

## 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: 2024

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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 05/13/2024 by Petsonk, Carol in Integrity.gov]

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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 06/12/2024 by Kaleta, Judith in Integrity.gov]

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Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/12/2024 by Carlson, Terence W in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/02/2024 by Granahan, Megan in Integrity.gov]

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Data Revised 06/04/2024

## 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 #2	Altoona, Pennsylvania	Trust	Co-Trustee	12/1996	Present
3	Family Trust #3	Altoona, Pennsylvania	Trust	Co-Trustee	6/2011	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	\$250,001 - \$500,000		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			
3.1	cash (U.S. Bank)	N/A	None (or less than \$1,001)		None (or less than \$201)
4	IRA#4	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
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	\$1,000,001 - \$5,000,000		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	\$100,001 - \$250,000		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.	\$850
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		None (or less than \$201)
6.3	Putnam Master Intermediate Income Trust (PIM)	Yes	\$1,001 - \$15,000		None (or less than \$201)

### 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	ASML Holding N.V. New York Registry Shares (ASML)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
1.2	JD.com Inc. American Depository Shares (JD)	N/A	\$15,001 - \$50,000	None (or less than \$201)	
1.3	IHS Holding Limited Ordinary Shares (IHS)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
1.4	Inhibrx Inc. Common Stock (INBX)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
1.5	Sea Limited American Depository Shares each representing one Class A Ordinary Share (SE)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
1.6	Viridian Therapeutics Inc. Common Stock (VRDN)	N/A	\$50,001 - \$100,000	None (or less than \$201)	
2	Spouse IRA #2	No			
2.1	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Yes	\$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	ASML Holding N.V. New York Registry Shares (ASML)	N/A	\$250,001 - \$500,000	None (or less than \$201)	
3.4	Altimmune Inc. (ALT)	N/A	\$1,001 - \$15,000	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 Depository Shares (JD)	N/A	\$15,001 - \$50,000	None (or less than \$201)	
3.7	Inhibrx Inc. (INBX)	N/A	\$50,001 - \$100,000	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	AstraZeneca PLC American Depository Shares (AZN)	N/A	\$1,001 - \$15,000	None (or less than \$201)	
3.10	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	N/A	\$50,001 - \$100,000	None (or less than \$201)	
4	Spouse IRA #4	No		Cash distributions.	\$38,537
4.1	AstraZeneca PLC American Depository Shares (AZN)	N/A	\$15,001 - \$50,000	None (or less than \$201)	
4.2	Fidelity Software and IT Services Portfolio (FSCSX)	Yes	\$50,001 - \$100,000	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	\$100,001 - \$250,000		None (or less than \$201)
4.5	JD.com Inc. American Depository Shares (JD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.6	Inhibrx Inc. (INBX)	N/A	\$250,001 - \$500,000		None (or less than \$201)
4.7	First Solar, Inc. (FSLR)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.8	IHS Holding Limited Ordinary Shares (IHS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.9	Sea Limited American Depository Shares each representing one Class A Ordinary Share (SE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank #2 (cash) (credit union account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Office Depot, Inc. (ODP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3	Janus Henderson Overseas Fund Class D Shares (JNOSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4	Brokerage Account #1	No			
4.1	Inhibrx (INBX)	N/A	Over \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	HDFC Bank (HDB)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
4.3	JD.com (JD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.4	Bristol-Myers Squibb (BMY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.5	Ericsson (ERIC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.6	Amgen Inc. (AMGN)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$201 - \$1,000
4.7	Charter Communications, Inc. (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.8	Cigna Corp. (CI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.9	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.10	ConocoPhillips (COP)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
4.11	Donnelley Financial Solutions, Inc. (DFIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.12	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.13	The Home Depot, Inc. (HD)	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$5,001 - \$15,000
4.14	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$5,001 - \$15,000
4.15	IDACORP, Inc. (IDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.16	Intel Corp. (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.17	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.18	Kadant, Inc. (KAI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.19	IHS Holding Limited Ordinary Shares (IHS)	N/A	\$250,001 - \$500,000		None (or less than \$201)
4.20	International Paper Co. (IP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.21	Microsoft Corp. (MSFT)	N/A	Over \$1,000,000	Dividends	\$5,001 - \$15,000
4.22	Nutrien (NTR)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.23	Oracle Corp. (ORCL)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$50,001 - \$100,000
4.24	Fidelity National Information Services, Inc. (FIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.25	Pagseguro Digital LTD (PAGS)	N/A	\$250,001 - \$500,000		None (or less than \$201)
4.26	Koninklijke Philips NV (PHG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.27	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.28	Phillips 66 (PSX)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
4.29	Stone Co. LTD CL A (STNE)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4.30	Thermo Fisher Scientific, Inc. (TMO)	N/A	Over \$1,000,000	Dividends	\$2,501 - \$5,000
