

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) Halpern, Philip M.	2. Court or Organization United States District Court - Southern District of New York	3. Date of Report 5/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address United States District Court, Southern District of New York 300 Quarropas Street, Chambers Room 530 White Plains, New York, 10601		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Visitor	Elisabeth Haub School of Law at Pace University
2. Director	Metropolitan Golf Association
3. Director	Foundation No. I
4. Trustee	Revocable Trust No. I
5. Trustee	Irrevocable Trust No. I

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2019	Buyout Agreement with Collier,Newberg,LLP
2.	
3.	

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

A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	ADP Totalsource Inc./ salary	\$3,640.00
2. 2020	Collier, Halpern&Newberg, LLP/mediation fees and phantom income	\$28,861.00
3. 2020	Collier, Newberg,LLP/ buyout	\$839,477.00
4. 2020	American Bar Assn./Book royalties	\$596.00

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.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
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. AC ALTERNATIVE INC	A	Dividend			Buy	01/31/20	J		
2.					Sold	04/02/20	K		
3. ABBVIE INC COM	A	Dividend	K	T	Buy	05/11/20	K		
4. ADIENT PLC COM		None	J	T					
5. ALLERGAN PLC SHS	A	Dividend			Redeemed	05/11/20	K	B	
6. ALPHABET INC CL A		None	K	T	Buy	04/01/20	J		
7.					Buy	04/02/20	K		
8.					Sold (part)	12/18/20	K	D	
9.					Sold (part)	12/28/20	J	C	
10.					Sold (part)	12/31/20	J	D	
11. AMAZON COM INC		None	M	T	Buy	04/01/20	J		
12.					Buy	04/02/20	K		
13. AMBASE CORP		None	J	T					
14. AMER CENT EMERG MKTS I	A	Dividend	K	T	Buy	01/31/20	J		
15.					Buy	03/03/20	J		
16.					Sold (part)	03/11/20	J		
17.					Sold (part)	04/01/20	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	

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)
18.					Buy	04/02/20	J		
19.					Sold (part)	05/08/20	J		
20. APPLE INC	C	Dividend	O	T	Buy	03/25/20	M		
21.					Buy	04/01/20	J		
22.					Buy	04/02/20	K		
23.					Sold (part)	12/18/20	J	C	
24. BANK OF AMERICA CORP	A	Dividend	K	T	Buy	04/01/20	J		
25.					Buy	04/02/20	K		
26.					Sold (part)	12/28/20	J	C	
27.					Sold (part)	12/31/20	J	B	
28. BERKSHIRE HATHAWAY CL-B NEW		None	L	T	Buy	04/01/20	J		
29.					Buy	04/02/20	K		
30.					Sold (part)	12/31/20	K	C	
31. BOEING CO		None	J	T	Buy	04/01/20	J		
32.					Buy	04/02/20	K		
33.					Sold (part)	12/28/20	K	D	
34.					Sold (part)	12/31/20	J	D	

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

D =\$5,001 - \$15,000
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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35. BLACKSTONE GROUP INC CL A	C	Dividend	L	T					
36. BNY MELLON GLB REAL RETURN I	A	Dividend	J	T	Buy	03/03/20	J		
37.					Sold (part)	04/01/20	J		
38. BNY MELLON DYNAMIC TOT RET I		None			Buy	01/31/20	J		
39.					Sold	03/03/20	J		
40.					Sold	03/11/20	J		
41.					Sold	04/02/20	J		
42. BNY MELLON INTL STK I	B	Dividend	L	T	Buy	02/24/20	J		
43.					Buy	03/03/20	J		
44.					Buy	03/11/20	J		
45.					Sold (part)	04/01/20	J		
46.					Buy	04/02/20	K		
47.					Sold (part)	04/02/20	J		
48.					Sold (part)	05/06/20	J	A	
49. BNY MELLON MUN BD INFRASTRUCTU	B	Dividend	K	T					
50. BRIGHTHOUSE FINL INC		None			Sold	04/02/20	J		
51. CAPITAL ONE FINANCIAL CORP	A	Dividend	L	T					

