

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Petsonk, Carol

Assistant Secretary, Office of Aviation and International Affairs, Department of Transportation

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Assistant Secretary of Transportation for Aviation and International Affairs (1/2021 - 5/2022)

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Petsonk, Carol [electronically signed on 06/29/2023 by Petsonk, Carol in Integrity.gov] - Filer received a 45 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Kaleta, Judith, Certifying Official [electronically signed on 08/01/2023 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 07/31/2023 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/31/2023

Data Revised 07/17/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	2814 Pleasant Valley Properties, LLC	Altoona, Pennsylvania	Corporation	Managing Partner	11/2010	Present
2	Family Trust #1	Altoona, Pennsylvania	Trust	Co-Trustee	12/1988	Present
3	Family Trust #2	Altoona, Pennsylvania	Trust	Co-Trustee	12/1996	Present
4	Family Trust #3	Altoona, Pennsylvania	Trust	Co-Trustee	6/2011	Present
5	Family Trust #4	Altoona, Pennsylvania	Trust	Co-Trustee	12/1988	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA#1	No			
1.1	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	BlackRock U.S. Government Bond Portfolio Investor A Shares (CIGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	IRA#2	No			
2.1	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	IRA#3	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	cash (U.S. Bank)	N/A	None (or less than \$1,001)		None (or less than \$201)
4	IRA#4	No			
4.1	Cash (U.S. Bank)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Environmental Defense Fund, Inc. 403(b) plan	No			
5.1	Lord Abbett Short Duration Income Fund Class R6 (LDLVX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.3	Fidelity Mid Cap Index Fund (FSMDX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.4	Fidelity Small Cap Index Fund (FSSNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Inherited IRA	No		Cash distributions.	\$1,676
6.1	AB Income Fund Advisor Class Shares (ACGYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Lord Abbett Growth Leaders Fund Class A Shares (LGLAX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.3	Putnam Master Intermediate Income Trust (PIM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Environmental Defense Fund, Inc.	New York, New York	I have continued to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	3/1995

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

(N/A) - Not required for this type of report

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse IRA #1	No			
1.1	ADMA Biologics Inc. (ADMA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.2	JD.com Inc. American Depositary Shares (JD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3	Agile Therapeutics Inc. (AGRX)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.4	Magnite (MGNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Spouse IRA #2	No			
2.1	ADMA Biologics Inc. (ADMA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.2	PRIMECAP Odyssey Growth Fund (POGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Xenon Pharmaceuticals Inc. (XENE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Spouse IRA #3	No		Cash distributions.	\$17,723
3.1	Vanguard Capital Opportunity Fund Investor Shares (VHCOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	ADMA Biologics Inc (ADMA)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.4	Altimune Inc. (ALT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5	Baozun Inc. (BZUN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	JD.com Inc. American Depositary Shares (JD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.7	Inhibrx Inc. (INBX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.8	Vanguard Health Care Fund Admiral Shares (VGHAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.9	Dodge & Cox International Stock Fund (DODFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Spouse IRA #4	No		Cash distributions.	\$38,537
4.1	Standard Chartered ADR (SCBFY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	Fidelity Software and IT Services Portfolio (FSCSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	Fidelity Health Care Portfolio (FSPHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	Wasatch Emerging Markets Small Cap Fund Institutional Class (WIEMX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.5	JD.com Inc. American Depositary Shares (JD)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.6	Inhibrx Inc. (INBX)	N/A	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VVIUX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
3	Vanguard PRIMECAP Fund Investor Shares (VPMCX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
4	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5	GeorgePutnam Balanced Fund Class A Shares (PGEOX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	Nuveen Intermediate Duration Municipal Bond Fund Class I Shares (NUVBX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	Putnam Strategic Intermediate Municipal Fund (PPNAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8	Allspring Omega Growth Fund (EKOAX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	M&T Bank Corp. (MTB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10	Tri-Continental Corporation (TY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	2814 Pleasant Valley Properties, LLC	See Endnote	No		
11.1	U.S. Bank #1 (cash) (property management account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
11.2	Commercial real estate, Altoona, PA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
12	Trust #1 for dependent child	No			
12.1	Vanguard STAR Fund Investor Shares (VGSTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.2	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.3	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.4	Vanguard Emerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.5	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
12.6	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
12.7	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12.8	Vanguard Health Care Fund Investor Shares (VGHGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.9	Vanguard International Value Fund Investor Shares (VTRIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.10	Vanguard Windsor II Fund Admiral Shares (VWNAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.11	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	U.S. Bank #2 (cash) (credit union account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	JALC-DD Joint Venture (real estate)	See Endnote	No		
