

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) McKee, Theodore A.	2. Court or Organization U.S. COURT OF APPEALS FOR THE THIRD CIRCUIT	3. Date of Report 02/10/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE	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 20614 U.S. COURTHOUSE 601 MARKET STREET PHILADELPHIA, PA. 19106		
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. GENERAL PARTNER	PUJKEE ASSOCIATES (see section viii for information)*
2. TRUSTEE	SYRACUSE UNIVERSITY
3. DIRECTOR	VERA INSTITUTE OF JUSTICE
4. BOARD OF VISITORS	TEMPLE UNIVERSITY COLLEGE OF LAW
5. BOARD OF VISITORS (honorary member)	SYRACUSE UNIVERSITY COLLEGE OF LAW

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

☒ NONE (No reportable agreements.)

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McKee, Theodore A.

Date of Report

02/10/2022

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

A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	ADMINISTRATIVE OFFICE OF THE PENNSYLVANIA COURTS	\$12,000.00
2.		
3.		
4.		

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

(Dollar amount not required except for honoraria.)

☐

NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Rental Property in New York
2. 2020	salary with employer. She is employed as a health care professional doing administrative work on the executive level.
3.	
4.	

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

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

☒

NONE (No reportable reimbursements.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
McKee, Theodore A.	02/10/2022

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

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

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

A 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)
1. TRANSMEDICS (TMDX)	A	Dividend	J	T	Open	8/16/20	J		
2. JOHNSON AND JOHNSON	A	Dividend	K	T					
3. CISCO	A	Dividend	J	T					
4. WASHINGTON MUTUAL FUND AWSHX	A	Dividend	K	T					
5. FRANKLIN FLTG RATE FAFRX	A	Dividend	K	T					
6. CALVERT INCOME FUND (CFICX)	A	Dividend	J	T					
7. AMERICAN EURO PACIFIC (AEGFX)	A	Dividend	J	T					
8. JOHN HANCOCK MUTUAL FUND (classic value - PZFBVX) SEE SECTION VIII.	A	Dividend	J	T					
9. DREYFUS FUND STRUCTRED MID CAP FD CL C (DPSCX)	A	Dividend	J	T					
10. TOUCHSTONE FUNDS SS CORE (SEE EXPLANATION SEC VIII)	A	Dividend	L	T					
11. TOUCHSTONE FUNDS SS MID CAP A	A	Dividend	K	T					
12. MONEY MARKET ACCOUNT at PNC BANK (See Sec VIII)	A	Dividend	M	T					
13. INTEL (INTC)	A	Dividend	J	T					
14. AMERICAN EURO PACIFIC FUND (AEPGX)	A	Dividend	L	T					
15. AMERICAN CENT MID CAP VALUE INV SHS (ACMVX)	A	Dividend	J	T					
16. DELAWARE VALUE FUND DDVIX	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

Name of Person Reporting	Date of Report
McKee, Theodore A.	02/10/2022

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

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

A 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)
17. EATON VANCE FUND INSTITUTIONAL (EIGMX)	A	Dividend	J	T					
18. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T					
19. MAINSTAY EPOCH GLOBAL EQUITY (EPSYX)	A	Dividend	K	T					
20. OPPENHEIMER DEV MARKETS (ODVYX)	A	Dividend	J	T					
21. OPENHEIMER INTL GROWTH DS Y (OIGYX)	A	Dividend			Closed	12/16/20	J	B	
22. POWERSHARES FTS RAFI US 1000 ISIN (PRF)	A	Dividend	K	T					
23. T. ROWE PRICE MID CAP GROWTH (RPMGX)	A	Dividend	J	T					
24. T. ROW PRICE INTL DISCOVERY (PRIDX)	A	Dividend	J	T					
25. AMERICAN CENTURY MID CAP VALUE INV SHS (ACMVX)	A	Dividend	J	T					
26. ISHARES RUSSELL 1000 GROWTH ETF (IWF)	A	Dividend	K	T					
27. ISHARES RUSSELL 2000 GROWTH (IWO)	A	Dividend	J	T					
28. AMER CAPITAL GROWTH FUND (CWGIX)	A	Dividend	J	T					
29. AMERICAN CENTURY MID CAP VALUE INV SHS (ACMVX)	A	Dividend	J	T					
30. ISHARESW MBS ETF ACTUAL PRICES (MBB)	A	Dividend	J	T					
31. SAME					Buy (add'l)	1/15/20	J		
32. SAME					Buy (add'l)	3/12/20	J		
33. SAME					Sold (part)	4/9/20	J	D	