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52. CHEVRON CORP	B	Dividend	K	T					
53. COMM SERV. SELECT SECTOR SDRR	A	Dividend	L	T	Buy	01/31/20	J		
54.					Buy	02/24/20	J		
55.					Buy	03/03/20	J		
56.					Buy	03/11/20	J		
57.					Sold (part)	04/01/20	J		
58.					Buy	04/02/20	K		
59.					Sold (part)	04/02/20	J		
60. CONOCOPHILLIPS	B	Dividend	K	T					
61. CONS DISCRET SEL SECT SPDR FD	A	Dividend	L	T	Buy	01/31/20	J		
62.					Buy	03/03/20	J		
63.					Sold (part)	03/11/20	J	A	
64.					Sold (part)	04/01/20	J	A	
65.					Sold (part)	04/02/20	J		
66.					Sold (part)	05/07/20	J	B	
67.					Sold (part)	12/18/20	J	C	
68. CONS STAPLES SEL SECT SPDR FD	B	Dividend	L	T	Buy	01/31/20	J		

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69.					Buy	03/03/20	J		
70.					Buy	03/11/20	J		
71.					Sold (part)	04/01/20	J		
72.					Buy	04/02/20	J		
73.					Sold (part)	04/02/20	J		
74. DBX ETF TR XTRACK MSCI EURP	A	Dividend	J	T	Sold (part)	03/03/20	J		
75.					Buy	03/11/20	J		
76.					Sold (part)	04/01/20	J		
77.					Buy	04/02/20	K		
78.					Sold (part)	05/07/20	J		
79.					Sold (part)	12/28/20	K	D	
80. DELAWARE SMID CAP GROWTH INST	D	Distribution	M	T	Buy	01/31/20	J		
81.					Buy	03/11/20	J		
82.					Buy	04/02/20	J		
83.					Sold (part)	04/02/20	J		
84. DELAWARE VALUE INSTL	A	Dividend			Buy	01/31/20	J		
85.					Sold	03/03/20	J		

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2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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86.					Sold	03/11/20	J		
87.					Sold	04/01/20	J		
88.					Sold	04/02/20	K		
89. DELTA AIR LINES INC NEW	A	Dividend	L	T	Buy	12/31/20	K		
90. DOUBLELINE INCOME SOLUTIONS FD	D	Dividend	L	T	Buy	01/31/20	J		
91.					Buy	03/03/20	J		
92.					Buy	03/11/20	J		
93.					Buy	04/01/20	J		
94.					Buy	04/02/20	J		
95. ENERGY SEL SECT SPDR FD	B	Dividend	K	T	Sold (part)	03/03/20	J		
96.					Buy	03/11/20	J		
97.					Buy	04/01/20	J		
98.					Buy	04/02/20	J		
99. EXXON MOBIL CORP	E	Dividend	N	T	Buy	03/25/20	K		
100.					Buy	04/01/20	J		
101.					Buy	04/02/20	K		
102. FACEBOOK INC CL-A		None	L	T					

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103. FEDEX CORP	A	Dividend	K	T	Buy	04/01/20	J		
104.					Buy	04/02/20	K		
105.					Sold (part)	12/18/20	J	B	
106.					Sold (part)	12/31/20	J	D	
107. FIRST TR HIGH YL LG/SHT ETF	C	Dividend	L	T	Buy	01/31/20	J		
108.					Buy	03/03/20	J		
109.					Sold (part)	03/11/20	J		
110.					Sold (part)	04/01/20	J		
111.					Buy	04/02/20	J		
112. FIRST TRST HLTH CARE ALPHA ETF		None	K	T	Buy	01/31/20	J		
113.					Buy	03/03/20	J		
114.					Buy	03/11/20	J		
115.					Sold (part)	04/01/20	J		
116.					Sold (part)	04/02/20	J		
117. FIRST TRUST AMEX BIOTECH		None	L	T	Buy	01/31/20	J		
118.					Buy	03/03/20	J		
119.					Buy	03/11/20	J		