4.31	TRI Pointe Homes, Inc. (TPH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.32	Marriott Vacations Worldwide Corp. (VAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.33	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.34	US brokerage (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.35	Pubmatic, Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.36	Merck & Co., Inc. (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.37	Organon & Co. (OGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.38	Global Payments, Inc. (GPN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.39	American International Group, Inc. (AIG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.40	Baker Hughes Co (BKR)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
4.41	Berkshire Hathaway Inc. (BRKB)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.42	Chevron Corp. (CVX)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
4.43	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.44	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.45	General Electric Co. (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.46	GSK plc American Depository Shares (Each representing two Ordinary Shares) (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.47	Haleon plc American Depository Shares (Each representing two Ordinary Shares) (HLN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.48	Hewlett-Packard Enterprise Co. (HPE)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
4.49	Howmet Aerospace Inc. Common Stock (HWM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.50	Kyndryl Holdings Inc. Common Stock (KD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.51	Lamb Weston Holdings, Inc. (LW)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
4.52	Pitney Bowes, Inc. (PBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.53	Schlumberger NV (SLB)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
4.54	Sony Group Corporation American Depository Shares (SONY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.55	SPX Corp. (SPXC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.56	Stryker Corp. (SYK)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
4.57	Takeda Pharmaceutical Company Limited American Depository Shares (each representing 1/2 of a share of Common Stock) (TAK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.58	Tennant Co. (TNC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.59	Volvo American Depository Shares (VOLVF)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.60	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.61	Yum! Brands, Inc. (YUM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
4.62	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.63	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.64	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
4.65	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
4.66	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
4.67	CVS Health Corp. (CVS)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.68	Xenon Pharmaceuticals Inc. Common Shares (XENE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.69	AstraZeneca PLC American Depository Shares (AZN)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.70	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.71	ICICI Bank Limited Common Stock (IBN)	N/A	\$500,001 - \$1,000,000	Capital Gains Dividends	\$5,001 - \$15,000
4.72	Viridian Therapeutics Inc. Common Stock (VRDN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.73	ASML Holding N.V. New York Registry Shares (ASML)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
4.74	First Solar, Inc. (FSLR)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4.75	ADMA Biologics, Inc. (ADMA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.76	Standard Chartered Bank ADR (SCBFY)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
5	Brokerage Account #2	No			
5.1	iShares MSCI Taiwan ETF (EWT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.2	Matthews Emerging Markets Small Companies Institutional Class (MISMX)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
5.3	Baozun (BZUN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Fidelity Government Money Market Fund (SPAXX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.5	ADMA Biologics, Inc. (ADMA)	N/A	\$15,001 - \$50,000	Capital Gains	\$100,001 - \$1,000,000
5.6	Ericsson American Depository Shares (ERIC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.7	Intel Corp. (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.8	IHS Holding Limited Ordinary Shares (IHS)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.9	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.10	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.11	Merck & Co., Inc. (MRK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.12	Global Payments, Inc. (GPN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.13	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.14	Viridian Therapeutics Inc. Common Stock (VRDN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.15	ASML Holding N.V. New York Registry Shares (ASML)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
5.16	First Solar, Inc. (FSLR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.17	Fidelity National Information Services, Inc. (FIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.18	Inhibrx Inc. Common Stock (INBX)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
6	Brokerage Account #3	No			
6.1	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.2	BGC Partners, Inc. (BGCP)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
6.3	ICICI Bank Stock (IBN)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
6.4	ADMA Biologics, Inc. (ADMA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.5	IHS Holding Limited Ordinary Shares (IHS)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.6	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.7	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
6.8	PubMatic Inc. Class A Common Stock (PUBM)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
6.9	Global Payments, Inc. (GPN)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
6.10	ASML Holding N.V. New York Registry Shares (ASML)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000	
6.11	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500	
6.12	U.S. Brokerage Account (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)	
6.13	Inhibrx Inc. Common Stock (INBX)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)	
7	Brokerage Account #4	No				
7.1	CUSIP 64966JH66 NEW YORK CITY GENL OBLIG SER-H	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
7.2	CUSIP 64966MGY9 NEW YORK CITY GEN OBLIG FI		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.3	CUSIP 64971Q5VI NEW YORK CITY TRANS FIN AUTH FUT	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