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.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
34. SAME					Buy (add'l)	10/07/20	J		
35. SAME					Buy (add'l)	11/05/20	J		
36. ISHARES 20+ YR TREAS BON ETF TLT	A	Dividend	J	T	Buy (add'l)	1/15/20	J		
37. SAME					Buy (add'l)	3/12/20			
38. SAME					Sold (part)	4/9/20	J	B	
39. SAME					Buy (add'l)	6/4/20	J		
40. SAME					Buy (add'l)	11/5/20	J		
41. SAME									
42. ISHARES INC CORE MSCI EMERGING MKTS (IEMG)	A	Dividend			Sold (part)	1/15/20	J	D	
43. SAME					Sold (part)	3/12/20	J		
44. SAME					Closed	4/09/20	J		
45. AMERICAN WASHINGTON MUT INVESTORS FUND (AWSHX)	A	Dividend	J	T					
46. FRANKLIN FLOATIG RATE DAILY ACCESS (FAFRX)	A	Dividend	J	T					
47. ISHARES IBOX \$ INVT GRADE CORP BD (LQD)	A	Dividend	J	T	Buy (add'l)	04/09/20	K		
48. SAME					Buy (add'l)	06/04/20	J		
49. SAME					Sold (part)	10/07/20	J	B	
50. SAME					Buy (add'l)	11/05/20	J		

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
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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
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

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	(1) 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)
51. ISHARES MSCI EAFE ACTUAL PRICES (EFA)	A	Dividend	J	T	Buy (add'l)	1/15/20	J		
52. SAME					Buy (add'l)	3/12/20	J		
53. SAME					Sold (part)	4/9/20	K	E	
54. SAME					Buy (add'l)	06/04/20			
55. SAME					Sold (part)	10/07/20	L	C	
56. SAME					Buy (add'l)	11/5/20	J		
57. OPPENHEIMER INTL GROWTH FD OIGYX	A	Dividend	J	T					
58. T. ROWE PRICE REAL ESTATE FUND TRREX	A	Dividend	J	T					
59. EATON VANCE GLOBAL MACRO ABSLE TR CL I (EIGMX)	A	Dividend	J	T					
60. PIMCO REAL RETURN FUND CL 12 PRLPX	A	Dividend	J	T					
61. LORD ABBETT SHORT DURATION INCOME CL F	A	Dividend	J	T					
62. AMAZON	A	Dividend	L	T					
63. ISHARES EXPONENTIAL TECH (XT)	A	Dividend	K	T					
64. ALIBABA (BABA)	A	Dividend	K	T	Sold (part)	03/07/20	K	C	
65. AMERICAN TOWER (AMT)	A	Dividend	K	T					
66. TELADOC (TDOC)	A	Dividend	J	T					
67. GLOBAL X AUTONOM ELECTRIC ETF (DRIV)	A	Dividend	L	T	Buy	1/17/20	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)

