

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hochstein, Amos J

Senior Advisor, Department of State

Date of Appointment: 06/28/2021

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Hochstein, Amos J [electronically signed on 07/02/2021 by Hochstein, Amos J in Integrity.gov]

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/ Huitema, David, Certifying Official [electronically signed on 08/06/2021 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 08/06/2021

Data Revised 08/05/2021

Data Revised 08/04/2021

Data Revised 07/30/2021

Data Revised 07/28/2021

Data Revised 07/23/2021

Data Revised 07/21/2021

Data Revised 07/20/2021

Data Revised 07/19/2021

Data Revised 07/07/2021

Data Revised 07/02/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Tellurian Inc	Houston, Texas	Corporation	Senior & Executive VP	3/2017	9/2020
2	Naftogaz	Kiev, Ukraine, Outside U.S.	State-Owned Enterprise	Supervisory Board Member	1/2018	9/2020
3	Hochstein Enterprises, LLC	Washington, District of Columbia	Limited Liability Company	Sole Owner & Managing Member	5/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Tellurian Inc, restricted stock units	N/A	None (or less than \$1,001)		\$100,001 - \$1,000,000
2	Tellurian Inc	N/A		Salary	\$623,155
3	Tellurian Inc	N/A		Severance	\$86,230
4	Tellurian Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
5	Naftogaz	N/A		Fees for service as Supervisory Board Member	\$83,833
6	Tellurian Inc	No			
6.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	Fidelity Mid Cap Index Fund (FSMDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.3	Fidelity Emerging Markets Fund (FEMKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	Fidelity International Capital Appreciation Fund (FIVFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.5	Fidelity Mid Cap Index Fund (FSMDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.6	Frost Total Return Bond Fund Institutional Class Shares (FIJEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Hochstein Enterprises	N/A	None (or less than \$1,001)		
7.1	Merrill Lynch - 11/17/20	N/A	None (or less than \$1,001)	Honoraria	\$8,000
7.2	Bank of America - 11/19/20	N/A	None (or less than \$1,001)	Honoraria	\$10,000
7.3	Ergo - 12/05/20	N/A	None (or less than \$1,001)	Honoraria	\$6,500
7.4	Royal Bank of Canada - 03/15/21	N/A	None (or less than \$1,001)	Honoraria	\$10,000
7.5	Dorian LPG Ltd. (LPG) - 01/15/21	N/A	None (or less than \$1,001)	Honoraria	\$10,000
7.6	Dana Gas	N/A	None (or less than \$1,001)	Consulting Income	\$75,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Tellurian Inc	Houston, Texas	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	3/2017
2	Tellurian Inc	Houston, Texas	These RSUs have vested and I have divested of all shares. I no longer hold any shares of Tellurian, Inc.	3/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Tellurian Inc	Houston, Texas	Senior and Executive VP
2	Naftogaz	Kiev, Ukraine, Outside U.S.	Advisory Board
3	Bank of America	Charlotte, North Carolina	Speaking engagement
4	Merrill Lynch	New York, New York	Speaking engagement
5	Ergo	New York, New York	Speaking engagement
6	Dorian LPG	Stamford, Connecticut	Speaking engagement
7	RBC Capital Markets	Toronto, Outside U.S.	Speaking engagement
8	Dana Gas		Consulting fees

