

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) Sweeney II, James R.	2. Court or Organization U.S. District Court, Southern District of Indiana	3. Date of Report 05/11/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 46 E. Ohio Street Indianapolis, IN 46204		
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. Executive Committee Member	The Reserve Officers Association of the United States
2. Member	Atir Semaj LLC
3. Member	Brebeuf Preparatory School Alumni Board
4. Member	Homeless Veterans Assistance Foundation
5. Member	Indiana Bar Association Foundation

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. 2018	Barnes & Thornburg LLP-Partnership Agreement
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

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

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. George Mason University, Antonin Scalia Law School	February 1-5, 2020	Key West, FL	Judicial Education	Transportation, meals, lodging
2.				
3.				
4.				
5.				

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Alliant FCU (cash)	A	Interest	M	T					
3. First Financial Bank (cash)	A	Interest	J	T					
4. NFCU (cash)	A	Interest	P1	T					
5. Navy Mutual Aid Association (whole life insurance policy)	A	Dividend	M	T					
6. Gard Group LLC		None	K	V					
7. Account #1 (H)									
8. Stifel Insured Bank Account (cash)	A	Interest	J	T					
9. IVA Worldwide C1 A (IVWAX)	A	Dividend	M	T					
10. Account #2 (H)									
11. Stifel Insured Bank (cash)	A	Interest	M	T					
12. Capital One Bank USA NA Glen Allen VA CD FDIC #33954 [REDACTED]	A	Interest			Redeemed	07/29/20	K		
13. BMW Bank of North Amer Salt Lake City UT CD FDIC #35141 [REDACTED]	A	Interest			Redeemed	11/18/20	K		
14. BMW Bank of North Amer Salt Lake City UT CD FDIC #35141 [REDACTED]	A	Interest	J	T					
15. Account #3 (H)									
16. Newport Group B&T Self Direct (cash equivalent) (X)	F	Dividend	N	T					
17. Fidelity 500 Index Institution (FXAIX)	A	Dividend	L	T	Sold (part)	01/03/20	L		

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

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18. Fidelity Low-Priced Stock (FLPSX)	C	Dividend	K	T	Sold (part)	01/03/20	K		
19. Harbor Capital Appr Ret (HNACX)	B	Dividend	K	T					
20. Keybank EB Magic 20 Fund (EBMGICX)	A	Dividend	N	T	Buy (add'l)	01/03/20	J		
21. Pimco Total Return Instl (PTTRX)	E	Dividend	N	T	Buy (add'l)	01/03/20	L		
22. Schwab Treas Infl-Prot Sec Idx (SWRSX)	D	Dividend	N	T	Buy (add'l)	01/03/20	N		
23. Vanguard Retirement Inc Instl (VTINX)		None			Sold	01/03/20	L	A	
24. Vanguard Windsor II Fund (VWNAX)		None			Sold	01/03/20	M		
25. Account #4 (H)									
26. Federated Government OBL-SEL Money Market (cash) (X)	A	Dividend	J	T					
27. Ferrarri NV (RACE)	A	Dividend	J	T					
28. Alibaba Group Holding LTD (BABA)		None	J	T					
29. Amazon Com Inc (AMZN)		None	K	T	Buy (add'l)	03/02/20	J		
30. Churchill Downs Inc (CHDN)	A	Dividend	J	T					
31. Draftkings Inc Cl A (DKNG)		None	J	T	Buy	05/14/20	J		
32. LVMH Moet Hennessy Louis (LVMUY)	A	Dividend	J	T					
33. MGM Resorts Intl (MGM)	A	Dividend			Buy (add'l)	03/02/20	J		
34.					Sold	04/17/20	J		

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35. Shenzhou Internati-Unsp Adr (SHZHY)	A	Dividend	J	T					
36. Pernod Ricard (PDRDF)	A	Dividend	J	T					
37. Walmart Inc (WMT)	A	Dividend	J	T	Sold (part)	03/13/20	J	A	
38. Berkshire Hathaway Inc (BRKB)		None			Sold (part)	03/13/20	J	A	
39.					Sold	04/20/20	J	B	
40. Intercontinental Exchange Inc (ICE)	A	Dividend	J	T					
41. Astrazeneca PLC (AZN)	A	Dividend			Buy	04/22/20	J		
42.					Sold	12/31/20	J		
43. Intuitive Surgical Inc (ISRG)		None	J	T					
44. Lilly Eli & Co (LLY)	A	Dividend	J	T					
45. Merck & Co Inc (MRK)	A	Dividend	J	T					
46. Novo Nordisk AS (NVO)	A	Dividend	J	T	Buy	04/22/20	J		
47. Pfizer Inc (PFE)	A	Dividend	J	T					
48. Quidel Corp (QDEL)		None	J	T	Buy	04/22/20	J		
49. Unitedhealth Group Inc (UNH)	A	Dividend	K	T					
50. Costar Group Inc (CSGP)		None	J	T					
51. Huntington Ingalls Inds Inc (HII)	A	Dividend			Sold	04/17/20	J		

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2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
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52. Northrop Grumman Corp (NOC)	A	Dividend	J	T					
53. Southwest Airlines Co (LUV)		None			Buy	03/13/20	J		
54.					Sold	04/16/20	J		
55. Stanley Black & Decker Inc (SWK)	A	Dividend			Sold	04/17/20	J		
56. Union Pacific Corp (UNP)	A	Dividend	J	T					
57. Waste Management Inc (IWM)	A	Dividend	J	T					
58. Adobe Systems Inc (ADBE)		None	J	T					
59. Apple Inc (AAPL)	A	Dividend	K	T	Sold (part)	01/07/20	J	C	
60. IAC Holdings (IAC) (was IAC/Interactive Corp-W/I (IAC))		None			Buy (add'l)	03/02/20	J		
61.					Sold	10/23/20	J	B	
62. Intel Corp (INTC)	A	Dividend			Sold	07/29/20	J	A	
63. Mastercard Inc Cl A (MA)	A	Dividend	J	T					
64. Microsoft Corp (MSFT)	A	Dividend	K	T	Sold (part)	03/13/20	J	B	
65. Motorola Solutions Inc (MSI)	A	Dividend			Sold	08/13/20	J	B	
66. Paypal Holdings Inc-W/I (PYPL)		None	J	T					
67. Qorvo Inc (QRVO)		None	J	T	Buy	07/30/20	J		
68. Skyworks Solutions Inc (SWKS)	A	Dividend	J	T	Buy	07/30/20	J		

