TWLO)		None			Buy	01/18/19	L		
81.					Sold	02/19/19	M	D	
82. Valero Energy Corp (VLO)		None			Sold	01/22/19	L	D	
83. Wells Fargo & Co (WFC)	B	Dividend	L	T					
84. Western Alliance (WAL)	A	Dividend			Sold	11/14/19	L		
85. Wix Com Ltd (WIX)		None			Sold	02/19/19	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)
86. Wynn Resorts Ltd (WYNN)		None			Sold	01/22/19	L		
87. Yext Inc (YEXT)		None	K	T	Buy	12/19/19	K		
88. Zendesk Inc SHS (ZEN)		None	L	T	Buy (add'l)	01/25/19	L		
89.					Buy (add'l)	07/11/19	K		
90. Zuora Inc Cl A (ZUO)		None	K	T	Buy	12/17/19	K		
91. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
92. Royal Gold Inc (RGLD) (Y)									
93. Trust Account #2 (H)									
94. ML Bank Deposit Program (cash) (X)	A	Interest	K	T					
95. Alector Inc (ALEC)		None	K	T	Buy	12/02/19	K		
96. Annaly Cap Mgmnt (NLY)	C	Dividend	K	T					
97. Aphria Inc SHS (APHQF)		None	J	T					
98. Ares Capital Corp (ARCC)	B	Dividend	K	T					
99. Aurora Cannibas Inc (ACB)		None	J	T					
100. Bank of America Corp (BAC)	D	Dividend	O	T					
101. BP PLC (BP)	B	Dividend	K	T					
102. Calyxt Inc Reg Shs (CLXT)		None	J	T	Buy	08/07/19	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

Page 10 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
103. Canopy Growth Corp (CGC)		None	J	T					
104. Hookipa Pharma Inc (HOOK)		None	J	T	Buy	12/30/19	J		
105. Spero Therapeutics Inc (SPRO)		None	K	T					
106. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
107. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
108. Brokerage Account #1 (H)									
109. ML Bank Deposit Program (cash)	A	Interest	K	T					
110. BP PLC (BP)	A	Dividend	J	T					
111. Valero Energy Corp (VLO)	A	Dividend	K	T					
112. Wells Fargo & Co (WFC)	A	Dividend	J	T					
113. Brokerage Account #2 (H)									
114. ML Bank Deposit Program (cash)	A	Interest	K	T					
115. BP PLC (BP)	A	Dividend	J	T					
116. Valero Energy Corp (VLO)	A	Dividend	K	T					
117. Wells Fargo & Co (WFC)	A	Dividend	J	T					
118. Brokerage Account #3 (H)									
119. ML Bank Deposit Program (cash) (Y)									

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 11 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)

120. Proctor & Gamble (PG)	A	Dividend	K	T					
121. Starbucks Corp (SBUX)	A	Dividend	K	T					
122. Travelers Cos Inc (TRV)	A	Dividend	K	T					
123. Valero Energy Corp (VLO)	A	Dividend	J	T					
124. Calamos Strar Tot Return (CSQ)	A	Dividend	J	T					
125. Brokerage Account #4 (H)									
126. ML Bank Deposit Program (cash)	A	Interest	M	T					
127. Akoustis Technologies (AKTS)		None	K	T	Buy (add'l)	12/19/19	J		
128. Allegiant Travel Co (ALGT)		None			Sold	01/22/19	K		
129. Alio Gold Inc Reg Shs (ALO)		None			Sold	10/24/19	J		
130. Alphabet Inc Shs Cl C (GOOG)		None			Buy (add'l)	04/24/19	M		
131.					Buy (add'l)	10/01/19	J		
132.					Buy (add'l)	10/02/19	M		
133.					Sold	11/18/19	N		
134. Amazon Com Inc Com (AMZN)		None			Buy	11/12/19	K		
135.					Sold	11/13/19	K		
136. Ambarella Inc (AMBA)		None	M	T					

