

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 of Florida	3. Date of Report 04/20/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court 801 North Florida Avenue 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

1. Trustee	Trust #1 (reportable assets are included in Part VII)
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.	

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Name of Person Reporting

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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.)

DATE

SOURCE AND TYPE

INCOME
(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.)

DATE

SOURCE AND TYPE

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.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.	Merrill Lynch	Margin Loan	O
2.	Moody Investments, LP	Loan	None
3.			
4.			
5.			

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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)
1. Individual Assets (H)									
2. Suntrust (cash)	A	Interest	K	T					
3. Moody Investments Family Limited Partnership	F	Int./Div.	P1	U					
4. First Tampa Alexander (Y)									
5. Missouri Midway		None	K	U					
6. Investment Property #1, Valrico, FL		None	M	W					
7. Investment Property #2, Longboat Key, FL	D	Rent	N	W					
8. Investment Property #3, Hillsborough Co., FL	C	Rent			Sold	11/30/20	N	F	Tomberly Farms, LLC
9. Investment Property #4, Celo, NC		None	O	W					
10. Investment Property #5, Highlands, NC		None	M	W					
11. Investment Property #6, Highlands, NC	D	Rent	O	W					
12. Investment Property #7, Plant City, FL	E	Rent	O	W					
13. Investment Property #8, Tampa, FL	D	Rent	M	W					
14. Investment Property #9, Tampa FL	D	Rent	M	W					
15. Investment Property #10, Tampa FL	D	Rent	M	W					
16. Investment Property #11, Tampa FL	E	Rent	O	W					
17. Investment Property #12, Tampa FL	E	Rent	N	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	

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

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18. Investment Property #13, Tampa FL	E	Rent	M	W					
19. Investment Property #14, Treasure Island, FL	E	Rent	M	W					
20. Investment Property #15, Treasure Island, FL	E	Rent	M	W					
21. Investment Property #16, Gainesville, FL		None	N	W					
22. Investment Property #17, Highlands, NC		None	O	W	Buy	08/27/20	O		Murphy Gift Trust
23. Gulf to Bay Partners, LLC (real estate, Clearwater, FL)		None	N	W					
24. Account #1 (H)									
25. ML Bank Deposit Program (cash)	A	Interest	M	T					
26. Akoustis Technologies (AKTS)		None	K	T					
27. Ambarella Inc (AMBA)		None			Sold	02/21/20	L	D	
28.					Buy	03/18/20	K		
29.					Buy (add'l)	03/19/20	K		
30.					Sold	11/20/20	L	B	
31. Aphria Inc SHS (APHQF)		None	K	T	Buy (add'l)	12/23/20	J		
32. Ardelyx Inc SH A (ARDX)		None	K	T					
33. Bank of America (BAC) (X)		None			Sold	10/22/20	M	F	
34. Calyxt Inc Reg SHS (CLXT)		None	J	T					

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35. Cerence Inc Reg SHS (CRNC) (X)		None	J	T					
36. Cloudera Inc (CLDR)		None	L	T	Buy (add'l)	02/27/20	J		
37.					Sold (part)	06/19/20	K	D	
38.					Buy (add'l)	06/24/20	L		
39. Docusign Inc (DOCU)		None			Sold	02/21/20	L	C	
40. Editas Medicine Inc Shs (EDIT)		None	M	T	Buy (add'l)	01/23/20	K		
41. Eventbrite Inc Reg Shs Cl A (EB)		None	L	T					
42. Everspin Technologies (MRAM)		None	J	T	Buy (add'l)	02/27/20	J		
43. Exxon Mobil Corp (XOM)	A	Dividend			Buy	03/10/20	J		
44.					Buy (add'l)	10/21/20	J		
45.					Sold	11/20/20	J		
46. Forescout Technologies (FSCT)		None			Sold	04/23/20	K		
47. Heron Therapeutics Inc (HRTX)		None			Buy	01/23/20	K		
48.					Sold	06/19/20	K	B	
49.					Buy (add'l)	06/24/20	K		
50.					Sold	09/18/20	K		
51. Intellia Therapeutics (NTLA)		None	M	T	Sold	06/21/20	K	B	

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52.					Buy	06/24/20	K		
53.					Sold	10/16/20	K	D	
54.					Buy	10/21/20	L		
55. Kaleido Biosciences Inc (KLDO)		None	J	T					
56. Lumentum Holdings Inc (LITE)		None	L	T	Sold	02/21/20	M	D	
57.					Buy	02/27/20	M		
58.					Sold (part)	07/17/20	L	C	
59.					Sold	08/21/20	L	D	
60.					Buy	08/26/20	L		
61. Macom Technology (MTSI)		None			Buy (add'l)	01/23/20	L		
62.					Sold	06/19/20	L	D	
63.					Buy	06/24/20	M		
64.					Sold	07/21/20	M	D	
65.					Buy	07/22/20	L		
66.					Sold	11/20/20	L	D	
67. Marriott Intl Inc (MAR)		None			Buy	10/01/20	K		
68.					Buy (add'l)	10/21/20	K		

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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.					Sold	11/20/20	L	D	
70. New Gold Inc CDA (NGD)		None			Sold	07/16/20	J		
71. OKTA Inc Reg SHS (OKTA)		None	N	T	Sold	02/21/20	M	D	
72.					Buy	02/27/20	M		
73.					Sold	05/15/20	M	E	
74.					Buy	05/20/20	M		
75.					Sold	06/19/20	M	D	
76.					Buy	06/24/20	M		
77.					Buy (add'l)	07/22/20	M		
78.					Sold (part)	10/16/20	M	E	
79.					Sold	11/24/20	M	D	
80.					Buy	12/01/20	M		
81. On SemiConductor Crp Com (X)		None	K	T					
82. Regeneron Pharmaceuticals (REGN)		None			Sold	02/21/20	M	C	
83. Splunk Inc (SPLK)		None			Sold	01/21/20	M	E	
84. Square Inc (SQ)		None			Sold	05/15/20	L		
85.					Buy	05/20/20	L		

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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.)

