

# 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>Mehta, Amit P.                                                                                                 | <b>2. Court or Organization</b><br><br>US District Court for the District of Columbia                                                                                                                                                  | <b>3. Date of Report</b><br><br>03/22/2022                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Active US District Court Judge                          | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                     | <b>5b.</b> <input checked="" type="checkbox"/> Amended Report                                                                                                                                                                          |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>US District Court for the District of Columbia<br>333 Constitution Avenue, NW<br>Washington, DC 20001                                   |                                                                                                                                                                                                                                        |                                                                  |
| <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. |                                                                                                                                                                                                                                        |                                                                  |

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|                                     |                              |
|-------------------------------------|------------------------------|
| 1. Executive Committe Member, Board | Council for Court Excellence |
| 2.                                  |                              |
| 3.                                  |                              |
| 4.                                  |                              |
| 5.                                  |                              |

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Mehta, Amit P.

Date of Report

03/22/2022

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

### A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

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

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

*(Dollar amount not required except for honoraria.)*



NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>      |
|-------------|-----------------------------|
| 1. 2020     | Self-employed attorney      |
| 2. 2020     | Afiniti, Inc - W-2 employee |
| 3.          |                             |
| 4.          |                             |

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

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



NONE *(No reportable reimbursements.)*

| <u>SOURCE</u>               | <u>DATES</u>      | <u>LOCATION</u>   | <u>PURPOSE</u>                     | <u>ITEMS PAID OR PROVIDED</u>  |
|-----------------------------|-------------------|-------------------|------------------------------------|--------------------------------|
| 1. American Bar Association | January 2-8, 2020 | Sydney, Australia | ABA Antitrust Conference presenter | Airfare, hotel, taxi and meals |
| 2.                          |                   |                   |                                    |                                |
| 3.                          |                   |                   |                                    |                                |
| 4.                          |                   |                   |                                    |                                |
| 5.                          |                   |                   |                                    |                                |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Mehta, Amit P.           | 03/22/2022     |

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. | ACS          | Student Loan                                           | K          |
| 2. | Greensky     | Financing of new windows installed by Andersen Windows | K          |
| 3. | Afiniti Inc. | Stock options exercised                                | M          |
| 4. |              |                                                        |            |
| 5. |              |                                                        |            |

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. Citibank Accounts                                                                                                       | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 2. BNY Mellon Accounts (H)                                                                                                 |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 3. - Invesco St Treasury Reserve                                                                                           | A                                      | Int./Div.                              |                                                |                                    | Closed                                    | 04/20/20         | K                        |                         |                                                            |
| 4. - Blackrock Global Allocation Fund Inc                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/24/20         | J                        |                         |                                                            |
| 5. Burkhart & Co. - Joint w/Survivor Account (H)                                                                           |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 6. - Cash Balance at Burkhart & Co.                                                                                        |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. - Bank Deposit Sweep Program at Burkhart & Co.                                                                          | A                                      | Int./Div.                              | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. - American High-Income Municipal Bond                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/04/20         | J                        |                         |                                                            |
| 9.                                                                                                                         |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/03/20         | J                        |                         |                                                            |
| 10.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/06/20         | J                        |                         |                                                            |
| 11.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |
| 12.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/03/20         | J                        |                         |                                                            |
| 13.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/05/20         | J                        |                         |                                                            |
| 14.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/04/20         | J                        |                         |                                                            |
| 15.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/03/20         | J                        |                         |                                                            |
| 16. - DFA Emerging Markets Small-Cap Portfolio Institutional                                                               | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 17.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/02/20         | 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

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Mehta, Amit P., 03/22/2022

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and 5 sub-columns for D. Rows 18-34 include transactions for DFA International Small Company Portfolio Institutional and DFA International Small-Cap Value Portfolio Institutional.