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgetown University (University)	N/A		salary	
2	The Ringel Group (Owner & Consultant)	N/A	\$250,001 - \$500,000	salary	
3	The Ringel Group SEP IRA	No			
3.1	Invesco BulletShares 2022 Corporate Bond ETF (BSCM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Invesco BulletShares 2023 Corporate Bond ETF (BSCN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Invesco BulletShares 2024 Corporate Bond ETF (BSCO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Invesco BulletShares 2025 Corporate Bond ETF (BSCP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Invesco BulletShares 2026 Corporate Bond ETF (BSCQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Invesco BulletShares 2027 Corporate Bond ETF (BSCR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	WisdomTree US SmallCap Dividend Fund (DES)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Large Cap International Portfolio Institutional Class Shares (DFALX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.9	iShares MSCI EAFE ETF (EFA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	iShares Core S&P 500 ETF (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	iShares Russell 1000 Value ETF (IWD)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	iShares Russell Mid-Cap ETF (IWR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.14	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.17	Invesco S&P 500 Top 50 ETF (XLG)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	FIDELITY GOVERNMENT MONEY MARKET	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	Fidelity Capital & Income Fund (FAGIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	Fidelity Emerging Markets Fund (FEMKX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Fidelity International Capital Appreciation Fund (FIVFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Fidelity Mid Cap Index Fund (FSMDX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Fidelity 500 Index Fund (FXAIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Invesco BulletShares 2022 Corporate Bond ETF (BSCM)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Invesco BulletShares 2023 Corporate Bond ETF (BSCN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Invesco BulletShares 2024 Corporate Bond ETF (BSCO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Invesco BulletShares 2025 Corporate Bond ETF (BSCP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Invesco BulletShares 2026 Corporate Bond ETF (BSCQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Invesco BulletShares 2027 Corporate Bond ETF (BSCR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	WisdomTree US SmallCap Dividend Fund (DES)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Large Cap International Portfolio Institutional Class Shares (DFALX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	iShares Core S&P 500 ETF (IVV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
18	iShares Russell 1000 Value ETF (IWD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	iShares Russell Mid-Cap ETF (IWR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22	Invesco S&P 500 Top 50 ETF (XLG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
23	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	Yes	None (or less than \$1,001)		None (or less than \$201)
24	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
25	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
26	Invesco BulletShares 2021 Corporate Bond ETF (BSCL)	Yes	None (or less than \$1,001)		None (or less than \$201)
27	Emerging Markets Core Equity Portfolio Institutional Class Shares (DFCEX)	Yes	None (or less than \$1,001)		None (or less than \$201)
28	Alcon AG (ALC)	N/A	None (or less than \$1,001)		None (or less than \$201)
29	AstraZeneca plc (AZNCF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	Canadian Pacific Railway Ltd (CP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	Crown Castle International Corp. (CCI)	N/A	\$50,001 - \$100,000		\$201 - \$1,000
32	Dell Technologies, Inc. (DELL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
33	Chocoladefabriken Lindt & Spruengli AG Participation (LDSVF)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
34	Nestle SA (NSRGF)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
35	Novartis AG (NVSEF)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
36	Oracle Corp. (ORCL)	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37	PepsiCo, Inc. (PEP)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
38	Roche Holding AG Genussscheine (RHHVF)	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
39	Schindler Holding AG (SHLAF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	Sika AG (SKFOF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
41	United Parcel Service, Inc. (UPS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
42	BDPS	Yes	\$100,001 - \$250,000		None (or less than \$201)
43	HKG Ltd (HKG)	N/A	None (or less than \$1,001)		\$50,001 - \$100,000
44	UBS AG DEPOSIT ACCOUNT	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
45	UBS BANK USA DEPOSIT ACCOUNT	N/A	\$100,001 - \$250,000		None (or less than \$201)
46	ARK Autonomous Technology & Robotics ETF (ARKQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
47	ARK Genomic Revolution ETF (ARKG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
48	ARK Next Generation Internet ETF (ARKW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
49	Churchill Capital Corp IV (CCIV)	N/A	\$50,001 - \$100,000		None (or less than \$201)
50	Ford Motor Co. (F)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51	Givaudan S.A. (GVDBF)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
52	Heineken N.V. (HINKF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
53	Illumina, Inc. (ILMN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
54	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
55	iShares Russell 2000 ETF (IWM)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
56	iShares Select Dividend ETF (DVY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
57	L'Oréal S.A. (LRLCF)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
58	Li Auto Inc. (LI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
59	Chocoladefabriken Lindt & Spruengli AG Participation (LDSVF)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
60	Nestle SA (NSRGF)	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
61	NIKE, Inc. (NKE)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
62	Novartis AG (NVSEF)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$50,001 - \$100,000
63	Roche Holding AG Genussscheine (RHHVF)	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
64	Sunnova Energy International Inc (NOVA)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65	Tesla, Inc. (TSLA)	N/A	\$250,001 - \$500,000		None (or less than \$201)
66	SPDR S&P Dividend ETF (SDY)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
67	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
68	Alcon AG (ALC)	N/A	None (or less than \$1,001)		None (or less than \$201)
69	American Tower Corporation (REIT) (AMT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
70	AstraZeneca plc (AZNCF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
71	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