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69. Texas Instruments Inc (TXN)	A	Dividend	J	T					
70. Zebra Technologies Corp Class A (ZBRA)		None	J	T	Sold (part)	01/07/20	J	A	
71.					Buy (add'l)	03/13/20	J		
72. Martin Marietta Materials Inc (MLM)	A	Dividend	J	T	Buy	08/13/20	J		
73. Alphabet Inc/CA-CL A (GOOGL)		None	K	T					
74. Comcast Corp (CMCSA)	A	Dividend	J	T					
75. Disney Walt Co (DIS)	A	Dividend	K	T	Buy (add'l)	03/02/20	J		
76. Electronic Art (EA)	A	Dividend	J	T					
77. Facebook Inc (FB)		None	K	T					
78. Madison Square Garden Sports Corp (MSGS)		None	J	T					
79. Madison Square Garden Entertainment Corp Cl A (MSGE) (X)		None	J	T					
80. Match Group Inc (MTCH) (X)		None	J	T					
81. Sirius XM Holdings (SIRI)	A	Dividend			Sold	04/17/20	J		
82. Tencent Holdings Ltd (TCEHY)	A	Dividend	J	T					
83. Twitter Inc (TWTR)		None	J	T	Sold (part)	04/22/20	J		
84. Viper Energy Partners LP (VNOM)	A	Dividend			Sold	04/16/20	J		
85. Account #5 (H)									

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86. Stifel Insured Bank Account (cash)	A	Interest	K	T					
87. Adobe Inc (ADBE)		None	K	T					
88. Alibaba Group Holding LTD Spons Ads (BABA)		None	K	T					
89. Alphabet Inc Cl A (GOOGL)		None	K	T					
90. Amazon.com Inc (AMZN)		None	K	T	Buy (add'l)	02/27/20	J		
91. Apple Inc (AAPL)	A	Dividend	L	T	Sold (part)	01/06/20	J	D	
92. Astrazeneca PLC Sponsored ADR (AZN)	A	Dividend			Buy	04/20/20	J		
93.					Sold	12/31/20	J		
94. Berkshire Hathaway Inc Cl B (BRK/B)		None			Sold (part)	03/16/20	J	B	
95.					Sold	04/17/20	J	B	
96. Churchill Downs Inc (CHDN)	A	Dividend	K	T					
97. Comcast Corp Cl A (CMCSA)	A	Dividend	K	T					
98. Costar Group Inc (CSGP)		None	K	T					
99. Walt Disney Co (DIS)	A	Dividend	K	T	Buy (add'l)	02/27/20	J		
100. Draftkings Inc Cl A (DKNG)		None	K	T	Buy	05/14/20	J		
101. Electronic Arts Inc (EA)	A	Dividend	K	T					
102. Facebook Inc Cl A (FB)		None	K	T					

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103. Huntington Ingalls Inds Inc (HII)	A	Dividend			Sold	04/17/20	J		
104. IAC/Interactive Corp (IAC)		None			Buy (add'l)	02/27/20	J		
105.					Sold	10/23/20	J		
106. Intel Corp (INTC)	A	Dividend			Sold	07/29/20	K	B	
107. Intercontinental Exchange (ICE)	A	Dividend	K	T					
108. Intuitive Surgical Inc (ISRG)		None	J	T					
109. LVMH Moet Hennessy Louis Vuitton ADR (LVMUY)	A	Dividend	K	T					
110. Eli Lilly & Co (LLY)	A	Dividend	J	T					
111. MGM Resorts Intl (MGM)	A	Dividend			Buy (add'l)	02/27/20	J		
112.					Sold	04/16/20	J		
113. Madison Square Garden Sports Corp (MSGS)		None	J	T					
114. Madison Square Garden Entertainment Corp Cl A (MSGE)		None	J	T	Spinoff (from line 113)	04/20/20	J		
115. Martin Marietta Materials Inc (MLM)	A	Dividend	K	T	Buy	08/13/20	J		
116. Mastercard Inc Cl A (MA)	A	Dividend	K	T					
117. Match Group Inc (MTCH)		None	K	T	Spinoff (from line 104)	07/02/20	J		
118. Merck & Company Inc (MRK)	A	Dividend	K	T					
119. Microsoft Corp (MSFT)	A	Dividend	L	T	Sold (part)	03/13/20	J	C	