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68. SAME					Buy (add'l)	3/20/20	J		
69. SAME					Buy (add'l)	05/29/20	J		
70. AI POWERED EQUITY ETF (AIEQ)	A	Dividend			Closed	11/2/20	K	C	
71. Ishares us treas bond fonnd etf (GOVT)	A	Dividend	J	T	Sold (part)	1/15/20	J	A	
72. SAME					Sold (part)	3/15/20	J	B	
73. SAME					Buy (add'l)	6/4/20			
74. SAME					Buy (add'l)	10/7/20			
75. SAME 9 SEE SECTION VIII)					Closed	11/5/20	J	B	
76. ISHARES CORE MSCI EMERG MARKETS ETF (IEMG)	A	Dividend			Sold (part)	1/15/20	J	A	
77. SAME					Sold (part)	3/12/20	J	A	
78. SAME					Closed	4/9/20	J	A	
79. ISHARES EDGE MSCI USA QUALITY FACTOR ETF (QUAL)	A	Dividend			Sold (part)	1/15/20	J	A	
80. SAME					Buy (add'l)	3/12/20	J		
81. SAME					Closed	4/9/20	K	D	
82. ISHARES EDGE MSCI MIN VOLATIITY ETF (USMV)	A	Dividend	J	T	Sold (part)	1/14/20	J	B	
83. SAME					Closed	5/26/20	J	B	
84. SAME					Buy (add'l)	3/12/20	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
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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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	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)
85. SAME					Sold (part)	4/9/20	K	E	
86. SAME					Sold (part)	10/07/20	J	B	
87. SAME					Buy (add'l)	11/05/20	J		
88. ISHARES CORE S&P 500 ETF (IVV)	A	Dividend	J	T	Sold (part)	1/15/20	J	A	
89. SAME					Buy (add'l)	3/12/20	J		
90. SAME					Sold (part)	4/9/20	J	B	
91. SAME					Sold (part)	10/7/20	J	B	
92. SAME					Buy (add'l)	11/05/20	J		
93. ISHARES S&P TOTAL US STOCK MKT ETF (ITOT)	A	Dividend			Closed	1/15/20	J	A	
94. ISHARES US TREAS BOND ETF (GOVT)	A	Dividend	J	T					
95. ISHARES US SHORT MTURITY BOND ETF (NEAR)	A	Dividend			Closed	10/07/20	L	C	
96. INTENTIONALLY LEFT BLANK							K		
97. PACER BENCHMARK DT AND INF FL EST ETF (SRVR)	A	Dividend	K	T					
98. ALIBABA (BABA)	A	Dividend	J	T	Buy (add'l)	2/7/20	K		
99. SAME					Buy (add'l)	3/6/20	J		
100. SAME					Sold (part)	5/7/20	J		
101. SAME					Sold (part)	12/16/20	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