7.4	CUSIP 64966LKW0 NEW YORK GENL OBLIG SER I-1		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.5	CUSIP 64987BQV3 NEW YORK ST HSG FIN AGY AF		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.6	CUSIP 64987BKW7 NEW YORK ST HSG FIN AGY AFFO RE		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.7	CUSIP 64987BJW9 NEW YORK ST HSG FIN AGY REV-A		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.8	CUSIP 64988RHM7 NEW YORK ST MTG AGY FI		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.9	CUSIP 6498832H7 NEW YORK ST MTG AGY HOMEOWNER MT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.10	CUSIP 6498832C8 NEW YORK ST MTG AGY HOMEOWNER MT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.11	CUSIP 650009P64 NEW YORK ST TWY AUTH GEN REV	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.12	U.S. Brokerage Account (Cash),	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.13	New York NY City Mun Wtr Fin Auth Wtr OID 4.125% matures 6/15/2047	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
8	Brokerage Account #5	No			
8.1	Broadcom, Inc. (AVGO)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
8.2	Standard Chartered Bank (STAN.L)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.3	QUALCOMM, Inc. (QCOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.4	ADMA Biologics, Inc. (ADMA)	N/A	\$250,001 - \$500,000	Capital Gains	\$50,001 - \$100,000
8.5	Wells Fargo & Co. (WFC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.6	Xenon (XENE)	N/A	\$250,001 - \$500,000		None (or less than \$201)
8.7	Newmark Group, Inc. (NMRK)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.8	AstraZeneca (AZN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.9	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.10	HDFC Bank Limited Common Stock (HDB)	N/A	\$250,001 - \$500,000		\$2,501 - \$5,000
8.11	JD.com Inc. American Depository Shares (JD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.12	Ericsson American Depository Shares (ERIC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.13	Baozun Inc. American Depository Shares (BZUN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.14	ICICI Bank Limited Common Stock (IBN)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.15	PubMatic Inc. Class A Common Stock (PUBM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.16	Global Payments, Inc. (GPN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.17	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.18	ASML Holding N.V. New York Registry Shares (ASML)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
8.19	First Solar, Inc. (FSLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.20	Inhibrx Inc. Common Stock (INBX)	N/A	\$250,001 - \$500,000		None (or less than \$201)
9	DC College Savings Program (Spouse)	No			
9.1	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.2	Intermediate-Term Bond Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3	Principal Protected Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.4	Non-U.S. Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	N.W. Trust	No			
10.1	Vanguard STAR Fund Investor Shares (VGSTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.2	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.3	Vanguard Intermediate-Term Investment-Grade Fund Investor Shares (VFICX)	See Endnote	Yes	\$15,001 - \$50,000	\$1,001 - \$2,500
10.4	Vanguard Emerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.5	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.6	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
10.7	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.8	Vanguard Health Care Fund Investor Shares (VGHCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.9	Vanguard International Value Fund Investor Shares (VTRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.10	Vanguard Windsor II Fund Admiral Shares (VWNAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.11	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.12	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	Defective grantor trust for N.W.	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.1	78% interest in commercial property in Altoona, PA	N/A	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
11.2	M&T Bank and Remax Realty Management Account	N/A	\$50,001 - \$100,000		None (or less than \$201)
12	Brokerage Account #6	No			
12.1	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12.2	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.3	Vanguard PRIMECAP Fund Investor Shares (VPMCX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.4	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
13	Brokerage Account #7	No			
13.1	GeorgePutnam Balanced Fund Class A Shares (PGEOX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.2	Nuveen Intermediate Duration Municipal Bond Fund Class I Shares (NUVBX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
13.3	Putnam Strategic Intermediate Municipal Fund (PPNAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.4	Allspring Omega Growth Fund (EKOAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.5	M&T Bank Corp. (MTB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.6	W.P. Carey, Inc. (WPC)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
13.7	Net Lease Office Properties (NLOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Brokerage Account #8	No			
14.1	Tri-Continental Corporation (TY)	N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
15	10% interest in JALC-DD Joint Venture	No			
15.1	Commercial property, Wye Switches, PA	N/A	\$15,001 - \$50,000	Rent or Royalties	\$5,001 - \$15,000
16	22% share of 2814 Pleasant Valley Properties, LLC	No			
16.1	U.S. Bank #1 (cash) (property management account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
16.2	Commercial real estate, Altoona, PA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$2,501 - \$5,000
17	NY College Savings Program	No			
17.1	Bond Market Index Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
17.2	Growth Stock Index Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
17.3	Small-Cap Index Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
17.4	Value Stock Index Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
18	DC College Savings Program	No			
18.1	U.S. Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Inhibrix, Inc. (INBX)	Purchase	01/06/2023	\$15,001 - \$50,000
2	Lamb Weston Holdings, Inc. (LW)	Sale	01/06/2023	\$1,001 - \$15,000
3	Inhibrix, Inc. (INBX)	Purchase	01/06/2023	\$15,001 - \$50,000
4	Pfizer Inc. (PFE)	Purchase	01/11/2023	\$15,001 - \$50,000
5	Pfizer Inc. (PFE)	Purchase	01/11/2023	\$15,001 - \$50,000
6	Inhibrix, Inc. (INBX)	Purchase	01/11/2023	\$15,001 - \$50,000
7	Pfizer Inc. (PFE)	Sale	01/11/2023	\$15,001 - \$50,000
8	Standard Chartered Bank ADS (SCBFY)	Sale	01/12/2023	\$15,001 - \$50,000
9	Oracle Corp. (ORCL)	Sale	01/19/2023	\$15,001 - \$50,000
10	Oracle Corp. (ORCL)	Sale	01/26/2023	\$15,001 - \$50,000
11	ICICI Bank ADS (IBN)	Purchase	01/27/2023	\$15,001 - \$50,000