72	Canadian Pacific Railway Ltd (CP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
73	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
74	Dell Technologies, Inc. (DELL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
75	Chocoladefabriken Lindt & Spruengli AG Participation (LDSV)F	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
76	Nestle SA (NSRGF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
77	Novartis AG (NVSEF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
78	nVent Electric Plc (NVT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
79	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
80	Pentair Plc (PNR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
81	Roche Holding AG Genussscheine (RHHVF)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
82	Schindler Holding AG Participation (SHLAF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
83	Sika AG (SKFOF)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
84	Square, Inc. (SQ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
85	iShares Core S&P 500 ETF (IVV)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
86	MORGAN STANLEY BANK N.A.	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
87	MORGAN STANLEY BANK N.A.	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
88	Alcon AG (ALC)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
89	American Tower Corporation (REIT) (AMT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
90	AstraZeneca plc (AZNCF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
91	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
92	Black Knight, Inc. (BKI)	N/A	None (or less than \$1,001)		None (or less than \$201)
93	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
94	Canadian Pacific Railway Ltd (CP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
95	Chimera Investment Corp. (CIM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
96	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
97	Dell Technologies, Inc. (DELL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
98	Discover Financial Services (DFS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
99	Fidelity National Financial, Inc. (FNF)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
100	Fidelity National Information Services, Inc. (FIS)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
101	Chocoladefabriken Lindt & Spruengli AG Participation (LDSVF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
102	Nestle SA (NSRGF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
103	Novartis AG (NVSEF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
104	nVent Electric Plc (NVT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
105	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
106	Pentair Plc (PNR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
107	Roche Holding AG Genussscheine (RHHVF)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
108	Schindler Holding AG Participation (SHLAF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
109	Sika AG (SKFOF)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
110	Square, Inc. (SQ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
111	iShares Core S&P 500 ETF (IVV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
112	Alcon AG (ALC)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
113	American Express Co. (AXP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
114	American Tower Corporation (REIT) (AMT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
115	AstraZeneca plc (AZNCF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
116	Banco Santander SA (SAN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
117	Canadian Pacific Railway Ltd (CP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
118	Bank of America Corp. (BAC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
119	Citigroup, Inc. (C)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
120	Facebook, Inc. (FB)	N/A	\$500,001 - \$1,000,000	Dividends	None (or less than \$201)
121	Interpublic Group of Companies Inc (IPG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
122	Chocoladefabriken Lindt & Spruengli AG Participation (LDSVF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
123	MSCI, Inc. (MSCI)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
124	Nestle SA (NSRGF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
125	Novartis AG (NVSEF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
126	Oracle Corp. (ORCL)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
127	Roche Holding AG Genussscheine (RHHVF)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
128	Schindler Holding AG Participation (SHLAF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
129	Sika AG (SKFOF)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
130	Square, Inc. (SQ)	N/A	\$1,000,001 - \$5,000,000	Dividends	None (or less than \$201)
131	ViacomCBS, Inc. (VIAC)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
132	Zoom Video Communications, Inc. (ZM)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
133	Kayne Anderson MLP/Midstream Investment Company (KYN)	Yes	None (or less than \$1,001)		None (or less than \$201)
134	MORGAN STANLEY BANK N.A.	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
135	Alcon AG (ALC)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
136	American Tower Corporation (REIT) (AMT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
137	AstraZeneca plc (AZNCF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
138	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
139	Canadian Pacific Railway Ltd (CP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
140	Chimera Investment Corp. (CIM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
141	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
142	Dell Technologies, Inc. (DELL)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
143	Chocoladefabriken Lindt & Spruengli AG Participation (LDSVF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
144	Nestle SA (NSRGF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
145	Novartis AG (NVSEF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
146	nVent Electric Plc (NVT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
147	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
148	Pentair Plc (PNR)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
149	Roche Holding AG Genussscheine (RHHVF)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
150	Schindler Holding AG Participation (SHLAF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
151	Sika AG (SKFOF)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
152	Square, Inc. (SQ)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
153	iShares Core S&P 500 ETF (IVV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
154	AbbVie, Inc. (ABBV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
155	AMC Networks Inc. (AMCX)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
156	Autodesk, Inc. (ADSK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
157	Biogen Inc. (BIIB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
158	Broadcom, Inc. (AVGO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
159	Cerence Inc. (CRNC)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
160	Citrix Systems, Inc. (CTXS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
161	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
