

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

1. Person Reporting (last name, first, middle initial) SARIS, PATTI B.	2. Court or Organization U.S.D.C. MASSACHUSETTS	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT COURT JUDGE (ACTIVE)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address J. J. MOAKLEY U.S. COURTHOUSE 1 COURTHOUSE WAY, SUITE 8110 BOSTON, MA 02210		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	TRUST #4 (See Part VIII)
2. Co-Trustee	TRUST #5 (See Part VIII)
3. Director	Board of the Federal Judges Association
4. Member	Audit Committee and Trust of the National Academy of Arts and Sciences
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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Name of Person Reporting

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

A. Filer's Non-Investment Income



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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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	PRESIDENT AND FELLOWS OF HARVARD COLLEGE, CAMBRIDGE, MA - salary
2. 2020	HARVARD BUSINESS PUBLISHING, MA - Royalties
3. 2020	HIGHVISTA STRATEGIES LLC, MA - Advisory fee
4. 2020	SRB CORPORATION - Advisory fee
5. 2020	LONG POINT REAL ESTATE - Advisory fee
6. 2020	JONATHAN ROSE COMPANIES - Advisory fee
7. 2020	REGENT PARTNERS - Advisory fee

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

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



NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				

Name of Person Reporting SARIS, PATTI B.	Date of Report 05/03/2021
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5. _____

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Trust # 5 (H)									
2. - Baupost Value Partners LP I		None			Redeemed	08/11/20	N		See Part VIII
3. - Kensico Offshore Fd Ltd LP		None	P1	W					
4. - Independent Franchise Partners US Eq Fd (IFPUX) mutual fund	A	Dividend	P1	T	Sold (part)	02/03/20	L	A	
5.					Sold (part)	02/03/20	J	A	
6.					Sold (part)	02/03/20	N	A	
7.					Sold (part)	02/03/20	P1	G	
8. - Frontier MFG Global Eq-Inst (FMGEX) mutual fund		None			Donated				
9. - First Republic Bank, Bank account (cash account)	A	Interest	J	T					
10. Trust # 10 (H)									
11. - Britehouse life, universal Life insurance** See Part VIII Note		None	P1	W					
12. Trust # 11 (H)									
13. - Sun Life Assurance, universal life insurance		None	P1	W					
14. - Manufacturers Life Ins, universal life (John Hancock)		None	P2	W					
15. IRA Rollover (H)									
16. - Federated Hermes Treasury Obl - (cash equivalent)	B	Dividend	P1	T	Buy (add'l)	01/03/20	J		
17.					Buy (add'l)	02/04/20	J		

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	03/03/20	J		
19.					Buy (add'l)	03/12/20	P1		
20.					Buy (add'l)	04/02/20	J		
21.					Buy (add'l)	05/04/20	J		
22.					Buy (add'l)	06/02/20	J		
23.					Buy (add'l)	07/06/20	J		
24.					Buy (add'l)	08/04/20	J		
25.					Buy (add'l)	09/02/20	J		
26.					Buy (add'l)	10/02/20	J		
27.					Buy (add'l)	11/03/20	J		
28.					Buy (add'l)	12/02/20	J		
29.	- Vanguard Total Wrld Stock Idx Fd (VT) mutual fd	None			Sold	03/12/20	P1	G	
30.	Park St Capl Natural Res Fd L.P.	C	Distribution	J	U				
31.	US Fidenza LLC		None	J	U				
32.	Park St Capital V LP		None	J	U				
33.	Highfields Capital II LP	C	Distribution		Redeemed	12/31/20	J		See Part VIII
34.	Park St Natural Resource Fund II Combined (Private Equity)		None	K	U				

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

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35. Park Street Capital VI (Private Equity Fd)	G	Distribution	M	U					
36. Patron Capital LP II (private equity)	F	Distribution	L	W					
37. US Dublin LLC		None	N	W					
38. Europa Fund II US LP	D	Distribution			Redeemed	12/31/20	J		See Part VIII
39. Weston Presidio V LP		None	K	W					
40. Trust # 18 (H)									
41. - Int in MECM Investments LLC (privately held)	G	Distribution	P2	W					
42. - First Republic Bank, Bank account (cash account)	A	Interest	M	T					
43. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	M	T	Open	02/28/20	K		
44. Trust # 19 (H)									
45. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
46. - First Republic Bank, Bank account (cash account)	A	Interest	L	T					
47. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	M	T	Open	02/28/20	K		
48. Trust # 20 (H)									
49. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
50. - First Republic Bank, Bank account (cash account)	A	Interest	M	T					
51. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	M	T	Open	02/28/20	K		

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3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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52. - Fidelity Cash Reserves Fund (x)	A	Dividend	N	T	Open	05/11/20	M		
53. - Ishares TR Natl Mun BD ETF Fd (x)	A	Dividend	K	T	Open	02/13/20	K		
54. - Vanguard INTL Equity Index FDS Total World Stk Index FD ETF SHS (x)	B	Dividend	L	T	Open	02/13/20	L		
55. Trust # 21 (H)									
56. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
57. - First Republic Bank, Bank account (cash account)	A	Interest	L	T					
58. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	M	T	Open	02/28/20	K		
59. - IShares TR Natl Mun BD ETF FD (x)	A	Dividend	J	T	Open	02/13/20	J		
60. - Vanguard Intl Equity Index FDS Total World Stk Index FD ETF (x)	A	Dividend	J	T	Open	02/13/20	K		
61. Park St Cap Priv Eq Fd VII A LP	E	Distribution	L	U					
62. Park St Cap Natural Res Fd III LP combined (priv Eq)	D	Distribution	N	U					
63. TA X LP (Priv Eq)	A	Distribution			Redeemed	12/30/20	J		See Part VIII
64. Local Motors Series A pfd stock		None	J	W					
65. PSC Luxembourg Hldgs LLC		None	J	U					
66. Trust # 23 (H)									
67. - Int in MECM Investments LLC (privately held)	F	Distribution	P1	W					
68. - First Republic Bank, Bank account (cash account)	A	Interest	L	T					

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69. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	L	T	Open	02/28/20	K		
70. - IShares TR Natl Mun BD ETF FD (x)	A	Dividend	J	T	Open	02/13/20	J		
71. - Vanguard Intl Equity Index FDS Total World Stk Index FD ETF (x)	A	Dividend	J	T	Open	02/13/20	J		
72. Trust # 24 (H)									
73. - Int in MECM Investments LLC (privately held)	F	Distribution	P1	W					
74. - First Republic Bank, Bank account (cash account)	A	Interest	K	T					
75. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	M	T	Open	02/28/20	K		
76. Trust # 25 (H)									
77. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
78. - First Republic Bank, Bank account (cash account)	A	Interest	M	T					
79. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	L	T	Open	02/28/20	K		
80. Trust # 26 (H)									
81. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
82. - First Republic Bank, Bank account (cash account)	A	Interest	M	T					
83. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	M	T	Open	02/28/20	K		
84. - Fidelity Cash Reserves Fund (x)	A	Dividend	M	T	Open	05/11/20	M		
85. - IShares TR Natl Mun BD ETF FD (x)	A	Dividend	K	T	Open	02/13/20	J		