12	Oracle Corp. (ORCL)	Sale	01/27/2023	\$50,001 - \$100,000
13	ICICI Bank ADS (IBN)	Purchase	01/27/2023	\$15,001 - \$50,000
14	Oracle Corp. (ORCL)	Sale	01/27/2023	\$15,001 - \$50,000
15	ICICI Bank ADS (IBN)	Sale	01/27/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	Oracle Corp. (ORCL)	Sale	01/27/2023	\$15,001 - \$50,000
17	ICICI Bank ADS (IBN)	Purchase	01/27/2023	\$15,001 - \$50,000
18	Oracle Corp. (ORCL)	Sale	01/27/2023	\$15,001 - \$50,000
19	ICICI Bank ADS (IBN)	Purchase	01/27/2023	\$15,001 - \$50,000
20	Oracle Corp. (ORCL)	Sale	01/27/2023	\$15,001 - \$50,000
21	ICICI Bank ADS (IBN)	Purchase	01/27/2023	\$15,001 - \$50,000
22	Oracle Corp. (ORCL)	Sale	02/01/2023	\$15,001 - \$50,000
23	Oracle Corp. (ORCL)	Sale	02/01/2023	\$15,001 - \$50,000
24	ICICI Bank ADS (IBN)	Purchase	02/01/2023	\$15,001 - \$50,000
25	Oracle Corp. (ORCL)	Sale	02/01/2023	\$15,001 - \$50,000
26	ICICI Bank ADS (IBN)	Purchase	02/01/2023	\$15,001 - \$50,000
27	Oracle Corp. (ORCL)	Sale	02/01/2023	\$15,001 - \$50,000
28	JD.com ADS (JD)	Purchase	02/02/2023	\$15,001 - \$50,000
29	Teleflex, Inc. (TFX)	Sale	02/02/2023	\$1,001 - \$15,000
30	Oracle Corp. (ORCL)	Purchase	01/24/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	Teleflex, Inc. (TFX)	Sale	02/13/2023	\$15,001 - \$50,000
32	JD.com Inc. American Depository Shares (JD)	Purchase	02/13/2023	\$15,001 - \$50,000
33	Teleflex, Inc. (TFX)	Sale	02/16/2023	\$1,001 - \$15,000
34	JD.com Inc. American Depository Shares (JD)	Purchase	02/16/2023	\$1,001 - \$15,000
35	Teleflex, Inc. (TFX)	Sale	02/17/2023	\$1,001 - \$15,000
36	JD.com Inc. American Depository Shares (JD)	Purchase	02/17/2023	\$1,001 - \$15,000
37	Teleflex, Inc. (TFX)	Sale	03/03/2023	\$15,001 - \$50,000
38	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	03/03/2023	\$15,001 - \$50,000
39	JD.com Inc. American Depository Shares (JD)	Purchase	03/08/2023	\$1,001 - \$15,000
40	Teleflex, Inc. (TFX)	Sale	03/08/2023	\$15,001 - \$50,000
41	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	03/10/2023	\$1,001 - \$15,000
42	Yum! Brands, Inc. (YUM)	Sale	03/10/2023	\$1,001 - \$15,000
43	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	03/10/2023	\$1,001 - \$15,000
44	Yum! Brands, Inc. (YUM)	Sale	03/13/2023	\$1,001 - \$15,000
45	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	03/13/2023	\$1,001 - \$15,000
46	Yum! Brands, Inc. (YUM)	Sale	03/13/2023	\$1,001 - \$15,000
47	Wells Fargo & Co. (WFC)	Purchase	03/13/2023	\$1,001 - \$15,000
48	Stryker Corp. (SYK)	Sale	03/13/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
49	Fidelity National Information Services, Inc. (FIS)	Purchase	03/13/2023	\$1,001 - \$15,000	
50	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	03/13/2023	\$1,001 - \$15,000	
51	Yum! Brands, Inc. (YUM)	Sale	03/14/2023	\$1,001 - \$15,000	
52	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	03/15/2023	\$1,001 - \$15,000	
53	Yum! Brands, Inc. (YUM)	Sale	03/16/2023	\$1,001 - \$15,000	
54	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	03/16/2023	\$1,001 - \$15,000	
55	Yum! Brands, Inc. (YUM)	Sale	03/16/2023	\$1,001 - \$15,000	
56	Inhibrx Inc. Common Stock (INBX)	Purchase	03/17/2023	\$1,001 - \$15,000	
57	Oracle Corp. (ORCL)	Sale	03/17/2023	\$1,001 - \$15,000	
58	Oracle Corp. (ORCL)	Sale	03/22/2023	\$1,001 - \$15,000	
59	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	03/22/2023	\$1,001 - \$15,000	
60	Oracle Corp. (ORCL)	Sale	03/24/2023	\$1,001 - \$15,000	
61	Inhibrx Inc. Common Stock (INBX)	Purchase	03/24/2023	\$1,001 - \$15,000	
62	Oracle Corp. (ORCL)	Sale	03/24/2023	\$1,001 - \$15,000	
63	Inhibrx Inc. Common Stock (INBX)	Purchase	03/24/2023	\$1,001 - \$15,000	
64	AstraZeneca PLC American Depository Shares (AZN)	See Endnote	Purchase	03/27/2023	\$1,001 - \$15,000
65	Oracle Corp. (ORCL)	Sale	03/28/2023	\$1,001 - \$15,000	
66	Inhibrx Inc. Common Stock (INBX)	Purchase	03/28/2023	\$1,001 - \$15,000	
67	Inhibrx Inc. Common Stock (INBX)	Purchase	03/28/2023	\$1,001 - \$15,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	Oracle Corp. (ORCL)	Sale	03/28/2023	\$1,001 - \$15,000
69	Oracle Corp. (ORCL)	Sale	03/29/2023	\$1,001 - \$15,000
70	Oracle Corp. (ORCL)	Sale	03/29/2023	\$1,001 - \$15,000
71	Oracle Corp. (ORCL)	Sale	03/30/2023	\$1,001 - \$15,000
72	Inhibrx Inc. Common Stock (INBX)	Purchase	03/31/2023	\$1,001 - \$15,000
73	Inhibrx Inc. Common Stock (INBX)	Purchase	04/04/2023	\$1,001 - \$15,000
74	Stryker Corp. (SYK)	Sale	04/04/2023	\$1,001 - \$15,000
75	Inhibrx Inc. Common Stock (INBX)	Purchase	04/05/2023	\$1,001 - \$15,000
76	HP, Inc. (HPQ)	Sale	04/10/2023	\$1,001 - \$15,000
77	Inhibrx Inc. Common Stock (INBX)	Purchase	04/10/2023	\$1,001 - \$15,000
78	HP, Inc. (HPQ)	Sale	04/10/2023	\$1,001 - \$15,000
79	Inhibrx Inc. Common Stock (INBX)	Purchase	04/10/2023	\$1,001 - \$15,000
80	HP, Inc. (HPQ)	Sale	04/10/2023	\$1,001 - \$15,000
81	Inhibrx Inc. Common Stock (INBX)	Purchase	04/10/2023	\$1,001 - \$15,000
82	Stryker Corp. (SYK)	Sale	04/11/2023	\$1,001 - \$15,000
83	Yum! Brands, Inc. (YUM)	Sale	04/11/2023	\$1,001 - \$15,000
84	Inhibrx Inc. Common Stock (INBX)	Purchase	04/11/2023	\$1,001 - \$15,000
85	AT&T, Inc. (T)	Sale	04/11/2023	\$1,001 - \$15,000
86	Inhibrx Inc. Common Stock (INBX)	Purchase	04/11/2023	\$15,001 - \$50,000
87	Stryker Corp. (SYK)	Sale	04/11/2023	\$1,001 - \$15,000
88	HP, Inc. (HPQ)	Sale	04/11/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
89	Hewlett-Packard Enterprise Co. (HPE)	Sale	04/12/2023	\$15,001 - \$50,000	
90	Inhibrx Inc. Common Stock (INBX)	Purchase	04/12/2023	\$15,001 - \$50,000	
91	Chevron Corp. (CVX)	Sale	04/12/2023	\$1,001 - \$15,000	
92	Stryker Corp. (SYK)	Sale	04/12/2023	\$1,001 - \$15,000	
93	JD.com Inc. American Depository Shares (JD)	Purchase	04/17/2023	\$1,001 - \$15,000	
94	ConocoPhillips (COP)	Sale	04/26/2023	\$1,001 - \$15,000	
95	ConocoPhillips (COP)	Sale	04/26/2023	\$1,001 - \$15,000	
96	ConocoPhillips (COP)	Sale	04/26/2023	\$1,001 - \$15,000	
97	ConocoPhillips (COP)	Sale	04/26/2023	\$1,001 - \$15,000	
98	ConocoPhillips (COP)	Sale	04/26/2023	\$1,001 - \$15,000	
99	Inhibrx Inc. Common Stock (INBX)	Purchase	04/27/2023	\$15,001 - \$50,000	
100	Global Payments, Inc. (GPN)	Purchase	05/01/2023	\$1,001 - \$15,000	
101	Inhibrx Inc. Common Stock (INBX)	Purchase	05/01/2023	\$1,001 - \$15,000	
102	Chevron Corp. (CVX)	Sale	05/02/2023	\$1,001 - \$15,000	
103	JD.com Inc. American Depository Shares (JD)	See Endnote	Purchase	05/04/2023	\$1,001 - \$15,000
104	CUSIP 64972GE59 NEW YORK NY CITY MUN WTR FIN AUTH WTR OID MATURITY 6/15/2047 4.125%	Purchase	05/08/2023	\$50,001 - \$100,000	
105	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/08/2023	\$1,001 - \$15,000	
106	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/10/2023	\$1,001 - \$15,000	
107	DXC Technology Company (DXC)	Sale	05/16/2023	\$1,001 - \$15,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