14.1	Commercial property, Wye Switches, PA	N/A	\$15,001 - \$50,000	Rent or Royalties	\$5,001 - \$15,000
15	Office Depot, Inc. (ODP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
16	DC 529 Account (Spouse)	No			
16.1	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	DC 529 Account	No			
17.1	DC 529 Fund 1004 DC College Savings 2025 Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
17.2	DC 529 Fund 1009 Intermediate-Term Bond Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
17.3	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.4	DC 529 Fund 1010 U.S. Large Cap Equity Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
18	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
19	BGC Partners, Inc. (BGCP)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	Inhibrx (INBX)	N/A	Over \$1,000,000		None (or less than \$201)
21	Broadcom, Inc. (AVGO)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
22	Standard Chartered Bank (STAN.L)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
23	HDFC Bank (HDB)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
24	QUALCOMM, Inc. (QCOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
25	ADMA Biologics, Inc. (ADMA)	N/A	Over \$1,000,000		None (or less than \$201)
26	JD.com (JD)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
27	Wells Fargo & Co. (WFC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
28	Xenon (XENE)	N/A	\$250,001 - \$500,000		None (or less than \$201)
29	Newmark Group, Inc. (NMRK)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$50,001 - \$100,000
30	Bristol-Myers Squibb (BMY)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$15,001 - \$50,000
31	Ericsson (ERIC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
32	AstraZeneca (AZN)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
33	iShares MSCI Taiwan ETF (EWT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
34	Matthews Emerging Markets Small Companies Institutional Class (MISMV)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	Amgen Inc. (AMGN)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
36	Charter Communications, Inc. (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	Cigna Corp. (CI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
38	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
39	ConocoPhillips (COP)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$2,501 - \$5,000
40	Donnelley Financial Solutions, Inc. (DFIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	The Home Depot, Inc. (HD)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
43	International Business Machines Corp. (IBM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
44	IDACORP, Inc. (IDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	Intel Corp. (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
46	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
47	Kadant, Inc. (KAI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
48	IHS Holding Limited Ordinary Shares (IHS)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
49	International Paper Co. (IP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50	Microsoft Corp. (MSFT)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
51	Nutrien (NTR)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$50,001 - \$100,000
52	Oracle Corp. (ORCL)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
53	Baozun (BZUN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
54	Fidelity National Information Services, Inc. (FIS)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
55	Pagseguro Digital LTD (PAGS)	N/A	\$100,001 - \$250,000		None (or less than \$201)
56	Pfizer Inc. (PFE)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
57	Koninklijke Philips NV (PHG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
58	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
59	Phillips 66 (PSX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
60	Stone Co. LTD CL A (STNE)	N/A	\$250,001 - \$500,000		None (or less than \$201)
61	Thermo Fisher Scientific, Inc. (TMO)	N/A	Over \$1,000,000	Dividends	\$2,501 - \$5,000
62	TRI Pointe Homes, Inc. (TPH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
63	Marriott Vacations Worldwide Corp. (VAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
64	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65	Janus Henderson Overseas Fund Class D Shares (JNOSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
66	Fidelity Government Money Market Fund (SPAXX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
67	US brokerage (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
68	W.P. Carey, Inc. (WPC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
69	Vanguard Federal Money Market Fund (VMFXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
70	Trust #2 for dependent child	See Endnote	No		None (or less than \$201)
71	ICICI Bank Stock (IBN)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
72	Pubmatic, Inc.	N/A	\$50,001 - \$100,000		None (or less than \$201)
73	Merck & Co., Inc. (MRK)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
74	Organon & Co. (OGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
75	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
76	Global Payments, Inc. (GPN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
77	American International Group, Inc. (AIG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
78	AT&T, Inc. (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
79	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
80	Baxter International, Inc. (BAX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
81	Berkshire Hathaway Inc. (BRKB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
82	Chevron Corp. (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
83	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
84	DXC Technology Co. (DXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
85	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
86	General Electric Co. (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
87	GSK plc American Depositary Shares (Each representing two Ordinary Shares) (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
88	Haleon plc American Depositary Shares (Each representing two Ordinary Shares) (HLN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
89	Hewlett-Packard Enterprise Co. (HPE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
90	Howmet Aerospace Inc. Common Stock (HWM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
91	HP, Inc. (HPQ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
92	Kyndryl Holdings Inc. Common Stock (KD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