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

Page 12 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
137. Aphria Inc Shs (APHA)		None	J	T					
138. Ardelyx Inc Shs (ARDX)		None	K	T					
139. Ares Capital Corp (ARCC)	D	Dividend	L	T					
140. Arista Networks Inc (ANET)		None	M	T	Buy (add'l)	09/05/19	K		
141. Astellas Pharma Inc Shs (ALPMY)	B	Dividend	L	T					
142. Aurora Cannabis Inc (ACB)		None	J	T	Buy (add'l)	01/25/19	K		
143.					Buy (add'l)	02/21/19	K		
144.					Buy (add'l)	03/20/19	K		
145. Axos Finl Inc (AX)		None	K	T					
146. Belo Sun Mining Corp (VNNHF)		None	J	T					
147. Canopy Growth Corp (CGC)		None	K	T					
148. Carbon Black Inc Reg Shs (CBLK)		None			Buy	02/28/19	J		
149.					Buy (add'l)	03/20/19	J		
150.					Buy (add'l)	04/26/19	J		
151.					Buy (add'l)	05/23/19	L		
152.					Buy (add'l)	08/21/19	L		
153.					Buy (add'l)	08/28/19	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
154.					Sold (part)	09/23/19	L	D	
155.					Sold	10/08/19	J	A	
156. Cerence Inc Reg Shs (CRNC) (X)		None	J	T					
157. Cirrus Logic Inc Del (CRUS)		None			Buy (add'l)	01/25/19	K		
158.					Buy (add'l)	02/22/19	K		
159.					Buy (add'l)	03/20/19	K		
160.					Sold	08/19/19	K		
161. Cloudera Inc (CLDR)		None	L	T	Buy	01/04/19	K		
162.					Buy (add'l)	06/13/19	K		
163. CME Group Inc (CME)	B	Dividend			Sold	06/07/19	L		
164. Corning Inc (GLW)	A	Dividend	K	T	Buy	07/31/19	K		
165. Crispr Therapeutics AG (CRSP)		None	M	T	Buy (add'l)	01/25/19	L		
166.					Buy (add'l)	03/20/19	L		
167.					Buy (add'l)	04/26/19	K		
168.					Buy (add'l)	05/23/19	K		
169.					Buy (add'l)	06/26/19	L		
170.					Buy (add'l)	07/24/19	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

Page 14 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
171.					Buy (add'l)	11/21/19	M		
172.					Buy (add'l)	12/26/19	M		
173. Cyber-Ark Software LTD (CYBR)		None			Sold	02/19/19	L	D	
174. DocuSign Inc (DOCU)		None	L	T	Buy	06/11/19	K		
175.					Buy (add'l)	12/26/19	L		
176. Editas Medicine Inc Shs (EDIT)		None	M	T	Buy (add'l)	01/28/19	K		
177.					Buy (add'l)	04/26/19	K		
178.					Buy (add'l)	12/26/19	L		
179. Eldorado Gold Corp (EGO)		None	K	T	Buy (add'l)	08/21/19	K		
180. Endo Intl PLC Shs (ENDP)		None	K	T	Buy (add'l)	02/21/19	L		
181. Energen Corp Shs (WATT)		None	J	T					
182. Equity Commonwealth (EQC)	D	Dividend	L	T					
183. Eventbrite Inc Reg shs (Eb)		None	L	T	Buy	04/24/19	K		
184.					Buy (add'l)	05/23/19	K		
185. Everspin Technologies (MRAM)		None	K	T	Buy	02/22/19	K		
186.					Buy (add'l)	03/20/19	J		
187.					Buy (add'l)	04/26/19	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 =\$250,000,001 - \$500,000,000	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)
188.					Buy (add'l)	12/19/19	J		
189. Fairfax Finl Hldgs LTD (FRFHF)	A	Dividend			Sold	04/10/19	K		
190. Fireeye Inc (FEYE)		None	K	T	Buy (add'l)	11/21/19	K		
191. Forescout Technologies (FSCT)		None	K	T	Buy	01/25/19	K		
192.					Buy (add'l)	02/26/19	K		
193.					Buy (add'l)	03/20/19	K		
194.					Buy (add'l)	05/23/19	K		
195. Gilead Sciences Inc Com (GILD)	C	Dividend	L	T					
196. Gossamer Bio Inc (GOSS)		None	K	T	Buy	08/23/19	K		
197.					Buy (add'l)	10/01/19	K		
198.					Buy (add'l)	11/21/19	K		
199.					Buy (add'l)	12/19/19	J		
200. Hortonworks Inc Shs (HDP)		None			Sold	01/04/19	K		
201. II-VI Inc (IIVI)		None	M	T	Buy (add'l)	02/22/19	K		
202.					Buy (add'l)	03/20/19	K		
203.					Buy (add'l)	04/12/19	K		
204.					Buy (add'l)	05/23/19	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)
205.					Buy (add'l)	11/21/19	J		
206. Illumina Inc Com (ILMN)		None			Buy (add'l)	03/20/19	K		
207.					Sold	06/24/19	M	A	
208. Infinera Corp (INFN)		None			Buy	06/11/19	J		
209.					Buy (add'l)	06/26/19	K		
210.					Buy (add'l)	08/21/19	K		
211.					Buy (add'l)	10/01/19	K		
212.					Buy (add'l)	11/21/19	K		
213.					Sold	12/23/19	K	C	
214. Intellia Therapeutics (NTLA)		None	L	T	Buy (add'l)	02/22/19	J		
215.					Buy (add'l)	04/26/19	K		
216.					Buy (add'l)	12/26/19	L		
217. Invitae Corp (NVT A)		None	K	T	Buy	12/19/19	K		
218. Kaleido Biosciences Inc (KLDO)		None	J	T	Buy	11/22/19	J		
219. Kinder Morgan Inc Del (KMI)	C	Dividend	L	T					
220. Lumentum Holdings Inc (LITE)		None	M	T	Buy (add'l)	11/21/19	M		
221.					Buy (add'l)	12/26/19	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

