

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Birotte, Jr., Andre                                                                                                                  | <b>2. Court or Organization</b><br><br>United States District Court, Central District of California                                                                                                                                                                                      | <b>3. Date of Report</b><br><br>08/11/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>United States District Judge (Active)                                         | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>United States District Court<br>350 W. First Street<br>Los Angeles, CA 90012                                                                                  |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Trustee      | Trust #1 (reportable assets are listed in Part VII)    |
| 2. Trustee      | Trust #2 (reportable assets are listed in Part VII)    |
| 3. Member       | MIA LAX LLC (reportable assets are listed in Part VII) |
| 4.              |                                                        |
| 5.              |                                                        |

## 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.          |                          |
| 2.          |                          |
| 3.          |                          |

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Name of Person Reporting

Birotte, Jr., Andre

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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.)*

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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Name of Person Reporting

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. INDIVIDUAL ASSETS (H)                                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 2. Wells Fargo (cash)                                                                                                      | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. Invesco Developing Markets Fund A (GTDDX)                                                                               |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. Janus Henderson Global Select Fund D (JANRX)                                                                            | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. MassMutual Whole Life Policy                                                                                            | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. Rental Property, Newark, NJ (1/2 Interest)                                                                              | E                                      | Rent                                   | N                                              | W                                  |                                           |                  |                          |                         |                                                            |
| 7. Rental Property, Miami-Dade County, FL (1/2 interest)                                                                   | E                                      | Rent                                   | N                                              | W                                  |                                           |                  |                          |                         |                                                            |
| 8. ACCOUNT #1 (H)                                                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 9. Flexshares Intl Qty Div Index ETF (IQDF)                                                                                | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/20/20         | J                        |                         |                                                            |
| 10. Goldman Sachs ACTVBETA US Lrg ETF (GSLC)                                                                               | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/24/20         | J                        | C                       |                                                            |
| 11. iShares Edge MSCI Min Vol Gbl ETF (ACWV)                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. Schwab US Large Cap ETF (SCHX)                                                                                         | A                                      | Dividend                               | J                                              | T                                  | Sold (part)                               | 08/13/20         | J                        | A                       |                                                            |
| 13. SPDR Long Term Treasury ETF (SPTL)                                                                                     | A                                      | Dividend                               |                                                |                                    | Buy                                       | 07/24/20         | J                        |                         |                                                            |
| 14.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 12/15/20         | J                        |                         |                                                            |
| 15. SPDR Mid Cap ETF (SPMD)                                                                                                | A                                      | Dividend                               | J                                              | T                                  | Buy (add'l)                               | 03/06/20         | J                        |                         |                                                            |
| 16.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 03/19/20         | J                        |                         |                                                            |
| 17.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 08/13/20         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Vanguard Total World Stock ETF (VT)                                                                                    | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 03/19/20         | J                        |                         |                                                            |
| 19.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/13/20         | J                        | B                       |                                                            |
| 20.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 12/15/20         | J                        | A                       |                                                            |
| 21. Vanguard Short Term Cor Bd ETF (VCSH)                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/06/20         | J                        |                         |                                                            |
| 22. Wisdomtree International Hgh Div ETF (DTH)                                                                             | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/20/20         | J                        |                         |                                                            |
| 23. WSDMTRE CBOE S P 500 PUTWRT STRG ETF (PUTW)                                                                            |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. Angel Oak Multi Strategy Incm Fd A (ANGLX)                                                                             | A                                      | Interest                               | J                                              | T                                  | Sold<br>(part)                            | 03/19/20         | J                        |                         |                                                            |
| 25.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/13/20         | J                        |                         |                                                            |
| 26. Blackrock High Yield Bon D Svc (BHYSX)                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 09/17/20         | J                        |                         |                                                            |
| 27. Doubleline Total Return Bd Fd CI N (DLTNX)                                                                             | B                                      | Interest                               | K                                              | T                                  | Sold<br>(part)                            | 03/19/20         | J                        |                         |                                                            |
| 28.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/13/20         | J                        |                         |                                                            |
| 29.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/15/20         | J                        |                         |                                                            |
| 30. Eaton Vance Global Macro Abs Ret A (EAGMX)                                                                             | A                                      | Interest                               | J                                              | T                                  | Buy<br>(add'l)                            | 08/13/20         | J                        |                         |                                                            |
| 31. JPMorgan Short Duration Bond A (OGLVX)                                                                                 | A                                      | Interest                               | J                                              | T                                  | Sold<br>(part)                            | 03/19/20         | J                        |                         |                                                            |
| 32.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/13/20         | J                        |                         |                                                            |
| 33. Nuveen Preferred SEC & INCM FD I (NPSRX)                                                                               | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. AQR Lg Cap Defensive Style N (AUENX)                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 08/13/20         | 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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Name of Person Reporting