93	Lamb Weston Holdings, Inc. (LW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
94	Medtronic Plc (MDT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
95	Pitney Bowes, Inc. (PBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
96	Schlumberger NV (SLB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
97	Sony Group Corporation American Depositary Shares (SONY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
98	SPX Corp. (SPXC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
99	Stryker Corp. (SYK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
100	Takeda Pharmaceutical Company Limited American Depositary Shares (each representing 1/2 of a share of Common Stock) (TAK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
101	Teleflex, Inc. (TFX)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
102	Tennant Co. (TNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
103	Varex Imaging Corp. (VREX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
104	Volvo American Depositary Shares (VOLVF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
105	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
106	Yum! Brands, Inc. (YUM)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
107	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
108	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
109	CUSIP 64971WTU4 NEW YORK NY CITY TFA REV SUB BDS 2015 SER E-1 OID APR15 3.000% FEB01 2029	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
110	CUSIP 64971WTS9 NEW YORK NY CITY TFA REV SUB BDS 2015 SER E-1 OID APR15 3.250% FEB01 2032	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
111	CUSIP 64966LKX8 NEW YORK NY GO BDS 2014 SER I-1 OID MAR14 4.000% MAR01 2033	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
112	Organon & Co. Common Stock (OGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
113	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
114	American International Group, Inc. (AIG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
115	AT&T, Inc. (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
116	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
117	Baxter International, Inc. (BAX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
118	Berkshire Hathaway Inc. (BRKB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
119	Chevron Corp. (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
120	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
121	DXC Technology Company (DXC))	N/A	\$1,001 - \$15,000		None (or less than \$201)
122	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
123	General Electric Co. (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
124	GSK plc American Depositary Shares (Each representing two Ordinary Shares) (GSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
125	Haleon plc American Depositary Shares (Each representing two Ordinary Shares) (HLN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
126	Hewlett-Packard Enterprise Co. (HPE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
127	Howmet Aerospace Inc. Common Stock (HWM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
128	HP, Inc. (HPQ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
129	Kyndryl Holdings Inc. Common Stock (KD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
130	Lamb Weston Holdings, Inc. (LW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
131	Medtronic Plc (MDT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
132	Pitney Bowes, Inc. (PBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
133	Schlumberger NV (SLB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
134	Sony Group Corporation American Depositary Shares (SONY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
135	Stryker Corp. (SYK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
136	Takeda Pharmaceutical Company Limited American Depositary Shares (each representing 1/2 of a share of Common Stock) (TAK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
137	Teleflex, Inc. (TFX)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
138	Tennant Co. (TNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
139	Varex Imaging Corp. (VREX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
140	Volvo American Depositary Receipts (VOLVF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
141	Yum! Brands, Inc. (YUM)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
142	CUSIP 64966JH66 NEW YORK CITY GENL OBLIG SER-H	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
143	CUSIP 64972BH3 NEW YORK CITY HSG DEV CORP MULTI	N/A	\$1,001 - \$15,000		None (or less than \$201)
144	CUSIP 64966MGY9 NEW YORK CITY GEN OBLIG FI	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
145	CUSIP 64971Q5VI NEW YORK CITY TRANS FIN AUTH FUT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
146	CUSIP 64966LKW0 NEW YORK GENL OBLIG SER I-1	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
147	CUSIP 64987BQV3 NEW YORK ST HSG FIN AGY AF	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
148	CUSIP 64987BKW7 NEW YORK ST HSG FIN AGY AFFO RE	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
149	CUSIP 64987BJW9 NEW YORK ST HSG FIN AGY REV-A	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
150	CUSIP 64988RHM7 NEW YORK ST MTG AGY FI	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
151	CUSIP 6498832H7 NEW YORK ST MTG AGY HOMEOWNER MT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
152	CUSIP 6498832C8 NEW YORK ST MTG AGY HOMEOWNER MT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
153	CUSIP 650009P64 NEW YORK ST TWY AUTH GEN REV	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
154	CUSIP 89602NG81 TRIBOROUGH BRIDGE AND TUNNEL AUTHORITY	N/A	\$1,001 - \$15,000		None (or less than \$201)
155	Brokerage Sweep Account	N/A	\$100,001 - \$250,000		None (or less than \$201)
156	Cardinal Health, Inc. (CAH)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
157	CVS Health Corp. (CVS)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
158	Dow, Inc. (DOW)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
159	DuPont de Nemours, Inc. (DD)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
160	PepsiCo, Inc. (PEP)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
161	Procter & Gamble Co. (PG)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
162	Vanguard Health Care Fund Admiral Shares (VGHAX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
163	Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
164	Automatic Data Processing, Inc. (ADP)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
165	Johnson & Johnson (JNJ)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
166	HSBC Holdings plc. Common Stock (HSBC)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