162	Cree, Inc. (CREE)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
163	Discovery, Inc. (DISCA)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
164	DocuSign, Inc. (DOCU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
165	Dolby Laboratories, Inc. (DLB)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
166	FireEye, Inc. (FEYE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
167	Freeport-McMoRan, Inc. (FCX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
168	Guardant Health, Inc. (GH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
169	ImmunoGen, Inc. (IMGN)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
170	Ionis Pharmaceuticals, Inc. (IONS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
171	Johnson Controls International Plc (JCI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
172	L3Harris Technologies, Inc. (LHX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
173	Liberty Broadband Corp. (LBRDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
174	Liberty Broadband Corp. (LBRDK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
175	Liberty Media Corp. Liberty SiriusXM (LSXMA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
176	Liberty Media Corp. Liberty SiriusXM (LSXMK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
177	Liberty Media Corp. (FWONA)	N/A	None (or less than \$1,001)		None (or less than \$201)
178	Liberty Media Corp. (FWONK)	N/A	None (or less than \$1,001)		None (or less than \$201)
179	Lions Gate Entertainment Corp. Class B (LGF.B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
180	Lyft, Inc. (LYFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
181	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
182	NOW, Inc. (DNOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
183	Nuance Communications, Inc. (NUAN)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
184	Nucor Corp. (NUE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
185	Pentair Plc (PNR)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
186	Qurate Retail, Inc. (QRTEA)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
187	Seagate Technology Plc (STX)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
188	TE Connectivity Ltd. (TEL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
189	Twitter, Inc. (TWTR)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
190	UnitedHealth Group, Inc. (UNH)	N/A	\$15,001 - \$50,000		\$2,501 - \$5,000
191	Vertex Pharmaceuticals, Inc. (VRTX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
192	Western Digital Corp. (WDC)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
193	MORGAN STANLEY BANK N.A.	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
194	Alcon AG (ALC)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
195	American Tower Corporation (REIT) (AMT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
196	AstraZeneca plc (AZNCF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
197	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
198	Carrier Global Corp (CARR)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
199	Canadian Pacific Railway Ltd (CP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
200	Chimera Investment Corp. (CIM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
201	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
202	Dell Technologies, Inc. (DELL)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
203	Chocoladefabriken Lindt & Spruengli AG Participation (LDSVF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
204	Nestle SA (NSRGF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
205	Novartis AG (NVSEF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
206	nVent Electric Plc (NVT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
207	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
208	Otis Worldwide Corp (OTIS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
209	Pentair Plc (PNR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
210	Raytheon Technologies Corp (RTX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
211	Roche Holding AG Genussscheine (RHHVF)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
212	Schindler Holding AG Participation (SHLAF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
213	Sika AG (SKFOF)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
214	Square, Inc. (SQ)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
215	iShares Core S&P 500 ETF (IVV)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
216	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
217	Premier Portfolio Institutional Class Shares (IPPXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
218	MORGAN STANLEY BANK N.A.	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
219	AAON, Inc. (AAON)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
220	Alarm.com Holdings, Inc. (ALRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
221	Allegiant Travel Co. (ALGT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
222	Axos Financial, Inc. (AX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
223	Balchem Corp. (BCPC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
224	Barnes Group, Inc. (B)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
225	BioLife Solutions, Inc. (BLFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
226	Bio-Techne Corp. (TECH)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
227	Blackbaud, Inc. (BLKB)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
228	BlackLine, Inc. (BL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
229	Bottomline Technologies, Inc. (EPAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
230	Bright Horizons Family Solutions Inc. (BFAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
231	Brooks Automation, Inc. (BRKS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
232	Cerence Inc (CRNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
233	Descartes Systems Group Inc (DSGX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
234	Donaldson Co., Inc. (DCI)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
235	Dorman Products, Inc. (DORM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
236	Envestnet, Inc. (ENV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
237	ePlus, Inc. (PLUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
238	ESCO Technologies, Inc. (ESE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
239	EVO Payments, Inc. (EVOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
240	Evoqua Water Technologies Corp. (AQUA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
241	ExlService Holdings, Inc. (EXLS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
242	Exponent, Inc. (EXPO)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
243	Fair Isaac Corp. (FICO)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
244	Fox Factory Holding Corp. (FOXF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
245	Globus Medical, Inc. (GMED)	N/A	\$15,001 - \$50,000		None (or less than \$201)
246	HealthEquity, Inc. (HQY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
247	i3 Verticals, Inc. (IIIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
248	J&J Snack Foods Corp. (JJSF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
249	Kinsale Capital Group, Inc. (KNSL)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