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
102. APPLE (AAPL)	A	Dividend	K	T	Open	4/20/20	J		
103. SAME					Buy (add'l)	5/29/20	J		
104. SAME					Buy (add'l)	6/12/20	J		
105. SAME					Buy (add'l)	6/22/20	J		
106. SAME					Buy (add'l)	7/1/20	J		
107. SAME					Buy (add'l)	7/6/20	J		
108. SAME					Buy (add'l)	7/31/20	J		
109. APOLLO MEDICAL HLDGS (AMEH)		None			Buy	10/12/20	J		
110. SAME		None			Closed	10/20/20	J		
111. APTIV PLC F (APTV)		None	J	T	Open	8/4/20	J		
112. SAME					Buy (add'l)	12/15/20	J		
113. ARK GENOMIC REVOLUTION ETF (ARKG)	A	Dividend	J	T	Open	1/24/20	J		
114. SAME					Buy (add'l)	3/20/20	J		
115. SAME					Buy (add'l)	7/1/20	J		
116. ARK INNOVATION ETF (ARKK)	A	Dividend	K	T	Open	11/2/20	J		
117. ALLIANZ GL WATER FD A (AWTAX)	A	Dividend			Closed	7/16/20	J		
118. ASTRAZENECA PLC SPONS A (AZN)	A	Dividend			Open	7/17/20	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)
119. SAME					Closed	7/24/20	J		
120. BECTON DICKINSON (BDX)	A	Dividend	J	T	Open	5/20/20	K		
121. SAME					Sold (part)	06/29/20	J		
122. AMPLIFY TRNSFRMTNL DATA (BLOK)	A	Dividend	J	T	Open	12/2/20	K		
123. SAME					Buy (add'l)	12/3/20	J		
124. SAME					Buy (add'l)	12/14/20	J		
125. SAME					Buy (add'l)	12/16/20	J		
126. SAME					Buy (add'l)	12/31/20	J		
127. BOTON TRUST WALDEN SMALL CAP (BOSOX)	A	Dividend			Open	4/7/20	J		
128. SAME					Closed	6/22/20	J		
129. GLOBAL X ROBOTICS ARTIFICIAL INTELLEG (BOTZ)	A	Dividend	K	T	Open	1/27/20	J		
130. SAME					Buy (add'l)	3/20/20	J		
131. SAME					Buy	5/29/20	J		
132. CARA THERAPEUTICS (CARA)		None	J	T	Open	12/30/20	J		
133. SPDR S7P CLEAN POWER FUND (CNRG)	A	Dividend	L	T	Open	2/4/20	J		
134. COSTCO CORP (COST)	A	Dividend	L	T	Open	1/13/20	J		
135. SAME					Buy (add'l)	3/11/20	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)
136. SAME					Buy	3/13/20	J		
137. SAME					Buy (add'l)	3/20/20	J		
138. CRISPR THERAPEUTICS F (CRSP)		None	K	T	Open	7/10/20	J		
139. SAME					Buy (add'l)	7/13/20	J		
140. CROWDSTRIKE HLGS INC (CRWD)		None	L	T	Open	1/23/20	J		
141. SAME					Buy (add'l)	7/6/20	J		
142. SAME					Buy (add'l)	7/20/20	J		
143. ISHARES ESG US AGGREGATE BOND FUND (EAGG)	A	Dividend			Open	6/2/20	J		
144. SAME					Buy (add'l)	6/16/20	J		
145. SAME					Buy (add'l)	6/17/20	J		
146. SAME					Buy (add'l)	6/29/20	J		
147. SAME					Buy (add'l)	7/1/20	J		
148. SAME					Buy (add'l)	7/10/20	J		
149. SAME					Buy (add'l)	7/13/20	J		
150. SAME					Buy (add'l)	7/117/20	J		
151. SAME					Buy (add'l)	8/5/20	J		
152. SAME					Buy (add'l)	9/8/20	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)
153. SAME					Buy (add'l)	9/9/20	K		
154. SAME					Sold (part)	9/18/20	J	A	
155. SAME					Sold (part)	10/5/20	J	A	
156. SAME					Closed	11/16/20	K	B	
157. VANGUARD ESG US STOCK ETF (ESGV)	B	Dividend	L	T	Open	1/27/20	J		
158. SAME					Buy (add'l)	1/31/20	J		
159. SAME					Buy (add'l)	2/24/20	J		
160. SAME					Buy (add'l)	2/27/20	J		
161. SAME					Buy (add'l)	3/9/20	J		
162. SAME					Buy (add'l)	3/20/20	J		
163. SAME					Buy (add'l)	5/29/20	J		
164. GILEAD SCIENCES INC (GILD)	A	Dividend			Open	4/29/20	J		
165. SAME					Closed	7/1/20	J	A	
166. ETFMG PRIME CYBERSECURITY EGF (HACK)	A	Dividend	K	T	Open	1/22/20	J		
167. SAME					Buy (add'l)	3/20/20	J		
168. ROBO GLBL HEALTHCR TECH AND INOVATION (HTEC)	A	Dividend	K	T	Open	10/27/20	J		
169. SAME					Buy (add'l)	11/2/20	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)
170. SAME					Buy (add'l)	11/19/20	J		
171. SAME					Buy (add'l)	12/23/20	J		
172. SAME					Buy (add'l)	12/16/20	J		
173. ISHARES GOLD ETF (IAU)		None	K	T	Open	10/5/20	J		
174. SAME					Buy (add'l)	10/7/20	J		
175. SAME					Buy (add'l)	10/13/20	J		
176. SAME					Buy (add'l)	10/30/20	J		
177. SAME					Buy (add'l)	11/2/20	J		
178. SAME					Buy (add'l)	11/16/20	J		
179. SAME					Buy (add'l)	11/18/20	J		
180. SAME					Buy (add'l)	12/2/20	J		
181. SAME					Buy (add'l)	12/3/20	J		
182. IDRIV	A	Dividend	J	T	Open	10/14/20	J		
183. INFINERA CORP (INFN)		None	J	T	Open	12/7/20	J		
184. SAME					Buy (add'l)	12/11/20	J		
185. SAME					Buy (add'l)	12/16/20	J		
186. INOVIO PHARMA (INO)					Open	4/7/20	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)
187. SAME					Buy (add'l)	11/12/20	J		
188. SAME					Buy (add'l)	12/22/20	J		
189. KENSINGTON CAPITAL ACQ CLASS (KCAC) (SEE SECTION VIII)	A	None	J	T	Open	10/20/20	J		
190. SAME					Buy (add'l)	11/06/20	J		
191. SAME					Buy (add'l)	11/11/20	J		
192. SAME					Buy (add'l)	11/13/20	J		
193. GLOBAL X LITHIUM BATTERY TECH (LIT)		None	K	T	Open	8/3/20	J		
194. SAME					Buy (add'l)	8/6/20	J		
195. SAME					Buy (add'l)	9/21/20	J		
196. SAME					Buy (add'l)	10/7/20	J		
197. LIVONGO HEATHCARE (LVGO) (SEE SECTION VIII)		None	J	T	Buy (add'l)	6/12/20	J		
198. SAME					Closed	11/04/20	J		
199. MATTHEWS CHINA DIVIDEND FUND INV (MCDFX)	A	Dividend			Open	1/13/20	J		
200. SAME					Closed	4/20/20	J	A	
201. MEDALLIA INC (MDLA)		None			Open	2/11/20	J		
202. SAME					Buy (add'l)	3/20/20	J		
203. SAME					Closed	6/22/20	J	A	