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120.					Sold (part)	04/01/20	J		
121.					Buy	04/02/20	K		
122. FIRST TRUST EUROPE		None			Buy	01/31/20	J		
123.					Sold	02/24/20	J		
124.					Buy	03/03/20	J		
125.					Sold	03/11/20	J		
126.					Sold	03/17/20	K		
127. FIRST TRUST INDS/PRODS ETF	A	Dividend			Buy	01/31/20	J		
128.					Sold	03/03/20	J		
129.					Sold	03/11/20	J		
130.					Sold	04/01/20	J		
131.					Sold	04/02/20	J		
132. FIRST TRUST JAPAN	A	Dividend			Buy	01/31/20	J		
133.					Sold	02/28/20	K		
134. FIRST TRUST LOW DURATION OPP	A	Dividend	K	T	Buy	03/03/20	J		
135.					Buy	03/11/20	J		
136.					Sold (part)	04/01/20	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)
137.					Buy	04/02/20	K		
138. FIRST TRUST NASDAQ ABF CBIF	A	Dividend			Buy	01/31/20	J		
139.					Sold	03/03/20	J	A	
140.					Sold	03/11/20	J		
141.					Sold	04/02/20	J		
142. FIRST TRUST SENIOR LOAN FUND	A	Dividend	J	T	Buy	03/03/20	J		
143.					Sold (part)	04/01/20	J		
144. FIRST TRUST VALUE LINE DIV IDX	A	Dividend			Buy	03/03/20	J		
145.					Buy	03/11/20	J		
146.					Sold	04/01/20	J		
147.					Buy	04/02/20	K		
148.					Sold	04/02/20	J		
149.					Sold	05/06/20	K	A	
150. FT ENHANCED SHORT MURITY ETF	A	Dividend	J	T	Buy	01/31/20	J		
151.					Sold (part)	03/03/20	J	A	
152.					Sold (part)	03/11/20	J	A	
153.					Sold (part)	04/01/20	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) 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 (part)	04/02/20	K		
155. FT NORTH AMERICAN ENERGY INFRA	B	Dividend	K	T	Buy	01/31/20	J		
156.					Buy	03/03/20	J		
157.					Sold (part)	03/11/20	J		
158.					Buy	04/01/20	J		
159.					Sold (part)	04/02/20	K		
160.					Sold (part)	05/07/20	J		
161. FT-PREFERRED SECUR & INC ETF	B	Dividend	K	T	Buy	01/31/20	J		
162.					Buy	03/03/20	J		
163.					Sold (part)	03/11/20	J		
164.					Sold (part)	04/01/20	J		
165.					Buy	04/02/20	J		
166. GENERAL ELECTRIC CO	A	Dividend	K	T	Buy	04/02/20	K		
167. HARTFORD SCHRODER EM MKT EQ I	A	Dividend	M	T	Buy	01/31/20	J		
168.					Buy	03/03/20	J		
169.					Buy	03/11/20	J		
170.					Sold (part)	04/01/20	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	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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)
171.					Sold (part)	04/02/20	J		
172. HEALTH CARE SEL SECT SPDR FD	C	Dividend	M	T	Buy	01/31/20	J		
173.					Buy	03/03/20	J		
174.					Buy	03/11/20	J		
175.					Sold (part)	04/01/20	J		
176.					Sold (part)	04/02/20	J		
177. INDUSTRIAL SEL SEC SPDR FD	A	Dividend	K	T	Buy	01/31/20	J		
178.					Sold (part)	03/11/20	J		
179.					Buy	04/01/20	J		
180.					Buy	04/02/20	J		
181.					Sold (part)	04/02/20	J		
182. INTL BUSINESS MACHINES CORP	B	Dividend	J	T	Buy	04/01/20	J		
183.					Buy	04/02/20	K		
184.					Sold (part)	12/18/20	K	C	
185. INVESCO EMER MRKTS SOVER ETF	A	Dividend			Buy	01/31/20	J		
186.					Sold	04/02/20	J		
187. INVESCO MUNI INCOME A	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) 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. INVESCO OPP RCH MUNICIPALS Y	A	Dividend			Sold	04/02/20	J	A	
189. ISHARES INC MSCI JAPAN ETF		None			Buy	01/31/20	J		
190.					Sold	03/03/20	J	A	
191.					Sold	03/11/20	J	A	
192.					Sold	04/02/20	K		
193. ISHARES JP MORGAN EM BOND ETF	A	Dividend	J	T	Buy	01/31/20	J		
194.					Sold (part)	04/01/20	J		
195.					Sold (part)	04/02/20	J		
196. ISHARES MSCI BRIC ETF		None			Buy	01/31/20	J		
197.					Sold	03/03/20	J	A	
198.					Sold	03/11/20	J	A	