1 Income Gain Codes: A =\$1,000 or less, B =\$1,001 - \$2,500, C =\$2,501 - \$5,000, D =\$5,001 - \$15,000, E =\$15,001 - \$50,000
2 Value Codes: F =\$50,001 - \$100,000, G =\$100,001 - \$1,000,000, H1 =\$1,000,001 - \$5,000,000, H2 =More than \$5,000,000
3 Value Method Codes: Q =Appraisal, R =Cost (Real Estate Only), S =Assessment, 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) |
| 35.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/04/20         | J                        |                         |                                                            |
| 36.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/02/20         | J                        |                         |                                                            |
| 37.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/02/20         | J                        |                         |                                                            |
| 38.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/03/20         | J                        |                         |                                                            |
| 39.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/20         | J                        |                         |                                                            |
| 40. - DFA International Sustainability Core 1 Portfolio                                                                    | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 41.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/02/20         | J                        |                         |                                                            |
| 42.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/20         | J                        |                         |                                                            |
| 43.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/04/20         | J                        |                         |                                                            |
| 44.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/02/20         | J                        |                         |                                                            |
| 45.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/02/20         | J                        |                         |                                                            |
| 46.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/03/20         | J                        |                         |                                                            |
| 47.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/20         | J                        |                         |                                                            |
| 48. - Fidelity Large-Cap Growth Index Fund                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 49. - Fidelity Large-Cap Value Index Fund                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 50. - Fidelity Small-Cap Value Index Fund                                                                                  | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 09/22/20         | J                        |                         |                                                            |
| 51.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/02/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

| A<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) |
| 52.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/03/20         | J                        |                         |                                                            |
| 53.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/20         | J                        |                         |                                                            |
| 54. - iShares Russell 2000 Growth ETF                                                                                      | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 06/03/20         | J                        |                         |                                                            |
| 55.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/06/20         | J                        |                         |                                                            |
| 56.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |
| 57.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/03/20         | J                        |                         |                                                            |
| 58. - iShares Russell 2000 Value ETF                                                                                       | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/05/20         | J                        |                         |                                                            |
| 59. - JPMorgan Global Allocation Fund                                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 60.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/02/20         | J                        |                         |                                                            |
| 61.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/20         | J                        |                         |                                                            |
| 62.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/04/20         | J                        |                         |                                                            |
| 63.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/02/20         | J                        |                         |                                                            |
| 64.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/02/20         | J                        |                         |                                                            |
| 65.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/03/20         | J                        |                         |                                                            |
| 66.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/20         | J                        |                         |                                                            |
| 67. - JPMorgan Income Builder Fund                                                                                         | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 68.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/02/20         | 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  
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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  
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D =\$5,001 - \$15,000  
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M =\$100,001 - \$250,000  
P2 =\$5,000,001 - \$25,000,000  
T =Cash Market

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

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.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/20         | J                        |                         |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/04/20         | J                        |                         |                                                            |
| 71.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/02/20         | J                        |                         |                                                            |
| 72.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/02/20         | J                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/03/20         | J                        |                         |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/20         | J                        |                         |                                                            |
| 75. - Nuveen High-Yield Municipal Bond Fund                                                                                | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/04/20         | J                        |                         |                                                            |
| 76.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/03/20         | J                        |                         |                                                            |
| 77.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/06/20         | J                        |                         |                                                            |
| 78.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |
| 79.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/03/20         | J                        |                         |                                                            |
| 80.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/05/20         | J                        |                         |                                                            |
| 81.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/04/20         | J                        |                         |                                                            |
| 82.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/03/20         | J                        |                         |                                                            |
| 83. - PGIM Global Total Return Fund                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 84. - PIMCO International Bond Fund (U.S. Dollar-Hedged) Institutional                                                     | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/01/20         | J                        |                         |                                                            |
| 85. - Vanguard FTSE All-World Ex-U.S. Small-Cap Index Fund                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 06/03/20         | 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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 25

Name of Person Reporting

Mehta, Amit P.

