

## Executive Branch Personnel

### Public Financial Disclosure Report (OGE Form 278e)

#### Filer's Information

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Petsonk, Carol

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

Report Year: 2023

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#### Other Federal Government Positions Held During the Preceding 12 Months:

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

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

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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 08/01/2023 by Kaleta, Judith in Integrity.gov]

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Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 07/31/2023 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 09/18/2023 by Granahan, Megan in Integrity.gov]

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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 Depository 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 Depository 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 Depository 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 (VWIUX)       | 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 (VGHCX)                       | 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 (MISMX) | 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<br>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                      | \$100,001 - \$250,000      | 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<br>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 Depository Shares (Each representing two Ordinary Shares) (GSK)    | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000           |
| 88 | Haleon plc American Depository 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 Depository 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 Depository 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 Depository 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 Depository Shares (Each representing two Ordinary Shares) (GSK)    | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 125 | Haleon plc American Depository 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 Depository 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 Depository 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 Depository 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 Depository 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 (MISMX) | 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 Depository 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 | Pagseguro 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

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### 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.

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).