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86. - Vanguard INTL Equity Index FDS Total World Stk Index FD ETF SHS (x)	A	Dividend	K	T	Open	02/13/20	K		
87. Liveprocess Corp Ser A pfd stock		None	J	T					
88. Meridia Capital LP		None	J	U					
89. Meta4 Group Ltd LP		None	J	U					
90. Middle East North Africa Opportunities Fd, LP		None	J	W					
91. Trust # 27 (H)									
92. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
93. - First Republic Bank, Bank account (cash account)	A	Interest	L	T					
94. - First Republic Bank, Bank account (cash account 2)	A	Interest	M	T					
95. - Hephaestion LP		None	J	W					
96. - Hephaestion Co Inv I LP		None	J	W					
97. - Porus Inv Hldg Co Ltd		None	J	W					
98. - Xander Master Fund LLC		None	J	W					
99. - Ptolemy Holdings Trust	E	Distribution	P1	W					
100. - Fidelity Cash Reserves Fund (x)	A	Dividend	K	T	Open	05/11/20	L		
101.					Sold (part)	10/28/20	K		
102. - Ishares TR Natl Mun BD ETF FD (x)	A	Dividend	J	T	Open	02/13/20	J		

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103. - Vanguard Intl Equity Index FDS Total World Stk Index FD ETS SHS (x)	A	Dividend	J	T	Open	02/13/20	J		
104. Trust # 28 (H)									
105. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
106. - Vanguard Dvd Apprec Ind-adm (VDADX)	D	Dividend	N	T					
107. - Vanguard Emerg Mkts Stock Indx-adm (VEMAX) mutual fd	D	Dividend	M	T					
108. - First Republic Bank, Bank account (cash account)	D	Interest	N	T					
109. - First Republic Bank, Bank account (cash account 2)	A	Interest	L	T					
110. - Hephaestion LP		None	J	W					
111. - Hephaestion Co Inv I LP		None	J	W					
112. - Porus Inv Hldg Co Ltd		None	J	W					
113. - Xander Master Fund LLC		None	J	W					
114. - Ptolemy Holdings Trust	E	Distribution	P1	W					
115. RBC (Royal Bank of Canada), bank accounts	E	Interest	P1	T					
116. Gold boullion		None	P1	T					
117. MECM Investments LLC (H)									
118. - Gold Bullion		None	P2	T					
119. - MA St Dev Fin Agy Bds, municipal bds	E	Interest			Matured	01/01/20	N		See Part VIII

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

SARIS, PATTI B.

Date of Report

05/03/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. - CHARLESTON CNTY S C 5% 11-01-2021 BEO	E	Interest			Sold	11/25/20	N		See Part VIII
121. - Frederick Cty MD municipal bds	A	Interest			Matured	12/01/20	J		See Part VIII
122. - Lone Star Real Estate Fd II (U.S.), LP (priv equity)	B	Distribution	K	W					
123. - Lone Star Fund VII (U.S.), LP (priv equity)		None	J	W					
124. - PS Opportunities Onshore LP (priv equity)	G	Distribution			Redeemed	04/30/20	M		See Part VIII
125. - University Utah University Revs (municipal Bds)	E	Interest			Sold	11/27/20	N		See Part VIII
126. - MA St Sch Bldg Auth 5-15-2021 (municipal bds)	D	Interest	N	T					
127. - Morehead St Univ KY municipal bds	D	Interest			Sold	06/12/20	N		See Part VIII
128. - Stratford CT municipal bds	E	Interest	N	T					
129. - Franklin IND Cmnty-Sch Bldg municipal bds	D	Interest	N	T					
130. - MARYLAND ST 5% 08-01-2025 BEO	C	Interest	M	T					
131. - Edgbaston Asian Equity Trust (private eq)		None			Redeemed	05/07/20	J		See Part VIII
132. - Oakland Univ Mich Rev municipal fds	D	Interest	M	T					
133. - MFB Northern Funds US Govt money mkt (cash equiv)	B	Interest	M	T					
134. - Governors Lane Onshore Fund LP (private equity)		None			Redeemed	05/07/20	L		See Part VIII
135. - Waterline Ventures II LP (private equity)		None	N	W	Buy (add'l)	02/27/20	K		
136.					Buy (add'l)	09/02/20	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

SARIS, PATTI B.