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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)
86.					Sold	06/19/20	L	B	
87. Sorrento Therapeutics (SRNE)		None	J	T	Buy	05/27/20	J		
88.					Buy (add'l)	05/28/20	J		
89.					Buy (add'l)	07/22/20	J		
90.					Sold (part)	08/21/20	K	C	
91.					Sold (part)	08/24/20	J	D	
92.					Buy (add'l)	08/26/20	K		
93.					Sold (part)	09/18/20	J	B	
94.					Buy (add'l)	09/23/20	J		
95. Torex Gold Resources Inc (TORXF)		None			Sold	07/16/20	K	C	
96. Valero Energy Corp (VLO)		None			Buy	04/23/20	K		
97.					Sold	05/14/20	K	D	
98. Yext Inc (YEXT)		None	K	T	Buy (add'l)	01/23/20	K		
99.					Sold	06/19/20	K		
100.					Buy	06/24/20	K		
101.					Sold (part)	08/21/20	K	B	
102.					Buy (add'l)	08/26/20	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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103.					Sold	11/20/20	K	B	
104.					Buy	12/01/20	K		
105. Zendesk Inc Shs (ZEN)		None			Sold	09/18/20	L	A	
106.					Buy	09/23/20	L		
107.					Sold	11/20/20	L	D	
108. Zuora Inc Cl A (ZUO)		None	K	T	Buy (add'l)	01/23/20	K		
109. Calamos Strat Tot Return (CSQ)	B	Dividend	K	T					
110. CALL LITE		None	J	T	Buy	12/21/20	J		
111. CALL EDIT		None	K	T	Buy	12/21/20	K		
112. CALL EB		None	J	T	Buy	12/21/20	J		
113. CALL OKTA		None	J	T	Buy	11/27/20	J		
114. CALL AKTS		None	J	T	Buy	12/21/20	J		
115. CALL CLDR		None	J	T	Buy	12/21/20	J		
116. CALL NTLA		None	K	T	Buy	10/19/20	J		
117. CALL ARDX		None	J	T	Buy	10/19/20	J		
118. Account #2 (H)									
119. ML Bank Deposit Program (cash)	A	Interest	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 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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120. Alector Inc (ALEC)		None	K	T					
121. Annaly Cap Mgmnt (NLY)	C	Dividend	K	T					
122. Aphria Inc SHS (APHQF)		None	J	T					
123. Ares Capital Corp (ARCC)	B	Dividend	K	T					
124. Aurora Cannabis Inc (ACB) (Y)									
125. Bank of America Corp (BAC)	D	Dividend	N	T	Sold (part)	07/24/20	L		
126. Beam Therapeutics Inc (BEAM)		None	K	T	Buy	08/28/20	J		
127. BP PLC (BP)	B	Dividend	K	T					
128. Calyxt Inc Reg Shs (CLXT)		None	J	T					
129. Canopy Growth Corp (CGC)		None	J	T					
130. Hookipa Pharma Inc (HOOK)		None	J	T					
131. Spero Therapeutics Inc (SPRO)	B	Dividend	K	T					
132. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	K	T					
133. Yiren Digital Ltd (YRD)		None	J	T	Buy	01/13/20	J		
134. Calamos Strat Tot Return (CSQ)	B	Dividend	K	T	Buy (add'l)	03/25/20	J		
135. PUT OKTA		None	J	T	Buy	12/22/20	J		
136. Account #3 (H)									

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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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. ML Bank Deposit Program (cash)	A	Interest	J	T					
138. BP PLC (BP)	A	Dividend	J	T					
139. Exxon Mobil Corp (XOM)	A	Dividend	J	T	Buy	03/09/20	J		
140. Valero Energy Corp (VLO)	A	Dividend	J	T					
141. Wells Fargo & Co (WFC)	A	Dividend	J	T					
142. Account #4 (H)									
143. ML Bank Deposit Program (cash)	A	Interest	J	T					
144. BP PLC (BP)	A	Dividend	J	T	Buy (add'l)	07/15/20	J		
145. Exxon Mobil Corp (XOM)	A	Dividend	J	T	Buy	03/06/20	J		
146. Truist Finl Corp (TFC)	A	Dividend	J	T	Buy	03/06/20	J		
147. Valero Energy Corp (VLO)	A	Dividend	J	T					
148. Wells Fargo & Co (WFC)	A	Dividend	K	T	Buy (add'l)	07/15/20	J		
149. Account #5 (H)									
150. ML Bank Deposit Program (cash)	A	Interest	N	T					
151. Akero Therapeutics (AKRO)		None			Buy	04/22/20	K		
152.					Sold	05/15/20	K	C	
153.					Buy	05/20/20	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) 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)
154.					Sold	06/19/20	K	C	
155.					Buy	06/24/20	L		
156.					Sold	07/17/20	L	D	
157. Akoustis Technologies (AKTS)		None	L	T	Sold (part)	12/21/20	J	D	
158.					Buy (add'l)	12/23/20	K		
159. Ambarella Inc (AMBA)		None			Sold	02/21/20	M	D	
160.					Buy	03/18/20	M		
161.					Sold	11/20/20	M	C	
162. Aphria Inc Shs (APHA)		None			Sold	11/20/20	J		
163. Ardelyx Inc Shs (ARDX)		None	K	T	Buy (add'l)	07/02/20	J		
164. Aurora Cannabis Inc (ACB)		None	J	T					
165. Axos Finl Inc (AX)		None			Sold	10/16/20	K		
166. Belo Sun Mining Corp (VNNHF)		None			Sold	02/28/20	J		
167. BP PLC (BP)	A	Dividend	K	T	Buy	08/26/20	K		
168. Cerence Inc Reg Shs (CRNC)		None			Buy (add'l)	01/24/20	J		
169.					Buy (add'l)	02/19/20	K		
170.					Sold	05/15/20	K	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
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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)
171. Cloudera Inc (CLDR)		None	L	T	Buy (add'l)	02/19/20	J		
172.					Buy (add'l)	04/22/20	J		
173.					Sold	06/19/20	L	E	
174.					Buy	06/24/20	L		
175. Crispr Therapeutics AG (CRSP)		None			Buy (add'l)	06/24/20	L		
176.					Sold (part)	06/19/20	L		
177.					Sold (part)	07/17/20	L		
178.					Sold	08/21/20	M	E	
179.					Buy	08/26/20	M		
180.					Sold	11/20/20	M	E	
181. Disney Co (DIS)		None			Buy	05/22/20	L		
182.					Buy (add'l)	06/24/20	K		
183.					Sold	08/21/20	M	D	
184. Docusign Inc (DOCU)		None			Sold	02/21/20	L	C	
185. Editas Medicine Inc Shs (EDIT)		None	N	T	Buy (add'l)	01/24/20	K		
186.					Sold (part)	08/21/20	M	E	
187.					Buy (add'l)	08/26/20	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
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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)
188. Eldorado Gold Corp (EGO)		None			Sold	02/19/20	J		
189. Endo Intl PLC Shs (ENDP)		None	K	T					
190. Energous Corp Shs (WATT)		None	J	T					
191. Equity Commonwealth (EQC)		None			Sold	01/24/20	L	D	
192. Eventbrite Inc Reg Shs (EB)		None	L	T	Buy (add'l)	04/22/20	J		
193.					Buy (add'l)	10/21/20	J		
194. Everspin Technologies (MRAM)		None	K	T					
195. Forescout Technologies (FSCT)		None			Sold	04/23/20	K		
196. Gilead Sciences Inc Com (GILD)		None			Sold	02/21/20	L		
197. Heron Therapeutics Inc (HRTX)		None	K	T	Buy	01/24/20	K		
198. Impinj Inc (PI)		None			Buy	04/23/20	K		
199.					Sold	05/15/20	K	C	
200.					Buy	05/20/20	K		
201.					Sold	06/19/20	K	B	
202.					Buy	06/24/20	L		
203.					Sold	09/18/20	L		
204.					Buy	09/23/20	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	