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

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

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

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

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

A 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)
204. MEDTRONIC PLC F (MDT)	A	Dividend			Open	3/6/20	J		
205. SAME					Buy (add'l)	3/9/20	J		
206. SAME					Buy (add'l)	3/20/20	J		
207. SAME					Closed	7/10/20	J	A	
208. MORGAN STANLEY INTL ADVANTAGE (MFAPX)	A	Dividend			Open	1/6/20	J		
209. SAME					Closed	4/20/20	J	A	
210. MFS MASS INV GROWTH STOCK A (MIGFX)		None			Open	1/6/20	J		
211. SAME					Closed	6/22/20	J	A	
212. MODERNA INC (MRNA)	A	Dividend			Open	4/29/20	J		
213. MRNA					Closed	12/28/20	J	D	
214. MICROSOFT (MSFT)	A	Dividend	L	T	Open	2/4/20	J		
215. SAME					Buy (add'l)	3/9/30	J		
216. SAME					Buy (add'l)	3/11/20	J		
217. SAME					Buy (add'l)	3/20/20	J		
218. CLOUDFARE (NET)		None	K	T	Open	8/19/20	J		
219. SAME					Buy (add'l)	9/25/20	J		
220. SAME					Buy (add'l)	09/14/20			

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

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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)
221. SAME					Buy (add'l)	10/14/20	J		
222. NANO X IMAGING LTD F (NNOX)	A	Dividend	K	T	Open	9/14/20	J		
223. SAME					Buy (add'l)	10/8/20	J		
224. SAME					Buy (add'l)	10/12/20	J		
225. SAME					Buy (add'l)	12/3/20	J		
226. NOVOCURE LTD F (NVCR)	A	Dividend	J	T	Open	7/10/20	J		
227.					Buy (add'l)	7/13/20	J		
228. PARNASSUS MID CAP FUND (PARMX) (SEE SECT VIII)	A	Dividend			Open	12/19/19	J		
229.	A	Dividend			Closed	09/22/20	J	A	
230. P.G. & E. CORP. (PCG)	A	Dividend	K	T	Open	8/4/20	J		
231.					Buy (add'l)	11/2/20	J		
232. INVESCO SMALLCAP INFORMATION FUND (PSCT)	A	Dividend	K	T	Open	2/4/20	J		
233. SAME					Buy (add'l)	2/23/20	J		
234. SAME					Buy (add'l)	3/6/20	J		
235. SAME					Buy (add'l)	3/13/20	J		
236. SAME					Buy (add'l)	3/30/20	J		
237. FT NAS CL ED ETF DV (QCLN)	A	Dividend	K	T	Open	1/23/20	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)
238. SAME					Buy (add'l)	2/4/20	J		
239. SAME					Buy (add'l)	7/16/20	J		
240. QUANTUMSCAPE CORP CLASS A (QS) (SEE SECT VIII)	A	Dividend	L	T	Open	11/27/20	J		
241.					Sold (part)	12/31/20	K	E	
242. STARBUCKS CORP (SBUX)	A	Dividend			Open		J		
243. SAME					Buy (add'l)	3/6/20	J		
244. SAME					Buy (add'l)	3/9/20	J		
245. SAME					Closed	7/6/20	J	A	
246. FIRST TRUST CLOUD COMPUTING ETF (SKYY)	A	Dividend	J	T	Open	3/20/20	J		
247. SAME					Buy (add'l)	03/20/20	J		
248. SAME					Buy (add'l)	06/20/20	J		
249. SAME					Buy (add'l)	06/30/20	J		
250. SAME					Buy (add'l)	7/13/20	J		
251. SAME					Buy (add'l)	08/03/20	J		
252. SAME					Buy (add'l)	10/07/20	J		
253. PACER BNCHMRK DT AND INFR RL (SRVR)	A	Dividend	L	T	Buy (add'l)	1/6/20	J		
254. SAME					Buy (add'l)	1/23/20	J		

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

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

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

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Name of Person Reporting

McKee, Theodore A.