Date of Report

05/03/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. - Regent Opportunity Fund IV, LLC (private equity)		None	N	W	Buy (add'l)	01/21/20	J		
138. - US Bank Security acct (H)									
139. - First Am US Treas mm CL Z cash equiv (mutual fd)	G	Dividend	P2	T	Buy (add'l)	01/20/20	P2		
140.					Buy (add'l)	01/03/20	J		
141.					Buy (add'l)	01/17/20	N		
142.					Buy (add'l)	01/21/20	L		
143.					Buy (add'l)	01/23/20	O		
144.					Buy (add'l)	01/24/20	K		
145.					Buy (add'l)	01/24/20	K		
146.					Buy (add'l)	01/31/20	J		
147.					Buy (add'l)	02/04/20	J		
148.					Buy (add'l)	02/10/20	L		
149.					Buy (add'l)	02/14/20	J		
150.					Buy (add'l)	02/20/20	J		
151.					Buy (add'l)	02/25/20	J		
152.					Buy (add'l)	02/26/20	K		
153.					Buy (add'l)	02/28/20	L		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	03/03/20	J		
155.					Buy (add'l)	03/10/20	K		
156.					Buy (add'l)	03/20/20	K		
157.					Buy (add'l)	03/26/20	P1		
158.					Buy (add'l)	03/27/20	P1		
159.					Buy (add'l)	04/02/20	J		
160.					Buy (add'l)	04/09/20	L		
161.					Buy (add'l)	04/17/20	J		
162.					Buy (add'l)	04/22/20	J		
163.					Buy (add'l)	04/23/20	N		
164.					Buy (add'l)	04/24/20	K		
165.					Buy (add'l)	04/28/20	M		
166.					Buy (add'l)	04/29/20	K		
167.					Buy (add'l)	05/01/20	J		
168.					Buy (add'l)	05/04/20	J		
169.					Buy (add'l)	05/06/20	J		
170.					Buy (add'l)	05/07/20	P1		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171.					Buy (add'l)	05/11/20	K		
172.					Buy (add'l)	05/14/20	J		
173.					Buy (add'l)	06/05/20	J		
174.					Buy (add'l)	06/12/20	J		
175.					Buy (add'l)	06/16/20	J		
176.					Buy (add'l)	06/24/20	J		
177.					Buy (add'l)	06/24/20	M		
178.					Buy (add'l)	06/25/20	O		
179.					Buy (add'l)	06/26/20	O		
180.					Buy (add'l)	06/29/20	J		
181.					Buy (add'l)	07/02/20	J		
182.					Buy (add'l)	07/07/20	K		
183.					Buy (add'l)	07/08/20	L		
184.					Buy (add'l)	07/10/20	N		
185.					Buy (add'l)	07/13/20	J		
186.					Buy (add'l)	07/21/20	P1		
187.					Buy (add'l)	07/29/20	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188.					Buy (add'l)	07/31/20	K		
189.					Buy (add'l)	08/04/20	J		
190.					Buy (add'l)	08/06/20	J		
191.					Buy (add'l)	08/11/20	M		
192.					Buy (add'l)	08/13/20	O		
193.					Buy (add'l)	08/17/20	O		
194.					Buy (add'l)	08/17/20	J		
195.					Buy (add'l)	08/28/20	K		
196.					Buy (add'l)	08/31/20	K		
197.					Buy (add'l)	09/02/20	J		
198.					Buy (add'l)	09/02/20	J		
199.					Buy (add'l)	09/10/20	K		
200.					Buy (add'l)	09/16/20	M		
201.					Buy (add'l)	09/17/20	K		
202.					Buy (add'l)	09/28/20	K		
203.					Buy (add'l)	09/28/20	P1		
204.					Buy (add'l)	10/01/20	L		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205.					Buy (add'l)	10/01/20	M		
206.					Buy (add'l)	10/02/20	J		
207.					Buy (add'l)	10/02/20	L		
208.					Buy (add'l)	10/05/20	K		
209.					Buy (add'l)	10/13/20	O		
210.					Buy (add'l)	10/16/20	K		
211.					Buy (add'l)	10/19/20	K		
212.					Buy (add'l)	10/19/20	M		
213.					Buy (add'l)	10/22/20	K		
214.					Buy (add'l)	10/23/20	J		
215.					Buy (add'l)	10/29/20	L		
216.					Buy (add'l)	10/30/20	K		
217.					Buy (add'l)	11/02/20	P1		
218.					Buy (add'l)	11/03/20	P1		
219.					Buy (add'l)	11/06/20	N		
220.					Buy (add'l)	11/10/20	N		
221.					Buy (add'l)	11/13/20	L		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222.					Buy (add'l)	11/23/20	K		
223.					Buy (add'l)	11/25/20	N		
224.					Buy (add'l)	11/30/20	P1		
225.					Buy (add'l)	12/02/20	J		
226.					Buy (add'l)	12/04/20	K		
227.					Buy (add'l)	12/09/20	K		
228.					Buy (add'l)	12/17/20	P1		
229.					Buy (add'l)	12/22/20	J		
230.					Buy (add'l)	12/22/20	K		
231.					Buy (add'l)	12/23/20	J		
232.					Buy (add'l)	12/30/20	J		
233.					Buy (add'l)	12/30/20	K		
234.					Buy (add'l)	12/31/20	J		
235.					Buy (add'l)	12/31/20	K		
236.					Sold (part)	01/03/20	J		
237.					Sold (part)	01/07/20	M		
238.					Sold (part)	01/08/20	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

SARIS, PATTI B.

Date of Report

05/03/2021

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239.					Sold (part)	01/15/20	J		
240.					Sold (part)	01/15/20	J		
241.					Sold (part)	01/16/20	J		
242.					Sold (part)	01/22/20	P1		
243.					Sold (part)	01/22/20	J		
244.					Sold (part)	01/27/20	J		
245.					Sold (part)	02/06/20	K		
246.					Sold (part)	02/18/20	L		
247.					Sold (part)	02/18/20	J		
248.					Sold (part)	02/19/20	M		
249.					Sold (part)	02/24/20	J		
250.					Sold (part)	02/27/20	P1		
251.					Sold (part)	03/02/20	N		
252.					Sold (part)	03/03/20	L		
253.					Sold (part)	03/06/20	L		
254.					Sold (part)	03/13/20	L		
255.					Sold (part)	03/19/20	M		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256.					Sold (part)	03/24/20	M		
257.					Sold (part)	03/25/20	J		
258.					Sold (part)	03/27/20	P1		
259.					Sold (part)	03/31/20	P1		
260.					Sold (part)	04/02/20	M		
261.					Sold (part)	04/07/20	M		
262.					Sold (part)	04/08/20	P1		
263.					Sold (part)	04/14/20	M		
264.					Sold (part)	04/14/20	M		
265.					Sold (part)	04/24/20	L		
266.					Sold (part)	04/27/20	J		
267.					Sold (part)	04/27/20	P1		
268.					Sold (part)	04/30/20	J		
269.					Sold (part)	05/12/20	M		
270.					Sold (part)	05/13/20	O		
271.					Sold (part)	05/19/20	K		
272.					Sold (part)	05/26/20	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

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Name of Person Reporting

SARIS, PATTI B.

Date of Report

05/03/2021

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273.					Sold (part)	05/27/20	P1		
274.					Sold (part)	05/29/20	M		
275.					Sold (part)	06/02/20	L		
276.					Sold (part)	06/03/20	M		
277.					Sold (part)	06/10/20	K		
278.					Sold (part)	06/11/20	J		
279.					Sold (part)	06/17/20	J		
280.					Sold (part)	06/24/20	L		
281.					Sold (part)	06/29/20	J		
282.					Sold (part)	07/15/20	L		
283.					Sold (part)	07/20/20	M		
284.					Sold (part)	07/24/20	M		
285.					Sold (part)	07/27/20	J		
286.					Sold (part)	07/29/20	M		
287.					Sold (part)	07/30/20	P1		
288.					Sold (part)	08/05/20	L		
289.					Sold (part)	08/07/20	K		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290.					Sold (part)	08/10/20	J		
291.					Sold (part)	08/13/20	L		
292.					Sold (part)	08/18/20	M		
293.					Sold (part)	08/18/20	K		
294.					Sold (part)	08/21/20	N		
295.					Sold (part)	08/25/20	J		
296.					Sold (part)	08/27/20	L		
297.					Sold (part)	09/04/20	N		
298.					Sold (part)	09/18/20	K		
299.					Sold (part)	09/21/20	O		
300.					Sold (part)	09/22/20	L		
301.					Sold (part)	09/24/20	J		
302.					Sold (part)	09/25/20	J		
303.					Sold (part)	09/25/20	K		
304.					Sold (part)	09/28/20	P1		
305.					Sold (part)	10/09/20	J		
306.					Sold (part)	10/15/20	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

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Name of Person Reporting

SARIS, PATTI B.