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)
205.					Sold	11/20/20	L	D	
206. Intellia Therapeutics (NTLA)		None	M	T	Sold	06/19/20	K		
207.					Buy	06/24/20	K		
208.					Sold	10/16/20	L	D	
209.					Buy	10/21/20	M		
210. Invitae Corp (NVT A)		None	M	T	Sold	01/22/20	K	C	
211.					Buy	01/23/20	L		
212.					Sold	02/21/20	L	D	
213.					Buy	02/26/20	L		
214.					Sold	07/17/20	L	E	
215.					Buy	07/22/20	L		
216.					Sold	08/21/20	M	D	
217.					Buy	08/26/20	M		
218.					Sold (part)	09/18/20	L	D	
219.					Buy (add'l)	09/23/20	L		
220.					Sold	10/16/20	L	E	
221.					Buy	11/30/20	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

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222. Kaleido Biosciences Inc (KLDO)		None	J	T					
223. Karyopharm Therapeutics (KPTI)		None	K	T	Buy	04/14/20	K		
224.					Buy (add'l)	06/24/20	K		
225. Lumentum Holdings Inc (LITE)		None	M	T	Sold	02/21/20	M	D	
226.					Buy	02/26/20	M		
227.					Sold (part)	07/20/20	L	C	
228.					Sold	08/21/20	L	D	
229.					Buy	08/26/20	M		
230. Macom Technology (MTSI)		None			Sold	01/17/20	K	A	
231.					Buy	01/23/20	L		
232.					Sold	06/19/20	L	D	
233.					Buy	06/24/20	M		
234.					Sold	07/17/20	M	D	
235.					Buy	07/22/20	M		
236.					Sold	11/20/20	M	D	
237. Marriott Intl Inc (MAR)		None			Buy	10/01/20	K		
238.					Sold	11/20/20	L	D	

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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239. Microvision Inc (MVIS)		None	J	T	Sold (part)	10/13/20	J		
240.					Sold	10/16/20	J		
241.					Buy	10/21/20	J		
242. New Gold Inc CDA (NGD)		None			Sold	02/19/20	J		
243. New Relic Inc (NEWR)		None	L	T	Sold	01/17/20	L	C	
244.					Buy	01/23/20	L		
245.					Buy (add'l)	02/26/20	K		
246.					Sold	06/19/20	L	C	
247.					Buy	06/24/20	L		
248.					Sold	10/16/20	L		
249.					Buy	10/21/20	L		
250. Nuance Communications Inc (NUAN)		None			Sold	02/25/20	L	C	
251. Okta Inc Reg Shs Cl A (OKTA)		None	N	T	Sold	02/21/20	M	D	
252.					Buy	02/26/20	M		
253.					Sold (part)	05/15/20	M	E	
254.					Sold	06/19/20	M	F	
255.					Buy	07/02/20	L		

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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)
256.					Buy (add'l)	07/22/20	M		
257.					Sold (part)	10/16/20	M	D	
258.					Buy (add'l)	11/30/20	M		
259. Overstock.Com Inc (OSTK)	A	Dividend			Buy (add'l)	02/19/20	J		
260.					Sold	05/14/20	J	B	
261. Pagerduty Inc Reg Shs (PD)		None	L	T	Sold	01/17/20	K	C	
262.					Buy	01/23/20	L		
263.					Buy (add'l)	02/26/20	K		
264.					Sold	06/19/20	M	D	
265.					Buy	06/24/20	L		
266.					Sold	10/16/20	L		
267.					Buy	10/21/20	L		
268. Precision Biosciences (DTIL)		None	K	T	Buy (add'l)	12/23/20	K		*
269. Regeneron Pharmactcls (REGN)		None			Sold	02/21/20	M	C	
270.					Buy	02/26/20	M		
271.					Sold	03/24/20	M	D	
272. Snap Inc Cl A (SNAP)		None			Sold	01/17/20	K	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	
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)
273.					Buy	01/23/20	K		
274.					Sold (part)	06/19/20	K	A	
275.					Sold	10/16/20	K	D	
276. Sorrento Therapeutics (SRNE)		None	K	T	Buy	05/27/20	K		
277.					Buy (add'l)	05/28/20	K		
278.					Sold (part)	08/18/20	K	D	
279.					Sold (part)	08/19/20	K	D	
280.					Sold (part)	08/21/20	K	E	
281.					Buy (add'l)	08/26/20	K		
282.					Sold (part)	09/22/20	J	B	
283.					Buy (add'l)	09/23/20	K		
284. Splunk Inc (SPLK)		None			Sold	01/22/20	M	E	
285.					Buy (add'l)	02/28/20	L		
286.					Sold	06/19/20	L	B	
287. Stoke Therapeutics Inc (STOK)		None			Buy	04/22/20	K		
288.					Buy (add'l)	06/24/20	K		
289.					Sold	08/21/20	K	D	