199.					Sold	04/02/20	K		
200. ISHARES MSCI CANADA ETF		None			Buy	01/31/20	J		
201.					Sold	03/11/20	J		
202.					Buy	04/01/20	J		
203.					Sold	04/02/20	K		
204.					Sold	05/07/20	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	
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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)
205. ISHARES MSCI EAFE ETF	A	Dividend	K	T					
206. ISHARES MSCI EAFE GRWTH ETF	A	Dividend	L	T	Buy	01/31/20	J		
207.					Sold (part)	03/03/20	J	B	
208.					Sold (part)	03/11/20	J	A	
209.					Buy	04/01/20	J		
210.					Sold (part)	04/02/20	J		
211. ISHARES MSCI EMERGING MKTS ETF	A	Dividend	J	T	Buy	01/31/20	J		
212.					Sold (part)	03/11/20	J	A	
213.					Buy	04/01/20	J		
214.					Sold (part)	04/02/20	K		
215. ISHARES MSCI EMU ETF	A	Dividend	J	T	Buy	01/31/20	J		
216.					Sold (part)	03/11/20	J		
217.					Buy	04/01/20	J		
218.					Sold (part)	04/02/20	L		
219. ISHARES MSCI EURO FINANCIAL ETF		None			Buy	03/11/20	J		
220.					Sold	04/02/20	J		
221. ISHARES MSCI FRONTIER 100 ETF		None			Buy	01/31/20	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)
222.					Sold	03/11/20	J		
223.					Sold	04/02/20	J		
224. ISHARES MSCI GERMANY ETF	A	Dividend	K	T	Buy	03/11/20	J		
225.					Buy	04/02/20	K		
226. ISHARES MSCI ITALY ETF	A	Dividend	K	T	Buy	03/11/20	J		
227.					Buy	04/02/20	K		
228. ISHARES MSCI UNITED KINGDOM ETF	A	Dividend	K	T	Buy	03/03/20	J		
229.					Buy	03/11/20	J		
230.					Sold (part)	04/01/20	J		
231.					Buy	04/02/20	K		
232.					Sold (part)	04/02/20	J		
233. ISHARES PREFERRED & INCOME S	A	Dividend	J	T	Buy	01/31/20	J		
234.					Sold (part)	03/11/20	J		
235.					Buy	04/01/20	J		
236.					Sold (part)	04/02/20	K		
237. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	K	T	Buy	01/31/20	J		
238.					Sold (part)	03/11/20	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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☐ 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)
239.					Buy	04/01/20	J		
240.					Sold (part)	04/02/20	K		
241. ISHARES SP SMALLCAP 600 INDEX	A	Dividend	K	T	Buy	01/31/20	J		
242.					Buy	03/03/20	J		
243.					Sold (part)	03/11/20	J		
244.					Buy	04/01/20	J		
245.					Sold (part)	04/02/20	K		
246. JOHN HANCOCK MULTI FACT MID	A	Dividend	K	T	Buy	03/11/20	J		
247.					Buy	04/02/20	J		
248. JETBLUE AWYS CORP COM		None	K	T	Buy	12/31/20	K		
249. JOHNSON & JOHNSON	A	Dividend	K	T	Buy	04/01/20	J		
250.					Buy	04/02/20	K		
251.					Sold (part)	12/18/20	J	B	
252. JOHNSON CTLS INTL PLC	A	Dividend	K	T					
253. JPMORGAN CHASE & CO	B	Dividend	L	T	Buy	04/01/20	J		
254.					Buy	04/02/20	K		
255.					Buy	12/31/20	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 (See Columns C1 and D3)	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Column C2)	N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000 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)
256. JPMORGAN EQUITY INCOME I	A	Dividend	K	T	Buy	01/31/20	J		
257.					Buy	03/03/20	J		
258.					Buy	03/11/20	J		
259.					Sold (part)	04/01/20	J		
260.					Buy	04/02/20	J		
261.					Sold (part)	04/02/20	J		
262. JPMORGAN GLOBAL BD OPPORT I	A	Dividend	J	T	Buy	01/31/20	J		
263.					Buy	03/03/20	J		
264.					Sold (part)	03/12/20	J		
265.					Sold (part)	04/01/20	J		
266.					Sold (part)	04/02/20	K		
267. JP MORGAN ULTRA-SHORT INC ETF	A	Dividend	K	T	Buy	01/31/20	J		
268.					Sold (part)	03/03/20	J	A	
269.					Sold (part)	03/11/20	J	A	