FINANCIAL DISCLOSURE REPORT

Page 17 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
222. Macom Technology (MTSI)		None	L	T	Buy	04/26/19	K		
223.					Buy (add'l)	08/21/19	K		
224.					Buy (add'l)	11/21/19	L		
225.					Buy (add'l)	12/26/19	L		
226. Marriott Intl Inc New A (MAR)	A	Dividend			Sold	11/18/19	L		
227. Microvision Inc (MVIS)		None	J	T					
228. New Gold Inc CDA (NGD)		None	J	T					
229. New Relic Inc (NEWR)		None	L	T	Buy	12/19/19	L		
230. Nuance Communications Inc (NUAN)		None	L	T	Buy (add'l)	12/26/19	L		
231. Nutanix Inc (NTNX)		None	L	T					
232. Okta Inc Reg Shs Cl A (OKTA)		None	M	T	Buy (add'l)	04/24/19	L		
233.					Buy (add'l)	06/26/19	M		
234.					Buy (add'l)	08/21/19	L		
235. Overstock.Com Inc (OSTK)		None	J	T					
236. Pagerduty Inc Reg Shs (PD)		None	K	T	Buy	12/19/19	K		
237. Paypal Holdings Inc Shs (PYPL)		None			Sold	01/22/19	L		
238. Quantenna Communications (QTNA)		None			Sold	02/19/19	K	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