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.)

☐

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.					Buy	08/26/20	L		
291.					Sold	09/18/20	L	D	
292.					Buy	09/23/20	L		
293.					Sold	10/20/20	L	A	
294.					Buy	10/21/20	L		
295.					Sold	11/20/20	L	C	
296. Talend SA (TLND)		None	K	T					
297. TCR2 Therapeutics Inc (TCRR)		None			Sold	11/20/20	K	D	
298. Torex Gold Resources Inc (TORFX)		None			Sold	02/19/20	K	D	
299. Truist Finl Corp (TFC)		None			Buy	03/10/20	J		
300.					Buy (add'l)	04/22/20	J		
301.					Sold	08/12/20	K	B	
302. Valero Energy (VLO)		None			Buy	04/13/20	K		
303.					Sold	05/14/20	K	D	
304. Vmware Inc (VMW)		None	M	T					
305. Wix Com LTD (WIX)		None			Sold	01/17/20	M	D	
306.					Buy	01/23/20	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
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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.)

☐

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)
307.					Sold	05/15/20	M	D	
308. Yext Inc (YEXT)		None	K	T	Sold	01/17/20	K	C	
309.					Buy	01/23/20	K		
310.					Sold	02/21/20	K	A	
311.					Buy	02/26/20	K		
312.					Sold	06/19/20	K		
313.					Buy	06/24/20	K		
314.					Sold (part)	08/21/20	K	B	
315.					Buy (add'l)	08/26/20	K		
316.					Sold	11/20/20	K	B	
317.					Buy	11/30/20	K		
318. Zuora Inc Cl A (ZUO)		None	K	T	Sold	01/17/20	K	B	
319.					Buy	01/23/20	K		
320. Vaneck Vectors Gold (GDX)		None			Sold	02/25/20	M		
321. Vivendi Shs Unsp ADR (VIVHY) (X)		None			Sold	02/14/20	K	E	
322. CALL MVIS		None	J	T	Buy	12/21/20	J		
323. CALL NEWR		None	J	T	Buy	12/21/20	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 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
2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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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)
324. CALL LITE		None	J	T	Expired	01/17/20	J		
325.					Buy	12/21/20	J		
326. CALL PD		None	J	T	Buy	10/19/20	J		
327. CALL EDIT		None	L	T	Expired	01/17/20	J		
328.					Buy	11/25/20	L		
329.					Buy (add'l)	12/21/20	J		
330. CALL DTIL		None	J	T	Buy	12/21/20	J		
331. CALL OKTA		None	J	T	Buy	11/25/20	J		
332. CALL KPTI		None	J	T	Buy	12/21/20	J		
333. CALL AKTS		None	J	T	Buy	12/21/20	J		
334. CALL CLDR		None	J	T	Buy	12/21/20	J		
335. CALL NTLA		None	L	T	Buy	10/19/20	L		
336. CALL EB		None	K	T	Buy	10/19/20	K		
337. CALL NVTA		None	J	T	Buy (add'l)	11/25/20	J		
338. CALL ARDX		None	J	T	Buy	10/19/20	J		
339. CALL ACB		None	J	T	Buy	10/19/20	J		
340. CALL VMW		None			Expired	01/21/20	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)
341. CALL SNAP		None			Expired	02/21/20	J		
342. CALL SPLK		None			Expired	01/21/20	J		
343. CALL AMBA		None			Expired	02/21/20	J		
344. CALL DOCU		None			Expired	02/21/20	J		
345. CALL NUAN		None			Expired	02/21/20	J		
346. CALL TLND		None			Expired	01/22/20	J		
347. CALL MTSI		None			Expired	02/21/20	J		
348. CALL WYNN		None			Expired	01/21/20	J		
349. CALL CRSP		None			Expired	01/17/20	J		
350. CALL GDX		None			Expired	01/17/20	J		
351. CALL NTN		None			Expired	02/21/20	J		
352. Account #6 (H)									
353. ML Bank Deposit Program (cash)	A	Interest	N	T					
354. Alector Inc (ALEC)		None	L	T	Buy (add'l)	02/19/20	L		
355.					Sold	06/19/20	L	E	
356.					Buy	06/24/20	L		
357. Air Lease Corp CL A (AL) (Y)									

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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	(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. Ares Capital Corp (ARCC)	C	Dividend	L	T	Buy (add'l)	04/22/20	J		**
359. Astellas Pharma Inc Shs (ALPMY)	A	Dividend	K	T					**
360. BP PLC (BP)	A	Dividend	K	T	Buy	07/22/20	K		
361. Cabaletta Bio Inc Reg (CABA)		None	K	T	Buy	07/06/20	K		
362. Calyxt Inc Reg Shs (CLXT)		None	J	T					
363. CIE Financiere Richemont (CFRUY)		None			Sold	02/19/20	K	C	
364. Fairfax Finl Hldgs LTD (FRFHF)	D	Dividend			Sold (part)	02/19/20	M	D	
365.					Sold (part)	10/01/20	K		
366.					Sold (part)	10/28/20	J		
367.					Sold	11/04/20	M		
368. Harpoon Therapeutics Inc (HARP)		None	K	T					
369. Heron Therapeutics (HRTX)		None	K	T	Buy	01/22/20	K		
370. Hookipa Pharma Inc (HOOK)		None	J	T					
371. Kinder Morgan Inc Del (KMI)	C	Dividend	L	T	Buy (add'l)	09/17/20	J		**
372. Passage Bio Inc (PASG)		None	K	T	Buy	09/02/20	K		
373. Prevail Therapeutics (PRVL)		None	J	T	Buy	03/25/20	J		
374. Revolution Medicines Inc (RVMD)		None	K	T	Buy	08/05/20	J		