270.					Sold (part)	04/01/20	J		
271.					Sold (part)	04/02/20	K		
272. KRANESH BOSERA MSCI CHINA A	A	Dividend	L	T	Buy	03/03/20	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)
273.					Buy	03/11/20	J		
274.					Sold (part)	04/01/20	J		
275.					Buy	04/02/20	L		
276.					Sold (part)	05/08/20	J	A	
277.					Sold (part)	12/28/20	K	D	
278. MATERIALS SEL SECT SPDR FD	A	Dividend	K	T	Buy	01/31/20	J		
279.					Sold (part)	03/03/20	J	A	
280.					Buy	03/11/20	J		
281.					Buy	04/01/20	J		
282.					Sold (part)	04/02/20	J		
283.					Sold (part)	12/24/20	J	A	
284. MAINSTAY MCKAY SHTDUR HGYD I	A	Dividend			Buy	01/31/20	J		
285.					Sold	03/11/20	J		
286.					Sold	04/02/20	K		
287. METLIFE INCORORATED	A	Dividend	J	T					
288. MICROSOFT CORP	A	Dividend	L	T	Buy	04/01/20	J		
289.					Buy	04/02/20	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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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)
290.					Sold (part)	12/18/20	J	B	
291. MORGAN STANLEY	A	Dividend	K	T					
292. Morgan Stanley Bank Deposit	A	Dividend	P1	T					
293. NUV NEW YORK AMT-FREE MUNIC	A	Dividend	J	T					
294. NUVEEN NEW YORK MUNI VALUE FD	A	Dividend	J	T					
295. PIMCO DYN CREDIT & MORT INC FD	D	Dividend	M	T	Buy	01/31/20	J		
296.					Sold (part)	02/12/20	K	A	
297.					Sold (part)	02/13/20	J	A	
298.					Buy	03/03/20	J		
299.					Buy	03/11/20	J		
300.					Buy	04/01/20	J		
301.					Buy	04/02/20	K		
302. PORT AUTH NY NJ SPL PJ 6 JFK INTL AIR TERMINAL LLC PJCoupon 5.75% Matu	A	Dividend			Redeemed	12/31/20	J		
303. RAYTHEON TECHNOLOGIES CORP		None	K	T	Buy	12/31/20	K		
304. SPDR GOLD TR GOLD SHS		None	L	T	Buy	01/31/20	J		
305.					Buy	03/03/20	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)
306.					Buy	03/11/20	J		
307.					Sold (part)	04/01/20	J		
308.					Buy	04/02/20	J		
309.					Sold (part)	04/02/20	J		
310. SPDR S&P 500 ETF TRUST	B	Dividend	M	T					
311. SPDR S&P GLB NAT RESOURCES		None			Sold	02/24/20	J		
312. THE FINANCIAL SEL SECT SPDR FD	B	Dividend	L	T	Buy	01/31/20	J		
313.					Sold (part)	03/03/20	J		
314.					Buy	03/11/20	J		
315.					Sold (part)	04/01/20	J	A	
316.					Sold (part)	04/02/20	K		
317. TRI CONTINENTAL CORP	E	Dividend	N	T					
318. UNIT IMIT MUNICIPAL INSURED NEW YORK 120 MPS	A	Interest	J	T					
319. UNUMPROVIDENT CORP	A	Dividend	J	T					
320. UTILITIES SEL SECT SPDR FUND	B	Dividend	K	T	Buy	01/31/20	J		
321.					Buy	03/03/20	J		
322.					Buy	03/11/20	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 (See Columns C1 and D3)	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000				
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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)
323.					Sold (part)	04/01/20	J		
324.					Sold (part)	04/02/20	J		
325.					Sold (part)	05/07/20	J		
326.					Sold (part)	05/08/20	J		
327. VANGUARD FTSE EMERGING MARKETS		None			Sold	03/03/20	J		
328. VANGUARD FTSE PACIFIC ETF	A	Dividend	J	T	Buy	01/31/20	J		
329.					Sold (part)	03/03/20	J	A	
330.					Sold (part)	03/11/20	J		
331.					Buy	04/01/20	J		
332.					Sold (part)	04/02/20	L		
333. VANGUARD GLBL EX-US REAL EST		None			Sold	02/24/20	J		
334. VANGUARD INFO TECH ETF	C	Dividend	M	T	Buy	01/31/20	K		
335.					Sold (part)	03/03/20	J	A	
336.					Sold (part)	04/01/20	J	B	
337.					Sold (part)	04/02/20	J		
338.					Sold (part)	12/18/20	L	E	
339.					Sold (part)	12/31/20	K	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