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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)
255. SAME					Buy (add'l)	3/13/20	J		
256. SAME					Buy (add'l)	11/11/20	J		
257. INVESCO SOLAR ETF (TAN)	A	Dividend	K	T	Open	10/20/20	J		
258. SAME					Buy (add'l)	11/5/20	J		
259. SAME					Buy (add'l)	11/12/20	J		
260. SAME					Buy (add'l)	12/3/20	J		
261. SAME					Buy (add'l)	12/15/20	J		
262. SAME					Buy (add'l)	12/21/20	J		
263. TELEDOK INC (TDOC)	A	Dividend	L	T					
264. WORKHORSE GRP INC (WKHS)	A	Dividend	K	T	Open	12/7/20	J		
265. SAME					Buy (add'l)	12/11/20	J		
266. SAME					Buy (add'l)	12/22/20	J		
267. SAME					Buy (add'l)	12/29/20	J		
268. TECHNOLOGY SEECT SPECTOR SPDR (XLK)	A	Dividend			Open	1/23/20	J		
269. SAME					Closed	4/20/20	J		
270. ISHARES EXPONENTIAL TECHNOLOGY ETF (XT)	A	Dividend	K	T	Buy (add'l)	12/14/20	J		
271. ZOOM VIDEO COMMUNICATIONS (ZM)	A	Dividend	K	T	Open	9/21/20	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)
272. SAME					Buy (add'l)	9/30/20	J		
273. SAME					Buy (add'l)	10/8/20	J		
274. SAME					Buy (add'l)	10/20/20	J		
275. SAME					Buy (add'l)	10/30/20	J		
276. SAME					Buy (add'l)	11/12/20	J		
277. SAME					Sold (part)	11/16/20	J		
278. SAME					Sold (part)	12/8/20	J		
279. SAME					Sold (part)	12/14/20	J		
280. TIAA-CREF (SEE SEC VIII)									
281.									

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
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C =\$2,501 - \$5,000
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P2 =\$5,000,001 - \$25,000,000
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E =\$15,001 - \$50,000

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

2020

SECTION I - POSITIONS

I continue to list Pujkee Assoc as explained in prior reports. However, the 4 unit residential dwelling that was the sole asset of that informal partnership was sold in 2019. Thus, the partnership continues in name only.

SECTION VII LINE 7 - NOTE CORRECTED TICKER FOR JOHN HANCOCK CLASSIC VALUE CL A FUND (PZFBVX)

SECTION VII LINE 9 - TOUCHSTONE FUNDS WERE PREVIOUSLY REPORTED AS SENTINEL FUNDS. I NOTED THE NAME CHANGE ON MY 2019 FDR.

SECTION VII LINE 171 - KENSINGTON CAPITQL ACQ WAS A SPAC THAT I PURCHASED IN ANTICIPATION OF IT LATER ACQUIRING QUANTUM SPACE (QS) A DEVELOPER AND MANUFACTURER OF BATTERIES FOR EVS.

SECTION VII LINE 204 (PARNASSUS MID CAP FUND (PARMX)) - IN PREPARING THIS YEAR'S REPORT, I DISCOVERED THAT THIS INVESTMENT WAS INADVERTENTLY OMITTED FROM MY 2019 FDR. I AM REPORTING IT HERE WHICH IS WHY THE ENTRY FOR PURCHASING THE OPENING POSITION IS LAST YEAR.