167	Public Service Enterprise Group, Inc. (PEG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
168	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
169	Zimmer Biomet Holdings, Inc. (ZBH)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	03/28/2022	\$1,001 - \$15,000
2	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	03/28/2022	\$1,001 - \$15,000
3	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)		Sale	04/07/2022	\$15,001 - \$50,000
4	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)		Sale	04/08/2022	\$15,001 - \$50,000
5	Vanguard Health Care Fund Admiral Shares (VGHAX)		Sale	04/28/2022	\$15,001 - \$50,000
6	Vanguard Health Care Fund Admiral Shares (VGHAX)		Sale	04/29/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	05/03/2022	\$1,001 - \$15,000
8	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	05/04/2022	\$1,001 - \$15,000
9	Matthews Asia Small Companies Fund Institutional Class Shares (MISMIX)	Sale	05/13/2022	\$100,001 - \$250,000
10	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	06/02/2022	\$1,001 - \$15,000
11	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	06/06/2022	\$1,001 - \$15,000
12	iShares MSCI India Small-Cap ETF (SMIN)	Sale	06/10/2022	\$50,001 - \$100,000
13	iShares MSCI India Small-Cap ETF (SMIN)	Sale	06/10/2022	\$50,001 - \$100,000
14	iShares MSCI India Small-Cap ETF (SMIN)	Sale	06/10/2022	\$100,001 - \$250,000
15	iShares MSCI India Small-Cap ETF (SMIN)	Sale	06/10/2022	\$50,001 - \$100,000
16	iShares MSCI India Small-Cap ETF (SMIN)	Sale	06/10/2022	\$100,001 - \$250,000
17	iShares MSCI India Small-Cap ETF (SMIN)	Sale	06/10/2022	\$50,001 - \$100,000
18	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	06/10/2022	\$1,001 - \$15,000
19	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	06/13/2022	\$15,001 - \$50,000
20	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	06/14/2022	\$15,001 - \$50,000
21	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	06/15/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	06/17/2022	\$1,001 - \$15,000
23	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	07/19/2022	\$250,001 - \$500,000
24	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	07/19/2022	\$15,001 - \$50,000
25	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	07/27/2022	\$50,001 - \$100,000
26	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/10/2022	\$50,001 - \$100,000
27	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/10/2022	\$250,001 - \$500,000
28	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/10/2022	\$15,001 - \$50,000
29	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/11/2022	\$100,001 - \$250,000
30	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/10/2022	\$15,001 - \$50,000
31	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/10/2022	\$100,001 - \$250,000
32	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/10/2022	\$15,001 - \$50,000
33	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/10/2022	\$50,001 - \$100,000
34	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	08/17/2022	\$15,001 - \$50,000
35	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	08/19/2022	\$15,001 - \$50,000
36	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Sale	08/22/2022	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	Vanguard US Growth Fund Admiral Shares (VWUAX)	Sale	08/23/2022	\$100,001 - \$250,000
38	Vanguard Strategic Equity Fund Investor Class Shares (VSEQX)	Sale	08/23/2022	\$100,001 - \$250,000
39	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Sale	08/23/2022	\$15,001 - \$50,000
40	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	Sale	08/23/2022	\$250,001 - \$500,000
41	Vanguard Windsor II Fund Admiral Shares (VWNAX)	Sale	08/24/2022	\$100,001 - \$250,000
42	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Sale	08/24/2022	\$100,001 - \$250,000
43	Vanguard STAR Fund Investor Shares (VGSTX)	Sale	08/24/2022	\$50,001 - \$100,000
44	Vanguard Selected Value Fund Investor Shares (VASVX)	Sale	08/24/2022	\$50,001 - \$100,000
45	Vanguard Windsor II Fund Admiral Shares (VWNAX)	Sale	08/25/2022	\$50,001 - \$100,000
46	Vanguard European Stock Index Fund Admiral Shares (VEUSX)	Sale	08/25/2022	\$50,001 - \$100,000
47	Vanguard Emerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	Sale	08/29/2022	\$15,001 - \$50,000
48	Vanguard Windsor II Fund Admiral Shares (VWNAX)	Sale	08/29/2022	\$100,001 - \$250,000
49	Vanguard Emerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	Sale	08/30/2022	\$15,001 - \$50,000
50	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	09/02/2022	\$15,001 - \$50,000
51	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	09/09/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	09/12/2022	\$15,001 - \$50,000
53	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	09/13/2022	\$15,001 - \$50,000
54	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Sale	09/14/2022	\$15,001 - \$50,000
55	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Sale	09/14/2022	\$50,001 - \$100,000
56	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	09/19/2022	\$50,001 - \$100,000
57	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Purchase	10/04/2022	\$15,001 - \$50,000
58	KraneShares CSI China Internet ETF (KWEB)	Sale	10/10/2022	\$1,001 - \$15,000
59	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Sale	10/13/2022	\$50,001 - \$100,000
60	KraneShares CSI China Internet ETF (KWEB)	Sale	10/17/2022	\$1,001 - \$15,000
61	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	10/17/2022	\$500,001 - \$1,000,000
62	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	10/17/2022	\$500,001 - \$1,000,000
63	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	10/17/2022	\$1,001 - \$15,000
64	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Sale	10/17/2022	\$1,001 - \$15,000
65	Vanguard International Growth Fund Admiral Shares (VWILX)	Sale	10/31/2022	\$100,001 - \$250,000
66	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	10/31/2022	\$50,001 - \$100,000
67	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/04/2022	\$15,001 - \$50,000
69	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/08/2022	\$50,001 - \$100,000
70	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/08/2022	\$50,001 - \$100,000
71	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/08/2022	\$50,001 - \$100,000
72	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/15/2022	\$15,001 - \$50,000
73	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/16/2022	\$1,001 - \$15,000
74	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$1,001 - \$15,000
75	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$15,001 - \$50,000