Date of Report

05/03/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307.					Sold (part)	10/26/20	J		
308.					Sold (part)	10/27/20	M		
309.					Sold (part)	11/09/20	J		
310.					Sold (part)	11/12/20	P1		
311.					Sold (part)	11/16/20	L		
312.					Sold (part)	11/19/20	K		
313.					Sold (part)	11/25/20	J		
314.					Sold (part)	11/30/20	P1		
315.					Sold (part)	12/10/20	L		
316.					Sold (part)	12/10/20	N		
317.					Sold (part)	12/15/20	M		
318.					Sold (part)	12/16/20	K		
319.					Sold (part)	12/18/20	M		
320.					Sold (part)	12/24/20	J		
321.					Sold (part)	12/28/20	L		
322.					Sold (part)	12/29/20	O		
323. - Independent Fran Part EQ FD (mutual FD)	F	Dividend	P1	T	Sold (part)	06/24/20	N		

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

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Name of Person Reporting

SARIS, PATTI B.

Date of Report

05/03/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
324.					Sold (part)	06/24/20	K	D	
325.					Sold (part)	06/24/20	J	B	
326.					Sold (part)	06/24/20	L	D	
327.					Sold (part)	06/24/20	L	B	
328.					Sold (part)	06/24/20	M	E	
329.					Sold (part)	08/12/20	O	G	
330.					Sold (part)	08/12/20	M	E	
331. - Euro Currency (cash equiv)		None	J	T	Buy (add'l)	01/03/20	K		
332.					Buy (add'l)	01/14/20	J		
333.					Buy (add'l)	02/19/20	K		
334.					Buy (add'l)	03/24/20	M		
335.					Buy (add'l)	04/13/20	M		
336.					Buy (add'l)	06/02/20	L		
337.					Buy (add'l)	08/11/20	M		
338.					Buy (add'l)	09/23/20	L		
339.					Buy (add'l)	12/09/20	L		
340.					Sold (part)	01/03/20	K		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
341.					Sold (part)	01/15/20	J		
342.					Sold (part)	02/18/20	K		
343.					Sold (part)	03/24/20	M		
344.					Sold (part)	04/14/20	M	A	
345.					Sold (part)	06/02/20	L		
346.					Sold (part)	08/18/20	M		
347.					Sold (part)	09/22/20	L		
348.					Sold (part)	12/29/20	J	A	
349. - Frontegra MFG Global Equity Instl (mutual FD)	G	Dividend	P2	T	Sold (part)	06/24/20	O		
350.					Sold (part)	08/12/20	O	E	
351. - Vanguard Dividend Apprec IDX Admiral (mutual fd)	A	Dividend			Buy (add'l)	03/26/20	J		
352.					Sold	06/23/20	M	F	See Part VIII
353. - ishares MSCI World ETF		None			Sold	03/23/20	P1		See Part VIII
354. - Castllake V LPs (private equity)		None	P1	W	Buy (add'l)	03/03/20	L		
355.					Buy (add'l)	04/07/20	M		
356. - Berkshire Wind Pwr Coop Corp Mass municipal bds	D	Interest	N	T					
357. - SPRINGFIELD MASS WTR & SWR COMMN REV 5% 04-15-2026 BEO	E	Interest	N	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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Name of Person Reporting

SARIS, PATTI B.

Date of Report

05/03/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358. - WA Multnomah & Yamhill Cnty municipal bds	D	Interest			Sold	11/27/20	N		See Part VIII
359. - Brookside Cap Partners Fd LP	D	Distribution	J	W					
360. - Summit Ptrns Priv Eq Fd VII-A	E	Distribution	M	W					
361. - Hony Capital Fund 2008, LP	E	Distribution	N	U					
362. - Lone Star Fund VI (US), LP	F	Distribution	N	U					
363. - Lone Star Europe Holdings (US), LP	F	Distribution	M	U					
364. - Lone Star Real Estate Fund (US), LP		None	L	U					
365. - Lime Rock Partners VI LP (private equity)	E	Distribution	N	U	Buy (add'l)	03/27/20	J		
366.					Buy (add'l)	09/24/20	J		
367.					Buy (add'l)	12/18/20	J		
368. - Lone Star Fund VIII (US) LP (private equity)		None	O	U					
369. - Lone Star Real Estate Fund III (US), LP (private eq)	F	Distribution	L	U					
370. - Castlake IV LP (private eq)	G	Distribution	P1	U					
371. - Lime Rock Partners VII LP (private eq)	F	Distribution	P1	U	Buy (add'l)	03/27/20	K		
372.					Buy (add'l)	06/26/20	K		
373.					Buy (add'l)	09/25/20	K		
374.					Buy (add'l)	12/21/20	J		

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

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Name of Person Reporting

SARIS, PATTI B.

Date of Report

05/03/2021

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
375. - Lone Star IX (US), LP (private eq)	G	Distribution	O	U					
376. - Aria Investment Partners LP LLC (private equity)	E	Distribution	O	U	Buy (add'l)	11/16/20	L		
377. - Centerbridge Cap Ptnrs LPs (Priv. Eq)	E	Distribution	M	U					
378. - MP Fund I LP (private eq)		None	N	U					
379. - Kildare European Partners I, LP (private eq)	F	Distribution	M	U					
380. - Acacia Conservation Fund LP (private equity) - Artemis R E Ptnr		None	P2	W					
381. - Artemis R E Ptnrs Hlthcare Fd I LP (private equity)	G	Distribution	O	W	Buy (add'l)	01/23/20	L		
382.					Buy (add'l)	02/18/20	L		
383.					Buy (add'l)	04/02/20	M		
384.					Buy (add'l)	11/16/20	K		
385.					Buy (add'l)	12/28/20	L		
386. - Artemis Real Est Partners Fd I (NR) LP		None	L	W					
387. - Artemis Real Est Ptnrs Fd II LP	G	Distribution	N	W	Buy (add'l)	05/28/20	K		
388. - Baupost Val Partners LP II		None	P2	U					
389. - Abrams Capital Partners II LP		None	P2	W	Redeemed (part)	12/31/20	P1		see part VIII
390. - Advent International GPE VIII-B LP (private equity)		None	P1	W	Buy (add'l)	03/13/20	L		
391.					Buy (add'l)	06/11/20	K		

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

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SARIS, PATTI B.