Page 18 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
239. Regeneron Pharmactcls (REGN)		None	M	T	Buy	12/06/19	M		
240. Royal Gold Inc Com (RGLD)	A	Dividend			Sold	08/19/19	M	D	
241. Sabina Silver Corp Shs (SGSVF)		None			Sold	11/15/19	K	A	
242. Shopify Inc Cl A (SHOP)		None			Sold	01/22/19	M		
243. Skyworks Solutions Inc (SWKS)	B	Dividend			Buy	05/23/19	L		
244.					Buy (add'l)	07/24/19	M		
245.					Buy (add'l)	08/09/19	K		
246.					Sold	11/18/19	M	D	
247. Snap Inc Cl A (SNAP)		None	K	T	Buy (add'l)	10/01/19	K		
248. Splunk Inc (SPLK)		None	M	T	Buy	10/10/19	M		
249. Starbucks Corp (SBUX)	A	Dividend			Sold (part)	02/06/19	K	A	
250.					Sold	02/19/19	M	D	
251. Synthorx Inc Reg Shs (THOR)		None			Buy	11/13/19	K		
252.					Sold (part)	12/10/19	J	A	
253.					Sold	12/23/19	J	B	
254. Talend SA (TLND)		None	K	T					
255. TCR2 Therapeutics Inc (TCRR)		None	J	T	Buy	11/22/19	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 19 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
256. Torex Gold Resources Inc (TORFX)		None	K	T					
257. Vmware Inc (VMW)		None	M	T	Buy	10/01/19	L		
258.					Buy (add'l)	11/21/19	M		
259. Wells Fargo & Co New Del (WFC)	C	Dividend	M	T	Buy (add'l)	06/26/19	K		
260.					Buy (add'l)	10/01/19	L		
261. Wix Com LTD (WIX)		None	M	T	Buy (add'l)	04/24/19	M		
262.					Buy (add'l)	06/26/19	L		
263.					Buy (add'l)	10/01/19	L		
264. Wynn Resorts LTD (WYNN)	D	Dividend	N	T	Buy (add'l)	02/21/19	L		
265.					Buy (add'l)	05/23/19	L		
266. Yext Inc (YEXT)		None	K	T	Buy	12/19/19	K		
267. Zuora Inc Cl A (ZUO)		None	K	T	Buy	12/19/19	K		
268. Vaneck Vectors Gold (GDX)	A	Dividend	M	T					
269. Zendesk Inc Shs (ZEN)		None			Buy	04/26/19	K		
270.					Buy (add'l)	06/26/19	L		
271.					Sold	10/29/19	L		
272. Brokerage Account #5 (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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
273. ML Bank Deposit Program (cash)	A	Interest	J	T					
274. Air Lease Corp Cl A (AL)	A	Dividend	K	T					
275. Alector Inc (ALEC)		None	K	T	Buy	08/23/19	K		
276.					Buy (add'l)	12/02/19	K		
277. Calyxt Inc Reg Shs (CLXT)		None	J	T	Buy	08/09/19	J		
278. CIE Financiere Richemont (CFRUY)	B	Dividend	K	T					
279. Fairfax Finl Hldgs LTD (FRFHF)	D	Dividend	N	T					
280. Harpoon Therapeutics Inc (HARP)		None	J	T	Buy	08/23/19	J		
281. Hookipa Pharma Inc (HOOK)		None	J	T	Buy	12/30/19	J		
282. iPath Bloomberg Copper (JJCTF)		None			Sold	06/11/19	K		
283. Precision Biosciences Inc (DTIL)		None	K	T	Buy	09/26/19	K		
284. Spero Therapeutics Inc (SPRO)		None	K	T	Buy (add'l)	04/24/19	K		
285. Vivendi Shs Unsp ADR (VIVHY)	C	Dividend	M	T					
286. Calamos Stra Tot Return (CSQ)	B	Dividend	K	T					
287. Custodial Account #1 (H)									
288. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
289. BP PLC (BP)	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 21 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)

290. Canopy Growth Corp (CGC)		None	J	T					
291. II-VI Inc (IM)		None	J	T	Buy	12/17/19	J		
292. Royal Gold Inc (RGLD)	A	Dividend			Sold	12/16/19	J	B	
293. Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	12/17/19	J		
294. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
295. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
296. Custodial Account #2 (H)									
297. Anheuser Busch (BUD)	A	Dividend	J	T					
298. BP PLC (BP)	A	Dividend	J	T					
299. Canopy Growth Corp (CGC)		None	J	T					
300. II-VI Inc (IM)		None	J	T	Buy	12/17/19	J		
301. Royal Gold Inc (RGLD)	A	Dividend			Sold	12/16/19	J	B	
302. Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	12/17/19	J		
303. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
304. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
305. Custodial Account #3 (H)									
306. Anheuser Busch (BUD)	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 22 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
307. BP PLC (BP)	A	Dividend	J	T					
308. Canopy Growth Corp (CGC)		None	J	T					
309. II-VI Inc (IM)		None	J	T	Buy	12/17/19	J		
310. Royal Gold Inc (RGLD)	A	Dividend			Sold	12/16/19	J	B	
311. Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	12/17/19	J		
312. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
313. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
314. Custodial Account #4 (H)									
315. Anheuser Busch (BUD)	A	Dividend	J	T					
316. BP PLC (BP)	A	Dividend	J	T					
317. Canopy Growth Corp (CGC)		None	J	T					
318. II-VI Inc (IM)		None	J	T	Buy	12/17/19	J		
319. Royal Gold Inc (RGLD)	A	Dividend			Sold	12/16/19	J	B	
320. Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	12/17/19	J		
321. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
322. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
323. Custodial Account #5 (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	