76	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$15,001 - \$50,000
77	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$1,001 - \$15,000
78	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$15,001 - \$50,000
79	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$1,001 - \$15,000
80	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$1,001 - \$15,000
81	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/17/2022	\$1,001 - \$15,000
82	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/21/2022	\$1,001 - \$15,000
83	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/22/2022	\$1,001 - \$15,000
84	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/22/2022	\$15,001 - \$50,000
85	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	11/23/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
86	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)		Sale	11/25/2022	\$15,001 - \$50,000
87	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)		Sale	12/06/2022	\$15,001 - \$50,000
88	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)		Purchase	12/14/2022	\$50,001 - \$100,000
89	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	See Endnote	Purchase	12/15/2022	\$15,001 - \$50,000
90	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	See Endnote	Purchase	12/16/2022	\$1,001 - \$15,000
91	Fidelity Software and IT Services Portfolio (FSCSX)	See Endnote	Purchase	12/16/2022	\$1,001 - \$15,000
92	iShares MSCI Taiwan ETF (EWT)	See Endnote	Purchase	12/19/2022	\$1,001 - \$15,000
93	Vanguard Capital Opportunity Fund Investor Shares (VHCOX)	See Endnote	Purchase	12/19/2022	\$1,001 - \$15,000
94	Dodge & Cox International Stock Fund (DODFX)	See Endnote	Purchase	12/20/2022	\$1,001 - \$15,000
95	Vanguard 500 Index Fund ETF Shares (VOO)		Sale	12/20/2022	\$1,001 - \$15,000
96	Vanguard 500 Index Fund ETF Shares (VOO)		Sale	12/20/2022	\$1,001 - \$15,000
97	Vanguard 500 Index Fund ETF Shares (VOO)		Sale	12/20/2022	\$1,001 - \$15,000
98	Vanguard 500 Index Fund ETF Shares (VOO)		Sale	12/20/2022	\$1,001 - \$15,000
99	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	12/28/2022	\$1,001 - \$15,000
100	Vanguard Federal Money Market Fund Investor Shares (VMFXX)		Purchase	12/20/2022	\$15,001 - \$50,000
101	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	See Endnote	Sale	06/23/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
102	DC 529 Fund 1009 Intermediate Term Bond Portfolio DC 529	See Endnote	Sale	06/23/2022	\$1,001 - \$15,000
103	DC 529 Fund 1010 U.S. Large Cap Equity Portfolio	See Endnote	Sale	06/23/2022	\$1,001 - \$15,000
104	KraneShares CSI China Internet ETF (KWEB)		Purchase	01/03/2022	\$15,001 - \$50,000
105	JD.Com ADS (JD)		Purchase	01/03/2022	\$1,001 - \$15,000
106	Bristol-Myers Squibb (BMY)		Sale	01/04/2022	\$1,001 - \$15,000
107	Bristol-Myers Squibb (BMY)		Purchase	01/04/2022	\$1,001 - \$15,000
108	Pubmatic, Inc. (PUBM)		Purchase	01/06/2022	\$15,001 - \$50,000
109	BGC Partners, Inc. (BGCP)		Sale	01/06/2022	\$15,001 - \$50,000
110	Pubmatic, Inc. (PUBM)		Purchase	01/06/2022	\$1,001 - \$15,000
111	BGC Partners, Inc. (BGCP)		Sale	01/07/2022	\$1,001 - \$15,000
112	Pubmatic, Inc. (PUBM)		Purchase	01/07/2022	\$1,001 - \$15,000
113	Broadcom, Inc. (AVGO)	See Endnote	Purchase	01/03/2022	\$1,001 - \$15,000
114	Magnite, Inc. (MGNI)		Purchase	03/08/2022	\$15,001 - \$50,000
115	Magnite, Inc. (MGNI)		Purchase	03/08/2022	\$15,001 - \$50,000
116	Inhibrx, Inc. (INBX)		Purchase	03/15/2022	\$15,001 - \$50,000
117	Baozun, Inc. (BZUN) ADR		Purchase	03/16/2022	\$1,001 - \$15,000
118	BGC Partners, Inc. (BGCP)		Sale	03/16/2022	\$1,001 - \$15,000
119	Baozun, Inc. (BZUN) ADR		Purchase	03/16/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
120	Pubmatic, Inc. (PUBM)	Purchase	03/16/2022	\$15,001 - \$50,000	
121	BGC Partners, Inc. (BGCP)	Sale	03/16/2022	\$1,001 - \$15,000	
122	JD.com, Inc. (JD) ADR	Purchase	03/21/2022	\$50,001 - \$100,000	
123	KS CSI China Internet ETF (KWEB)	Sale	03/21/2022	\$50,001 - \$100,000	
124	StoneCo Ltd. (STNE) ADR	Purchase	03/28/2022	\$1,001 - \$15,000	
125	Nutrien Ltd. (NTR) ADR	Sale	03/28/2022	\$15,001 - \$50,000	
126	Astrazeneca PLC (AZN) ADR	See Endnote	Purchase	03/28/2022	\$1,001 - \$15,000
127	Alibaba Group Holding Limited (BABA) ADR	Purchase	03/31/2022	\$15,001 - \$50,000	
128	KS CSI China Internet ETF (KWEB)	Sale	03/31/2022	\$50,001 - \$100,000	
129	JD.com (JD) ADR	Purchase	03/31/2022	\$15,001 - \$50,000	
130	Alibaba Group Holding Limited (BABA) ADR	Sale	04/01/2022	\$15,001 - \$50,000	
131	JD.com (JD) ADR	Purchase	04/01/2022	\$15,001 - \$50,000	
132	Inhibrx, Inc. (INBX)	Purchase	03/31/2022	\$15,001 - \$50,000	
133	Inhibrx, Inc. (INBX)	Purchase	04/01/2022	\$1,001 - \$15,000	
134	JD.com (JD) ADR	Purchase	04/01/2022	\$15,001 - \$50,000	
135	Alibaba Group Holding Limited (BABA) ADR	Sale	04/01/2022	\$15,001 - \$50,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT	
136	JD.com (JD) ADR	Purchase	04/01/2022	\$15,001 - \$50,000	
137	Nutrien, Ltd. (NTR) ADR	Sale	04/01/2022	\$1,001 - \$15,000	
138	ADMA Biologics, Inc. (ADMA)	Purchase	03/24/2022	\$1,001 - \$15,000	
139	Baozun, Inc. (BZUN) ADR	Purchase	03/16/2022	\$1,001 - \$15,000	
140	Broadcom, Inc. (AVGO)	See Endnote	Purchase	04/01/2022	\$1,001 - \$15,000
141	Nutrien, Ltd. (NTR)	Sale	04/07/2022	\$15,001 - \$50,000	
142	HDFC Bank Limited ADS (HDB)	Purchase	04/07/2022	\$50,001 - \$100,000	
143	JD.com ADS (JD)	Purchase	04/07/2022	\$15,001 - \$50,000	
144	KS CSI China Internet ETF (KWEB)	Sale	04/07/2022	\$15,001 - \$50,000	
145	Nutrien, Ltd. (NTR)	Sale	04/07/2022	\$1,001 - \$15,000	
146	BGC Partners, Inc. (BGCP)	Sale	04/08/2022	\$1,001 - \$15,000	
147	JD.com ADS (JD)	Purchase	04/08/2022	\$15,001 - \$50,000	
148	KS CSI China Internet ETF (KWEB)	Sale	04/08/2022	\$15,001 - \$50,000	
149	Inhibrx, Inc. (INBX)	Purchase	04/08/2022	\$15,001 - \$50,000	
150	BGC Partners, Inc. (BGCP)	Sale	04/11/2022	\$1,001 - \$15,000	
151	JD.com ADS (JD)	Purchase	04/11/2022	\$15,001 - \$50,000	
152	KS CSI China Internet ETF (KWEB)	Sale	04/11/2022	\$15,001 - \$50,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
153	Nutrien, Ltd. (NTR)	Sale	04/11/2022	\$1,001 - \$15,000
154	Merck & Co., Inc. (MRK)	Sale	04/11/2022	\$50,001 - \$100,000
155	Inhibrx, Inc. (INBX)	Purchase	04/11/2022	\$15,001 - \$50,000
156	Merck & Co., Inc. (MRK)	Sale	04/13/2022	\$1,001 - \$15,000
157	Inhibrx, Inc. (INBX)	Purchase	04/14/2022	\$1,001 - \$15,000
158	Merck & Co., Inc. (MRK)	Sale	04/13/2022	\$1,001 - \$15,000
159	Inhibrx, Inc. (INBX)	Purchase	04/13/2022	\$1,001 - \$15,000
160	Merck & Co., Inc. (MRK)	Sale	04/14/2022	\$1,001 - \$15,000
161	Inhibrx, Inc. (INBX)	Purchase	04/14/2022	\$1,001 - \$15,000
162	HDFC Bank Limited ADS (HDB) ADS	Purchase	04/19/2022	\$1,001 - \$15,000