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
392.					Buy (add'l)	09/18/20	K		
393. - Charlesbank Executives Fund IX, LP	E	Distribution	P1	W	Buy (add'l)	04/15/20	M		
394.					Buy (add'l)	07/15/20	L		
395.					Buy (add'l)	10/13/20	M		
396.					Buy (add'l)	11/19/20	K		
397.					Buy (add'l)	12/29/20	M		
398.					Distributed (part)	10/08/20	N		see part VIII
399. - CX Partners Fd Limited (private eq)	F	Distribution	M	W					
400. - Denham Oil & Gas Fd LP (private equity)	F	Distribution	O	W	Buy (add'l)	07/29/20	M		
401. - Elliott Associates LP		None	P2	W	Redeemed (part)	10/31/20	P1		
402.					Redeemed (part)	12/15/20	L		See Part VIII
403. - FE Industrial Partners I LP	G	Distribution	L	W	Buy (add'l)	01/03/20	M		
404.					Buy (add'l)	02/19/20	M		
405.					Buy (add'l)	12/16/20	K		
406.					Redeemed (part)	10/22/20	M		See Part VIII
407. - Hephaestion II LP priv eq		None	M	W					
408. - Hephaestion III LP		None	M	W					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
409. - Hephaestion IV LP (private equity)	H1	Distribution	P1	W					
410. - Hephaestion Retail LP priv eq		None	K	W					
411. - HighVista I LP		None	N	W	Redeemed (part)	11/02/20	P1		See Part VIII
412. - Hillhouse Fund III LP (private equity)	G	Distribution	P1	W	Buy (add'l)	01/22/20	J		
413.					Buy (add'l)	03/27/20	J		
414.					Buy (add'l)	06/29/20	J		
415.					Buy (add'l)	09/25/20	J		
416.					Buy (add'l)	12/17/20	K		
417.					Buy (add'l)	12/30/20	J		
418. - Hillhouse Fund IV, L.P.	G	Distribution	P1	W	Buy (add'l)	03/02/20	N		
419.					Buy (add'l)	03/20/20	M		
420.					Buy (add'l)	04/27/20	M		
421.					Buy (add'l)	06/25/20	L		
422.					Buy (add'l)	07/10/20	M		
423.					Buy (add'l)	08/24/20	N		
424.					Buy (add'l)	09/04/20	N		
425.					Buy (add'l)	09/21/20	N		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
426.					Buy (add'l)	09/30/20	K		
427.					Buy (add'l)	12/30/20	J		
428. - Innovation works Development Fd II, LP (private equity)	G	Distribution	P1	W					
429. - Kabouter International Opportunities Fd II LLC (private equity)		None	P1	W					
430. - Kensico Associates LP (private equity)	B	Distribution	P2	W					
431. - Kildare European Partners II LP	G	Distribution	O	W	Buy (add'l)	03/06/20	K		
432.					Buy (add'l)	05/29/20	M		
433.					Buy (add'l)	07/31/20	L		
434.					Buy (add'l)	12/10/20	M		
435. - Lime Rock Partners IV LP (combined) (private equities)		None	J	W					
436. - Lime Rock Partners V, LP combined		None	M	W	Buy (add'l)	12/24/20	J		
437. - Long Pond Capital QP Fund, LP	G	Distribution	O	W	Redeemed (part)	10/19/20	M		See Part VIII
438. - MFN Partners, LP		None	P1	W	Buy (add'l)	03/31/20	N		
439. - NCP Fund I, LP (Nonantum Capital Partners Fund I)		None	O	W	Buy (add'l)	01/15/20	J		
440.					Buy (add'l)	05/20/20	K		
441.					Buy (add'l)	08/11/20	J		
442.					Buy (add'l)	11/09/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
443. - Orion European Real Estate Fund II CV		None	J	W					
444. - Orion European Real Estate Fund III CV		None	M	W	Buy (add'l)	01/15/20	J		
445.					Buy (add'l)	02/18/20	K		
446. - Orion European Real Estate Fund IV CV	E	Distribution	O	W	Buy (add'l)	01/03/20	K		
447.					Buy (add'l)	04/16/20	M		
448.					Buy (add'l)	06/02/20	L		
449.					Buy (add'l)	09/22/20	L		
450.					Buy (add'l)	12/10/20	L		
451. - Orion European Real Estate Fund V SLP	G	Distribution	M	W	Buy (add'l)	03/24/20	M		
452.					Buy (add'l)	08/20/20	M		
453. - Penta Asia Long Short Fund LTD		None	J	W					
454. - Polaris Vent Part Entrep Fd V LP	F	Distribution	O	W	Distributed (part)	05/26/20	J		See Part VIII
455.					Distributed (part)	06/09/20	J		See Part VIII
456.					Distributed (part)	06/15/20	J		See Part VIII
457.					Distributed (part)	07/10/20	J		See Part VIII
458.					Distributed (part)	08/04/20	J		See Part VIII
459.					Distributed (part)	08/21/20	K		

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

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SARIS, PATTI B.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
460.					Distributed (part)	08/28/20	K		See Part VIII
461.					Distributed (part)	09/30/20	K		See Part VIII
462.					Distributed (part)	10/01/20	J		See Part VIII
463. - S Capital, L.P.		None	O	W	Buy (add'l)	01/17/20	L		
464.					Buy (add'l)	03/06/20	K		
465.					Buy (add'l)	03/13/20	L		
466.					Buy (add'l)	06/18/20	J		
467.					Buy (add'l)	09/24/20	J		
468.					Buy (add'l)	12/18/20	K		
469. - Tekne Partners, LP (private equity)		None	P2	W	Redeemed (part)	07/10/20	P1		See Part VIII
470. - Thorntree Capital Fund LP	H1	Distribution	P1	W	Redeemed (part)	07/20/20	P1		See Part VIII
471. - X Investment Holding Ltd/Indian Dream Financial Advisors		None	N	W					
472. - MA St College Bds Municipal Bds	C	Interest			Matured	01/01/20	M	A	See Part VIII
473. - MEDINA CNTY OHIO LIBR DIST 5% 12-01-2020 BEO	D	Interest			Sold	11/27/20	M		See Part VIII
474. - OREGON ST 5% 12-01-2020 BEO	D	Interest			Sold	11/27/20	N		See Part VIII
475. - Metropolitan St Louis, MO municipal fds	D	Interest	M	T					
476. - Castle Rock Colo Sales & Use Tax Rev municipal bds	C	Interest	M	T					