Date of Report

03/22/2022

## 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) |
| 86.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |
| 87.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/05/20         | J                        |                         |                                                            |
| 88.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/04/20         | J                        |                         |                                                            |
| 89. - Vanguard FTSE Developed Markets ETF                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/04/20         | J                        |                         |                                                            |
| 90.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/03/20         | J                        |                         |                                                            |
| 91.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/06/20         | J                        |                         |                                                            |
| 92.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |
| 93.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/05/20         | J                        |                         |                                                            |
| 94.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/04/20         | J                        |                         |                                                            |
| 95.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/03/20         | J                        |                         |                                                            |
| 96. - Vanguard FTSE Emerging Markets Index Fund ETF                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 07/06/20         | J                        |                         |                                                            |
| 97.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/05/20         | J                        |                         |                                                            |
| 98.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/05/20         | J                        |                         |                                                            |
| 99.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/04/20         | J                        |                         |                                                            |
| 100.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/03/20         | J                        |                         |                                                            |
| 101. 401(k) (Rollover to IRA during 2020) (H)                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 102. - American Funds Growth Fund of America (transferred to new funds)                                                    |                                        | None                                   |                                                |                                    | Sold                                      | 04/15/20         | N                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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)<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) |
| 103. - American Funds New Perspective Fund                                                                                 |                                        | None                                          |                                                |                                           | Buy<br>(add'l)                                  | 04/15/20                | J                               |                                |                                                                   |
| 104.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/15/20                | N                               |                                |                                                                   |
| 105.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 09/15/20                | M                               |                                |                                                                   |
| 106. - American Funds Washington Mutual<br>Investors Fund                                                                  | B                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 03/18/20                | J                               |                                |                                                                   |
| 107.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/15/20                | J                               |                                |                                                                   |
| 108.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/15/20                | N                               |                                |                                                                   |
| 109.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 09/15/20                | L                               |                                |                                                                   |
| 110. - American Funds EuroPacific                                                                                          |                                        | None                                          |                                                |                                           | Buy                                             | 04/15/20                | M                               |                                |                                                                   |
| 111.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/15/20                | J                               |                                |                                                                   |
| 112.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 09/15/20                | M                               | E                              |                                                                   |
| 113. - American Funds New World                                                                                            |                                        | None                                          |                                                |                                           | Buy                                             | 04/15/20                | M                               |                                |                                                                   |
| 114.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/15/20                | J                               |                                |                                                                   |
| 115.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 09/15/20                | M                               | E                              |                                                                   |
| 116. - American Funds SMALLCAP World                                                                                       |                                        | None                                          |                                                |                                           | Buy                                             | 04/15/20                | N                               |                                |                                                                   |
| 117.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/15/20                | J                               |                                |                                                                   |
| 118.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 09/15/20                | N                               | G                              |                                                                   |
| 119. - American Funds Income Fund of America                                                                               |                                        | None                                          |                                                |                                           | Buy                                             | 04/15/20                | M                               |                                |                                                                   |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/15/20         | J                        |                         |                                                            |
| 121.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/15/20         | J                        |                         |                                                            |
| 122.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 09/15/20         | M                        |                         |                                                            |
| 123. - American Funds Bond Fund of America                                                                                 |                                        | None                                   |                                                |                                    | Buy                                       | 04/15/20         | M                        |                         |                                                            |
| 124.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/15/20         | J                        |                         |                                                            |
| 125.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 09/15/20         | M                        | D                       |                                                            |
| 126. DC College Savings Plan (H)                                                                                           |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 127. - Intermediate-Term Bond Portfolio                                                                                    |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 128. - US Large Cap Equity Portfolio                                                                                       |                                        | None                                   | M                                              | T                                  | Buy<br>(add'l)                            | 05/05/20         | J                        |                         |                                                            |
| 129. - DC College Savings 2025 Portfolio                                                                                   |                                        | None                                   | M                                              | T                                  | Buy<br>(add'l)                            | 05/05/20         | J                        |                         |                                                            |
| 130. - DC College Savings 2028 Portfolio                                                                                   |                                        | None                                   | M                                              | T                                  | Buy<br>(add'l)                            | 12/08/20         | J                        |                         |                                                            |
| 131. IRA #1 (H)                                                                                                            |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 132. - Pershing Government Account                                                                                         | A                                      | Dividend                               |                                                |                                    | Closed                                    | 04/20/20         | J                        |                         |                                                            |
| 133. - iShares Inc Core MSCI Emerging Mkts<br>ETF                                                                          |                                        | None                                   |                                                |                                    | Sold<br>(part)                            | 01/22/20         | K                        | A                       |                                                            |
| 134.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | K                        | A                       |                                                            |
| 135. - iShares Short Maturity Bond                                                                                         | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/28/20         | J                        |                         |                                                            |
| 136. - iShares Core S&P 500                                                                                                | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/22/20         | 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