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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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. Motorola Solutions Inc New (MSI)	A	Dividend			Sold	08/13/20	J	B	
121. Northrop Gruman Corp (NOC)	A	Dividend	J	T					
122. Novo Nordisk AS ADR (NVO)	A	Dividend	J	T	Buy	04/20/20	J		
123. Paypal Holdings Inc (PYPL)		None	K	T					
124. Pfizer Inc (PFE)	A	Dividend	J	T					
125. Qorvo Inc (QRVO)		None	K	T	Buy	07/30/20	J		
126. Quidel Corp (QDEL)		None	J	T	Buy	04/20/20	J		
127. Shenzhou Intl Group Holdings ADR (SHZHY)	A	Dividend	K	T	Buy (add'l)	02/27/20	J		
128. Sirius XM Holdings Inc (SIRI)	A	Dividend			Sold	04/17/20	J		
129. Skyworks Solutions Inc (SWKS)	A	Dividend	J	T	Buy	07/30/20	J		
130. Southwest Airlines Co (LUV)		None			Buy	03/13/20	J		
131.					Sold	04/16/20	J		
132. Stanley Black & Decker Inc (SWK)	A	Dividend			Sold	04/17/20	J		
133. Tenecent Holdings LTD Unspens ADR (TCEHY)	A	Dividend	J	T					
134. Texas Instruments Inc (TXN)	A	Dividend	K	T					
135. Twitter Inc (TWTR)		None	K	T	Sold (part)	04/17/20	J		
136.					Buy (add'l)	10/30/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Union Pacific Corp (UNP)	A	Dividend	K	T					
138. UnitedHealth Group Inc (UNH)	A	Dividend	K	T					
139. Viper Energy Partners LP (VNOM)	A	Dividend			Buy	01/03/20	J		
140.					Sold	04/16/20	J		
141. Walmart Inc (WMT)	A	Dividend	J	T	Sold (part)	03/16/20	J	A	
142. Waste Management Inc DEL [REDACTED]	A	Dividend	J	T					
143. Zebra Technologies Corp Cl A (ZBRA)		None	K	T	Sold (part)	01/06/20	J	A	
144.					Buy (add'l)	03/13/20	J		
145. Pernod Ricard (PDRDF)	A	Dividend	K	T					
146. Ferrari NV (RACE)	A	Dividend	K	T					
147. Ishares US Oil & Gas Exploration & Production ETF [REDACTED]		None			Sold	01/02/20	J	A	
148. Account #6 (H)									
149. Stifel Insured Bank Account (cash)	A	Interest	J	T					
150. Fishers IN Redev Dist Exit 10 Infra Ser A B/ E OID [REDACTED]	A	Interest			Redeemed	01/15/20	J		
151. Indiana St Fin Auth Rev RFDG Facs Ser C B/E Cpn 5.000% [REDACTED]	A	Interest	K	T					
152. Hamilton Sthestrn IN Cons Sch Bldg Corp Rev RFDG 1st Mtg [REDACTED]	A	Interest	K	T					
153. Carlisle Sullivan IN Sch Bldg Corp RFDG 1st Mtg [REDACTED]	A	Interest	K	T					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. Franklin TWP IN Mult Sch Bldg Corp RFDG B/E 1st Mtg Ser A [REDACTED]	A	Interest	J	T					
155. Crown Point IN Mlti Sch Bldg Corp RFDG 1st Mtg B/E [REDACTED]	A	Interest	K	T					
156. Ivy Tech Cmnty Cllg IN RFDG Stdnt Fee Ser O B/E [REDACTED]	A	Interest	K	T					
157. Greenfield IN Sew Wke REV B/E PTC Cpn 3.000% Due 01/01/26 [REDACTED]	A	Interest	K	T					
158. Hamilton Sthestrn IN B/E Cons Sch Bldg Corp RFDG 1st Mtg [REDACTED]	A	Interest	K	T					
159. Plainfield IN Cmnty High Sch Bldg Corp RFDG 1st [REDACTED]	A	Interest	K	T					
160. Decatur TWP Marion Cnty IN Mult Sch Bldg Corp 1st [REDACTED]	A	Interest	K	T					
161. South Adams IN Sch Bldg Corp 1st Mtg RFDG & Imp [REDACTED]	A	Interest	K	T					
162. Mt Vernon IN Sch Bldg Corp RFDG [REDACTED]	A	Interest	K	T					
163. CitiBank NA Sioux Falls SD CD [REDACTED]	A	Interest	K	T	Buy	01/23/20	K		
164. Account #7 (H)									
165. Schwab Cash & Money Market Account (cash)	A	Interest	L	T					
166. Acadia Pharmaceutical (ACAD)		None	J	T	Buy	05/12/20	J		
167. Accolade Inc (ACCD)		None	J	T	Buy	07/02/20	J		
168. ADC Therapeutics SA (ADCT)		None			Buy	05/15/20	J		
169.					Sold (part)	07/01/20	J	A	
170.					Sold	08/11/20	J	A	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Adyen NV Unsposored ADR (ADYFY)		None	J	T	Buy	05/13/20	J		
172.					Sold (part)	10/12/20	J	A	
173. Aerovironment Inc (AVAV)		None	J	T	Buy	04/17/20	J		
174.					Sold (part)	07/01/20	J	B	
175. Akoustis Technologies In (AKTS) (X)		None	J	T					
176. Altria Group Inc (MO)	A	Dividend	J	T	Buy	03/20/20	J		
177.					Buy (add'l)	05/27/20	J		
178. American Airlines Group (AAL)		None			Buy	03/04/20	J		
179.					Sold	03/09/20	J		
180. American Eagle Outfitters (AEO)		None			Buy	05/26/20	J		
181.					Sold	10/19/20	J	A	
182. Arya Sciences Acquisit F Corp Act (ARYA)		None			Buy	06/16/20	J		
183.					Merged (with line 252)	07/06/20	J		
184. Avantor Inc (AVTR)		None			Buy	07/07/20	J		
185.					Sold	10/09/20	J	A	
186. Azek Co Inc (AZEK)		None	J	T	Buy	06/12/20	J		
187. Barrick Gold Corp (GOLD)	A	Dividend	J	T	Buy	04/28/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Bausch Health Cos Inc (BHC)		None			Buy	05/08/20	J		
189.					Sold	09/21/20	J		
190. Berkeley Lights Inc (BLI)		None			Buy	07/17/20	J		
191.					Sold	11/10/20	J	A	
192. Bill Com Holdings Inc (BILL)		None	J	T	Buy	06/18/20	J		
193. Biolife Solutions (BLFS)		None			Buy	04/27/20	J		
194.					Sold	08/10/20	J	B	
195. Bloom Energy Corp (BE)		None	J	T	Buy	08/13/20	J		
196. Blueprint Medicines Corp (BPMC)		None	J	T	Buy	04/28/20	J		
197. Cadence Design Sys (CDNS)		None	J	T	Buy	05/13/20	J		
198. Calibre Mining Corp (CXBMF) (X)		None	J	T					
199. Calliditas Therapeutic F Unsponsored ADR (CALT)		None			Buy	06/05/20	J		
200.					Sold	08/21/20	J	A	
201. Canadian Solar Inc (CSIQ)		None	J	T	Buy	07/24/20	J		
202.					Sold (part)	12/22/20	J	B	
203. CarGurus Inc (CARG)		None			Buy	04/29/20	J		
204.					Sold	10/05/20	J	A	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. Change Healthcare Inc (CHNG)		None	J	T	Buy	06/09/20	J		
206. Ciena Corp (CIEN)		None	J	T	Buy	04/27/20	J		
207. Cohen & Steers Closed EN (FOF)	A	Dividend			Sold	04/20/20	J		
208. Cohen Steers Qual Income (RQI)	A	Dividend	J	T	Buy	05/27/20	J		
209. Compania De Minas Buen F Sponsored ADR (BVN)		None	J	T	Buy	12/28/20	J		
210. Cummins Inc (CMI)	A	Dividend	J	T	Buy	08/17/20	J		
211. DXC Technology Co (DXC)		None	J	T	Buy	07/20/20	J		
212. Datto Hldg Corp (MSP)		None	J	T	Buy	11/25/20	J		
213. Delta Airlines Inc Del (DAL)		None			Buy	03/20/20	J		
214.					Sold	04/20/20	J		
215. DocuSign Inc (DOCU)		None			Buy	04/16/20	J		
216.					Sold (part)	06/02/20	J	A	
217.					Sold (part)	06/26/20	J	A	
218.					Sold	06/29/20	J	A	
219. Domo Inc (DOMO)		None	J	T	Buy	08/07/20	J		
220. Dynatrace Holdings LLC (DT)		None	J	T	Buy	05/19/20	J		
221. Electronic Arts Inc (EA)	A	Dividend	J	T	Buy	05/13/20	J		