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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)
375. Spero Therapeutics Inc (SPRO)	D	Dividend	L	T					
376. Vivendi Shs Unsp ADR (VIVHY)	B	Dividend			Sold	10/22/20	L	D	
377. Wells Fargo & Co New Del (WFC)	B	Dividend	M	T	Buy (add'l)	03/10/20	J		**
378.					Buy (add'l)	08/26/20	K		
379. Calamos Stra Tot Return (CSQ)	C	Dividend			Buy (add'l)	03/25/20	J		
380.					Sold	11/09/20	L	E	
381. PUT CRSP		None	J	T	Buy	12/28/20	J		
382. PUT OKTA		None	J	T	Buy	12/28/20	J		
383. Account #7 (H)									
384. ML Bank Deposit Program (cash)	A	Interest	K	T	Open	11/05/20	M		
385. Amazon.com Inc (AMZN)		None			Buy	11/06/20	J		
386.					Buy (add'l)	11/10/20	J		
387.					Sold	12/01/20	J		
388. Airbnb Inc Cl A (ABNB)		None	J	T	Buy	12/11/20	J		
389. Carvana Co (CVNA)		None	J	T	Buy	11/06/20	J		
390.					Buy (add'l)	11/10/20	J		
391.					Sold (part)	12/23/20	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
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☐ 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)
392.					Sold (part)	12/28/20	J	A	
393. Chewy Inc (CHWY)		None	J	T	Buy	11/06/20	J		
394. Cloudflare Inc (NET)		None	J	T	Buy	11/06/20	J		
395.					Buy (add'l)	11/10/20	J		
396.					Sold (part)	12/23/20	J	A	
397.					Sold (part)	12/28/20	J	A	
398. Costco Wholesale Crp Del (COST)		None	J	T	Buy	12/28/20	J		
399. Coupa Software (COUP)		None	J	T	Buy	11/06/20	J		
400.					Buy (add'l)	11/10/20	J		
401. Doordash Inc Reg Shs Cl A (DASH)		None	J	T	Buy	12/10/20	J		
402. Datadog Inc (DDOG)		None			Buy	11/06/20	J		
403.					Sold	11/11/20	J		
404. Dexcom Inc (DXCM)		None			Buy	11/06/20	J		
405.					Sold	12/10/20	J		
406. Facebook Inc (FB)		None	J	T	Buy	12/28/20	J		
407. Fastly Inc (FSLY)		None	J	T	Buy	11/06/20	J		
408. Guardant Health Inc (GH)		None	J	T	Buy	11/06/20	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		

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. Illumina Inc (ILMN)		None	J	T	Buy	11/06/20	J		
410. Intuitive Surgical (ISRG)		None	J	T	Buy	11/06/20	J		
411.					Buy (add'l)	11/10/20	J		
412.					Buy (add'l)	12/02/20	J		
413. MongoDB Inc (MDB)		None	J	T	Buy	11/06/20	J		
414. Netflix Inc (NFLX)		None			Buy	11/06/20	J		
415.					Sold	12/14/20	J		
416. Nvidia (NVDA)	A	Dividend			Buy	11/06/20	J		
417.					Buy (add'l)	11/10/20	J		
418.					Sold	12/14/20	J		
419. Okta Inc (OKTA)		None	J	T	Buy	11/06/20	J		
420.					Buy (add'l)	11/10/20	J		
421. Pinterest Inc (PINS)		None	J	T	Buy	11/06/20	J		
422.					Buy (add'l)	11/10/20	J		
423. RTY Pharma Plc SHS Cl A (RPRX)	A	Dividend	J	T	Buy	12/21/20	J		
424. Shopify Inc (SHOP)		None	J	T	Buy	11/06/20	J		
425.					Buy (add'l)	11/10/20	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)
426.					Buy (add'l)	12/01/20	J		
427.					Sold (part)	12/23/20	J	A	
428.					Sold (part)	12/28/20	J	A	
429. Slack Technologies Inc (WORK)		None			Buy	11/06/20	J		
430.					Buy (add'l)	11/10/20	J		
431.					Sold	12/02/20	J	C	
432. Snap Inc (SNAP)		None	J	T	Buy	11/06/20	J		
433.					Buy (add'l)	11/10/20	J		
434. Snowflake Inc (SNOW)		None	J	T	Buy	11/06/20	J		
435.					Buy (add'l)	11/10/20	J		
436.					Buy (add'l)	12/15/20	J		
437. Spotify Tech (SPOT)		None	J	T	Buy	11/06/20	J		
438.					Buy (add'l)	11/10/20	J		
439. Square Inc (SQ)		None	J	T	Buy	11/06/20	J		
440.					Buy (add'l)	11/10/20	J		
441.					Sold (part)	12/01/20	J	A	
442.					Sold (part)	12/17/20	J	A	

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)
443.					Sold (part)	12/28/20	J	A	
444. Trade Desk Inc (TTD)		None	J	T	Buy	11/06/20	J		
445.					Buy (add'l)	11/10/20	J		
446.					Sold (part)	12/21/20	J	A	
447.					Sold (part)	12/28/20	J	A	
448. Twilio Inc (TWLO)		None	J	T	Buy	11/06/20	J		
449.					Buy (add'l)	12/28/20	J		
450. Twitter Inc (TWTR)		None	J	T	Buy	11/06/20	J		
451.					Buy (add'l)	11/10/20	J		
452. Uber Technologies Inc (UBER)		None	J	T	Buy	11/06/20	J		
453.					Buy (add'l)	11/10/20	J		
454. Unity Software Inc (U)		None	J	T	Buy	11/06/20	J		
455. Veeva Sys Inc (VEEV)		None			Buy	11/06/20	J		
456.					Buy (add'l)	11/10/20	J		
457.					Buy (add'l)	12/01/20	J		
458.					Sold	12/10/20	J		
459. Wayfair Inc (W)		None			Buy	11/06/20	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.)