FINANCIAL DISCLOSURE REPORT

Page 23 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
324. Anheuser Busch (BUD)	A	Dividend	J	T					
325. BP PLC (BP)	A	Dividend	J	T					
326. Canopy Growth Corp (CGC)		None	J	T					
327. II-VI Inc (IM)		None	J	T	Buy	12/17/19	J		
328. Royal Gold Inc (RGLD)	A	Dividend			Sold	12/16/19	J	B	
329. Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	12/17/19	J		
330. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
331. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
332. Custodial Account #6 (H)									
333. Anheuser Busch (BUD)	A	Dividend	J	T					
334. BP PLC (BP)	A	Dividend	J	T					
335. Canopy Growth Corp (CGC)		None	J	T					
336. II-VI Inc (IM)		None	J	T	Buy	12/17/19	J		
337. Royal Gold Inc (RGLD)	A	Dividend			Sold	12/16/19	J	B	
338. Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	12/17/19	J		
339. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
340. Calamos Strat Tot Return (CSQ)	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)

341. Custodial Account #7 (H)									
342. Anheuser Busch (BUD)	A	Dividend	J	T					
343. BP PLC (BP)	A	Dividend	J	T					
344. Canopy Growth Corp (CGC)		None	J	T					
345. II-VI Inc (IIVI)		None	J	T	Buy	12/17/19	J		
346. Starbucks Corp (SBUX)		None	J	T	Buy	12/17/19	J		
347. Valero Energy Corp (VLO)	A	Dividend	J	T					
348. OTHER HOLDINGS (H)									
349. Moody Investments Family Limited Paartnership	E	Int./Div.	P1	T					
350. First Tampa Alexander		None	M	W					
351. Missouri Midway	D	Interest	L	W					
352. REAL PROPERTY (H)									
353. Investment Property #1, Valrico, FL		None	M	W					
354. Investment Property #2, Longboat Key, FL	D	Rent	N	W					
355. Investment Property #3, Hillsborough Co., FL	D	Rent	N	W					
356. Investment Property #4, Celo, NC		None	O	W					
357. Investment Property #5, Highlands, NC		None	M	W					

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 25 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
358. Investment Property #7, Highlands, NC		None	O	W					
359. Investment Property #8, Plant City, FL	C	Rent	O	W					
360. Investment Property #10, Tampa, FL	D	Rent	M	W					
361. Investment Property #11, Tampa FL	D	Rent	M	W					
362. Investment Property #12, Tampa FL	D	Rent	M	W					
363. Investment Property #13, Tampa FL	E	Rent	N	W					
364. Investment Property #14, Tampa FL		None			Sold	01/15/19	N		Joseph DeLinks
365. Investment Property #15, Tampa FL	D	Rent	M	W					
366. Investment Property #16, Tampa FL	D	Rent	N	W					
367. Investment Property #17, St. Petersburg, FL	E	Rent	N	W					
368. Investment Property #18, St. Petersburg, FL	E	Rent	N	W					
369. Investment Property #19, Gainesville, FL		None	N	W					
370. Gulf to Bay Partners, LLC (real estate, Clearwater, FL)		None	M	W					
371. Options #1 (H)									
372. CALL VMW		None	J	T	Sold	09/30/19	J		
373.					Sold	11/20/19	K		
374. CALL SNAP		None	J	T	Sold	07/23/19	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)
375.					Sold	10/22/19	J		
376.					Sold	11/20/19	J		
377. CALL SPLK		None	K	T	Sold	10/09/19	J		
378.					Sold	11/20/19	J		
379. CALL NVTA		None	J	T	Sold	12/18/19	J		
380. CALL AMBA		None	J	T	Sold	01/03/19	J		
381.					Sold	02/21/19	J		
382.					Sold	03/19/19	J		
383.					Sold	07/23/19	J		
384.					Sold	11/15/19	J		
385.					Sold	12/24/19	J		
386. CALL DOCU		None	J	T	Sold	07/23/19	J		
387.					Sold	12/24/19	J		
388. CALL NUAN		None	J	T	Sold	05/22/19	J		
389.					Sold	06/26/19	J		
390.					Sold	12/24/19	J		
391. CALL TLND		None	J	T	Sold	03/19/19	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