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

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

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. Emergent Biosolution (EBS)		None			Buy	04/20/20	J		
223.					Sold	08/03/20	J	B	
224. Entegris Inc (ENTG)	A	Dividend	J	T	Buy	05/21/20	J		
225. Exone Co (XONE)		None	J	T	Buy	08/31/20	J		
226. First Trust Mortgage Inc (FMY)	A	Dividend			Buy	03/20/20	J		
227.					Sold	04/20/20	J		
228. Formfactor Inc (FORM)		None	J	T	Buy	04/16/20	J		
229. Freeport-McMoran Inc (FCX)		None			Buy	05/07/20	J		
230.					Sold	07/24/20	J	A	
231. Fulgent Genetics Inc (FLGT)		None			Buy	04/29/20	J		
232.					Buy (add'l)	05/05/20	J		
233.					Sold	08/10/20	J	D	
234. Galaxy Digital Hol OrdF (BRPHF)		None			Buy	06/12/20	J		
235.					Sold	08/10/20	J	B	
236. Gamestop Corp Cl A (GME) (X)		None			Sold	05/05/20	J	A	
237. Genmark Diagnostics (GNMK)		None	J	T	Buy	06/22/20	J		
238. Gilead Sciences Inc (GILD)	A	Dividend	J	T	Buy	09/21/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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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)
239. Goldman Sachs BDC Inc (GSBD)	A	Dividend			Buy	03/20/20	J		
240.					Sold	08/19/20	J	A	
241. Graf Industrial Corp (GRAF)		None			Buy	07/07/20	J		
242.					Merged (with line 326)	09/30/20	J		
243. Grayscale Ethereum T (ETHE)		None	J	T	Buy	06/22/20	J		
244. HCA Healthcare Inc (HCA)		None			Buy	06/01/20	J		
245.					Sold	07/20/20	J		
246. Heritage Global Inc (HGBL)		None	J	T	Buy	10/12/20	J		
247. Hut Eight Mining Corp (HUTMF)		None	J	T	Buy	05/06/20	J		
248.					Sold (part)	06/08/20	J	A	
249. Hyliion Hldgs Corp (HYLN)		None	J	T	Buy	08/13/20	J		
250. ICU Medical Inc (ICUI)		None			Buy	04/16/20	J		
251.					Sold	05/20/20	J		
252. Immatics NV (IMTX)		None	J	T					
253. Immunomedics Inc (IMMU)		None			Buy	04/21/20	J		
254.					Sold (part)	06/26/20	J	A	
255.					Sold	06/29/20	J	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	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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)
256. Inari Med Inc (NARI)		None			Buy	05/22/20	J		
257.					Sold	08/31/20	J	B	
258. Inseego Corp (INSG)		None	J	T	Buy	04/17/20	J		
259. Inspire Medical Systems (INSP)		None			Buy	05/28/20	J		
260.					Sold	12/15/20	J	C	
261. Insurance Acquisition Co Cl A (INSU)		None			Buy	06/29/20	J		
262.					Merged (with line 311)	10/15/20	J		
263. Intercept Pharma Inc (ICPT)		None	J	T	Buy	11/09/20	J		
264. Interprivate Acquisition (IPV)		None	J	T	Buy	12/28/20	J		
265. IRobot Corp (IRBT)		None	J	T	Buy	05/14/20	J		
266. ITron Inc (ITRI)		None	J	T	Buy	12/23/20	J		
267. Lantern Pharma Inc (LTRN)		None	J	T	Buy	06/11/20	J		
268. Legend Biotech Corp F Un-sponsored ADR (LEGN)		None	J	T	Buy	06/05/20	J		
269. Liquidity Services (LQDT)		None			Buy	07/01/20	J		
270.					Sold	10/12/20	J		
271. Lumentum Holdings Inc (LITE)		None	J	T	Buy	06/01/20	J		
272. Luminex Corp Del (LMNX)	A	Dividend			Buy	07/16/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273.					Sold	10/07/20	J		
274. Microchip Technology (MCHP)		None	J	T	Buy	12/29/20	J		
275. Natera Inc (NTRA)		None	J	T	Buy	04/20/20	J		
276. Ncino Inc (NCNO)		None	J	T	Buy	07/14/20	J		
277. Netfin Acquisition Cor F Class A (NFIN)		None			Buy	07/31/20	J		
278.					Merged (with line 324)	11/12/20	J		
279. Newell Brands Inc (NWL)	A	Dividend			Buy	03/20/20	J		
280.					Sold	07/21/20	J	A	
281. Nintendo LTD Sponsored ADR (NTDOY)	A	Dividend	J	T	Buy	06/18/20	J		
282. On Semiconductor Co (ON)		None	J	T	Buy	08/10/20	J		
283. Onconova Therapeutic (ONTX)		None			Buy	06/15/20	J		
284.					Sold	07/21/20	J	B	
285. Oric Pharmaceuticals Inc (ORIC)		None			Buy	04/24/20	J		
286.					Sold	12/16/20	J	A	
287. Otis Worldwide Corp (OTIS)	A	Dividend	J	T	Buy	04/20/20	J		
288. Owl Rock Capital Corp (ORCC)	A	Dividend	J	T	Buy	06/19/20	J		
289. Ping Identity Holding Corp (PING)		None			Buy	05/18/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold	08/31/20	J	A	
291. Pinterest Inc (PINS)		None			Buy	04/22/20	J		
292.					Sold	07/31/20	J	B	
293. Quidel Corp (QDEL)		None			Buy	09/21/20	J		
294.					Sold	11/11/20	J	A	
295. Relay Therapeutics Inc (RLAY)		None			Buy	07/17/20	J		
296.					Sold	11/13/20	J	A	
297. Renalytix AI PLC Unsponsored ADR (RNLX)		None			Buy	07/17/20	J		
298.					Sold	08/21/20	J	A	
299. Repare Therapeutics In F (RPTX)		None	J	T	Buy	06/19/20	J		
300. Rocket Companies Class A (RKT)		None			Buy	08/13/20	J		
301.					Sold	08/24/20	J	A	
302. Royalty Pharma PLC (RPRX)	A	Dividend	J	T	Buy	06/16/20	J		
303. Sangamo Therapeutics (SGMO) (X)		None			Sold (part)	05/26/20	J	A	
304.					Sold	08/03/20	J	A	
305. Schrodinger Inc (SDGR)		None	J	T	Buy	08/14/20	J		
306. Scorpio Tankers Inc (STNG)	A	Dividend	J	T	Buy	04/29/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. Seagen Inc (SGEN)		None	J	T	Buy	06/01/20	J		
308. SelectQuote Inc (SLQT)		None	J	T	Buy	05/21/20	J		
309. Shift4 PMTS Inc (FOUR)		None			Buy	06/05/20	J		
310.					Sold	11/25/20	J	B	
311. Shift Technologies Inc Cl A (SFT)		None	J	T					
312. Silvercorp Metals (SVM)	A	Dividend	J	T	Buy	04/28/20	J		
313. Simon Property Group (SPG)		None			Buy	04/02/20	J		
314.					Sold (part)	04/13/20	J	A	
315.					Sold	04/20/20	J	A	
316. Stable Road Acquisition Cl A (SRAC)		None	J	T	Buy	12/29/20	J		
317. Sunnova Energy Intl Inc (NOVA)		None			Buy	08/10/20	J		
318.					Sold	12/28/20	J	A	
319. Syros Pharmaceuticals In (SYRS)		None	J	T	Buy	08/28/20	J		
320. Teekay Tankers LTD (TNK)		None	J	T	Buy	04/21/20	J		
321. The RealReal Inc (REAL)		None			Buy	04/29/20	J		
322.					Sold	08/31/20	J	A	
323. Thermo Fisher Scientific (TMO)	A	Dividend	J	T	Buy	05/27/20	J		