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) |
| 137.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/26/20         | K                        |                         |                                                            |
| 138.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | M                        | E                       |                                                            |
| 139. - iShares Intermediate Credit Bond                                                                                    | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/28/20         | K                        | A                       |                                                            |
| 140. - iShares Edge MSCI Min Vol USA                                                                                       | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 141. - iShares Core MSCI EAFE                                                                                              |                                        | None                                   |                                                |                                    | Sold                                      | 04/28/20         | K                        | A                       |                                                            |
| 142. - iShares Global Tech                                                                                                 |                                        | None                                   |                                                |                                    | Sold<br>(part)                            | 01/22/20         | J                        | B                       |                                                            |
| 143.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | K                        | C                       |                                                            |
| 144. - iShares US Treasury Bond                                                                                            | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/22/20         | K                        | B                       |                                                            |
| 145.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/26/20         | K                        | B                       |                                                            |
| 146.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/14/20         | K                        | C                       |                                                            |
| 147.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | L                        | D                       |                                                            |
| 148. - iShares Barclays 20+ Yr Treas Bond                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/28/20         | J                        | B                       |                                                            |
| 149. - iShares S&P Total US Stk Mkt                                                                                        |                                        | None                                   |                                                |                                    | Sold                                      | 01/22/20         | K                        | B                       |                                                            |
| 150. - iShares MBS                                                                                                         | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/22/20         | J                        | A                       |                                                            |
| 151.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/14/20         | K                        | A                       |                                                            |
| 152. - iShares Edge MSCI USA Quality Factor                                                                                | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/28/20         | K                        |                         |                                                            |
| 153. - iShares Edge MSCI USA Size Factor                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/22/20         | J                        | 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                                             |                        |

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) |
| 154.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | K                        |                         |                                                            |
| 155. - iShares ESG MSCI Emerging Mkts ETF                                                                                  |                                        | None                                   |                                                |                                    | Buy                                       | 01/22/20         | K                        |                         |                                                            |
| 156.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | K                        |                         |                                                            |
| 157. - iShares 0-5 Yr High Yield Corp Bd                                                                                   | A                                      | Dividend                               |                                                |                                    | Buy                                       | 01/22/20         | K                        |                         |                                                            |
| 158.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | K                        |                         |                                                            |
| 159. - iShares MSCI USA ESG Optimized ETF                                                                                  | A                                      | Dividend                               |                                                |                                    | Buy                                       | 01/22/20         | K                        |                         |                                                            |
| 160.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | K                        |                         |                                                            |
| 161. - iShares Iboxx USD Invt Grade Corp Bd                                                                                |                                        | None                                   |                                                |                                    | Buy                                       | 04/14/20         | L                        |                         |                                                            |
| 162.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/28/20         | K                        |                         |                                                            |
| 163. - Cash Balance at Burkhart & Co. (IRA acct)                                                                           |                                        | None                                   | J                                              | T                                  | Open                                      | 04/20/20         | J                        |                         |                                                            |
| 164. - Advisory Rtmt Sweep Program at Burkhart & Co. (IRA acct)                                                            | A                                      | Int./Div.                              | L                                              | T                                  | Open                                      | 04/20/20         | L                        |                         |                                                            |
| 165. - American Funds Developing World Growth & Income                                                                     | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/29/20         | J                        |                         |                                                            |
| 166.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/28/20         | J                        |                         |                                                            |
| 167.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/26/20         | J                        |                         |                                                            |
| 168.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/28/20         | J                        |                         |                                                            |
| 169.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/26/20         | J                        |                         |                                                            |
| 170.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/28/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