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. AQR Style Premia ALT LV FD CL I (QSLIX)                                                                                |                                        | None                                   |                                                |                                    | Buy (add'l)                               | 08/13/20         | J                        |                         |                                                            |
| 36.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 09/17/20         | J                        | A                       |                                                            |
| 37. Baron Emrg Mkts Fd Retail (BEXFX)                                                                                      |                                        | None                                   | K                                              | T                                  | Sold (part)                               | 08/13/20         | J                        | A                       |                                                            |
| 38.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 12/15/20         | J                        |                         |                                                            |
| 39. Fuller & Thaler Behavioral SM CAP EQTY (FTHNX)                                                                         |                                        | None                                   | J                                              | T                                  | Buy (add'l)                               | 03/19/20         | J                        |                         |                                                            |
| 40.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 08/13/20         | J                        |                         |                                                            |
| 41. ACCOUNT #2 (H)                                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 42. iShares MSCI EAFE ETF (EFA)                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 43. Vanguard Index Fds Total Stock Mkt ETF (VTI)                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. ACCOUNT #3 (H)                                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 45. Fidelity Government Money Market (SPAXX) (cash equiv)                                                                  | A                                      | Interest                               |                                                |                                    | Closed                                    | 08/12/20         | L                        |                         |                                                            |
| 46. Fidelity Treasury Money Market (FZFX)                                                                                  | A                                      | Interest                               | M                                              | T                                  | Open                                      | 08/12/20         | L                        |                         |                                                            |
| 47. Blackstone Group Inc Com Cl A (BX)                                                                                     | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 04/15/20         | J                        |                         |                                                            |
| 48. KKR & Co Inc Cl A (KKR)                                                                                                | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/15/20         | J                        |                         |                                                            |
| 49. Goldman Sachs BK CD FOA GE Capital (36161TYQ2)                                                                         |                                        | None                                   |                                                |                                    | Redeemed                                  | 02/14/20         | L                        |                         |                                                            |
| 50. Discover BK CD (254672ZX9)                                                                                             | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 51. California St Univ Rev Systemwide (13077DBB7)                                                                          | B                                      | Interest                               |                                                |                                    | Redeemed                                  | 11/02/20         | K                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Los Angeles Calif Uni Sch Dist GO BDS 5.0 (5446465X6)                                                                  | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. Metropolitan Wtr Dist Southern CA (59266TLB5)                                                                          | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. Santa Monica-Malibu Uni Sch Dist Calif (802498LY9)                                                                     | A                                      | Interest                                      |                                                |                                           | Sold                                            | 04/15/20                | L                               | A                              |                                                                   |
| 55. San Diego Calif Cmnty College Dist (797272NY3)                                                                         | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. Berkley Calif Uni Sch Dist Go Ref Bds (084154VG5)                                                                      | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 11/23/20                | K                               |                                |                                                                   |
| 57. San Francisco Calif Bay Area Rapid Tran (797661VX0)                                                                    | A                                      | Interest                                      |                                                |                                           | Sold                                            | 03/20/20                | L                               |                                |                                                                   |
| 58. California ST GO BDS 2.375 (13063BS29)                                                                                 | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Metropolitan Wtr Dist Southern CA (59266TNC1)                                                                          | A                                      | Interest                                      | L                                              | T                                         | Sold (part)                                     | 04/15/20                | L                               |                                |                                                                   |
| 60. California St Dept Vet Affairs Home Pur (130658MD6)                                                                    | B                                      | Interest                                      | K                                              | T                                         | Redeemed (part)                                 | 12/01/20                | K                               |                                |                                                                   |
| 61. Torrance Calif Uni Sch Dist Go Ref BDS 3.0 (891318S71)                                                                 | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. California ST GO BDS 3.25 (13053B4P4)                                                                                  | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. Los Angeles Cnty Calif Met Transn 3.0 (54466HAP1)                                                                      | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. AMG Managers Pictet International Cl I 3.89% (APCTX)                                                                   | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 03/19/20                | K                               |                                |                                                                   |
| 65. FPA Cresent Fund 2.77% (FPACX)                                                                                         | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 04/14/20                | K                               |                                |                                                                   |
| 66. Virtus Duff & Phelps Gbl Real Estate Secs I (VGISX)                                                                    | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. iShares CORE S&P 500 ETF (IVV)                                                                                         | A                                      | Dividend                                      | K                                              | T                                         | Sold (part)                                     | 08/04/20                | K                               | E                              |                                                                   |
| 68.                                                                                                                        |                                        |                                               |                                                |                                           | Sold (part)                                     | 09/09/20                | K                               | D                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Birotte, Jr., Andre