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

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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)
324. Triterras Inc F Class A (TRIT)		None	J	T					
325. Veeco Instruments (VECO)		None	J	T	Buy	05/15/20	J		
326. Velodyne Lidar Inc (VLDR)		None	J	T					
327. Verra Mobility Corp (VRRM)		None	J	T	Buy	04/27/20	J		
328. Vertex Inc (VERX)		None	J	T	Buy	07/29/20	J		
329. Vicor Corp (VICR)		None	J	T	Buy	06/19/20	J		
330. Viemed Healthcare Inc (VMD)		None	J	T	Buy	06/09/20	J		
331. Vital Farms Inc (VITL)		None	J	T	Buy	07/31/20	J		
332. Vroom Inc (VRM)		None	J	T	Buy	06/09/20	J		
333. Warner Music Group Corp (WMG)	A	Dividend			Buy	06/03/20	J		
334.					Sold	11/25/20	J	A	
335. Workhorse Group Inc (WKHS)		None	J	T	Buy	08/03/20	J		
336.					Buy (add'l)	08/06/20	J		
337.					Sold (part)	10/12/20	J	A	
338. Xilinx Inc (XLNX)	A	Dividend			Buy	07/06/20	J		
339.					Sold	10/27/20	J	A	
340. Zendesk Inc (ZEN)		None			Buy	07/02/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$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)
341.					Sold	12/01/20	J	A	
342. ZoomInfo Technologies (ZI)		None	J	T	Buy	06/04/20	J		
343. Zuora Inc Cl A (ZUO)		None	J	T	Buy	04/16/20	J		
344. Zymeworks Inc (ZYME)		None	J	T	Buy	04/21/20	J		
345. 1Life Healthcare Inc (ONEM)		None	J	T	Buy	08/17/20	J		
346. 3D Systems Corp (DDD)		None	J	T	Buy	05/14/20	J		
347.					Buy (add'l)	12/29/20	J		
348. Proshares Ultra QQQ ETF (QLD)	A	Dividend	J	T	Buy	03/20/20	J		
349.					Sold (part)	04/22/20	J	B	
350.					Sold	05/14/20	J	B	
351.					Buy	06/30/20	J		
352. Proshares Ultrashort Basic Materials (SMN)		None	J	T	Buy	09/21/20	J		
353. Proshares Ultrashort Financials ETF (SKF)		None			Buy	09/15/20	J		
354.					Sold	10/01/20	J	A	
355. SPDR Gold Trust ETF (GLD)	A	Dividend			Buy	04/28/20	J		
356.					Sold	07/27/20	J	A	
357. Vanguard Extended Duration ETF (EDV)	A	Dividend	J	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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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)
358. Blueknight Energy Par LP (BKEP)	A	Dividend	J	T	Buy	04/21/20	J		
359. Crown Castle Intl Co (CCI)	A	Dividend	J	T	Buy	07/09/20	J		
360. Western Midstream Par LP (WES) (was Western Gas Equity PA LP (WES))	A	Dividend	J	T	Buy	04/28/20	J		
361. Call Activision Blizzard (ATVI)		None			Buy	04/23/20	J		
362.					Sold	05/06/20	J	B	
363.					Buy	05/26/20	J		
364.					Sold	06/05/20	J		
365. Call Advanced Micro Devi (AMD)		None			Buy	05/05/20	J		
366.					Sold	07/24/20	J	B	
367.					Buy	09/15/20	J		
368.					Sold	12/09/20	J	B	
369. Call Aerovironment Inc (AVAV)		None			Buy	05/12/20	J		
370.					Sold (part)	05/26/20	J	A	
371.					Sold (part)	05/28/20	J	A	
372.					Sold	06/05/20	J	B	
373. Call Alnylam Pharmaceutical (ALNY)		None			Buy	06/09/20	J		
374.					Sold	06/19/20	J	A	

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

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Sweeney II, James R.