| A<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) |
| 171.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/28/20         | J                        |                         |                                                            |
| 172.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/27/20         | J                        |                         |                                                            |
| 173.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/29/20         | J                        |                         |                                                            |
| 174. - American Funds Emerging Mkts Bond Fd                                                                                | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/29/20         | J                        |                         |                                                            |
| 175.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/28/20         | J                        |                         |                                                            |
| 176.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/26/20         | J                        |                         |                                                            |
| 177.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/28/20         | J                        |                         |                                                            |
| 178.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/26/20         | J                        |                         |                                                            |
| 179.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/28/20         | J                        |                         |                                                            |
| 180.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/28/20         | J                        |                         |                                                            |
| 181.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/27/20         | J                        |                         |                                                            |
| 182.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/29/20         | J                        |                         |                                                            |
| 183. - American Funds Global Balanced                                                                                      | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 04/29/20         | J                        |                         |                                                            |
| 184.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/28/20         | J                        |                         |                                                            |
| 185.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/26/20         | J                        |                         |                                                            |
| 186.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/28/20         | J                        |                         |                                                            |
| 187.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/26/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

| A<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) |
| 188.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/28/20         | J                        |                         |                                                            |
| 189.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/28/20         | J                        |                         |                                                            |
| 190.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/27/20         | J                        |                         |                                                            |
| 191.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/24/20         | J                        |                         |                                                            |
| 192. - American Funds Small-Cap World                                                                                      | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 04/29/20         | J                        |                         |                                                            |
| 193.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/28/20         | J                        |                         |                                                            |
| 194.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/26/20         | J                        |                         |                                                            |
| 195.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/28/20         | J                        |                         |                                                            |
| 196.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/26/20         | J                        |                         |                                                            |
| 197.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/28/20         | J                        |                         |                                                            |
| 198.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/28/20         | J                        |                         |                                                            |
| 199.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/27/20         | J                        |                         |                                                            |
| 200.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/29/20         | J                        |                         |                                                            |
| 201. - DFA International Small-Cap Value<br>Portfolio Institutional                                                        | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 202.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 203.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 204.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

☐

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

| A<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) |
| 205.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 206.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 207.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 208.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 209.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | J                        |                         |                                                            |
| 210. - DFA U.S. Micro Capital Portfolio Institutional                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 211.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 212.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 213.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 214.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 215.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 216.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 217.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 218.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 219.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | J                        |                         |                                                            |
| 220. - FPA Crescent Fund                                                                                                   | B                                      | Dividend                               | L                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 221.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |

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

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

☐

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

| A<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) |
| 222.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 223.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 224.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 225.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 226.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 227.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 228.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | J                        |                         |                                                            |
| 229. - Harbor Small-Cap Value Fund Institutional                                                                           | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 230.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 231.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 232.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 233.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 234.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 235.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 236.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 237.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/24/20         | J                        |                         |                                                            |
| 238. - JPMorgan Emerging Mkts Equity Fund                                                                                  | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |

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

2 Value Codes  
(See Columns C1 and D3)

3 Value Method Codes  
(See Column C2)

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

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

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

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

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

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

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

| A<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) |
| 239.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 240.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 241.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 242.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 243.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 244.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 245.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 246.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | J                        |                         |                                                            |
| 247. - JPMorgan Income Builder Fund                                                                                        | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 248.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 249.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 250.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 251.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 252.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 253.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 254.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 255.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

☐

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

| A<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) |
| 256. - Matthews Asia Esg Fund Institutional                                                                                | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 257.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/02/20         | J                        |                         |                                                            |
| 258.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/20         | J                        |                         |                                                            |
| 259.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/04/20         | J                        |                         |                                                            |
| 260.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/02/20         | J                        |                         |                                                            |
| 261.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/02/20         | J                        |                         |                                                            |
| 262.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/03/20         | J                        |                         |                                                            |
| 263.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/20         | J                        |                         |                                                            |
| 264. - PIMCO Income Fund                                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 265.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 266.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 267.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 268.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 269.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 270.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 271.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 272.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | 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) |
| 273. - Templeton Global Total Return Fund                                                                                  | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 274.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 275.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 276.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 277.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 278.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 279.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 280.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 281.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | J                        |                         |                                                            |
| 282. - Wasatch Micro Capital Fund                                                                                          | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/28/20         | J                        |                         |                                                            |
| 283.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/27/20         | J                        |                         |                                                            |
| 284.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/25/20         | J                        |                         |                                                            |
| 285.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/20         | J                        |                         |                                                            |
| 286.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/25/20         | J                        |                         |                                                            |
| 287.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | J                        |                         |                                                            |
| 288.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/27/20         | J                        |                         |                                                            |
| 289.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | 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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Mehta, Amit P.