Date of Report

08/11/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. iShares S&P 500 Growth ETF (IVW)                                                                                       | B                                      | Dividend                               | M                                              | T                                  | Buy<br>(add'l)                            | 03/20/20         | K                        |                         |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/04/20         | J                        | C                       |                                                            |
| 71. iShares S&P 500 Value ETF (IVE)                                                                                        | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 72. Vanguard Index Tr Vanguard Extended<br>Mkts Vipers (VXF)                                                               | A                                      | Dividend                               |                                                |                                    | Buy                                       | 04/15/20         | J                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 08/04/20         | K                        | C                       |                                                            |
| 74. Invesco Exchange Traded Bultshs 2020<br>(BSCK)                                                                         | B                                      | Dividend                               |                                                |                                    | Sold                                      | 12/17/20         | L                        |                         |                                                            |
| 75. Invesco Exchange Traded Bultshs 2021<br>(BSCL)                                                                         | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 76. Invesco Exchange Traded Bultshs 2022<br>(BSJM)                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 77. Invesco Exchange Traded Bultshs 2022 CB<br>(BSCM)                                                                      | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 78. ACCOUNT #4 (H)                                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 79. Fidelity Government Money Market<br>(SPAXX) (cash equiv)                                                               | B                                      | Interest                               |                                                |                                    | Closed                                    | 08/12/20         | M                        |                         |                                                            |
| 80. Fidelity Treasury Money Market (FZFXX)<br>(cash equiv)                                                                 | A                                      | Interest                               | M                                              | T                                  | Open                                      | 08/12/20         | M                        |                         |                                                            |
| 81. Blackstone Group Inc Com Cl A (BX)                                                                                     | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 02/12/20         | K                        |                         |                                                            |
| 82. KKR & Co Inc Cl A (KKR)                                                                                                | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 02/12/20         | K                        |                         |                                                            |
| 83. California ST Tax Exempt Various PURP<br>(13063C4G2)                                                                   | B                                      | Interest                               |                                                |                                    | Redeemed                                  | 08/03/20         | L                        |                         |                                                            |
| 84. California ST GO BDS 5.0 (13063CLS7)                                                                                   | C                                      | Interest                               |                                                |                                    | Sold<br>(part)                            | 04/30/20         | K                        | A                       |                                                            |
| 85.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 05/01/20         | K                        | A                       |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Birotte, Jr., Andre

Date of Report

08/11/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. California ST GO BDS 2.25 (13063CGK0)                                                                                  | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 11/02/20                | K                               |                                |                                                                   |
| 87. San Diego Calif CMNTY College DIST (797272NY3)                                                                         | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. California ST GO BDS SER. 2016 (13063CZN3)                                                                             | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. Berkeley Calif Uni Sch Dist GO REF BDS (084154VG5)                                                                     | B                                      | Interest                                      |                                                |                                           | Redeemed                                        | 11/23/20                | L                               |                                |                                                                   |
| 90. San Francisco Calif Bay Area Rapid Tran (797661VX0)                                                                    | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. California ST GO BDS 4.0 (13063CMM9)                                                                                   | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 92. University Calif REVS REV BDS SER. (91412G6M2)                                                                         | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. San Francisco Calif City & Cnty GO BDS (797646SS6)                                                                     | B                                      | Interest                                      |                                                |                                           | Redeemed                                        | 06/15/20                | L                               |                                |                                                                   |
| 94. Berkeley Calif Uni Sch Dist GO REF BDS (084154WQ2)                                                                     | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. East Bay Calif Regl Pk Dist Prom NTS (271015MD8)                                                                       | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 96. East Side UN High School Dist Calif Santa Clara Cnty (275282HR5)                                                       | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 97. California ST GO BDS 3.0 (13063B4M1)                                                                                   | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 98. San Francisco Calif City & Cnty Uni Sch 3.0 (79771TKZ9)                                                                | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 99. Santa Barbara Calif Uni Sch Dist Go Ref 3.375% (801315CF7)                                                             |                                        | None                                          | L                                              | T                                         | Buy                                             | 09/29/20                | L                               |                                |                                                                   |
| 100. AMG Managers Pictet International Cl I 3.14% (APCTX)                                                                  |                                        | None                                          |                                                |                                           | Buy                                             | 02/12/20                | M                               |                                |                                                                   |
| 101.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 04/30/20                | M                               |                                |                                                                   |
| 102. DWS Global Infrastu FD (TOLIX)                                                                                        | B                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 02/12/20                | L                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Birotte, Jr., Andre