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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)
340. VANGUARD INTL EQUITY INDEX FD	A	Dividend			Buy	01/31/20	J		
341.					Sold	03/11/20	J		
342.					Sold	04/02/20	K		
343. VANGUARD MID CAP VALUE ETF	A	Dividend			Buy	03/03/20	J		
344.					Buy	03/11/20	J		
345.					Sold	04/01/20	J		
346.					Sold	04/02/20	J		
347. VANGUARD REAL ESTATE ETF	B	Dividend	L	T	Buy	01/31/20	J		
348.					Buy	03/03/20	J		
349.					Buy	03/11/20	J		
350.					Buy	04/01/20	J		
351.					Buy	04/02/20	K		
352. VANGUARD SM CAP VALUE ETF	A	Dividend	J	T	Buy	03/03/20	J		
353.					Buy	03/11/20	J		
354.					Sold (part)	04/01/20	J		
355.					Sold (part)	04/02/20	J		
356. VICTORY RS INTL A	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	
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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)
357. VIRTUS INVESTMENT PARTNERS INC	A	Dividend	J	T					
358. VIRTUS VONTOBEL EMRG MKT OPP I		None			Buy	01/31/20	J		
359.					Sold	03/11/20	J	A	
360.					Sold	04/02/20	J		
361. WABTEC CORP	A	Dividend	J	T					
362. WALT DISNEY CO HLDG CO		None	L	T	Buy	04/01/20	J		
363.					Buy	04/02/20	K		
364.					Sold (part)	12/18/20	J	C	
365.					Sold (part)	12/31/20	J	C	
366. WISDOMTREE TR INT RT HDG HIGH YIELD BOND	A	Dividend			Buy	02/20/20	L		
367.					Sold	03/03/20	J		
368.					Sold	03/11/20	J		
369.					Sold	04/01/20	J		
370.					Sold	04/02/20	K		
371. WISDOMTREE TR US MIDCAP FUND	A	Dividend	J	T	Sold (part)	03/11/20	J	A	
372.					Buy	04/01/20	J		
373.					Sold (part)	04/02/20	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
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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)
374. WISDOMTREE US SMALLCAP DIV FUND	A	Dividend			Sold	02/27/20	J	A	
375.					Sold	02/28/20	J	A	
376. ADOBE INC		None	J	T	Sold (part)	06/17/20	J	A	
377. ALPHABET INC CL A		None	K	T	Buy	06/18/20	J		
378. AMERICAN TOWER CORP	A	Dividend	J	T	Buy	03/18/20	J		
379.					Buy	03/19/20	J		
380.					Sold (part)	12/09/20	J	A	
381. AMAZON.COM INC		None	K	T	Sold (part)	10/06/20	J	B	
382.					Buy	11/24/20	J		
383. APPLE INC	A	Dividend	M	T	Buy	03/04/20	J		
384.					Sold (part)	12/09/20	J	B	
385. APPLIED MATERIAL INC		None	J	T	Buy	12/09/20	J		
386.					Buy	12/10/20	J		
387. BANK OF AMERICA NA		None	J	T					
388. BECTON DICKINSON CO	A	Dividend	K	T					
389. CASH MERRILL LYNCH	A	Interest	K	T					
390. COSTCO WHOLESALE CORPORATION	A	Dividend	J	T	Buy	03/17/20	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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	(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)
391.					Buy	03/18/20	J		
392.					Sold (part)	06/17/20	J	A	
393. CISCO SYSTEMS INC	A	Dividend			Sold	03/02/20	J	A	
394. CHEVRON CORP	A	Dividend	J	T					
395. D.R. HORTON INC	A	Dividend	J	T	Buy	03/17/20	J		
396.					Buy	03/18/20	J		
397. DOVER CORP	A	Dividend	J	T	Buy	06/17/20	J		
398.					Buy	06/18/20	J		
399. DOMINO'S PIZZA INC		None			Sold	02/07/20	J	A	
400.					Sold	02/10/20	J	A	
401.					Sold	02/11/20	J	A	
402.					Sold	02/12/20	J	A	
403. EATON VANCE BALANCED FUND CL I	B	Dividend	L	T					
404. ECOLAB INC	A	Dividend	J	T					
405. EDWARDS LIFESCIENCES CORP		None	J	T	Buy	06/08/20	J		
406.					Buy	06/17/20	J		
407. ESTEE LAUDER COMPANIES INC	A	Dividend	J	T	Sold (part)	03/17/20	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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Name of Person Reporting