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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)
375. Call Amcor PLC (AMCR)		None			Buy	07/06/20	J		
376.					Sold	08/10/20	J		
377. Call Apple Inc (AAPL)		None			Buy	07/31/20	J		
378.					Sold	08/04/20	J	B	
379. Call Autonation Inc (AN)		None			Buy	05/12/20	J		
380.					Sold	05/26/20	J	A	
381. Call Archer Daniels Midl (ADM)		None			Buy	10/08/20	J		
382.					Sold	10/20/20	J	B	
383. Call Biogen Inc (BIIB)		None			Buy	04/27/20	J		
384.					Sold	05/08/20	J	A	
385. Call Bristol-Myers Squib (BMY)		None			Buy	07/20/20	J		
386.					Sold	08/11/20	J	B	
387. Call Cadence Design Sys (CDNS)		None			Buy	05/28/20	J		
388.					Sold	07/02/20	J	A	
389. Call Canopy Growth Corp (CGC)		None	J	T	Buy	04/20/20	J		
390.					Sold	04/24/20	J		
391.					Buy	08/07/20	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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. Call Charles Schwab Corp (SCHW)		None			Buy	09/21/20	J		
393.					Sold	09/29/20	J		
394. Call Cisco Systems Inc (CSCO)		None			Buy	05/14/20	J		
395.					Sold (part)	06/02/20	J	A	
396.					Sold	06/05/20	J	A	
397. Call Cloudflare Inc (NET)		None			Buy	07/20/20	J		
398.					Sold (part)	10/12/20	J	B	
399.					Sold	11/17/20	J	B	
400. Call Cognizant Tech Solu (CTSH)		None			Buy	07/31/20	J		
401.					Sold	10/09/20	J	A	
402. Call Commercial Metals C (CMC)		None			Buy	06/23/20	J		
403.					Sold	08/04/20	J		
404. Call Crowdstrike Holdings (CRWS)		None			Buy	04/16/20	J		
405.					Sold	04/20/20	J	B	
406.					Buy	05/01/20	J		
407.					Sold	05/07/20	J	A	
408. Call Crowdstrike Holdings I (CRWD)		None			Buy	07/21/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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)
409.					Sold	08/10/20	J		
410. Call Cytokinetics Inc (CYTK)		None			Buy	07/01/20	J		
411.					Sold (part)	07/08/20	J	B	
412.					Sold	07/10/20	J	B	
413. Call Devon Energy Corp (DVN)		None			Buy	04/14/20	J		
414.					Buy (add'l)	04/17/20	J		
415.					Sold	04/20/20	J		
416. Call DR Horton Co (DHI)		None			Buy	08/11/20	J		
417.					Sold	08/20/20	J	A	
418.					Buy	09/09/20	J		
419.					Sold	10/16/20	J	A	
420. Call DSP Groups Inc (DSPG)		None			Buy	05/26/20	J		
421.					Sold	06/10/20	J		
422. Call Ebay Inc (EBAY)		None			Buy	05/05/20	J		
423.					Sold	05/08/20	J	A	
424. Call El Pollo Loco Hldgs (LOCO)		None			Buy	06/02/20	J		
425.					Sold	06/05/20	J	B	

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)
426. Call Encore Capital Group (ECPG)		None			Buy	06/10/20	J		
427.					Sold	06/16/20	J	A	
428. Call Enphase Energy Inc (ENPH)		None			Buy	06/18/20	J		
429.					Buy (add'l)	07/06/20	J		
430.					Sold (part)	07/17/20	J	B	
431.					Sold (part)	07/21/20	J	A	
432.					Sold	08/04/20	J	B	
433. Call Etsy Inc (ETSY)		None			Buy	09/10/20	J		
434.					Sold	11/30/20	J	B	
435. Call Exxon Mobil Corp (XOM)		None			Buy	06/04/20	J		
436.					Sold (part)	06/05/20	J	B	
437.					Sold	06/09/20	J	B	
438. Call Facebook (FB)		None			Buy	07/31/20	J		
439.					Sold	08/26/20	J	C	
440. Call Fastenal Co (FAST)		None			Buy	05/07/20	J		
441.					Sold (part)	05/18/20	J	A	
442.					Sold	05/19/20	J	A	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
443. Call Fastly Inc (FSLY)		None	J	T	Buy	10/05/20	J		
444.					Sold	10/08/20	J	B	
445.					Buy	12/29/20	J		
446. Call Freeport-McMoran In (FCX)		None	J	T	Buy	12/29/20	J		
447. Call F5 Networks Inc (FFIV)		None			Buy	04/28/20	J		
448.					Sold	07/21/20	J	A	
449. Call Glu Mobile Inc (GLUU)		None			Buy	12/02/20	J		
450.					Sold	12/16/20	J		
451. Call GrubHub (GRUB)		None			Buy	04/17/20	J		
452.					Sold	05/07/20	J	A	
453. Call Guardant Health Inc (GH)		None			Buy	06/02/20	J		
454.					Sold	09/15/20	J	A	
455. Call Interntnl Paper (IP)		None	J	T	Buy	12/28/20	J		
456. Call Invesco LTD (IVZ)		None			Buy	09/10/20	J		
457.					Sold	10/07/20	J	B	
458. Call Invitae Corp (NVTX)		None			Buy	04/28/20	J		
459.					Sold	06/22/20	J	C	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
460.					Buy	08/12/20	J		
461.					Sold	08/20/20	J	A	
462. Call Iridium Communications (IRDM)		None			Buy	06/19/20	J		
463.					Sold	08/11/20	J	B	
464. Call Ishr US Home Cnstr (ITB)		None			Buy	05/06/20	J		
465.					Sold	05/21/20	J	A	
466.					Buy	06/26/20	J		
467.					Sold	07/16/20	J	A	
468. Call Johnson Controls In (JCI)		None			Buy	09/21/20	J		
469.					Sold	09/25/20	J		
470. Call Kansas City Southern (KSU)		None			Buy	04/20/20	J		
471.					Sold	04/28/20	J	A	
472. Call Knight Swift Transp (KNX)		None			Buy	05/20/20	J		
473.					Sold	05/28/20	J	A	
474. Call Kroger Co (KR)		None			Buy	07/01/20	J		
475.					Sold	08/18/20	J	A	
476. Call Kulicke & Soffa Ind (KLIC)		None			Buy	07/07/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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.					Sold (part)	07/28/20	J	B	
478.					Sold	08/11/20	J	A	
479. Call Lennar Corp (LEN)		None			Buy	06/03/20	J		
480.					Sold	07/17/20	J	A	
481.					Buy	07/27/20	J		
482.					Sold	10/01/20	J	A	
483. Call Liberty TripAdvisor (LTRPA)		None			Buy	07/08/20	J		
484.					Sold	08/11/20	J		
485. Call LKQ Corp (LKQ)		None			Buy	07/08/20	J		
486.					Sold (part)	07/17/20	J	A	
487.					Sold	07/27/20	J	A	
488. Call Loews Corp (L)		None			Buy	07/28/20	J		
489.					Sold	08/11/20	J	A	
490. Call Micron Technology (MU)		None			Buy	07/02/20	J		
491.					Sold	11/16/20	J	B	
492. Call Netflix Inc (NFLX)		None			Buy	07/17/20	J		
493.					Sold	08/25/20	J		

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
494. Call NortonLifeLock Inc (NLOK)		None			Buy	07/15/20	J		
495.					Sold	08/04/20	J	A	
496. Call Novocure LTD (NVCR)		None			Buy	05/26/20	J		
497.					Sold	07/31/20	J	A	
498. Call Onespan Inc (OSPN)		None			Buy	05/26/20	J		
499.					Sold (part)	05/28/20	J	A	
500.					Sold	06/10/20	J	A	
501. Call Oracle Corp (ORCL) (X)		None			Sold	06/15/20	J		
502. Call Parker-Hannifin Cor (PH)		None			Buy	08/11/20	J		
503.					Sold	11/05/20	J	A	
504. Call Pagerduty Inc (PD)		None			Buy	05/15/20	J		
505.					Sold	06/04/20	J	A	
506. Call Ping Identity Hldg (PING)		None			Buy	06/22/20	J		
507.					Sold	08/20/20	J		
508. Call Pinterest Inc (PINS)		None			Buy	05/12/20	J		
509.					Sold	06/04/20	J	B	
510.					Buy	09/10/20	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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Sweeney II, James R.