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
477. - Edmond OK Pub Wks Auth Sales Tax & Util Rev municipal bds	E	Interest			Sold	11/27/20	N		See Part VIII
478. - EAGLE RIV COLO WTR & SANTN DIST ENTERPRISE WASTEWTR REV 5 12-01-202	C	Interest	M	T					
479. - Massachusetts St Clean Wtr municipal bds	E	Interest	O	T					
480. - Minneapolis & St Paul MN Met Arpts Comm municipal bds	C	Interest	M	T					
481. - New York NY City HSG Dev Corp municipal bond	D	Interest	O	T					
482. - South Dakota Brd Regts Hsg & Auxiliary Fac municipal bds	D	Interest	M	T					
483. - BOSTON MASS 5.0% 01 MAR 2036	E	Interest	O	T					
484. - MA ST TRANSN FD 5% 05-15-2021 BEO	E	Interest	N	T					
485. - MASSACHUSETTS DEPT TRANSN MET HWY SYS REV 5.0%	D	Interest	M	T					
486. - UTAH TRAN AUTH SALES TAX REV 5.25%	D	Interest	N	T					
487. - CHARLESTON S C WTRWKS & SWR REV 5.0%	E	Interest			Sold	11/27/20	N	E	
488. - TEWKSBURY MA MUN PURP LN 3%	B	Interest			Sold	09/11/20	L	D	
489. - NEW YORK N Y CITY TRANSITIONAL FIN AUTH REV 5%	B	Interest			Sold	11/27/20	N		See Part VIII
490. - Durable Capital - Class B		None	P2	U	Buy (add'l)	03/30/20	P1		
491. - Hillhouse Gaoling Fund		None	P2	U					
492. - Lindsell Train Global Equity LLC		None	P2	U					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
493. - Lux Co-Invest Opportunities II		None	N	U	Buy (add'l)	04/24/20	L		
494.					Buy (add'l)	08/06/20	L		
495.					Buy (add'l)	10/15/20	M		
496.					Buy (add'l)	12/18/20	K		
497. - Cardlytics Stock (stock distribution from Polaris Fund)		None			Sold	02/28/20	K	A	
498. - S Capital Opportunity Fund		None	N	T	Buy (add'l)	03/31/20	M		
499.					Buy (add'l)	06/18/20	J		
500.					Buy (add'l)	12/10/20	K		
501.					Buy (add'l)	12/18/20	K		
502. - Whale Rock Flagship Fund LP		None	P2	W	Buy (add'l)	07/30/20	P1		
503. - ISHARES RUSSELL 2000 INDEX ETF (x)		None			Open	01/17/20	P1		
504.					Sold	03/23/20	P1		See Part VIII
505. - Ishares Gold Trust (x)		None	P1	T	Open	04/08/20	P1		
506. - Kala Pharma (Stock Distribution) (x)		None			Open	05/26/20	J		
507.					Sold	07/01/20	J		See Part VIII
508. - Phreesia, Inc (Stock Distribution) (x)		None			Open	06/09/20	K		
509.					Sold	09/30/20	K	A	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
510. - Phreesia, Inc (Stock Distribution) (x)		None			Open	06/15/20	J		
511.					Sold	08/11/20	J	A	
512. - FATE (Stock Distribution) (x)		None			Open	07/10/20	J		
513.					Sold	08/09/20	J		See Part VIII
514. - Phreesia, Inc (Stock Distribution) (x)		None			Open	09/30/20	K		
515.					Sold	10/08/20	K	A	
516. - Phreesia, Inc (Stock Distribution) (x)		None			Open	06/09/20	K		
517.					Sold	07/01/20	K		See Part VIII
518. - FATE(Stock Distribution) (x)		None			Open	10/01/20	J		
519.					Sold	10/08/20	J	A	
520. - Wayfair (Stock Distribution) (x)		None			Open	10/08/20	N		
521.					Sold	11/09/20	N		See Part VIII
522. - D1 Capital Partners Onshore LP (x)		None	P1	W	Open	11/30/20	P1		
523. - Hillhouse Focused Growth Fund V (x)		None	K	W	Open	09/29/20	M		
524.					Buy (add'l)	12/30/20	J		
525.					Redeemed (part)	11/06/20	L		See Part VIII
526. - Hillhouse Fund V (x)		None	K	W	Open	11/30/20	L		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
527.					Redeemed (part)	12/22/20	J		See Part VIII
528. - Hillhouse Venture Fund V (x)		None	L	W	Open	09/29/20	M		
529.					Buy (add'l)	12/30/20	J		
530.					Redeemed (part)	11/06/20	M		
531.					Redeemed (part)	12/09/20	J		See Part VIII
532. - HLCI Investment Fund II (x)		None	L	W	Open	08/19/20	L		
533. - HighVista BioTech Opp Fund (x)		None	P1	W	Open	09/29/20	P1		
534. - Overlook Partners Fund (x)		None	P1	W	Open	04/27/20	P1		
535.					Buy (add'l)	05/27/20	P1		
536. - S Capital II, LP (x)		None	N	W	Open	07/24/20	M		
537.					Buy (add'l)	08/13/20	L		
538.					Buy (add'l)	08/27/20	L		
539.					Buy (add'l)	10/09/20	J		
540. - Section 32 (x)		None	O	W	Open	05/13/20	M		
541.					Buy (add'l)	06/03/20	M		
542.					Buy (add'l)	07/20/20	M		
543.					Buy (add'l)	10/28/20	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
544. -TrueBridge Capital Partners (x)		None	O	W	Open	12/15/20	N		
545. - The Engine Fund (x)		None	K	W	Open	12/18/20	K		
546. - Waterline Ventures III LP (private equity) (x)		None	L	W	Open	08/24/20	L		
547. - RA Capital Healthcare Fund LP (x)		None	P1	W	Open	02/27/20	P1		
548. - MASSACHUSETTS ST DEV FIN AGY REV 5.0% DUE 7-1-2039 (x)	D	Interest	N	T	Open	02/27/20	N		
549. - MASSACHUSETTS ST DEV FIN AGY REV 5.0% DUE 4-1-2028 (x)	D	Interest	N	T	Open	04/01/20	N		
550. - MASSACHUSETTS ST DEV FIN AGY REV 5.0% DUE 10-15-2030 (x)	C	Interest	M	T	Open	04/29/20	M		
551. - MA St Sch Bldg Auth Ded Sales Tax Rev 5.0% BEO 11-15-2046 (x)	E	Interest	N	T	Open	01/16/20	N		
552. - MASSACHUSETTS ST 5.0% DUE 11-01-2029 BEO (x)		None	M	T	Open	12/03/20	M		
553. - MEDFORD ORE HOSP FACS AUTH REV 5.0% DUE 08-15-2033 (x)		None	L	T	Open	07/21/20	L		
554. First Republic Bank, bank account (cash account)	E	Interest	P2	T					
555. Perry Partners, LP (private equity)		None	J	U	Redeemed (part)	04/28/20	J		See Part VIII
556. Local Motors Inc Ser B pfd stock		None	M	T					
557. Local Motors Inc Ser C pfd stock		None	N	T					
558. AdoreMe Inc-seed pfd (fka WebcamGen Inc Ser A pfd) clsly held		None	N	T					
559. Highland Capital Partners VIII, LP		None	M	U					
560. Prosperitas Real Est Partners III LP (private equity)		None	J	W					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
561. Prosperitas Real Est Partners IIIA LP (private equity)		None	J	W					
562. Prosperitas Real Est Partners IIIB LP (private equity)		None	J	W					
563. Liveprocess Corp Ser B pfd		None	J	W					
564. Trust # 29 (H)									
565. - Plymouth Rock Co Inc OC Cl A com stock (closely held)	G	Dividend	P2	T					
566. - MECM Investments, LLC interest	H1	Distribution	P4	W	Distributed (part)	12/31/20	P1		See part VIII
567. - First Republic Bank, Bank account (cash account)		None	M	T					
568. - First Republic Bank, Bank account (cash account 2)	A	Interest	J	T					
569. - First Republic Bank, Bank account (cash account 3) (x)	A	Interest	J	T	Open	02/28/20	J		
570. Trust # 31 (H)									
571. - Vanguard Dvd Apprec Ind-adm (VDADX) mutual fd	D	Dividend	N	T					
572. - Vanguard Emerg Mkts Stock Indx-adm (VEMAX) mutual fd	D	Dividend	M	T					
573. - Int in MECM Investments LLC (privately held)	F	Distribution	P1	W					
574. - First Republic Bank, Bank account (cash account)	A	Interest	M	T					
575. - First Republic Bank, Bank account (cash account 2) (x)	A	Interest	K	T	Open	02/28/20	K		
576. - Hephaestion, LP (private equity)		None	J	W					
577. - Hephaestion Co Inv I LP		None	J	W					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
578. - Porus Inv Hldg Co Ltd		None	J	W					
579. - Xander Master Fund LLC		None	J	W					
580. - Ptolemy Holdings Trust	E	Distribution	P1	W					
581. Learn Our History LLC (private equity)		None	J	W					
582. Patagonia Sur, LLC (private equity)		None	M	U					
583. Trust # 32 (H)									
584. - Int in MECM Investments LLC (closely held)	E	Distribution	O	W					
585. - Vanguard Dvd Apprec Ind-adm (VDADX) mutual fd	D	Dividend	N	T					
586. - Vanguard Emerg Mkts Stock Indx-adm (VEMAX mutual fund	A	Dividend	K	T					
587. - First Republic Bank, Bank account (cash account)	A	Interest	L	T					
588. - First Republic Bank, Bank account (cash account 2)	A	Interest	L	T					
589. - Hephæstion LP		None	J	W					
590. - Hephæstion Co Inv I LP		None	J	W					
591. - Porus Inv Hldg Co Ltd		None	J	W					
592. - Xander Master Fund LLC		None	J	W					
593. - Ptolemy Holdings Trust	E	Distribution	P1	W					
594. Compass DRR Mexico F1-2 Limited (private equity)		None	N	W					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
595. RNPF Co Invest LLC (private equity)		None	M	U					
596. RP Holdings Fund II, LLC (private equity)	D	Distribution	J	U					
597. Velos Partners Fund I LP (private equity)		None	M	U					
598. Proclara Biosciences Inc Ser D pfd stock (fka Neurophage Pharms)		None	K	T					
599. Local Motors Inc Ser B-1 pfd (closely held)		None	N	T					
600. Proclara Biosciences Inc Ser E pfd stock (fka Neurophage Pharms)		None	K	T					
601. CourtScribes Inc Ser A prim pfd (Delaware Corp)		None	K	T					
602. Blackivy LLC (private eq)		None	L	W					
603. Coastal Force Invt in Real Estate LP (private eq)		None	O	U					
604. Longpoint Realty Partners LP CL B (private eq)		None	O	U	Buy (add'l)	12/31/20	M		
605. IRA Rollover # 2 (H)									
606. - Vanguard Total Wrld Stock Idx Fd (VT) mutual fd		None			Sold	03/12/20	M	D	See part VIII
607. - Federated Hermes Treasury Obl (cash equiv)	A	Interest	M	T	Buy (add'l)	01/03/20	J		See part VIII
608.					Buy (add'l)	02/04/20	J		
609.					Buy (add'l)	02/04/20	J		
610.					Buy (add'l)	03/03/20	J		
611.					Buy (add'l)	03/12/20	M		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
612.					Buy (add'l)	04/02/20	J		
613.					Buy (add'l)	05/04/20	J		
614.					Buy (add'l)	06/02/20	J		
615.					Buy (add'l)	07/06/20	J		
616.					Buy (add'l)	08/04/20	J		
617.					Buy (add'l)	09/02/20	J		
618.					Buy (add'l)	10/02/20	J		
619.					Buy (add'l)	11/03/20	J		
620.					Buy (add'l)	12/02/20	J		
621. Trust # 33 (H)									
622. - First Republic Bank, Bank account (cash account)	A	Interest	J	T					
623. - Interest in Trust # 35	G	Distribution	P2	T	Distributed (part)	06/20/20	P1		see part VIII
624. Guesty Inc Ser A pfd stock		None	M	T					
625. HST Solar Farms Inc Ser A-2 Pfd (closely held)		None	M	W					
626. Graduate Syndicate Fund I LP (private equity)	A	Distribution	M	U					
627. Blackstone Distressed Securites Fund LP (private equity)		None	J	U					
628. Semma Therapeutics Inc Ser B Pfd stock		None	O	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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3 Value Method Codes (See Column C2)					