108	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/16/2023	\$1,001 - \$15,000
109	Varex Imaging Corp. (VREX)	Sale	05/18/2023	\$1,001 - \$15,000
110	Inhibrx Inc. Common Stock (INBX)	Purchase	05/25/2023	\$15,001 - \$50,000
111	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/18/2023	\$1,001 - \$15,000
112	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/25/2023	\$1,001 - \$15,000
113	Inhibrx Inc. Common Stock (INBX)	Purchase	05/26/2023	\$15,001 - \$50,000
114	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/26/2023	\$1,001 - \$15,000
115	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/26/2023	\$1,001 - \$15,000
116	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/26/2023	\$1,001 - \$15,000
117	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/25/2023	\$1,001 - \$15,000
118	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/30/2023	\$15,001 - \$50,000
119	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	05/31/2023	\$15,001 - \$50,000
120	Global Payments, Inc. (GPN)	Purchase	05/31/2023	\$15,001 - \$50,000
121	Intel Corp. (INTC)	Purchase	05/31/2023	\$15,001 - \$50,000
122	Intel Corp. (INTC)	Purchase	05/31/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
123	Intel Corp. (INTC)	Purchase	05/31/2023	\$15,001 - \$50,000	
124	Intel Corp. (INTC)	Purchase	05/31/2023	\$1,001 - \$15,000	
125	Inhibrx Inc. Common Stock (INBX)	Purchase	06/02/2023	\$1,001 - \$15,000	
126	Microsoft Corp. (MSFT)	See Endnote	Purchase	06/08/2023	\$1,001 - \$15,000
127	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$1,001 - \$15,000	
128	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$15,001 - \$50,000	
129	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$15,001 - \$50,000	
130	CVS Health Corp. (CVS)	Purchase	06/20/2023	\$15,001 - \$50,000	
131	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$15,001 - \$50,000	
132	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$15,001 - \$50,000	
133	CVS Health Corp. (CVS)	Purchase	06/20/2023	\$50,001 - \$100,000	
134	CVS Health Corp. (CVS)	Purchase	06/20/2023	\$15,001 - \$50,000	
135	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$15,001 - \$50,000	
136	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$15,001 - \$50,000	
137	ADMA Biologics, Inc. (ADMA)	Sale	06/20/2023	\$15,001 - \$50,000	
138	CVS Health Corp. (CVS)	Purchase	06/20/2023	\$15,001 - \$50,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
139	ADMA Biologics, Inc. (ADMA)	Sale	06/21/2023	\$15,001 - \$50,000
140	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/21/2023	\$15,001 - \$50,000
141	ADMA Biologics, Inc. (ADMA)	Sale	06/21/2023	\$15,001 - \$50,000
142	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/21/2023	\$15,001 - \$50,000
143	ADMA Biologics, Inc. (ADMA)	Sale	06/22/2023	\$15,001 - \$50,000
144	JD.com Inc. American Depository Shares (JD)	Purchase	06/22/2023	\$15,001 - \$50,000
145	ADMA Biologics, Inc. (ADMA)	Sale	06/22/2023	\$15,001 - \$50,000
146	ADMA Biologics, Inc. (ADMA)	Sale	06/22/2023	\$15,001 - \$50,000
147	ADMA Biologics, Inc. (ADMA)	Sale	06/22/2023	\$15,001 - \$50,000
148	ADMA Biologics, Inc. (ADMA)	Sale	06/23/2023	\$15,001 - \$50,000
149	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/23/2023	\$15,001 - \$50,000
150	ADMA Biologics, Inc. (ADMA)	Sale	06/23/2023	\$15,001 - \$50,000
151	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/23/2023	\$15,001 - \$50,000
152	ADMA Biologics, Inc. (ADMA)	Sale	06/27/2023	\$15,001 - \$50,000
153	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	06/27/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
154	ADMA Biologics, Inc. (ADMA)	Sale	06/27/2023	\$15,001 - \$50,000
155	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	06/27/2023	\$15,001 - \$50,000
156	ADMA Biologics, Inc. (ADMA)	Sale	06/27/2023	\$15,001 - \$50,000
157	Viridian Therapeutics Inc. Common Stock (VRDN)	Purchase	06/27/2023	\$15,001 - \$50,000
158	ADMA Biologics, Inc. (ADMA)	Sale	06/27/2023	\$15,001 - \$50,000
159	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/27/2023	\$15,001 - \$50,000
160	ADMA Biologics, Inc. (ADMA)	Sale	06/27/2023	\$15,001 - \$50,000
161	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/27/2023	\$15,001 - \$50,000
162	ADMA Biologics, Inc. (ADMA)	Sale	06/27/2023	\$1,001 - \$15,000
163	ADMA Biologics, Inc. (ADMA)	Sale	06/28/2023	\$15,001 - \$50,000
164	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	06/28/2023	\$15,001 - \$50,000
165	Global Payments, Inc. (GPN)	Purchase	06/28/2023	\$15,001 - \$50,000
166	Medtronic Plc (MDT)	Sale	06/28/2023	\$15,001 - \$50,000
167	Global Payments, Inc. (GPN)	Purchase	06/28/2023	\$1,001 - \$15,000
168	ADMA Biologics, Inc. (ADMA)	Sale	06/30/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
169	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/30/2023	\$15,001 - \$50,000
170	ADMA Biologics, Inc. (ADMA)	Sale	06/30/2023	\$15,001 - \$50,000
171	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	06/30/2023	\$15,001 - \$50,000
172	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/03/2023	\$50,001 - \$100,000
173	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/03/2023	\$50,001 - \$100,000
174	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/03/2023	\$50,001 - \$100,000
175	Medtronic Plc (MDT)	Sale	07/06/2023	\$1,001 - \$15,000
176	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/06/2023	\$1,001 - \$15,000
177	Medtronic Plc (MDT)	Sale	07/11/2023	\$15,001 - \$50,000
178	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/11/2023	\$15,001 - \$50,000
179	Medtronic Plc (MDT)	Sale	07/11/2023	\$1,001 - \$15,000
180	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/11/2023	\$1,001 - \$15,000
181	Amgen Inc. (AMGN)	Sale	07/12/2023	\$15,001 - \$50,000
182	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/12/2023	\$15,001 - \$50,000
183	Amgen Inc. (AMGN)	Sale	07/12/2023	\$1,001 - \$15,000
184	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/12/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
185	Inhibrx Inc. Common Stock (INBX)	Purchase	07/17/2023	\$1,001 - \$15,000
186	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
187	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
188	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
189	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
190	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
191	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
192	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
193	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
194	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
195	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
196	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
197	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
198	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