Date of Report

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) 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)
511.					Sold	09/23/20	J	A	
512. Call Potbelly Corp (PBPB)		None			Buy	06/10/20	J		
513.					Sold	08/11/20	J	A	
514. Call Proto Labs Inc (AZZ)		None			Buy	06/22/20	J		
515.					Sold	07/22/20	J	B	
516. Call PTC Inc (PTC)		None			Buy	08/26/20	J		
517.					Sold	11/24/20	J	A	
518. Call Pulte Group Inc (PHM)		None	J	T	Buy	05/07/20	J		
519.					Sold	05/22/20	J	B	
520.					Buy	12/17/20	J		
521. Call Pure Storage Inc (PSTG)		None	J	T	Buy	07/21/20	J		
522. Call Qualcomm Inc (QCOM)		None			Buy	08/24/20	J		
523.					Sold	10/06/20	J	A	
524. Call Regeneron Pharms (REGN)		None			Buy	04/13/20	J		
525.					Sold	04/17/20	J	B	
526.					Buy	05/13/20	J		
527.					Sold	05/26/20	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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Sweeney II, James R.

Date of Report

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
528. Call Revolve Group Inc (RVLV)		None			Buy	09/11/20	J		
529.					Sold	12/09/20	J	A	
530. Call Rollins Inc (ROL)		None			Buy	09/30/20	J		
531.					Sold	10/06/20	J	B	
532. Call Roper Technologies (ROP)		None			Buy	04/28/20	J		
533.					Sold	05/05/20	J	A	
534. Call Skyworks Solutions (DIA)		None			Buy	04/17/20	J		
535.					Sold	04/29/20	J	C	
536. Call Slack Technologies (WORK)		None			Buy	04/29/20	J		
537.					Sold	05/08/20	J	B	
538.					Buy	05/15/20	J		
539.					Sold	06/01/20	J	A	
540.					Buy	06/16/20	J		
541.					Sold	11/25/20	J	A	
542. Call Smartsheet Inc (SMAR)		None			Buy	07/29/20	J		
543.					Sold	08/26/20	J	A	
544. Call SPDR Biotech (XBI)		None			Buy	05/06/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
545.					Sold	05/18/20	J	B	
546. Call SPDR Dow Jones Industrial Average (DIA)		None	J	T	Buy	04/13/20	J		
547.					Sold	04/15/20	J		
548.					Buy	04/22/20	J		
549.					Sold	04/27/20	J	A	
550.					Buy	05/04/20	J		
551.					Sold	05/05/20	J	B	
552.					Buy	05/11/20	J		
553.					Sold	05/12/20	J	A	
554.					Buy	05/14/20	J		
555.					Sold	05/15/20	J	A	
556.					Buy	06/25/20	J		
557.					Sold	06/26/20	J		
558.					Buy	06/29/20	J		
559.					Sold	06/29/20	J	A	
560.					Buy	06/30/20	J		
561.					Buy (add'l)	07/01/20	J		

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

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

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
562.					Sold	07/02/20	J	B	
563.					Buy	07/14/20	J		
564.					Sold	07/15/20	J	B	
565.					Buy	07/20/20	J		
566.					Sold	07/21/20	J	A	
567.					Buy	07/22/20	J		
568.					Buy	07/27/20	J		
569.					Buy (add'l)	09/01/20	J		
570.					Sold	09/02/20	J	B	
571.					Buy	09/09/20	J		
572.					Sold	09/10/20	J	A	
573.					Buy	09/14/20	J		
574.					Sold	09/15/20	J	A	
575.					Buy	09/21/20	J		
576.					Sold	09/22/20	J	A	
577.					Buy	09/29/20	J		
578.					Sold	09/30/20	J	B	

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)
579.					Buy	10/19/20	J		
580.					Sold	10/21/20	J		
581.					Buy	10/26/20	J		
582.					Buy (add'l)	11/02/20	J		
583.					Sold	11/03/20	J	B	
584.					Buy	11/23/20	J		
585.					Sold	11/24/20	J	C	
586.					Buy	11/30/20	J		
587.					Sold	12/02/20	J		
588.					Buy	12/15/20	J		
589.					Sold	12/18/20	J		
590.					Buy	12/21/20	J		
591.					Buy (add'l)	12/29/20	J		
592. Call SPDR Home Bldrs (XHB)		None	J	T	Buy	08/04/20	J		
593. Call SPDR S&P 500 (SPY)		None			Buy	06/30/20	J		
594.					Sold (part)	07/02/20	J	B	
595.					Sold	07/06/20	J	B	

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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Sweeney II, James R.

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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)
596.					Buy	12/23/20	J		
597.					Sold	12/28/20	J	A	
598. Call Sprouts Farmers Mar (SFM)		None			Buy	04/17/20	J		
599.					Buy (add'l)	04/21/20	J		
600.					Sold (part)	04/28/20	J	A	
601.					Sold (part)	05/06/20	J	B	
602.					Sold	06/23/20	J	A	
603. Call Square Inc (SQ)		None			Buy	06/18/20	J		
604.					Sold	07/01/20	J	A	
605. Call State Street Corp (DIA)		None			Buy	04/20/20	J		
606.					Sold	04/28/20	J	A	
607. Call Sterling Construction (STRL)		None			Buy	08/11/20	J		
608.					Sold	12/15/20	J	B	
609. Call Stitch Fix Inc (SFIX)		None			Buy	06/23/20	J		
610.					Sold	07/08/20	J	A	
611.					Buy	08/21/20	J		
612.					Sold	09/09/20	J	B	