FINANCIAL DISCLOSURE REPORT

Page 27 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
392.					Sold	06/25/19	J		
393.					Sold	11/20/19	J		
394. CALL MTSI		None	J	T	Sold	04/25/19	J		
395.					Sold	06/25/19	J		
396.					Sold	09/30/19	J		
397.					Sold	11/20/19	J		
398. CALL WYNN		None	J	T	Sold	02/20/19	J		
399.					Sold	03/20/19	J		
400.					Sold	05/22/19	J		
401.					Sold	07/23/19	J		
402.					Sold	09/30/19	J		
403.					Sold	11/20/19	J		
404. CALL EDIT		None	J	T	Sold	04/25/19	J		
405.					Sold	07/23/19	J		
406.					Sold	09/30/19	J		
407.					Sold	11/20/19	J		
408.					Sold	12/24/19	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)
409. CALL CRSP		None	J	T	Sold	01/24/19	J		
410.					Sold	02/21/19	J		
411.					Sold	03/19/19	J		
412.					Sold	05/22/19	J		
413.					Sold	07/23/19	J		
414.					Sold	07/23/19	J		
415.					Sold	09/30/19	J		
416.					Sold	11/20/19	J		
417.					Sold	12/24/19	J		
418. CALL GDX		None	J	T	Sold	07/23/19	J		
419.					Sold	09/30/19	J		
420.					Sold	11/20/19	J		
421.					Sold	12/24/19	J		
422. CALL NTN		None	J	T	Sold	04/23/19	J		
423.					Sold	11/20/19	J		
424. CALL LITE		None	J	T	Sold	02/21/19	J		
425.					Sold	09/30/19	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

Page 29 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
426.					Sold	11/20/19	J		
427.					Sold	12/24/19	J		
428. CALL SBUX		None			Sold	01/24/19	J		
429. CALL ENDP		None			Sold	01/24/19	J		
430.					Sold	02/20/19	J		
431.					Sold	03/19/19	J		
432. CALL ANET		None			Sold	01/24/19	J		
433.					Sold	09/04/19	J		
434.					Sold	09/30/19	J		
435. CALL ILMN		None			Sold	01/24/19	J		
436.					Sold	02/21/19	J		
437.					Sold	03/19/19	J		
438.					Sold	04/23/19	J		
439.					Sold	05/22/19	J		
440. CALL CRUS		None			Sold	01/24/19	J		
441.					Sold	02/21/19	J		
442.					Sold	06/26/19	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	

FINANCIAL DISCLOSURE REPORT

Page 30 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
443. CALL ACB		None			Sold	02/20/19	J		
444. CALL GOOG		None			Sold	02/21/19	J		
445.					Sold	04/23/19	J		
446.					Sold	05/22/19	J		
447.					Sold	07/23/19	J		
448.					Sold	09/30/19	J		
449.					Sold	10/22/19	J		
450. CALL FEYE		None			Sold	02/21/19	J		
451. CALL CME		None			Sold	02/21/19	J		
452. CALL FSCT		None			Sold	02/25/19	J		
453.					Sold	03/19/19	J		
454.					Sold	07/23/19	J		
455.					Sold	08/20/19	J		
456.					Sold	11/20/19	J		
457. CALL RGLD		None			Sold	03/19/19	J		
458.					Sold	06/25/19	J		
459. CALL WIX		None			Sold	03/20/19	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)
460.					Sold	04/23/19	J		
461.					Sold	07/23/19	J		
462.					Sold	08/20/19	J		
463.					Sold	11/20/19	J		
464. CALL OKTA		None			Sold	03/20/19	J		
465.					Sold	05/22/19	J		
466.					Sold	06/26/19	J		
467.					Sold	08/20/19	J		
468.					Sold	11/20/19	J		
469. CALL CGC		None			Sold	04/23/19	J		
470.					Sold	06/25/19	J		
471.					Sold	09/30/19	J		
472. CALL EB		None			Sold	04/23/19	J		
473.					Sold	06/25/19	J		
474.					Sold	09/30/19	J		
475. CALL ZEN		None			Sold	05/22/19	J		
476.					Sold	06/25/19	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