199	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
200	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
201	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
202	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
203	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$15,001 - \$50,000
204	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$1,001 - \$15,000
205	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$1,001 - \$15,000
206	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$1,001 - \$15,000
207	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$1,001 - \$15,000
208	Inhibrx Inc. Common Stock (INBX)	Purchase	07/19/2023	\$1,001 - \$15,000
209	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$1,001 - \$15,000
210	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$1,001 - \$15,000
211	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$15,001 - \$50,000
212	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$1,001 - \$15,000
213	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/19/2023	\$1,001 - \$15,000
214	ADMA Biologics, Inc. (ADMA)	Sale	07/19/2023	\$1,001 - \$15,000
215	ADMA Biologics, Inc. (ADMA)	Sale	07/20/2023	\$15,001 - \$50,000
216	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/20/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
217	ADMA Biologics, Inc. (ADMA)	Sale	07/20/2023	\$1,001 - \$15,000
218	ADMA Biologics, Inc. (ADMA)	Sale	07/21/2023	\$15,001 - \$50,000
219	Baozun Inc. American Depository Shares (BZUN)	Sale	07/24/2023	\$1,001 - \$15,000
220	JD.com Inc. American Depository Shares (JD)	Purchase	07/24/2023	\$1,001 - \$15,000
221	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/24/2023	\$15,001 - \$50,000
222	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/24/2023	\$15,001 - \$50,000
223	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	07/25/2023	\$1,001 - \$15,000
224	Inhibrx Inc. Common Stock (INBX)	Purchase	07/27/2023	\$1,001 - \$15,000
225	ADMA Biologics, Inc. (ADMA)	Sale	07/27/2023	\$1,001 - \$15,000
226	Inhibrx Inc. Common Stock (INBX)	Purchase	07/27/2023	\$1,001 - \$15,000
227	Inhibrx Inc. Common Stock (INBX)	Purchase	07/28/2023	\$15,001 - \$50,000
228	Inhibrx Inc. Common Stock (INBX)	Purchase	07/28/2023	\$1,001 - \$15,000
229	Inhibrx Inc. Common Stock (INBX)	Purchase	07/28/2023	\$1,001 - \$15,000
230	Inhibrx Inc. Common Stock (INBX)	Purchase	07/28/2023	\$1,001 - \$15,000
231	ADMA Biologics, Inc. (ADMA)	Sale	07/28/2023	\$1,001 - \$15,000
232	ADMA Biologics, Inc. (ADMA)	Sale	07/28/2023	\$1,001 - \$15,000
233	ADMA Biologics, Inc. (ADMA)	Sale	07/28/2023	\$15,001 - \$50,000
234	Inhibrx Inc. Common Stock (INBX)	Purchase	07/31/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
235	ADMA Biologics, Inc. (ADMA)	Sale	07/31/2023	\$15,001 - \$50,000	
236	Inhibrx Inc. Common Stock (INBX)	Purchase	08/04/2023	\$15,001 - \$50,000	
237	ADMA Biologics, Inc. (ADMA)	Sale	08/04/2023	\$15,001 - \$50,000	
238	Inhibrx Inc. Common Stock (INBX)	Purchase	08/07/2023	\$15,001 - \$50,000	
239	ADMA Biologics, Inc. (ADMA)	Sale	08/07/2023	\$15,001 - \$50,000	
240	Inhibrx Inc. Common Stock (INBX)	Purchase	08/07/2023	\$15,001 - \$50,000	
241	ADMA Biologics, Inc. (ADMA)	Sale	08/07/2023	\$15,001 - \$50,000	
242	ADMA Biologics, Inc. (ADMA)	Sale	08/08/2023	\$15,001 - \$50,000	
243	Inhibrx Inc. Common Stock (INBX)	Purchase	08/08/2023	\$15,001 - \$50,000	
244	Phillips 66 (PSX)	Sale	08/10/2023	\$1,001 - \$15,000	
245	PayPal Holdings, Inc. (PYPL)	Sale	08/10/2023	\$1,001 - \$15,000	
246	Inhibrx Inc. Common Stock (INBX)	Purchase	08/10/2023	\$15,001 - \$50,000	
247	HDFC Bank Limited Common Stock (HDB)	See Endnote	Purchase	08/23/2023	\$1,001 - \$15,000
248	HDFC Bank Limited Common Stock (HDB)	See Endnote	Purchase	08/24/2023	\$1,001 - \$15,000
249	PubMatic Inc. Class A Common Stock (PUBM)	Sale	08/29/2023	\$1,001 - \$15,000	
250	PubMatic Inc. Class A Common Stock (PUBM)	Sale	08/29/2023	\$1,001 - \$15,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT	
251	PubMatic Inc. Class A Common Stock (PUBM)	Sale	08/29/2023	\$1,001 - \$15,000	
252	Phillips 66 (PSX)	Sale	09/01/2023	\$15,001 - \$50,000	
253	Inhibrx Inc. Common Stock (INBX)	Purchase	09/01/2023	\$15,001 - \$50,000	
254	Varex Imaging Corp. (VREX)	Sale	09/01/2023	\$1,001 - \$15,000	
255	Amgen Inc. (AMGN)	Sale	09/01/2023	\$1,001 - \$15,000	
256	Wells Fargo & Co. (WFC)	See Endnote	Purchase	09/05/2023	\$1,001 - \$15,000
257	International Business Machines Corp. (IBM)	Sale	09/08/2023	\$15,001 - \$50,000	
258	Inhibrx Inc. Common Stock (INBX)	Purchase	09/08/2023	\$15,001 - \$50,000	
259	ICICI Bank Limited Common Stock (IBN)	See Endnote	Purchase	09/08/2023	\$1,001 - \$15,000
260	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/13/2023	\$15,001 - \$50,000	
261	International Business Machines Corp. (IBM)	Sale	09/13/2023	\$15,001 - \$50,000	
262	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/14/2023	\$1,001 - \$15,000	
263	International Business Machines Corp. (IBM)	Sale	09/14/2023	\$1,001 - \$15,000	
264	Microsoft Corp. (MSFT)	See Endnote	Purchase	09/14/2023	\$1,001 - \$15,000
265	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/15/2023	\$1,001 - \$15,000	
266	International Business Machines Corp. (IBM)	Sale	09/15/2023	\$1,001 - \$15,000	
267	ASML Holding N.V. New York Registry Shares (ASML)	Purchase	09/15/2023	\$1,001 - \$15,000	
268	Fidelity National Information Services, Inc. (FIS)	Sale	09/15/2023	\$1,001 - \$15,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
269	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/15/2023	\$1,001 - \$15,000
270	Fidelity National Information Services, Inc. (FIS)	Sale	09/15/2023	\$1,001 - \$15,000
271	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/18/2023	\$1,001 - \$15,000
272	IHS Holding Limited Ordinary Shares (IHS)	Purchase	09/18/2023	\$1,001 - \$15,000
273	Inhibrx Inc. Common Stock (INBX)	Purchase	09/21/2023	\$15,001 - \$50,000
274	Sea Limited American Depository Shares each representing one Class A Ordinary Share (SE)	Purchase	09/22/2023	\$15,001 - \$50,000
275	Sea Limited American Depository Shares each representing one Class A Ordinary Share (SE)	Purchase	09/22/2023	\$1,001 - \$15,000
276	Inhibrx Inc. Common Stock (INBX)	Purchase	09/28/2023	\$15,001 - \$50,000
277	The Home Depot, Inc. (HD)	Sale	09/28/2023	\$15,001 - \$50,000
278	Inhibikase Therapeutics Inc. Common Stock (IKT)	Purchase	09/28/2023	\$15,001 - \$50,000
279	The Home Depot, Inc. (HD)	Sale	09/28/2023	\$1,001 - \$15,000
280	Inhibrx Inc. Common Stock (INBX)	Purchase	09/28/2023	\$15,001 - \$50,000
281	The Home Depot, Inc. (HD)	Sale	09/28/2023	\$1,001 - \$15,000
282	Inhibrx Inc. Common Stock (INBX)	Purchase	10/02/2023	\$15,001 - \$50,000
283	Wells Fargo & Co. (WFC)	Sale	10/19/2023	\$15,001 - \$50,000