Halpern, Philip M.

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5/05/2021

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)
408. FACEBOOK INC		None	K	T	Sold (part)	06/17/20	J	A	
409. FINANCIAL SELECT SECTOR SPDR FUND	A	Dividend	J	T	Buy	12/09/20	J		
410. FIRST REPUBLIC BANK	A	Dividend	J	T	Buy	06/08/20	J		
411. GENERAL DYNAMICS CORPORATION	A	Dividend	J	T	Buy	06/17/20	J		
412. GENERAL ELECTRIC	A	Dividend	J	T					
413. HONEYWELL INTERNATIONAL INC	A	Dividend	J	T	Buy	06/17/20	J		
414. INTERCONTINENTAL EXCHANGE INC	A	Dividend	J	T	Buy	02/07/20	J		
415.					Buy	02/10/20	J		
416.					Buy	02/11/20	J		
417.					Buy	02/12/20	J		
418.					Sold (part)	06/17/20	J	A	
419.					Sold (part)	06/18/20	J	A	
420. INTUIT INC	A	Dividend	J	T					
421. INTUITIVE SURGICAL INC		None	J	T					
422. INVESCO QQQ TRUST SERIES 1	A	Dividend	J	T	Buy	07/15/20	J		
423. ISHARES CORE U.S. AGGREGATE BOND ETF	A	Dividend	J	T					
424. ISHARES EDGE MSCI MIN VOL USA ETF	A	Dividend			Sold	07/15/20	J	C	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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)
425. ISHARES NATIONAL MUNI BOND ETF	A	Dividend	J	T					
426. ISHARES TIPS BOND ETF	A	Dividend	J	T	Buy	07/15/20	J		
427. JPMORGAN CHASE & CO	A	Dividend	J	T					
428. KNIGHT-SWIFT TRANSPORTATION HOLDINGS INC	A	Dividend			Sold	06/08/20	J	B	
429. LOWE'S COMPANIES INC	A	Dividend	J	T	Buy	03/17/20	J		
430.					Buy	03/18/20	J		
431.					Sold (part)	11/24/20	J	B	
432. MASTERCARD INC	A	Dividend	J	T					
433. MATERIALS SELECT SECTOR SPDR FUND		None			Sold	03/19/20	J		
434. MCDONALD'S CORP	A	Dividend	K	T	Buy	06/08/20	J		
435. MERCK & CO INC	A	Dividend			Buy	03/17/20	J		
436.					Buy	03/18/20	J		
437.					Sold	11/24/20	J	A	
438. MICROSOFT CORPORATION	A	Dividend	L	T	Sold (part)	02/07/20	J	A	
439. MODERNA INC		None	J	T	Buy	12/09/20	J		
440. NETFLIX INC		None	L	T	Sold (part)	03/02/20	J	A	
441.					Buy	03/17/20	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	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
442.					Buy	03/18/20	J		
443. NORTHROP GRUMMAN CORPORATION	A	Dividend			Sold	11/25/20	J	A	
444.					Sold	11/27/20	J	A	
445.					Sold	11/30/20	J	A	
446. NVIDIA CORPORATION	A	Dividend	J	T	Sold (part)	03/02/20	J	A	
447.					Buy	11/24/20	J		
448. NY GO BD Mar 13		None	K	T					
449. O'REILLY AUTOMOTIVE INC		None	J	T	Buy	02/07/20	J		
450.					Buy	02/10/20	J		
451.					Buy	02/11/20	J		
452.					Sold (part)	12/09/20	J	A	
453. PAYPAL HOLDINGS INC		None	K	T	Buy	03/02/20	J		
454.					Sold (part)	06/17/20	J	A	
455.					Buy	11/24/20	J		
456. RAYTHEON TECHNOLOGIES CORP	A	Dividend			Sold	12/09/20	J	A	
457. SALESFORCE.COM INC		None	J	T					
458. SPDR S&P MIDCAP 400 ETF TRUST		None			Sold	03/19/20	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)
459. SPDR S&P 500 ETF TRUST	A	Dividend	K	T					
460. SPOTIFY TECHNOLOGY S.A.		None	K	T					
461. TESLA INC		None	J	T	Buy	11/25/20	J		
462.					Buy	11/27/20	J		
463.					Buy	11/30/20	J		
464.					Buy	12/09/20	J		
465. TEXAS INSTRUMENTS INCORPORATED	A	Dividend	J	T	Buy	06/08/20	J		
466. THERMO FISHER SCIENTIFIC INC	A	Dividend	J	T	Buy	03/18/20	J		
467.					Sold (part)	11/24/20	J	B	
468. TJX COMPANIES INC	A	Dividend	J	T	Sold (part)	03/17/20	J	A	
469.					Buy	11/24/20	J		
470. UBER TECHNOLOGIES INC		None	J	T	Buy	02/07/20	J		
471.					Buy	02/10/20	J		
472.					Buy	02/11/20	J		
473.					Buy	02/12/20	J		
474.					Buy	03/02/20	J		
475.					Sold (part)	03/17/20	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) 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)
476.					Sold (part)	03/18/20	J	A	
477. UNITEDHEALTH GROUP INC	A	Dividend	J	T	Sold (part)	03/02/20	J	A	
478. VANGUARD GROWTH INDEX FUND ETF	A	Dividend	K	T	Buy	07/15/20	K		
479. VANGUARD MID-CAP GROWTH INDEX FUND ETF	A	Dividend	K	T	Sold (part)	12/09/20	J		
480. VANGUARD RUSSELL 1000 ET VALUE	A	Dividend			Sold	07/15/20	J	B	
481. VANGUARD VALUE INDEX FUND ETF	A	Dividend	J	T					
482. VISA INC	A	Dividend	K	T	Buy	11/24/20	J		
483. VMWARE INC		None	J	T	Buy	06/17/20	J		
484.					Buy	06/18/20	J		
485.					Buy	06/19/20	J		
486.					Sold (part)	12/09/20	J	A	
487. WALT DISNEY CO	A	Dividend	K	T					
488. WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP	A	Dividend			Sold	06/08/20	J	A	
489. WISDOMTREE US MIDCAP DIV FD	A	Dividend			Sold	07/15/20	J	A	
490. ZOETIS INC	A	Dividend	J	T					
491. Guardian Global Utilities VIP Fund		None	M	T					
492. Guardian Core Plus Fixed Income VIP Fund		None	J	T					