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)
613. Call STMicroelectronics (STM)		None	J	T	Buy	04/30/20	J		
614.					Sold	06/05/20	J	A	
615.					Buy	09/15/20	J		
616.					Sold	10/12/20	J	B	
617.					Buy	12/18/20	J		
618. Call SunRun Inc (RUN)		None			Buy	04/21/20	J		
619.					Sold	05/19/20	J	A	
620. Call Tandem Diabetes Car (TNDM)		None			Buy	06/12/20	J		
621.					Sold	07/06/20	J	B	
622. Call Target Corp (TGT)		None			Buy	08/19/20	J		
623.					Sold	10/06/20	J	A	
624. Call Teladoc Inc (TDOC)		None			Buy	08/06/20	J		
625.					Sold	08/21/20	J	A	
626. Call Teradyne Incorporated (TER)		None			Buy	05/01/20	J		
627.					Sold	05/08/20	J	A	
628.					Buy	07/31/20	J		
629.					Sold	11/10/20	J	A	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
630. Call Tesla Inc (TSLA)		None			Buy	05/01/20	J		
631.					Sold	05/05/20	J	C	
632. Call Textron Inc (TXT)		None			Buy	11/03/20	J		
633.					Sold	11/17/20	J	C	
634. Call The RealReal Inc (REAL)		None			Buy	08/11/20	J		
635.					Sold	12/23/20	J	A	
636. Call Turquoise Hill Resources (TRQ)		None	J	T	Buy	07/28/20	J		
637. Call Turtle Beach Corp (HEAR)		None			Buy	12/14/20	J		
638.					Sold	12/16/20	J	A	
639. Call Twitter Inc (TWTR)		None			Buy	06/01/20	J		
640.					Sold	06/05/20	J	A	
641. Call Tyson Foods (TSN)		None			Buy	05/04/20	J		
642.					Sold	05/08/20	J	A	
643. Call Uber Technologies (UBER)		None			Buy	07/07/20	J		
644.					Sold	11/04/20	J	A	
645. Call Under Armour Inc (UA)		None			Buy	09/14/20	J		
646.					Sold	10/16/20	J	B	

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)
647. Call Vaneck VCT Semiconductor (SMH)		None			Buy	05/15/20	J		
648.					Sold	06/03/20	J	B	
649.					Buy	06/26/20	J		
650.					Sold	07/21/20	J	A	
651. Call Weyerhaeuser Co (WY)		None			Buy	11/02/20	J		
652.					Sold	11/09/20	J	A	
653. Call Yum China Holdings (YUMC)		None			Buy	05/21/20	J		
654.					Sold	07/14/20	J	A	
655. Call Zillow Group Inc (ZG)		None			Buy	08/13/20	J		
656.					Sold	08/28/20	J	B	
657.					Buy	11/17/20	J		
658.					Sold	12/10/20	J	A	
659. Call Zscaler Inc (ZS)		None			Buy	04/21/20	J		
660.					Sold	05/07/20	J	B	
661. Put Ball Corp (BLL)		None			Buy	04/27/20	J		
662.					Sold	05/11/20	J		
663. Put Blackstone Group Inc (BX)		None			Buy	08/11/20	J		

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

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Name of Person Reporting

Sweeney II, James R.

Date of Report

05/11/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
664.					Sold	09/04/20	J		
665. Put Graftech International (EAF)		None			Buy	04/28/20	J		
666.					Sold	05/06/20	J	A	
667. Put Lincoln Ntnl Co (LNC)		None	J	T	Buy	12/16/20	J		
668. Put Newmont Corp (NEM)		None			Buy	05/22/20	J		
669.					Buy (add'l)	09/21/20	J		
670.					Sold	10/07/20	J		
671. Put Nutrien LTD (NTR)		None			Buy	05/06/20	J		
672.					Sold (part)	05/14/20	J	B	
673.					Sold	05/18/20	J	A	
674. Put Ntnl Oilwell Var (NOV)		None			Buy	09/30/20	J		
675.					Sold	10/28/20	J	A	
676. Put Occidental Petrol Co (OXY)		None			Buy	09/01/20	J		
677.					Sold	09/21/20	J	A	
678. Put Phillips 66 (PSX)		None			Buy	06/12/20	J		
679.					Sold (part)	06/24/20	J	A	
680.					Sold	06/26/20	J	A	

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

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Name of Person Reporting

Sweeney II, James R.

Date of Report

05/11/2021

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

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

A 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)
681. Put Schlumberger LTD (SLB)		None			Buy	04/17/20	J		
682.					Sold	05/06/20	J		
683. Put SPDR Dow Jones Industrial Average (DIA)		None			Buy	04/28/20	J		
684.					Sold	04/29/20	J		
685.					Buy	05/06/20	J		
686.					Sold	05/07/20	J		
687.					Buy	05/19/20	J		
688.					Buy (add'l)	05/28/20	J		
689.					Sold	05/29/20	J	B	
690.					Buy	06/01/20	J		
691.					Buy (add'l)	06/05/20	J		
692.					Sold	06/11/20	J	D	
693.					Buy	06/16/20	J		
694.					Sold	06/17/20	J	A	
695.					Buy	06/19/20	J		
696.					Sold	06/22/20	J	A	
697.					Buy	07/06/20	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	

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
698.					Sold	07/07/20	J	A	
699.					Buy	08/14/20	J		
700.					Sold	08/20/20	J		
701.					Buy	08/26/20	J		
702.					Buy (add'l)	09/17/20	J		
703.					Sold	09/17/20	J	A	
704.					Buy	10/06/20	J		
705.					Sold	10/06/20	J	B	
706.					Buy	11/06/20	J		
707.					Buy (add'l)	11/17/20	J		
708.					Sold	11/19/20	J	B	
709.					Buy	12/08/20	J		
710.					Sold	12/11/20	J		
711. Put Western Digital Corp (WDC)		None			Buy	05/12/20	J		
712.					Sold	05/14/20	J	A	
713. Put Xerox Holdings Corp (XRX)		None			Buy	04/20/20	J		
714.					Buy (add'l)	06/25/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
715.					Sold	07/10/20	J		
716. Put Yum Brands Inc (YUM)		None			Buy	09/08/20	J		
717.					Sold	09/21/20	J	B	
718. Put Zillow Group (Z)		None			Buy	04/13/20	J		
719.					Sold	05/26/20	J		
720. Account #8 (H)									
721. Fidelity HSA		None	K	T	Buy	04/14/20	K		
722. Account #9 (H)									
723. Materra LLC		None	M	U					
724. Account #10 (H)									
725. Health Equity HSA		None			Sold	04/14/20	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

Part VII, line 6: Valuation is based upon the original purchase price.

Madison Square Garden Sports Corp (MSGs) was Madison Square Garden Co (MSG).

Account #3 is controlled and managed by the filer's former employer. The filer is permitted to adjust percentages of investment for each position, but the timing of any transactions is within the exclusive purview of the manager. Despite request, specific transaction dates are not available to the filer. In the absence of more precise information, transactions are reported as of the second business day of the quarter in which they occurred.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Sweeney II, James R.

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IX. CERTIFICATION.

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

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

Signature: s/ **James R. Sweeney II**

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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One Columbus Circle, N.E.
Washington, D.C. 20544