284	Inhibrx Inc. Common Stock (INBX)	Purchase	10/19/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
285	Wells Fargo & Co. (WFC)	Sale	10/19/2023	\$15,001 - \$50,000
286	Inhibrx Inc. Common Stock (INBX)	Purchase	10/19/2023	\$15,001 - \$50,000
287	Inhibrx Inc. Common Stock (INBX)	Purchase	10/27/2023	\$1,001 - \$15,000
288	Schlumberger NV (SLB)	Sale	10/27/2023	\$1,001 - \$15,000
289	ICICI Bank Limited Common Stock (IBN)	Sale	10/30/2023	\$50,001 - \$100,000
290	First Solar, Inc. (FSLR)	Purchase	10/30/2023	\$100,001 - \$250,000
291	ICICI Bank Limited Common Stock (IBN)	Sale	10/30/2023	\$15,001 - \$50,000
292	CVS Health Corp. (CVS)	Sale	10/30/2023	\$50,001 - \$100,000
293	ICICI Bank Limited Common Stock (IBN)	Sale	10/30/2023	\$1,001 - \$15,000
294	First Solar, Inc. (FSLR)	Purchase	10/31/2023	\$15,001 - \$50,000
295	Volvo ADR (VOLVF)	Sale	10/31/2023	\$15,001 - \$50,000
296	First Solar, Inc. (FSLR)	Purchase	11/01/2023	\$1,001 - \$15,000
297	First Solar, Inc. (FSLR)	Purchase	11/01/2023	\$15,001 - \$50,000
298	Wells Fargo & Co. (WFC)	Sale	11/01/2023	\$50,001 - \$100,000
299	First Solar, Inc. (FSLR)	Purchase	11/01/2023	\$15,001 - \$50,000
300	Wells Fargo & Co. (WFC)	Sale	11/02/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
301	AstraZeneca PLC American Depository Shares (AZN)	Purchase	11/03/2023	\$1,001 - \$15,000	
302	CVS Health Corp. (CVS)	See Endnote	Purchase	11/01/2023	\$1,001 - \$15,000
303	First Solar, Inc. (FSLR)	Purchase	11/06/2023	\$15,001 - \$50,000	
304	Schlumberger NV (SLB)	Sale	11/06/2023	\$15,001 - \$50,000	
305	Wells Fargo & Co. (WFC)	Sale	11/06/2023	\$1,001 - \$15,000	
306	First Solar, Inc. (FSLR)	Purchase	11/06/2023	\$15,001 - \$50,000	
307	First Solar, Inc. (FSLR)	Purchase	11/06/2023	\$1,001 - \$15,000	
308	Wells Fargo & Co. (WFC)	Sale	11/06/2023	\$1,001 - \$15,000	
309	First Solar, Inc. (FSLR)	Purchase	11/09/2023	\$15,001 - \$50,000	
310	ICICI Bank Limited Common Stock (IBN)	Sale	11/09/2023	\$15,001 - \$50,000	
311	First Solar, Inc. (FSLR)	Purchase	11/09/2023	\$15,001 - \$50,000	
312	First Solar, Inc. (FSLR)	Purchase	11/10/2023	\$1,001 - \$15,000	
313	AstraZeneca PLC American Depository Shares (AZN)	Purchase	11/10/2023	\$15,001 - \$50,000	
314	PubMatic Inc. Class A Common Stock (PUBM)	Sale	11/10/2023	\$1,001 - \$15,000	
315	First Solar, Inc. (FSLR)	Purchase	11/10/2023	\$1,001 - \$15,000	
316	Inhibrx Inc. Common Stock (INBX)	Purchase	11/14/2023	\$1,001 - \$15,000	
317	The Home Depot, Inc. (HD)	Sale	11/15/2023	\$1,001 - \$15,000	
318	Inhibrx Inc. Common Stock (INBX)	Purchase	11/15/2023	\$1,001 - \$15,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
319	The Home Depot, Inc. (HD)	Sale	11/16/2023	\$1,001 - \$15,000
320	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Purchase	11/16/2023	\$1,001 - \$15,000
321	Baker Hughes Co (BKR)	Sale	11/16/2023	\$1,001 - \$15,000
322	First Solar, Inc. (FSLR)	Purchase	11/27/2023	\$15,001 - \$50,000
323	Standard Chartered Bank ADR (SCBFY)	Sale	11/27/2023	\$15,001 - \$50,000
324	Sea Limited American Depository Shares each representing one Class A Ordinary Share (SE)	Purchase	11/27/2023	\$1,001 - \$15,000
325	First Solar, Inc. (FSLR)	Purchase	11/27/2023	\$15,001 - \$50,000
326	GE Healthcare Technologies Inc. (GEHC)	Sale	11/27/2023	\$1,001 - \$15,000
327	IHS Holding Limited Ordinary Shares (IHS)	Purchase	12/01/2023	\$15,001 - \$50,000
328	The Home Depot, Inc. (HD)	Sale	12/01/2023	\$15,001 - \$50,000
329	The Home Depot, Inc. (HD)	Sale	12/06/2023	\$1,001 - \$15,000
330	First Solar, Inc. (FSLR)	Purchase	12/06/2023	\$1,001 - \$15,000
331	The Home Depot, Inc. (HD)	Sale	12/06/2023	\$1,001 - \$15,000
332	First Solar, Inc. (FSLR)	Purchase	12/06/2023	\$1,001 - \$15,000
333	The Home Depot, Inc. (HD)	Sale	12/07/2023	\$1,001 - \$15,000
334	First Solar, Inc. (FSLR)	Purchase	12/07/2023	\$1,001 - \$15,000
335	The Home Depot, Inc. (HD)	Sale	12/11/2023	\$1,001 - \$15,000
336	First Solar, Inc. (FSLR)	Purchase	12/11/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
337	Sea Limited American Depository Shares each representing one Class A Ordinary Share (SE)	Sale	12/12/2023	\$1,001 - \$15,000	
338	First Solar, Inc. (FSLR)	Purchase	12/12/2023	\$1,001 - \$15,000	
339	The Home Depot, Inc. (HD)	Sale	12/12/2023	\$15,001 - \$50,000	
340	First Solar, Inc. (FSLR)	Purchase	12/12/2023	\$1,001 - \$15,000	
341	Microsoft Corp. (MSFT)	See Endnote	Purchase	12/14/2023	\$1,001 - \$15,000
342	Wells Fargo & Co. (WFC)	See Endnote	Purchase	12/04/2023	\$1,001 - \$15,000
343	Sea Limited American Depository Shares each representing one Class A Ordinary Share (SE)	Sale	12/26/2023	\$1,001 - \$15,000	
344	PagSeguro Digital Ltd. Class A Common Shares (PAGS)	Sale	12/26/2023	\$1,001 - \$15,000	
345	AstraZeneca PLC American Depository Shares (AZN)	Purchase	12/29/2023	\$1,001 - \$15,000	
346	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Purchase	01/11/2023	\$1,001 - \$15,000	
347	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Purchase	01/12/2023	\$15,001 - \$50,000	
348	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)	Purchase	05/03/2023	\$100,001 - \$250,000	
349	DC 529 College Savings Program U.S. Total Stock Market Index Portfoliode	Sale	05/04/2023	\$50,001 - \$100,000	
350	DC 529 College Savings Program Intermediate-Term Bond Portfolio	Purchase	05/04/2023	\$15,001 - \$50,000	
351	DC 529 College Savings Program Non-US Total Stock Market Index Portfoliou	Purchase	05/04/2023	\$1,001 - \$15,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
352	DC 529 College Savings Program Principal Protected Portfolio	Purchase	05/04/2023	\$15,001 - \$50,000
353	NY 529 College Savings Program Growth Stock Index Portfolio	Sale	05/04/2023	\$50,001 - \$100,000
354	NY 529 College Savings Program Mid-Cap Stock Index Portfolio	Sale	05/04/2023	\$15,001 - \$50,000
355	NY 529 College Savings Program Small Cap Stock Index Portfolio	Sale	05/04/2023	\$15,001 - \$50,000
356	NY 529 College Savings Program Value Stock Index Portfolio	Purchase	05/04/2023	\$1,001 - \$15,000
357	NY 529 College Savings Program Bond Market Index Portfolio	Purchase	05/04/2023	\$100,001 - \$250,000
358	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Purchase	05/08/2023	\$15,001 - \$50,000
359	NY 529 College Savings Program Growth Stock Index Portfolioz Nsw	Purchase	05/25/2023	\$15,001 - \$50,000
360	NY 529 College Savings Program Small Cap Index Portfolio	Purchase	05/25/2023	\$50,001 - \$100,000
361	NY 529 College Savings Program Bond Market Index Portfolio	Sale	05/25/2023	\$100,001 - \$250,000
362	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/25/2023	\$50,001 - \$100,000
363	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/25/2023	\$50,001 - \$100,000
364	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/25/2023	\$50,001 - \$100,000
365	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/26/2023	\$50,001 - \$100,000