Page 32 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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)
477.					Sold	08/20/19	J		
478. CALL TLND		None			Sold	05/22/19	J		
479.					Sold	06/26/19	J		
480. CALL CBLK		None			Sold	05/22/19	J		
481.					Sold	06/25/19	J		
482. CALL SWKS		None			Sold	06/25/19	J		
483.					Sold	07/23/19	J		
484.					Sold	08/20/19	J		
485.					Sold	09/30/19	J		
486. CALL MAR		None			Sold	07/23/19	J		
487. CALL IIVI		None			Sold	07/23/19	J		
488.					Sold	08/20/19	J		
489.					Sold	09/30/19	J		
490. CALL GILD		None			Sold	07/23/19	J		
491.					Sold	08/20/19	J		
492. CALL INFN		None			Sold	08/20/19	J		
493.					Sold	10/22/19	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)
494. CALL EGO		None			Sold	08/20/19	J		
495. CALL GOSS		None			Sold	08/22/19	J		
496.					Sold	11/20/19	J		
497. CALL NTNX		None			Sold	09/30/19	J		
498. CALL THOR		None			Sold	11/12/19	J		
499. CALL TCRR		None			Sold	11/20/19	J		
500. CALL PD		None			Sold	12/18/19	J		
501. CALL NEWR		None			Sold	12/18/19	J		
502. Options #2 (H)									
503. PUT SHOP		None			Buy	01/23/19	J		
504.					Sold	01/24/19	J		
505.					Sold	02/21/19	J		
506.					Sold	03/25/19	J		
507. PUT PYPL		None			Buy	01/23/19	J		
508.					Sold	01/24/19	J		
509.					Sold	02/21/19	J		
510. PUT OKTA		None			Sold	01/24/19	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)
511.					Sold	02/21/19	J		
512.					Sold	03/19/19	J		
513. PUT WYNN		None			Sold	02/14/19	J		
514. PUT ILUM		None			Buy	02/21/19	J		
515.					Sold	03/19/19	J		
516. PUT WIX)		None			Buy	02/21/19	J		
517.					Sold	07/23/19	J		
518. PUT ANET		None			Buy	03/19/19	J		
519. PUT ZEN		None			Sold	04/23/19	J		
520. PUT LITE		None			Sold	04/23/19	J		
521. PUT AMBA		None			Sold	09/03/19	J		
522. PUT DOCU		None			Sold	11/29/19	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

FINANCIAL DISCLOSURE REPORT

Page 35 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Part VII, line 349: This entry represents a limited partnership interest. The entity was duly registered in the state of Florida. Its business offices and operations are located in another state and run by an individual whose information is not subject to this disclosure. As a limited partner, the filer has no knowledge of, and no control over, the specific assets or activities of the limited partnership; his interest is reported per page 24 of the Alphabetical Reference. All holdings in which the filer, or any other individual subject to this disclosure, has a personal ownership share are separately identified in Part VII.

Part VII, lines 371-522: Each put or call transaction is an independent contract creating the right, but not the obligation, to make future sales or purchases of specific assets. They are not fixed assets, therefore either purchases or sales of individual puts and calls can be used to either open or close contracts; they do not generate income. Options devalue based upon market conditions and expiration dates, therefore they routinely do not have value at the end of a reporting period; this occurs without any type of reportable transaction. Those options which have value at the end of the reporting period are reflected accordingly in Column C. Purchases and sales of any optioned holdings are reported separately from these contracts.

FINANCIAL DISCLOSURE REPORT

Page 36 of 36

Name of Person Reporting

MOODY, JR., JAMES S.

Date of Report

08/10/2020

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/ JAMES S. MOODY, JR.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544