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	12/14/20	J		
461. Zillow Group Inc (Z)		None	J	T	Buy	11/06/20	J		
462.					Buy (add'l)	12/14/20	J		
463. Zoom Video Comm (ZM)		None			Buy	11/06/20	J		
464.					Buy (add'l)	11/10/20	J		
465.					Sold	12/10/20	J		
466. 10x Genomics Inc (TXG)		None	J	T	Buy	11/06/20	J		
467. iShares Russell 1000 (IWF)	A	Dividend	L	T	Buy	12/10/20	L		
468. Account #8 (H)									
469. Proctor & Gamble (PG)	A	Dividend	K	T					
470. Starbucks Corp (SBUX)	A	Dividend	K	T					
471. Travelers Cos Inc (TRV)	A	Dividend	K	T					
472. Valero Energy Corp (VLO)	A	Dividend	J	T					
473. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
474. Account #9 (H)									
475. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
476. 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	

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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)
477. Canopy Growth Corp (CGC)		None	J	T					
478. Carnival Corp Paired Shs (CCL)		None	J	T	Buy	12/02/20	J		
479. II-VI Inc (IIVI)		None	K	T					
480. Norweigan Crusie Line (NCLH)		None	J	T	Buy	12/02/20	J		
481. Starbucks Corp (SBUX)	A	Dividend	K	T					
482. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
483. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
484. Account #10 (H)									
485. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
486. BP PLC (BP)	A	Dividend	J	T					
487. Canopy Growth Corp (CGC)		None	J	T					
488. Carnival Corp Paired Shs (CCL)		None	J	T	Buy	12/02/20	J		
489. II-VI Inc (IIVI)		None	K	T					
490. Norweigan Crusie Line (NCLH)		None	J	T	Buy	12/02/20	J		
491. Starbucks Corp (SBUX)	A	Dividend	K	T					
492. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
493. 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	

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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)
494. Account #11 (H)									
495. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
496. BP PLC (BP)	A	Dividend	J	T					
497. Canopy Growth Corp (CGC)		None	J	T					
498. Carnival Corp Paired Shs (CCL)		None	J	T	Buy	12/02/20	J		
499. II-VI Inc (IIVI)		None	K	T					
500. Norweigan Crusie Line (NCLH)		None	J	T	Buy	12/02/20	J		
501. Starbucks Corp (SBUX)	A	Dividend	K	T					
502. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
503. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
504. Account #12 (H)									
505. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
506. BP PLC (BP)	A	Dividend	J	T					
507. Canopy Growth Corp (CGC)		None	J	T					
508. Carnival Corp Paired Shs (CCL)		None	J	T	Buy	12/02/20	J		
509. II-VI Inc (IIVI)		None	K	T					
510. Norweigan Crusie Line (NCLH)		None	J	T	Buy	12/02/20	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 =\$250,000,001 - \$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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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. Starbucks Corp (SBUX)	A	Dividend	K	T					
512. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
513. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
514. Account #13 (H)									
515. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
516. BP PLC (BP)	A	Dividend	J	T					
517. Canopy Growth Corp (CGC)		None	J	T					
518. Carnival Corp Paired Shs (CCL)		None	J	T	Buy	12/02/20	J		
519. II-VI Inc (IIVI)		None	K	T					
520. Norweigan Crusie Line (NCLH)		None	J	T	Buy	12/02/20	J		
521. Starbucks Corp (SBUX)	A	Dividend	K	T					
522. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
523. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
524. Account #14 (H)									
525. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
526. BP PLC (BP)	A	Dividend	J	T					
527. Canopy Growth Corp (CGC)		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 =\$250,000,001 - \$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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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)
528. Carnival Corp Paired Shs (CCL)		None	J	T	Buy	12/02/20	J		
529. II-VI Inc (IIVI)		None	K	T					
530. Norweigan Crusie Line (NCLH)		None	J	T	Buy	12/02/20	J		
531. Starbucks Corp (SBUX)	A	Dividend	K	T					
532. Vivendi SHS UNSP ADR (VIVHY)	A	Dividend	J	T					
533. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
534. Account #15 (H)									
535. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
536. BP PLC (BP)	A	Dividend	J	T					
537. Canopy Growth Corp (CGC)		None	J	T					
538. Carnival Corp Paired Shs (CCL)		None	J	T	Buy	12/02/20	J		
539. II-VI Inc (IIVI)		None	K	T					
540. Norweigan Crusie Line (NCLH)		None	J	T	Buy	12/02/20	J		
541. Starbucks Corp (SBUX)	A	Dividend	K	T					
542. Valero Energy Corp (VLO)	A	Dividend	J	T					
543. Account #16 (H)									
544. Carnival Corp (CCL) (X)		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 =\$250,000,001 - \$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)
545. Exxon Mobil (XOM)	A	Dividend	J	T	Buy	07/21/20	J		
546. Account #19 (H)									
547. ML Bank Deposit Program (X)	A	Interest	J	T					
548. Arista Networks Inc (ANET)		None	M	T	Buy (add'l)	02/26/20	K		**
549. Biomarin Pharmaceuticals (BMRN)		None	N	T	Buy	02/06/20	K		
550.					Sold	02/21/20	K	B	
551.					Buy	02/26/20	L		
552.					Buy (add'l)	05/20/20	M		
553.					Sold	06/19/20	M	D	
554.					Buy	06/24/20	L		
555.					Sold	07/17/20	L	E	
556.					Buy	07/22/20	L		
557.					Buy (add'l)	08/26/20	L		
558.					Buy (add'l)	09/24/20	K		
559. Canopy Growth Corp (CGC)		None	K	T					**
560. Carnival Corp (CCL)		None	L	T	Buy	03/25/20	J		
561.					Buy (add'l)	05/20/20	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)
562.					Sold	06/19/20	K	D	
563.					Buy	06/24/20	L		
564. Cisco Systems (CSCO)		None	K	T	Buy	10/22/20	K		
565. Corning Inc (GLW)	A	Dividend	K	T	Buy (add'l)	10/01/20	K		**
566.					Sold	10/16/20	K	B	
567.					Buy	10/21/20	K		
568. Desktop Metal Inc (DM)		None	L	T	Buy	12/23/20	K		
569. Exxon Mobil Corp (XOM)	C	Dividend	K	T	Buy	03/10/20	J		
570.					Buy (add'l)	03/25/20	J		
571.					Buy (add'l)	03/26/20	K		
572.					Sold (part)	04/17/20	K	C	
573.					Buy (add'l)	04/22/20	K		
574. FireEye Inc (FEYE)		None	K	T					**
575. Gossamer Bio Inc (GOSS)		None	K	T	Buy (add'l)	02/26/20	J		**
576.					Buy	10/21/20	J		
577.					Buy (add'l)	11/30/20	J		
578. Homology Medicines Inc (FIXX)		None	K	T	Buy	07/22/20	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)
579.					Buy (add'l)	08/05/20	J		
580.					Buy (add'l)	08/26/20	J		
581. II-VI Inc (IIVI)		None	M	T	Buy (add'l)	04/22/20	K		**
582.					Sold	06/19/20	M	E	
583.					Buy	06/24/20	M		
584.					Buy (add'l)	07/22/20	K		
585.					Buy (add'l)	08/26/20	K		
586.					Sold (part)	11/20/20	L		
587. Micron Technology (MU)		None	M	T	Buy	10/22/20	K		
588.					Sold	11/20/20	K	B	
589.					Buy	11/30/20	L		
590. Norwegian Cruise Line (NCLH)		None	M	T	Buy	03/25/20	J		
591.					Sold	04/17/20	J	C	
592.					Buy	04/23/20	J		
593.					Buy (add'l)	05/20/20	J		
594.					Sold (part)	06/19/20	J	C	
595.					Buy (add'l)	06/24/20	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.)