163	Bristol-Myers Squibb (BMY)	Sale	04/19/2022	\$1,001 - \$15,000
164	Inhibrx, Inc. (INBX)	Purchase	04/20/2022	\$1,001 - \$15,000
165	Bristol-Myers Squibb (BMY)	Sale	04/20/2022	\$1,001 - \$15,000
166	Inhibrx, Inc. (INBX)	Purchase	04/20/2022	\$1,001 - \$15,000
167	Bristol-Myers Squibb (BMY)	Sale	04/20/2022	\$1,001 - \$15,000
168	Inhibrx, Inc. (INBX)	Purchase	04/11/2022	\$15,001 - \$50,000
169	Inhibrx, Inc. (INBX)	Purchase	04/21/2022	\$1,001 - \$15,000
170	Bristol-Myers Squibb (BMY)	Sale	04/21/2022	\$1,001 - \$15,000
171	Inhibrx, Inc. (INBX)	Purchase	04/21/2022	\$1,001 - \$15,000
172	Bristol-Myers Squibb (BMY)	Sale	04/21/2022	\$1,001 - \$15,000
173	Inhibrx, Inc. (INBX)	Purchase	04/25/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
174	Bristol-Myers Squibb (BMY)	Sale	04/25/2022	\$1,001 - \$15,000
175	Inhibrx, Inc. (INBX)	Purchase	04/26/2022	\$1,001 - \$15,000
176	Bristol-Myers Squibb (BMY)	Sale	04/26/2022	\$1,001 - \$15,000
177	Pfizer Inc. (PFE)	Purchase	04/26/2022	\$1,001 - \$15,000
178	Bristol-Myers Squibb (BMY)	Sale	04/26/2022	\$1,001 - \$15,000
179	Inhibrx, Inc. (INBX)	Purchase	04/26/2022	\$1,001 - \$15,000
180	Bristol-Myers Squibb (BMY)	Sale	04/26/2022	\$1,001 - \$15,000
181	Inhibrx, Inc. (INBX)	Purchase	04/28/2022	\$1,001 - \$15,000
182	Pfizer Inc. (PFE)	Purchase	04/28/2022	\$1,001 - \$15,000
183	StoneCo Ltd. ADS (STNE)	Purchase	04/28/2022	\$1,001 - \$15,000
184	Inhibrx, Inc. (INBX)	Purchase	04/29/2022	\$1,001 - \$15,000
185	Bristol-Myers Squibb (BMY)	Sale	04/29/2022	\$1,001 - \$15,000
186	StoneCo. Ltd. ADS (STNE)	Purchase	04/29/2022	\$1,001 - \$15,000
187	Global Payments, Inc. (GPN)	Sale	05/03/2022	\$1,001 - \$15,000
188	Inhibrx, Inc. (INBX)	Purchase	05/04/2022	\$1,001 - \$15,000
189	Bristol-Myers Squibb (BMY)	Sale	05/04/2022	\$1,001 - \$15,000
190	Inhibrx, Inc. (INBX)	Purchase	05/04/2022	\$1,001 - \$15,000
191	Bristol-Myers Squibb (BMY)	Sale	05/04/2022	\$1,001 - \$15,000
192	Inhibrx, Inc. (INBX)	Purchase	05/04/2022	\$1,001 - \$15,000
193	Bristol-Myers Squibb (BMY)	Sale	05/04/2022	\$1,001 - \$15,000
194	Inhibrx, Inc. (INBX)	Purchase	05/04/2022	\$1,001 - \$15,000
195	BGC Partners, Inc. (BGCP)	Sale	05/11/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
196	BGC Partners, Inc. (BGCP)	Sale	05/11/2022	\$1,001 - \$15,000	
197	ADMA Biologics, Inc. (ADMA)	Purchase	05/13/2022	\$50,001 - \$100,000	
198	Agile Therapeutics, Inc. (AGRX)	Sale	05/13/2022	\$1,001 - \$15,000	
199	Standard Chartered Bank Stock ADS (SCBFY)	Sale	05/13/2022	\$1,001 - \$15,000	
200	JD.com, Inc. American Depositary Shares (JD)	Purchase	05/13/2022	\$50,001 - \$100,000	
201	KS Trust CSI China Internet ETF (KWEB)	Sale	05/13/2022	\$50,001 - \$100,000	
202	ADMA Biologics, Inc. (ADMA)	Purchase	05/13/2022	\$15,001 - \$50,000	
203	Agile Therapeutics, Inc. (AGRX)	Sale	05/13/2022	\$1,001 - \$15,000	
204	Inhibrx, Inc. (INBX)	Purchase	05/17/2022	\$1,001 - \$15,000	
205	Standard Chartered Bank Stock ADS (SCBFY)	Sale	05/31/2022	\$15,001 - \$50,000	
206	Inhibrx, Inc. (INBX)	Purchase	06/02/2022	\$1,001 - \$15,000	
207	Inhibrx, Inc. (INBX)	Purchase	06/06/2022	\$1,001 - \$15,000	
208	Inhibrx, Inc. (INBX)	Purchase	06/10/2022	\$1,001 - \$15,000	
209	Inhibrx, Inc. (INBX)	Purchase	06/13/2022	\$1,001 - \$15,000	
210	Inhibrx, Inc. (INBX)	Purchase	06/13/2022	\$1,001 - \$15,000	
211	Inhibrx, Inc. (INBX)	Purchase	06/14/2022	\$15,001 - \$50,000	
212	JD.com (JD)	See Endnote	Purchase	06/14/2022	\$1,001 - \$15,000
213	Inhibrx, Inc. (INBX)	Purchase	06/15/2022	\$15,001 - \$50,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
214	Inhibrx, Inc. (INBX)	Purchase	06/15/2022	\$15,001 - \$50,000
215	Inhibrx, Inc. (INBX)	Purchase	06/15/2022	\$15,001 - \$50,000
216	Inhibrx, Inc. (INBX)	Purchase	06/15/2022	\$15,001 - \$50,000
217	Inhibrx, Inc. (INBX)	Purchase	06/15/2022	\$15,001 - \$50,000
218	Inhibrx, Inc. (INBX)	Purchase	06/15/2022	\$15,001 - \$50,000
219	Inhibrx, Inc. (INBX)	Purchase	06/16/2022	\$1,001 - \$15,000
220	Inhibrx, Inc. (INBX)	Purchase	06/17/2022	\$1,001 - \$15,000
221	Inhibrx, Inc. (INBX)	Purchase	06/21/2022	\$15,001 - \$50,000
222	Bristol-Myers Squibb (BMY)	Sale	06/22/2022	\$15,001 - \$50,000
223	Bristol-Myers Squibb (BMY)	Sale	06/23/2022	\$15,001 - \$50,000
224	Pagseguro Digital Limited Class A Common Shares (PAGS)	Purchase	06/28/2022	\$1,001 - \$15,000
225	Pagseguro Digital Limited Class A Common Shares (PAGS)	Purchase	06/28/2022	\$1,001 - \$15,000
226	Standard Chartered Bank ADS (SCBFY)	Sale	06/30/2022	\$1,001 - \$15,000
227	Pagseguro Digital Limited Class A Common Shares (PAGS)	Purchase	07/05/2022	\$1,001 - \$15,000
228	Magnite, Inc. Common Stock (MGNI)	Purchase	07/07/2022	\$1,001 - \$15,000
229	Magnite, Inc. Common Stock (MGNI)	Sale	07/08/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
230	Newmark Group, Inc. (NMRK)	Purchase	07/13/2022	\$15,001 - \$50,000
231	Newmark Group, Inc. (NMRK)	Purchase	07/13/2022	\$15,001 - \$50,000
232	Newmark Group, Inc. (NMRK)	Purchase	07/13/2022	\$1,001 - \$15,000
233	Alphabet, Inc. (GOOG)	Purchase	07/19/2022	\$15,001 - \$50,000
234	Alphabet, Inc. (GOOG)	Purchase	07/27/2022	\$15,001 - \$50,000
235	Pagseguro Digital Ltd. (PAGS)	Purchase	07/27/2022	\$15,001 - \$50,000
236	Alphabet, Inc. (GOOG)	Purchase	07/27/2022	\$1,001 - \$15,000
237	Newmark Group, Inc. (NMRK)	Sale	08/01/2022	\$50,001 - \$100,000
238	Pagseguro Digital Ltd. (PAGS)	Purchase	08/01/2022	\$50,001 - \$100,000
239	Newmark Group, Inc. (NMRK)	Sale	08/01/2022	\$50,001 - \$100,000
240	Pagseguro Digital Ltd. (PAGS)	Purchase	08/01/2022	\$50,001 - \$100,000
241	Newmark Group, Inc. (NMRK)	Sale	08/01/2022	\$50,001 - \$100,000
242	Pagseguro Digital Ltd. (PAGS)	Purchase	08/01/2022	\$50,001 - \$100,000
243	Newmark Group, Inc. (NMRK)	Sale	08/01/2022	\$1,001 - \$15,000
244	Pfizer Inc. (PFE)	Purchase	08/03/2022	\$1,001 - \$15,000
245	Pfizer Inc. (PFE)	Purchase	08/03/2022	\$1,001 - \$15,000
246	Pfizer Inc. (PFE)	Purchase	08/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
247	StoneCo Ltd. (STNE)	Purchase	08/05/2022	\$15,001 - \$50,000
248	Newmark Group, Inc. (NMRK)	Sale	08/05/2022	\$50,001 - \$100,000
249	StoneCo Ltd. (STNE)	Purchase	08/05/2022	\$15,001 - \$50,000
250	Newmark Group, Inc. (NMRK)	Sale	08/05/2022	\$15,001 - \$50,000
251	StoneCo Ltd. (STNE)	Purchase	08/05/2022	\$1,001 - \$15,000
252	Newmark Group, Inc. (NMRK)	Sale	08/05/2022	\$1,001 - \$15,000
253	StoneCo Ltd. (STNE)	Purchase	08/05/2022	\$15,001 - \$50,000
254	Newmark Group, Inc. (NMRK)	Sale	08/05/2022	\$1,001 - \$15,000
255	StoneCo Ltd. (STNE)	Purchase	08/05/2022	\$1,001 - \$15,000
256	StoneCo Ltd. (STNE)	Purchase	08/05/2022	\$1,001 - \$15,000
257	HSBC Holdings (HSBC)	Sale	08/08/2022	\$15,001 - \$50,000
258	StoneCo Ltd. (STNE)	Purchase	08/08/2022	\$50,001 - \$100,000