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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)
493. Guardian International Growth VIP Fund		None	J	T					
494. Guardian Large Cap Disciplined Value VIP Fund		None	J	T					
495. Guardian Large Cap Fundamental Growth VIP Fund		None	J	T					
496. Guardian Mid Cap Relative Value VIP Fund		None	J	T					
497. Guardian Mid Cap Traditional Growth VIP Fund		None	J	T					
498. Blackrock Advantage Large Cap Core CL 111		None	J	T					
499. Columbia Variable Portfolio Small Cap Value Fund Class 2		None	J	T					
500. Guardian Small Cap Core VIP Fund		None	J	T					
501. Victory Incore Investment Quality Bond VIP Series		None	J	T					
502. Victory Incore Low Duration Bond VIP Series		None	J	T					
503. MFS VIT New Discovery Series SC		None	J	T					
504. MFS VIT Technology Portfolio SC		None	J	T					
505. Guardian Multi-Sector Bond VIP Fund		None	J	T					
506. Guardian U.S. Government Securities VIP Fund		None	J	T					
507. Putnam VT Multi-Cap Core Fund		None	J	T					
508. Putnam VT Equity Income CL IB		None	J	T					
509. Templeton Foreign VIP Fund Class 2 Shares		None	J	T					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
510.									
511.									
512.									
513.									
514.									
515.									
516.									
517.									
518.									
519.									
520.									
521.									
522.									
523.									
524.									
525.									
526.									

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

I Positions:Filer has no beneficial interests in the two Trusts listed in items 4 and 5 in Part I. VIII Investments and Trusts: The assets listed on lines 491 through 509 do not show actual income earned ; and only show a unit value. Therefore, no information has been included in column B for those line items .

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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/ Philip M. Halpern**

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