☐ 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)
596.					Sold	11/20/20	K	D	
597.					Buy	11/30/20	K		
598. Nutanix Inc (NTNX)		None	L	T	Sold	01/17/20	K		**
599.					Buy	01/23/20	L		
600. Palo Alto Networks (PALN)		None	M	T	Buy	07/02/20	M		
601.					Sold	08/21/20	M	D	
602.					Buy	09/18/20	M		
603. Ping Identity Hldg Corp (PING)		None	K	T	Buy	07/23/20	K		
604. Skyworks Solutions Inc (SWKS)	B	Dividend	M	T	Buy	02/26/20	L		
605.					Buy (add'l)	04/13/20	K		
606.					Sold	05/15/20	M	D	
607.					Buy	05/20/20	M		
608.					Sold	06/19/20	M		
609.					Buy	06/24/20	M		
610.					Sold	08/21/20	M	D	
611.					Buy	08/26/20	M		
612. Southwest Airlines (LUV)		None	L	T	Buy	05/22/20	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)
613.					Sold	06/19/20	K	C	
614.					Buy (add'l)	06/24/20	K		
615.					Buy (add'l)	07/22/20	K		
616.					Sold (part)	11/20/20	K	D	
617.					Buy (add'l)	11/30/20	K		
618. Surgery Partners Inc (SGRY)		None	L	T	Buy	05/22/20	K		
619. Trine Acquisition Corp (TRNE)		None			Buy	10/22/20	J		
620.					Sold	12/10/20	J		
621. United Airlines Hldgs (UAL)		None	M	T	Buy	12/21/20	M		
622. Wynn Resorts LTD (WYNN)	B	Dividend	N	T	Sold	01/17/20	N	E	**
623.					Buy	01/22/20	N		
624.					Buy (add'l)	04/14/20	K		
625.					Buy (add'l)	07/06/20	L		
626.					Sold (part)	08/21/20	L		
627.					Sold (part)	11/20/20	L		
628.					Buy (add'l)	11/30/20	L		
629. Xilinx Inc (XLNX)	A	Dividend			Buy	07/09/20	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

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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)
630.					Sold	12/21/20	M	E	
631. CALL NCLH		None	J	T	Buy	12/11/20	J		
632. CALL UAL		None	J	T	Buy	12/21/20	J		
633. CALL CCL		None	J	T	Buy	12/21/20	J		
634. CALL SGRY		None	J	T	Buy	11/25/20	J		
635. CALL WYNN		None	K	T	Buy	11/25/20	K		
636. CALL PANW		None	K	T	Buy	10/19/20	K		
637. CALL NTNX		None	J	T	Buy	10/19/20	J		
638. CALL MU		None	J	T	Buy	12/08/20	J		
639. CALL LUV		None	J	T	Buy	10/19/20	J		
640. CALL FEYE		None	J	T	Buy	11/25/20	J		
641. CALL ANET		None	K	T	Buy	10/19/20	K		
642. CALL GOSS		None	J	T	Buy	11/25/20	J		
643. CALL DM		None	J	T	Buy	12/21/20	J		
644. CALL IIVI		None	L	T	Buy	10/19/20	L		
645. CALL BMRN		None	K	T	Buy	11/25/20	K		
646. CALL SWKS		None	J	T	Buy	11/25/20	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)
647. Account #20 (H)									
648. ML Bank Deposit Program (cash) (X)	A	Interest	L	T					
649. Arista Networks Inc (ANET)		None	L	T					***
650. BioMarin Pharmaceutical Inc (BMRN)		None	L	T	Buy	02/06/20	K		
651.					Sold	02/21/20	K	B	
652.					Buy	02/27/20	K		
653.					Buy (add'l)	05/20/20	K		
654.					Sold (part)	06/19/20	K	D	
655.					Buy (add'l)	06/24/20	L		
656.					Sold (part)	07/17/20	L	E	
657.					Buy (add'l)	07/22/20	L		
658. Canopy Growth Corp (CGC)		None	L	T					***
659. Carnival Corp (CCL)		None	K	T	Buy	03/25/20	J		
660.					Sold	06/23/20	K	D	
661.					Buy	06/24/20	K		
662.					Buy (add'l)	12/01/20	K		
663.					Buy (add'l)	12/23/20	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	