259	HSBC Holdings (HSBC)	Sale	08/08/2022	\$50,001 - \$100,000
260	StoneCo Ltd. (STNE)	Purchase	08/08/2022	\$50,001 - \$100,000
261	HSBC Holdings (HSBC)	Sale	08/08/2022	\$15,001 - \$50,000
262	StoneCo Ltd. (STNE)	Purchase	08/08/2022	\$1,001 - \$15,000
263	HSBC Holdings (HSBC)	Sale	08/08/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
264	Procter & Gamble Co. (PG)	Sale	08/10/2022	\$250,001 - \$500,000
265	Yum China Holdings, Inc. (YUMC)	Sale	08/10/2022	\$15,001 - \$50,000
266	Johnson & Johnson (JNJ)	Sale	08/10/2022	\$100,001 - \$250,000
267	Edwards Lifesciences Corp. (EW)	Sale	08/10/2022	\$50,001 - \$100,000
268	Johnson & Johnson (JNJ)	Sale	08/10/2022	\$50,001 - \$100,000
269	Edwards Lifesciences Corp. (EW)	Sale	08/10/2022	\$15,001 - \$50,000
270	Johnson & Johnson (JNJ)	Sale	08/10/2022	\$15,001 - \$50,000
271	PepsiCo, Inc. (PEP)	Sale	08/10/2022	\$100,001 - \$250,000
272	Bristol-Myers Squibb (BMY)	Sale	08/10/2022	\$50,001 - \$100,000
273	The J. M. Smucker Co. (SJM)	Sale	08/11/2022	\$1,001 - \$15,000
274	Alphabet, Inc. (GOOG)	Purchase	08/11/2022	\$15,001 - \$50,000
275	PepsiCo, Inc. (PEP)	Sale	08/11/2022	\$100,001 - \$250,000
276	AbbVie, Inc. (ABBV)	Sale	08/11/2022	\$1,001 - \$15,000
277	Alphabet, Inc. (GOOG)	Purchase	08/11/2022	\$100,001 - \$250,000
278	American Electric Power Co., Inc. (AEP)	Sale	08/11/2022	\$1,001 - \$15,000
279	Public Service Enterprise Group, Inc. (PEG)	Sale	08/11/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
280	Alphabet, Inc. (GOOG)	Purchase	08/11/2022	\$1,001 - \$15,000
281	Zimmer Biomet Holdings, Inc. (ZBH)	Sale	08/11/2022	\$1,001 - \$15,000
282	Becton, Dickinson and Company (BDX)	Sale	08/12/2022	\$1,001 - \$15,000
283	Cardinal Health, Inc. (CAH)	Sale	08/12/2022	\$1,001 - \$15,000
284	Alphabet, Inc. (GOOG)	Purchase	08/12/2022	\$1,001 - \$15,000
285	Alphabet, Inc. (GOOG)	Purchase	08/17/2022	\$15,001 - \$50,000
286	Alphabet, Inc. (GOOG)	Purchase	08/17/2022	\$15,001 - \$50,000
287	Alphabet, Inc. (GOOG)	Purchase	08/17/2022	\$15,001 - \$50,000
288	PagSeguro Digital Ltd. (PAGS)	Purchase	08/20/2022	\$1,001 - \$15,000
289	Edwards Lifesciences Corp. (EW)	Sale	08/19/2022	\$1,001 - \$15,000
290	PagSeguro Digital Ltd. (PAGS)	Purchase	08/19/2022	\$15,001 - \$50,000
291	HSBC Holdings, plc. (HSBC)	Sale	08/19/2022	\$1,001 - \$15,000
292	PagSeguro Digital Ltd. (PAGS)	Purchase	08/19/2022	\$1,001 - \$15,000
293	Wells Fargo & Co. (WFC)	Sale	08/29/2022	\$1,001 - \$15,000
294	PagSeguro Digital Ltd. (PAGS)	Sale	08/29/2022	\$1,001 - \$15,000
295	IHS Holding Limited (IHS)	Purchase	08/29/2022	\$15,001 - \$50,000
296	JD.com, Inc. (JD)	Purchase	08/29/2022	\$50,001 - \$100,000
297	IHS Holding Limited (IHS)	Purchase	08/29/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
298	ICICI Bank Limited Common Stock (IBN)	Sale	08/29/2022	\$50,001 - \$100,000
299	IHS Holding Limited (IHS)	Purchase	08/29/2022	\$15,001 - \$50,000
300	IHS Holding Limited (IHS)	Purchase	08/29/2022	\$1,001 - \$15,000
301	PagSeguro Digital Ltd. (PAGS)	Sale	08/29/2022	\$15,001 - \$50,000
302	JD.com, Inc. (JD)	Purchase	08/29/2022	\$50,001 - \$100,000
303	PagSeguro Digital Ltd. (PAGS)	Sale	08/29/2022	\$15,001 - \$50,000
304	JD.com, Inc. (JD)	Purchase	08/29/2022	\$100,001 - \$250,000
305	ICICI Bank Limited Common Stock (IBN)	Sale	08/29/2022	\$100,001 - \$250,000
306	HDFC Bank Limited Common Stock (HDB)	Sale	08/29/2022	\$15,001 - \$50,000
307	PagSeguro Digital Ltd.	Purchase	08/29/2022	\$1,001 - \$15,000
308	ICICI Bank Limited Common Stock (IBN)	Purchase	08/29/2022	\$100,001 - \$250,000
309	HDFC Bank Limited Common Stock (HDB)	Purchase	08/29/2022	\$15,001 - \$50,000
310	JD.com, Inc. (JD)	Sale	08/29/2022	\$100,001 - \$250,000
311	Wells Fargo & Co. (WFC)	Purchase	08/29/2022	\$1,001 - \$15,000
312	ICICI Bank Limited Common Stock (IBN)	Purchase	08/29/2022	\$50,001 - \$100,000
313	JD.com, Inc. (JD)	Sale	08/29/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
314	PagSeguro Digital Ltd. (PAGS)	Purchase	08/29/2022	\$1,001 - \$15,000
315	PagSeguro Digital Ltd. (PAGS)	Purchase	08/29/2022	\$50,001 - \$100,000
316	JD.com, Inc. (JD)	Sale	08/29/2022	\$50,001 - \$100,000
317	Amgen Inc. (AMGN)	Sale	08/29/2022	\$15,001 - \$50,000
318	IHS Holding Limited (IHS)	Purchase	08/29/2022	\$50,001 - \$100,000
319	Amgen Inc. (AMGN)	Sale	08/29/2022	\$1,001 - \$15,000
320	JD.com, Inc. (JD)	Sale	08/30/2022	\$1,001 - \$15,000
321	PagSeguro Digital Ltd. (PAGS)	Purchase	08/30/2022	\$1,001 - \$15,000
322	JD.com, Inc. (JD)	Purchase	08/30/2022	\$1,001 - \$15,000
323	PagSeguro Digital Ltd. (PAGS)	Sale	08/30/2022	\$1,001 - \$15,000
324	IHS Holding Limited (IHS)	Purchase	09/02/2022	\$50,001 - \$100,000
325	Pfizer Inc. (PFE)	Purchase	09/02/2022	\$1,001 - \$15,000
326	JD.com, Inc. (JD)	Sale	09/02/2022	\$15,001 - \$50,000
327	PagSeguro Digital Ltd.	Purchase	09/02/2022	\$15,001 - \$50,000
328	IHS Holding Limited (IHS)	Purchase	09/02/2022	\$15,001 - \$50,000
329	JD.com, Inc. (JD)	Purchase	09/02/2022	\$1,001 - \$15,000
330	Pfizer Inc. (PFE)	Sale	09/02/2022	\$1,001 - \$15,000
331	PagSeguro Digital Ltd. (PAGS)	Sale	09/02/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
332	JD.com, Inc. (JD)	Purchase	09/02/2022	\$15,001 - \$50,000
333	IHS Holding Limited (IHS)	Purchase	09/02/2022	\$15,001 - \$50,000
334	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/09/2022	\$15,001 - \$50,000
335	Alphabet, Inc. (GOOG)	Purchase	09/12/2022	\$1,001 - \$15,000
336	Alphabet, Inc. (GOOG)	Sale	09/12/2022	\$15,001 - \$50,000
337	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/12/2022	\$50,001 - \$100,000
338	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/12/2022	\$15,001 - \$50,000
339	Alphabet, Inc. (GOOG)	Sale	09/12/2022	\$50,001 - \$100,000
340	Alphabet, Inc. (GOOG)	Sale	09/13/2022	\$250,001 - \$500,000
341	Standard Chartered Bank ADS (SCBFY)	Sale	09/13/2022	\$1,001 - \$15,000
342	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/16/2022	\$15,001 - \$50,000
343	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/16/2022	\$1,001 - \$15,000
344	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/22/2022	\$1,001 - \$15,000
345	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/22/2022	\$15,001 - \$50,000
346	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/22/2022	\$1,001 - \$15,000
347	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/23/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
348	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/28/2022	\$15,001 - \$50,000
349	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/29/2022	\$15,001 - \$50,000
350	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/30/2022	\$15,001 - \$50,000
351	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/30/2022	\$1,001 - \$15,000