SECTION VII LINE 217 - QUANTUMSCAPE (QS): THIS COMPANY WAS CREATED FROM KENSINGTON CAPITAL ACQUISITION - A SPAC - AS LISTED HERE ON LINE 171. THE SOFTWARE DOES NOT ALLOW ME TO ENTER THE LINE NUMBER IN THE SPOFF WINDOW THAT POPPED UP WHEN I TRIED TO ENTER "BUY" "SPOFF" UNDER COLUMN D1. I AM THEREFORE REPORTING THIS AS AN ACQUISITION, "OPEN." HOWEVER, NOTE THAT BECAUSE THIS COMPANY WAS CREATED USING A SPAC (KCAC), I AM NOT SURE THAT IT IS REALLY A SPOFF IN THE TRADITIONAL SENSE. THE BROKERAGE CATEGORIZES IT AS A "MERGER" I AM COMPLETING THE COLUMNS UNDER D3 AND D4 AS THOUGH THERE WAS NO "GAIN"

SECTION VII LINE 179 (LVGO) - LIVONGO MERGED WITH TELEDOK (TDOC) ON NOVEMBER 4/2020. WE ALREADY OWNED SHARES OF TDOC AS REPORTED ON LINE 56. (ALSO LISTED ON LINE 254). I FOR THE 11/4 MERGER DATE I SIMPLY MARKED THE POSITION "CLOSED" AS THE SOFTWARE DOES NOT ALLOW ME TO ENTER ANY DATA IN TO THE "MERGED WITH LINE" WINDOW THAT POPS UP. I ASSUME THIS WILL BE FIXED FOR FUTURE VERSIONS OF THIS SOFTWARE.

SECTION VII LINE 258 TIAA-CREFF IN PAST YEARS I HAVE BEEN ABLE TO LIST THE INVESTMENTS HELD AT TIAA-CREFF. AS EXPLAINED, THESE ACCOUNTS WERE NOT ACCOUNTS THAT WE EXERCISED ANY CONTROL OVER. RATHER, WE WOULD SIMPLY TELL OUR ACCT REP THE LEVEL OF RISK AND OBJECTIVE AND TIAA-CREFF THEN PUT TOGETHER A PORTFOLIO. WE WERE NOT THEREAFTER CONSULTED ON ANY SPECIFIC TRADES OTHER THAN A PERIODIC (QUARTERLY) REVIEW OF OUR INVESTMENT/RETIREMENT OBJECTIVES. OUR ACCT REP HAS SINCE LEFT TIAA-CREFF TO FORM HIS OWN COMPANY AND THE ACCT REP WHO TOOK HIS PLACE HAS NOT BEEN EASY TO REACH. ACCORDINGLY, I DO NOT NOW HAVE THAT INFORMATION. I HAVE REQUESTED IT AND WILL FILE AN AMENDED FDR ONCE I HAVE THAT INFORMATION.

SECTION VII LINE 12- I HAVE DECLARED THE INSTITUTION WHERE OUR MONEY MARKET FUND IS HELD AS REQUESTED. I HAVE PREVIOUSLY EXPRESSED CONCERN OVER ANY INTERPRETATION OF DISCLOSURE REQUIREMENTS THAT RESULTS IN DISCLOSURE OF SPECIFIC INSTITUTIONS WHERE WE DO BANKING. THAT CONCERN HAS ONLY INCREASED. I CONTINUE TO APPRECIATE THE IMPORTANCE OF DISCLOSING INFORMATION WHICH ASSURES THE PUBLIC THAT OUR ACTIONS ARE IN NO WAY INFLUENCED BY PERSONAL GAIN. CLEARLY, DISCLOSING COMPANIES AND INSTITUTIONS THAT WE HAVE A FINANCIAL INTEREST IN IS CONSISTENT WITH THAT OBJECTIVE AND ADVANCES IT. HOWEVER, WHETHER WE HAVE ACCOUNTS AT A GIVEN INSTITUTION IN NO WAY ADVANCES THAT LAUDABLE OBJECTIVE.

SECTION VII, LINE 75. THE LETTER OF JANUARY 11, 2022 STATES THAT I "LISTED THE SALE OR DISPOSITION OF [GOVT]" ON LINE 75 AND INCORRECTLY COMPLETED COLUMN C WHICH WAS NOT NECESSARY BECAUSE I DID NOT HOLD GOVT AT THE END OF THE REPORTING YEAR. HOWEVER, THAT IS AN ERROR IN YOUR AUDIT. I DID NOT COMPLETE ANY COLUMN IN SECTION C FOR GOVT ON LINE 75. ACCORDINGLY, I HAVE NOT MADE ANY CHANGE TO LINE 75