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
629. Venn 2014 LTD (private equity)		None	M	W					
630. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	M	T	Open	02/28/20	K		
631. - Fidelity Cash reserves (x)	A	Dividend	M	T	Open	10/19/20	M		
632. Trust # 34 (H)									
633. - Int in MECM Investment LLC (privately held)	G	Distribution	P2	W					
634. - First Republic Bank, Bank account (cash account)	B	Interest	O	T					
635. - Fidelity Cash Reserves Fund (x)	A	Dividend	O	T	Open	05/11/20	O		
636. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	N	T	Open	02/28/20	L		
637. Trust # 35 (H)									
638. - Plymouth Rock Co Inc OC Cl A - common stock	H1	Dividend	P3	T					
639. - First Republic Bank, Bank account (cash account)	A	Interest	J	T					
640. - First Republic Bank, Bank account (cash account) 2 (x)	A	Interest	J	T	Open	02/28/20	J		
641. Trust #36 (H)									
642. - Int in MECM Investments, LLC Interest	G	Distribution			Distributed (part)	12/30/20	P1		See Part VIII
643.					Distributed	12/30/20	P2		See Part VIII
644. - First Republic Bank, Bank account (cash account)	B	Interest			Closed	12/29/20	N		See Part VIII
645. - First Republic Bank, Bank account (cash account) 2 (x)	B	Interest			Open	02/28/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
646.					Closed	12/31/20	O		See Part VIII
647. - Fidelity cash reserves		None			Buy (add'l)	07/10/20	N		
648.					Buy (add'l)	07/31/20	J		
649.					Buy (add'l)	08/31/20	J		
650.					Buy (add'l)	09/30/20	J		
651.					Buy (add'l)	10/30/20	J		
652.					Buy (add'l)	11/30/20	J		
653.					Sold	12/29/20	N		See Part VIII
654. Graduate Syndicate Fund 2 LP		None	N	U	Buy (add'l)	06/04/20	M		
655. NREP NSF III InvestCo 66 AS		None	N	W	Buy (add'l)	02/14/20	L		
656.					Buy (add'l)	10/06/20	L		
657. Proclara Biosciences Inc Ser F PFD		None	J	W					
658. MECM Investments, LLC interest	H1	Distribution	P3	W	Buy (add'l)	12/30/20	P2		
659. MECM Investments, LLC interest	G	Distribution	P1	W					
660. Glidewell (x)		None	J	W	Open	09/30/20	J		
661. IRA Rollover #3 (H)									
662. - Federated Treasury Obliga - IS (cash equiv)	A	Interest	M	T	Buy (add'l)	03/12/20	M		See Part VIII

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
663. - Vanguard Total Wrld Stock Idx Fd (VT) mutual fd		None			Sold	03/12/20	M	D	
664. Trust # 38 (H)					Closed	01/01/20	J		
665. - Ropes Wealth Advisors (H)		None			Closed	01/01/20	J		See Part VIII
666. Trust # 39 (H) (x)									
667. - First Republic Bank, Bank account (cash account) (x)	A	Interest	J	T	Open	02/28/20	J		
668. - MECM Investments, LLC interest (x)		Distribution	P2	T	Open	01/01/20	P2		
669.					Distributed (part)	12/30/20	P2		See Part VIII
670.									
671.									
672.									
673.									
674.									
675.									
676.									
677.									