366	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/26/2023	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
367	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/26/2023	\$15,001 - \$50,000
368	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/30/2023	\$50,001 - \$100,000
369	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/31/2023	\$15,001 - \$50,000
370	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	05/31/2023	\$15,001 - \$50,000
371	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	06/01/2023	\$1,001 - \$15,000
372	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Purchase	06/22/2023	\$100,001 - \$250,000
373	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	Sale	07/03/2023	\$100,001 - \$250,000
374	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Purchase	07/19/2023	\$15,001 - \$50,000
375	Dodge & Cox International Stock Fund (DODFX)	Sale	07/20/2023	\$15,001 - \$50,000
376	Wasatch Emerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	09/15/2023	\$15,001 - \$50,000
377	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	09/18/2023	\$15,001 - \$50,000
378	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	09/21/2023	\$15,001 - \$50,000
379	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	09/22/2023	\$15,001 - \$50,000
380	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	09/26/2023	\$15,001 - \$50,000
381	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	10/02/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
382	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	10/03/2023	\$15,001 - \$50,000	
383	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	10/12/2023		
384	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	Sale	11/09/2023	\$15,001 - \$50,000	
385	Vanguard Health Care Fund Admiral Shares (VGHAX)	Sale	12/26/2023	\$1,001 - \$15,000	
386	Dodge & Cox International Stock Fund (DODFX)	Sale	12/26/2023	\$1,001 - \$15,000	
387	Fidelity Software and IT Services Portfolio (FSCSX)	Sale	12/26/2023	\$1,001 - \$15,000	
388	Vanguard Intermediate-Term Investment-Grade Fund Investor Shares (VFICX)	Sale	01/19/2023	\$1,001 - \$15,000	
389	Vanguard Intermediate-Term Investment-Grade Fund Investor Shares (VFICX)	Sale	06/29/2023	\$1,001 - \$15,000	
390	VanguardEmerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	See Endnote	Purchase	12/15/2023	\$1,001 - \$15,000
391	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
392	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
393	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
394	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
395	Vanguard Windsor II Fund Admiral Shares (VWNAX)	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
396	Vanguard Small-Cap Growth Index Fund Admiral Class Shares (VSGAX)		Purchase	12/20/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
397	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	Purchase	10/31/2023	\$1,001 - \$15,000	
398	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	Purchase	11/30/2023	\$1,001 - \$15,000	
399	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	12/18/2023	\$15,001 - \$50,000	
400	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
401	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	Purchase	12/20/2023	\$1,001 - \$15,000
402	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	12/29/2023	\$1,001 - \$15,000
403	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)		Purchase	12/28/2023	\$1,001 - \$15,000
404	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	01/31/2023	\$1,001 - \$15,000
405	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	02/28/2023	\$1,001 - \$15,000
406	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	03/31/2023	\$1,001 - \$15,000
407	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	04/28/2023	\$1,001 - \$15,000
408	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	05/31/2023	\$1,001 - \$15,000
409	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	06/30/2023	\$1,001 - \$15,000
410	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	07/31/2023	\$1,001 - \$15,000
411	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	08/31/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
412	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)	See Endnote	Purchase	09/29/2023	\$1,001 - \$15,000
413	Fidelity 500 Index Fund (FXAIX)		Sale	03/15/2023	\$50,001 - \$100,000
414	Fidelity Mid Cap Index Fund (FSMDX)		Sale	03/15/2023	\$50,001 - \$100,000
415	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)		Purchase	03/15/2023	\$100,001 - \$250,000
416	Fidelity 500 Index Fund (FXAIX)		Sale	05/04/2023	\$50,001 - \$100,000
417	Fidelity Mid Cap Index Fund (FSMDX)		Sale	05/04/2023	\$50,001 - \$100,000
418	Lord Abbett Short Duration Income Fund Class R6 Shares (LDLVX)		Purchase	05/04/2023	\$100,001 - \$250,000

## 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

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## Endnotes

PART	#	ENDNOTE
6.	7.1	Bond was redeemed in 2023
6.	7.3	Bond was redeemed in 2023
6.	10.3	Fund was converted from Admiral to Investor shares
7.	64	Automatically reinvested dividends
7.	103	Automatically reinvested dividends
7.	126	Automatically reinvested dividends
7.	247	Automatically reinvested dividends
7.	248	Automatically reinvested dividends
7.	256	Automatically reinvested dividends
7.	259	Automatically reinvested dividends
7.	264	Automatically reinvested dividends
7.	302	Automatically reinvested dividends
7.	341	Automatically reinvested dividends
7.	342	Automatically reinvested dividends
7.	390	Automatic reinvestment of dividends
7.	391	Automatic reinvestment of dividends
7.	392	Automatic reinvestment of capital gains
7.	393	Automatic reinvestment of dividends
7.	394	Automatic reinvestment of capital gains
7.	395	Automatic reinvestment of capital gains
7.	400	Automatic reinvestment of capital gains

PART	#	ENDNOTE
7.	401	Automatic reinvestment of dividends
7.	402	Automatic reinvestment of dividends
7.	404	Automatic reinvestment of dividends
7.	405	Automatic reinvestment of dividends
7.	406	Automatic reinvestment of dividends
7.	407	Automatic reinvestment of dividends
7.	408	Automatic reinvestment of dividends
7.	409	Automatic reinvestment of dividends
7.	410	Automatic reinvestment of dividends
7.	411	Automatic reinvestment of dividends
7.	412	Automatic reinvestment of dividends

## 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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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

5 U.S.C. § 13101 et seq., 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 5 U.S.C. §§ 13107 and § 13122(b)(1) 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 13989 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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