SECTION VII, LINE 280 (TIAA-CREFF) I AM ENTERING BELOW THE INVESTMENTS THAT WERE HELD AT ANYTIME IN OUR TIAA-CREFF ACCOUNTS. AS I HAVE EXPLAINED, WE DO NOT EXERCISE ANY CONTROL OVER THOSE ACCOUNTS. RATHER, WE MEET ONCE OR TWICE A YEAR WITH OUR CREFF ADVISOR AND CONFIRM INVESTMENT OBJECTIVES AND RISK TOLERANCE. WE ARE NOT CONSULTED BEFORE OR AFTER ANY TRADES ARE MADE AND WE ARE NOT INFORMED OF WHAT IS HELD IN THE ACCOUNT UNLESS WE MAKE A SPECIFIC INQUIRY. NONE WAS MADE DURING 2020. THE SOFTWARE DOES NOT ALLOW ME TO PASTE THE INFORMATION INTO THIS REPORT AND I WILL THEREFORE INDIVIDUALLY TYPE THE TICKER SYMBOL AS OPPOSED TO THE FULL NAME OF THE ASSETS HELD IN TIAA DURING 2020:

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Name of Person Reporting	Date of Report
McKee, Theodore A.	02/10/2022

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

TIAA TRADITIONAL
TIAA REAL ESTATE
CREF BOND MARKET R2
VANG TTL MKT IDX ADM
T-C LFCYCE IDX 2015 RTMT
VANGUARD TTL BD MKT IDX ADM
CREF STOCK R2
CREF GLOBAL EQUITIES R2
TIAA REAL ESTATE
CREF BOND MARKET R2
CREF STOCK R2
CREF MONEY MARKET R2
CREF LINQ-LINKED BOND R2

PLEASE NOTE: THE TIAA CREF HOLDINGS ARE [REDACTED] AND HELD IN A SAVINGS PLAN. AS OF NOVEMBER 24, 2020 TIAA CREF TRANSFERRED ALMOST ALL OF [REDACTED] PLAN WERE TRANSFERRED TO THE UNIVERSITY OF PENNSYLVANIA RETIREMENT SAVINGS PLAN. IN ADDITION, I DO NOT HAVE ANY MORE INFORMATION FOR ANY OF THESE ASSETS. NOTE, HOWEVER, THAT THE COMBINED INCOME FOR [REDACTED] TIAA CREF/UNIV. OF PA. SAVINGS PLAN AT THE END OF 2020 WAS VALUE CODE "J."

I HOPE THIS IS SATISFACTORY TO THE COMMITTEE. AS I HAVE SAID NUMEROUS TIMES, WE DO NOT EXERCISE ANY CONTROL OVER THE TIAA CREF/UNIV OF PA SAVINGS PLAN ACCOUNT. YOUR LETTER SUGGEST THAT THE COMMITTEE MAY NOW WANT ADDITIONAL INFORMATION FOR SOME OF THESE ASSETS, SUCH AS INDIVIDUAL STOCKS OR BONDS IN A PARTICULAR FUND. FRANKLY, I DO NOT HAVE ANY WAY OF RETRIEVING THAT AND I DOUBT THAT OUR ACCOUNT REP HAS ANY WAY OF RETRIEVING IT. AS I AM SURE YOU APPRECIATE, THE HOLDINGS IN THESE FUNDS IS NOT A CONSTANT. I WOULD HAVE TO CONTACT THE INDIVIDUAL FUND FOR WHICH YOU INDICATE YOU MAY WANT A BREAK DOWN OF HOLDINGS, AND TRY TO HAVE THE MANAGERS THERE ASCERTAIN WHAT ASSETS WERE IN THE FUND AS OF CERTAIN DATES. I AM NOT THE LEAST BIT SURE I COULD GET THAT INFORMATION FROM THE FUNDS AND I AM EVEN MORE CERTAIN THAT THE ACCOUNT MANAGER WHO HANDLES THE FEW ASSETS REMAINING AT TIAA CREF WOULD BE ABLE TO OR BE WILLING TO. ACCORDINGLY, I AM HOPING THAT THIS SUBMISSION SATISFIES THE REPORTING REQUIREMENTS. FRANKLY, THERE IS NOT MUCH MORE THAT I CAN DO TO COMPLY.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McKee, Theodore A.

Date of Report

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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/ **Theodore A. McKee**

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