Date of Report

08/11/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/30/20         | K                        |                         |                                                            |
| 104. FPA Cresent Fund 2.48% (FPACX)                                                                                        | C                                      | Dividend                               | L                                              | T                                  | Buy                                       | 02/12/20         | L                        |                         |                                                            |
| 105. Franklin K2 Alt Strat (FABZX)                                                                                         | B                                      | Dividend                               |                                                |                                    | Sold                                      | 02/11/20         | M                        | D                       |                                                            |
| 106. Goldman Sachs Emerg Mkts Eq. (GEMIX)                                                                                  | A                                      | Dividend                               | M                                              | T                                  | Buy<br>(add'l)                            | 02/12/20         | K                        |                         |                                                            |
| 107. Goldman Sachs GQG Partners Intl Opp I<br>(GSIMX)                                                                      | A                                      | Dividend                               | M                                              | T                                  | Buy                                       | 04/30/20         | M                        |                         |                                                            |
| 108. iShares Core S&P 500 ETF (IVV)                                                                                        | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 109. iShares S&P 500 Growth ETF (IVW)                                                                                      | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 02/12/20         | M                        |                         |                                                            |
| 110. iShares S&P Value ETF (IVE)                                                                                           | B                                      | Dividend                               | L                                              | T                                  | Buy                                       | 02/12/20         | M                        |                         |                                                            |
| 111. ISHARES TR EAFE SML CP ETF (SCZ)                                                                                      | B                                      | Dividend                               |                                                |                                    | Sold                                      | 02/12/20         | K                        | D                       |                                                            |
| 112. Vanguard FTSE Developed Mkt ETF (VEA)                                                                                 | C                                      | Dividend                               | M                                              | T                                  | Sold<br>(part)                            | 02/12/20         | M                        | E                       |                                                            |
| 113. Vanguard Index Tr Vanguard Extended<br>(VXF)                                                                          | C                                      | Dividend                               | N                                              | T                                  | Buy<br>(add'l)                            | 03/20/20         | K                        |                         |                                                            |
| 114. Invesco Exchange Traded Buletsh 20<br>(BSJK)                                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 12/17/20         | L                        | A                       |                                                            |
| 115. Invesco Exch Trd Slf Idx Fd Tr Bulshs 2021<br>HY (BSJL)                                                               | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 11/17/20         | J                        |                         |                                                            |
| 116. Invesco Exch Trd Slf Idx Fd Tr Bulshs 2023<br>(BSCN)                                                                  | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 09/28/20         | K                        |                         |                                                            |
| 117. Invesco Exch Trd Slf Fd Tr Bulshs 2022<br>(BSCM)                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 09/28/20         | K                        |                         |                                                            |
| 118. Account #5 (H)                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 119. iShares MSCI EAFE ETF (EFA)                                                                                           | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. iShares Russell 1000 Value Index Fund (IWD)                                                                           | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |
| 121. iShares Russell 2000 Value Index Fund (IWN)                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 122. iShares S&P Mid Cap 400 Growth ETF (IJK)                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 123. iShares S&P Mid Cap 400 Value ETF (IJJ)                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 124. iShares S&P Small Cap Growth ETF (IJT)                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 125. SPDR S&P 500 ETF Fund (SPY)                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 126. Vanguard Growth Index Fund (VUG)                                                                                      | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 03/30/20         | J                        | B                       |                                                            |
| 127.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/05/20         | J                        | B                       |                                                            |
| 128. Vanguard Total International Index Fund (VWO)                                                                         | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 08/05/20         | J                        | A                       |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

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Birotte, Jr., Andre

Date of Report

08/11/2021

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

Part I, line 3 & Part VII, line 7: These items were inadvertently omitted from the prior report.

Parenthetical numbers in Part VII are CUSIP numbers.

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.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Birotte, Jr., Andre

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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/ Andre Birotte, Jr.**

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

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