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

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

Part I. Postions -

- A. Reference is made to Trust #4 of which [REDACTED] is a co-trustee. NOTE: All assets have been separately reported on the FDR and properly disclosed.
B. Reference is made to Trust #5 of which [REDACTED] is a co-trustee. NOTE: All assets have been separately reported on the FDR and properly disclosed.

Part VII. Investments and Trusts -

- A. Items listed on calendar year 2019 Financial Disclosure Report (FDR) and excluded for calendar year 2020 do not meet the aggregate income, or aggregate value levels outlined in the Financial Disclosure Report Filing Instructions for Judicial Officers and Employees (said instructions referencing Sections 102(a)(3) and 102(a)(1)(B)).

Item 2: Baupost Value Partners LP I - There was no reportable gain on the redemption.
Item 33: Highfields Capital II LP - There was no reportable gain on the redemption.
Item 38: Europa Fund II US LP - There was no reportable gain on the redemption.
Item 63: TA X LP (Priv Eq) - There was no reportable gain on the redemption.
Item 119: MA St Dev Fin Agy Bds, municipal bds - There was no reportable gain on bond maturity.
Item 120: CHARLESTON CNTY S C 5% 11-01-2021 BEO - There was no reportable gain on the sale.
Item 121: Frederick Cty MD municipal bds - There was no reportable gain on bond maturity.
Item 124: PS Opportunities Onshore LP (priv equity) - There was no reportable gain on the redemption.
Item 125: University Utah University Revs (municipal Bds) - There was no reportable gain on the sale.
Item 127: Morehead St Univ KY municipal bds - There was no reportable gain on the sale.
Item 131: Edgbaston Asian Equity Trust (private eq) - There was no reportable gain on the redemption.
Item 134: Governors Lane Onshore Fund LP (private equity) - There was no reportable gain on the redemption.
Item 351: Vanguard Dividend Apprec IDX Admiral (mutual fd) - There was no reportable gain on the sale.
Item 353: ishares MSCI World ETF - There was no reportable gain on the sale.
Item 358: WA Multnomah & Yamhill Cntys municipal bds - There was no reportable gain on the sale.
Item 389: Abrams Capital Partners II LP - There was no reportable gain on the redemption.
Item 393: Charlesbank Executives Fund IX, LP - distributed Wayfair stock, see item #520
Item 401: Elliott Associates LP - There was no reportable gain on the redemption.
Item 403: FE Industrial Partners I LP - There was no reportable gain on the redemption.
Item 411: HighVista I LP - There was no reportable gain on the redemption.
Item 437: Long Pond Capital QP Fund, LP - There was no reportable gain on the redemption.
Item 454: Polaris Vent Part Entrep Fd V LP - distributed Kala Pharmaceuticals Inc stock, see item #506, distributed Phreesia, Inc stock, see item #508, distributed Phreesia, Inc stock, see item #510, distributed FATE, Inc stock, see item #512, distributed Phreesia, Inc stock, see item #514, distributed Phreesia, Inc stock, see item #516, distributed FATE, Inc stock, see item #518,
Item 469: Tekne Partners, LP (private equity) - There was no reportable gain on the redemption.
Item 470: Thorntree Capital Fund LP - There was no reportable gain on the redemption.
Item 472: MA St College Bds Municipal Bds - There was no reportable gain on bond maturity.
Item 473: MEDINA CNTY OHIO LIBR DIST 5% 12-01-2020 BEO - There was no reportable gain on the sale.
Item 474: OREGON ST 5% 12-01-2020 BEO - There was no reportable gain on the sale.
Item 477: Edmond OK Pub Wks Auth Sales Tax & Util Rev municipal bds - There was no reportable gain on the sale.
Item 489: NEW YORK N Y CITY TRANSITIONAL FIN AUTH REV 5% - There was no reportable gain on the sale.
Item 503: ISHARES RUSSELL 2000 INDEX ETF - There was no reportable gain on the sale.
Item 506: Kala Pharma (Stock Distribution) - There was no reportable gain on the sale.
Item 512: FATE (Stock Distribution) - There was no reportable gain on the sale.
Item 516: Phreesia, Inc (Stock Distribution) - There was no reportable gain on the sale.
Item 523: Hillhouse Focused Growth Fund V - There was no reportable gain on the redemption.
Item 526: Hillhouse Fund V - There was no reportable gain on the redemption.
Item 528: Hillhouse Venture Fund V - There was no reportable gain on the redemption.
Item 555: Perry Partners, LP (private equity) - There was no reportable gain on the redemption.
Item 566: MECM Investments, LLC interest - Distribution was to Item# 637, there was no reportable gain on the distribution.
Item 606: Vanguard Total Wrld Stock Idx Fd (VT) mutual fd - There was no reportable gain on the sale.
Item 607: Federated Hermes Treasury Obl (cash equiv) - There was a name change per the investment, The old was Federated USTreas Cash Rsv cash eq mutual fd, the new name is Federated Hermes Treasury Obl.
Item 623: Interest in Trust # 35 - Distribution was to Item# 637, there was no reportable gain on the distribution.
Item 642: Int in MECM Investments, LLC Interest - the first Distribution was to Item# 633, there was no reportable gain on the distribution. The second Distribution was to Item# 658, there was no reportable gain on the distribution.
Item 644: First Republic Bank, Bank account (cash account) - Account was closed and transfered to Item# 554
Item 646: First Republic Bank, Bank account (cash account) - Account was closed and transfered to Item# 554
Item 647: Fidelity cash reserves - There was no reportable gain on the sale.
Item 662: Federated Hermes Treasury Obl (cash equiv) - There was a name change per the investment, The old was Federated USTreas Cash Rsv cash eq mutual fd, the new name is Federated Hermes Treasury Obl.
Item 665: Ropes Wealth Advisors - Account was liquidated in 2019. The account was closed on 1/1/2020.
Item 668: MECM Investments, LLC interest - Distribution was to Item# 658, there was no reportable gain on the distribution.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **PATTI B. SARIS**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544