352	Dow, Inc. (DOW)	Sale	10/03/2022	\$1,001 - \$15,000
353	Dow, Inc. (DOW)	Sale	10/03/2022	\$1,001 - \$15,000
354	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/03/2022	\$1,001 - \$15,000
355	Broadcom, Inc. (AVGO)	Purchase	10/03/2022	\$15,001 - \$50,000
356	DuPont de Nemours, Inc. (DD)	Sale	10/03/2022	\$1,001 - \$15,000
357	DuPont de Nemours, Inc. (DD)	Sale	10/03/2022	\$1,001 - \$15,000
358	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/03/2022	\$1,001 - \$15,000
359	The Chemours Co. (CC)	Sale	10/03/2022	\$1,001 - \$15,000
360	Conagra Brands, Inc. (CAG)	Sale	10/03/2022	\$15,001 - \$50,000
361	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/04/2022	\$15,001 - \$50,000
362	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/04/2022	\$15,001 - \$50,000
363	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/04/2022	\$15,001 - \$50,000
364	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/04/2022	\$15,001 - \$50,000
365	Lamb Weston Holdings, Inc. (LW)	Sale	10/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
366	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/04/2022	\$15,001 - \$50,000	
367	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/04/2022	\$1,001 - \$15,000	
368	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/04/2022	\$15,001 - \$50,000	
369	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/05/2022	\$15,001 - \$50,000	
370	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/06/2022	\$15,001 - \$50,000	
371	Broadcom, Inc. (AVGO)	Sale	10/07/2022	\$1,001 - \$15,000	
372	IHS Holding Limited Ordinary Shares (IHS)	Purchase	10/07/2022	\$15,001 - \$50,000	
373	Amgen Inc. (AMGN)	Sale	10/07/2022	\$15,001 - \$50,000	
374	IHS Holding (IHS)	Purchase	10/10/2022	\$15,001 - \$50,000	
375	Amgen Inc. (AMGN)	Sale	10/10/2022	\$15,001 - \$50,000	
376	JD.com, Inc. ADS (JD)	Purchase	10/10/2022	\$1,001 - \$15,000	
377	IHS Holding (IHS)	Purchase	10/11/2022	\$1,001 - \$15,000	
378	IHS Holding (IHS)	Purchase	10/17/2022	\$50,001 - \$100,000	
379	JD,com, Inc. (JD)	Purchase	10/17/2022	\$1,001 - \$15,000	
380	IHS Holding (IHS)	Purchase	10/17/2022	\$1,001 - \$15,000	
381	IHS Holding (IHS)	Purchase	10/21/2022	\$1,001 - \$15,000	
382	Oracle Corp. (ORCL)	See Endnote	Purchase	10/25/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
383	Magnite, Inc. (MGNI)	Sale	10/31/2022	\$50,001 - \$100,000
384	Broadcom, Inc. (AVGO)	Sale	10/31/2022	\$1,001 - \$15,000
385	Magnite, Inc. (MGNI)	Sale	10/31/2022	\$50,001 - \$100,000
386	Amgen Inc. (AMGN)	Sale	10/31/2022	\$50,001 - \$100,000
387	Pubmatic, Inc. (PUBM)	Purchase	10/31/2022	\$15,001 - \$50,000
388	Magnite, Inc. (MGNI)	Sale	10/31/2022	\$15,001 - \$50,000
389	PayPal Holdings, Inc. (PYPL)	Purchase	11/04/2022	\$1,001 - \$15,000
390	Global Payments, Inc. (GPN)	Purchase	11/04/2022	\$15,001 - \$50,000
391	Inhibrx, Inc. (INBX)	Purchase	11/08/2022	\$50,001 - \$100,000
392	Inhibrx, Inc. (INBX)	Purchase	11/08/2022	\$50,001 - \$100,000
393	Inhibrx, Inc. (INBX)	Purchase	11/08/2022	\$50,001 - \$100,000
394	Inhibrx, Inc. (INBX)	Purchase	11/10/2022	\$50,001 - \$100,000
395	Inhibrx, Inc. (INBX)	Purchase	11/15/2022	\$15,001 - \$50,000
396	Inhibrx, Inc. (INBX)	Purchase	11/15/2022	\$15,001 - \$50,000
397	Inhibrx, Inc. (INBX)	Purchase	11/17/2022	\$1,001 - \$15,000
398	Pageseguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	11/17/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
399	Inhibrx, Inc. (INBX)	Purchase	11/17/2022	\$15,001 - \$50,000
400	Pagseguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	11/17/2022	\$1,001 - \$15,000
401	Inhibrx, Inc. (INBX)	Purchase	11/17/2022	\$15,001 - \$50,000
402	Inhibrx, Inc. (INBX)	Purchase	11/17/2022	\$15,001 - \$50,000
403	Inhibrx, Inc. (INBX)	Purchase	11/17/2022	\$15,001 - \$50,000
404	JD.com (JD)	Purchase	11/22/2022	\$15,001 - \$50,000
405	Standard Chartered Bank ADS (SCBFY)	Purchase	11/22/2022	\$15,001 - \$50,000
406	Pfizer Inc. (PFE)	Purchase	11/22/2022	\$1,001 - \$15,000
407	Inhibrx, Inc. (INBX)	Purchase	11/22/2022	\$1,001 - \$15,000
408	Inhibrx, Inc. (INBX)	Purchase	11/22/2022	\$15,001 - \$50,000
409	JD.com (JD)	Sale	11/22/2022	\$15,001 - \$50,000
410	Standard Chartered Bank ADS (SCBFY)	Sale	11/22/2022	\$15,001 - \$50,000
411	Pfizer Inc. (PFE)	Sale	11/22/2022	\$1,001 - \$15,000
412	Pagseguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	11/23/2022	\$1,001 - \$15,000
413	Pagseguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	11/25/2022	\$1,001 - \$15,000
414	Pagseguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	11/25/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
415	Inhibrx, Inc. (INBX)	Purchase	12/06/2022	\$15,001 - \$50,000
416	Microsoft Corp. (MSFT)	Purchase	12/08/2022	\$1,001 - \$15,000
417	Pubmatic, Inc. (PUBM)	Purchase	12/13/2022	\$1,001 - \$15,000
418	IHS Holding, Ltd. (IHS)	Purchase	12/13/2022	\$15,001 - \$50,000
419	CVS Health Corp. (CVS)	Sale	12/13/2022	\$50,001 - \$100,000
420	Teleflex, Inc. (TFX)	Sale	12/19/2022	\$1,001 - \$15,000
421	Teleflex, Inc. (TFX)	Sale	12/21/2022	\$1,001 - \$15,000
422	ConocoPhillips (COP)	Sale	12/30/2022	\$1,001 - \$15,000
423	Inhibrx, Inc. (INBX)	Purchase	12/30/2022	\$15,001 - \$50,000
424	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	06/23/2022	\$15,001 - \$50,000
425	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote Purchase	12/30/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	PNC Bank	Mortgage on Personal Residence	\$100,001 - \$250,000	2013	2.75%	15 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	11	LLC is owned by filer, spouse, and trust for dependent child.
6.	14	Filer holds a 10% interest in joint venture.
6.	70	The sole asset in this trust is a 3/4 interest in 2814 Pleasant Valley Properties, LLC. This LLC and its holdings are reported in Part 6, Line 11.
7.	1	Automatically reinvested dividends
7.	2	Automatically reinvested dividends
7.	89	Automatically reinvested dividends
7.	90	Automatically reinvested dividends
7.	91	Automatically reinvested dividends
7.	92	Automatically reinvested dividends
7.	93	Automatically reinvested dividends
7.	94	Automatically reinvested dividends
7.	99	Automatically reinvested dividends
7.	101	Asset 17.3. Sold to pay tuition for dependent child.
7.	102	Asset 17.2 Sold to pay tuition for dependent child.
7.	103	Asset 17.4 Sold to pay tuition for dependent child.
7.	113	Automatic reinvestment of dividend

PART	#	ENDNOTE
7.	126	Automatically reinvested dividends
7.	140	Automatically reinvested dividends
7.	212	Automatically reinvested dividends
7.	382	This purchase came from automatic reinvestment of dividends of ORCL stock.
7.	425	Annual contribution to IRA

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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