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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)
664. Corning Inc (GLW)	A	Dividend	K	T					***
665. Crispr Therapeutics AG (CRSP)		None	M	T	Sold	06/19/20	K		***
666.					Buy	06/24/20	K		
667.					Sold	07/17/20	K	C	
668.					Buy	12/01/20	M		
669. FireEye Inc (FEYE)		None	K	T					***
670. Gossamer Bio Inc (GOSS)		None	L	T	Buy (add'l)	02/27/20	J		***
671.					Buy (add'l)	10/21/20	J		
672.					Buy (add'l)	12/01/20	J		
673.					Buy (add'l)	12/23/20	K		
674. Homology Medicines Inc (FIXX)		None	K	T	Buy	07/22/20	K		
675.					Buy (add'l)	08/05/20	J		
676. II-VI Inc (IIVI)		None	L	T	Buy (add'l)	01/23/20	K		***
677.					Sold	06/19/20	M	D	
678.					Buy	06/24/20	M		
679.					Sold (part)	11/20/20	K		
680. Impinj Inc (PI)		None	J	T	Buy	04/23/20	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

Moody, Jr., James S.

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)
681.					Sold (part)	05/15/20	J	B	
682.					Buy (add'l)	05/20/20	K		
683.					Sold	06/19/20	K		
684.					Buy (add'l)	06/24/20	K		
685.					Sold (part)	09/22/20	K	A	
686.					Buy (add'l)	09/23/20	K		
687.					Sold (part)	11/20/20	K	C	
688. Invitae Corp (NVTA)		None	K	T	Buy (add'l)	01/23/20	K		***
689.					Sold	02/25/20	K	C	
690.					Buy	02/27/20	K		
691.					Sold	07/17/20	L	E	
692.					Buy	07/22/20	L		
693.					Sold	08/21/20	L	D	
694.					Buy	08/26/20	L		
695.					Sold (part)	09/22/20	K	C	
696.					Buy (add'l)	09/23/20	L		
697.					Sold	10/16/20	M	E	

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

Moody, Jr., James S.

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)
698.					Buy	12/01/20	K		
699. Micron Technology (X)		None	K	T					
700. New Relic Inc (NEWR)		None	M	T	Buy (add'l)	01/23/20	M		***
701.					Sold	06/19/20	M		
702.					Buy	06/24/20	M		
703.					Sold	10/16/20	M		
704.					Buy	10/21/20	M		
705. Norwegian Cruise Line (NCHL) (X)		None	M	T					
706. Nutanix Inc (NTNX)		None	K	T	Buy	09/24/20	K		
707. Occidental Pete Corp Cal (OXY) (X)		None	K	T					
708. Palo Alto Networks Inc (PANW)		None	M	T	Buy	01/09/20	K		
709.					Buy (add'l)	02/27/20	K		
710.					Sold	05/15/20	K	A	
711.					Buy	05/20/20	K		
712.					Buy (add'l)	06/24/20	L		
713.					Sold (part)	08/21/20	L	D	
714. Ping Identity Hldg Corp (PING)		None	K	T	Buy	07/23/20	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)
715.					Buy (add'l)	07/29/20	K		
716. Regions Finl Corp (RF)	B	Dividend	J	T					***
717. Sorrento Therapeutics Inc (SRNE)		None	K	T	Buy	12/23/20	K		
718. Truist Finl Corp (TFC)	A	Dividend	K	T	Buy (add'l)	01/24/20	J		***
719.					Buy (add'l)	03/10/20	J		
720. United Airlines Hldgs (UAL) (X)		None	K	T					
721. Wells Fargo & Co (WFC)	B	Dividend	K	T	Buy (add'l)	03/10/20	J		***
722. Wynn Resorts Ltd (WYNN)	A	Dividend	M	T	Buy	02/27/20	L		
723. CALL ANET		None	J	T	Buy	10/19/20	J		
724. CALL NCLH		None	J	T	Buy	12/21/20	J		
725. CALL SRNE		None	J	T	Buy	12/21/20	J		
726. CALL NEWR		None	J	T	Buy	12/21/20	J		
727. CALL WYNN		None	J	T	Buy	11/27/20	J		
728. CALL PANW		None	L	T	Buy	10/19/20	L		
729. CALL NTNX		None	J	T	Buy	10/19/20	J		
730. CALL MU		None	J	T	Buy	12/08/20	J		
731. CALL FEYE		None	J	T	Buy	11/27/20	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)
732. CALL GOSS		None	J	T	Buy	11/27/20	J		
733. CALL CRSP		None	K	T	Buy	11/27/20	K		
734. CALL IIVI		None	K	T	Buy	10/19/20	K		
735. CALL BMRN		None	J	T	Buy	11/27/20	J		

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

A =\$1,000 or less
F =\$50,001 - \$100,000

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

3 Value Method Codes
(See Column C2)

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

Part VII, line 3: 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.

Individual Assets, Other Holdings, and Real Property holdings of the prior report have been consolidated under Individual Assets in this report.

Options #1 of the prior report has been consolidated with Account #5 in this 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.

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.

Part VII, Column D(5):

- * denotes an asset transferred from Brokerage Account #5 of the prior report.
- ** denotes an asset transferred from Brokerage Account #4 of the prior report.
- *** denotes an asset transferred from Trust #1 of the prior report.

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Name of Person Reporting

Moody, Jr., James S.

Date of Report

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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/ **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
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