Date of Report

03/22/2022

## 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) |
| 290.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/28/20         | J                        |                         |                                                            |
| 291. IRA #2 (H)                                                                                                            |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 292. - Cash Balance at Burkhardt & Co.                                                                                     |                                        | None                                   | J                                              | T                                  | Open                                      | 08/02/20         | J                        |                         |                                                            |
| 293. - Advisory Rtmt Sweep Program at Burkhardt & Co.                                                                      | A                                      | Interest                               | O                                              | T                                  | Open                                      | 08/02/20         | O                        |                         |                                                            |
| 294. - American Funds Capital Income Builder                                                                               | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/04/20         | J                        |                         |                                                            |
| 295.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/23/20         | J                        |                         |                                                            |
| 296.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/23/20         | J                        |                         |                                                            |
| 297.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 298.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/23/20         | J                        |                         |                                                            |
| 299. - American Funds Capital World Growth & Income                                                                        | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/04/20         | J                        |                         |                                                            |
| 300.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/23/20         | J                        |                         |                                                            |
| 301.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/23/20         | J                        |                         |                                                            |
| 302.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 303.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/23/20         | J                        |                         |                                                            |
| 304. - American Funds EuroPacific Growth                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/04/20         | J                        |                         |                                                            |
| 305.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/23/20         | J                        |                         |                                                            |
| 306.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/23/20         | J                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Mehta, Amit P.

Date of Report

03/22/2022

## 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) |
| 307.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 308.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/23/20         | J                        |                         |                                                            |
| 309. - American Funds Growth Fund of America                                                                               | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/04/20         | J                        |                         |                                                            |
| 310. - American Funds New Perspective                                                                                      | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/04/20         | J                        |                         |                                                            |
| 311. - American Funds New World                                                                                            | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/04/20         | J                        |                         |                                                            |
| 312.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/23/20         | J                        |                         |                                                            |
| 313.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/23/20         | J                        |                         |                                                            |
| 314.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 315.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/23/20         | J                        |                         |                                                            |
| 316. - American Funds Washington Mutual Investor                                                                           | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/04/20         | J                        |                         |                                                            |
| 317.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/23/20         | J                        |                         |                                                            |
| 318. - BlackRock Multi-Asset Income Portfolio Institutional                                                                | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/03/20         | J                        |                         |                                                            |
| 319.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/22/20         | J                        |                         |                                                            |
| 320.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/22/20         | J                        |                         |                                                            |
| 321.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/24/20         | J                        |                         |                                                            |
| 322.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/22/20         | J                        |                         |                                                            |
| 323. - FPA New Income Fund                                                                                                 | B                                      | Dividend                               | N                                              | T                                  | Buy                                       | 09/22/20         | N                        |                         |                                                            |

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

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

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

| A<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) |
| 324.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/22/20         | J                        |                         |                                                            |
| 325.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/24/20         | J                        |                         |                                                            |
| 326.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/22/20         | J                        |                         |                                                            |
| 327. - Gateway Fund                                                                                                        | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/03/20         | J                        |                         |                                                            |
| 328.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/22/20         | J                        |                         |                                                            |
| 329.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/22/20         | J                        |                         |                                                            |
| 330.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/24/20         | J                        |                         |                                                            |
| 331.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/22/20         | J                        |                         |                                                            |
| 332. - Harbor Small-Cap Value Fund                                                                                         | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 09/22/20         | J                        |                         |                                                            |
| 333.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/22/20         | J                        |                         |                                                            |
| 334.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/24/20         | J                        |                         |                                                            |
| 335.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/22/20         | J                        |                         |                                                            |
| 336. - PIMCO Short Asset Investment Fund                                                                                   | A                                      | Dividend                               | N                                              | T                                  | Buy                                       | 09/22/20         | N                        |                         |                                                            |

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

2 Value Codes  
(See Columns C1 and D3)

3 Value Method Codes  
(See Column C2)

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

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

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

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

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Mehta, Amit P.

Date of Report

03/22/2022

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Mehta, Amit P.

Date of Report

03/22/2022

## 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/ Amit P. Mehta

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