250	LeMaitre Vascular, Inc. (LMAT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
251	LHC Group, Inc. (LHCG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
252	Marten Transport Ltd. (MRTN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
253	Masimo Corp. (MASI)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
254	Monolithic Power Systems, Inc. (MPWR)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
255	Neogen Corp. (NEOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
256	Novanta, Inc. (NOVT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
257	Ollie's Bargain Outlet Holdings, Inc. (OLLI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
258	Omniceil, Inc. (OMCL)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
259	Onto Innovation, Inc. (ONTO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
260	Pacific Premier Bancorp, Inc. (PPBI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
261	Palomar Holdings Inc (PLMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
262	Perficient, Inc. (PRFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
263	PetIQ, Inc. (PETQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
264	Proto Labs, Inc. (PRLB)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
265	Q2 Holdings, Inc. (QTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
266	QAD, Inc. (QADA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
267	RBC Bearings, Inc. (ROLL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
268	Rogers Corp. (ROG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
269	SiteOne Landscape Supply, Inc. (SITE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
270	STAAR Surgical Co. (STAA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
271	Tabula Rasa Healthcare, Inc. (TRHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
272	Tactile Systems Technology, Inc. (TCMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
273	Texas Capital Bancshares, Inc. (TCBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
274	Texas Roadhouse, Inc. (TXRH)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
275	Trex Co., Inc. (TREX)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
276	Tyler Technologies, Inc. (TYL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
277	Vocera Communications, Inc. (VCRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
278	WD-40 Co. (WDFC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
279	Sensient Technologies Corp. (SXT)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
280	Commander Resources Ltd. (CMD)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
281	Inphi Corp. (IPHI)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
282	MORGAN STANLEY BANK N.A.	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
283	ANSYS, Inc. (ANSS)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
284	Atlassian Corporation PLC (TEAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
285	Bio-Techne Corp. (TECH)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
286	Black Knight, Inc. (BKI)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
287	BlackLine, Inc. (BL)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
288	Bright Horizons Family Solutions Inc. (BFAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
289	Brooks Automation, Inc. (BRKS)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
290	Cable One, Inc. (CABO)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
291	CarMax, Inc. (KMX)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
292	CBRE Group, Inc. (CBRE)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
293	CoStar Group, Inc. (CSGP)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
294	Coupa Software, Inc. (COUP)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
295	CrowdStrike Holdings Inc (CRWD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
296	Ecolab, Inc. (ECL)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
297	Envestnet, Inc. (ENV)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
298	Fastenal Co. (FAST)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
299	Guidewire Software, Inc. (GWRE)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
300	Heineken N.V. (HEIA)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
301	IDEXX Laboratories, Inc. (IDXX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
302	Illumina, Inc. (ILMN)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
303	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
304	Markel Corp. (MKL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
305	Masimo Corp. (MASI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
306	Moody's Corp. (MCO)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
307	Okta, Inc. (OKTA)	N/A	\$1,001 - \$15,000		\$1,001 - \$2,500
308	Old Dominion Freight Line, Inc. (ODFL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
309	PROS Holdings, Inc. (PRO)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
310	Roper Technologies, Inc. (ROP)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
311	SBA Communications Corp. (SBAC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
312	Teleflex, Inc. (TFX)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
313	TransDigm Group, Inc. (TDG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
314	Twilio, Inc. (TWLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
315	Veeva Systems, Inc. (VEEV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
316	Verisk Analytics, Inc. (VRSK)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
317	Vulcan Materials Co. (VMC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
318	Waste Connections Inc (WCN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
319	Workiva, Inc. (WK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
320	iShares Russell Mid-Cap Growth ETF (IWP)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
321	Qualys, Inc. (QLYS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
322	Tyler Technologies, Inc. (TYL)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
323	MORGAN STANLEY BANK N.A.	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
324	MORGAN STANLEY BANK N.A.	N/A	\$50,001 - \$100,000		None (or less than \$201)
325	Personal Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
326	Personal Savings Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
327	Hochstein Enterprises Business Checking	N/A	\$1,001 - \$15,000		None (or less than \$201)
328	Ringel Group Business Checking	N/A	\$50,001 - \$100,000		None (or less than \$201)
329	Charlie Palmer Steak DC, LLC (restaurant)	N/A	None (or less than \$1,001)		\$2,501 - \$5,000
330	Brooklyn Harlem Holdings, LLC (New York real estate)	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
331	Acqua AI 2 Limited Partnership (restaurant)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
332	MRG 600 LLC (restaurant)		N/A	None (or less than \$1,001)		None (or less than \$201)
333	Jefferson Orchard Pond Holdings, LLC (Maryland real estate)	See Endnote	No	None (or less than \$1,001)		\$100,001 - \$1,000,000
334	445 Fifth Avenue Holdings LLC (New York real estate)		No	\$100,001 - \$250,000		\$2,501 - \$5,000
335	BX Tac Opps II Onshore Feeder Fund LP		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
336	RE Premier Blackstone Real Estate Debt Strategies III Onshore Feeder LP		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
337	PE Premier Blackstone Tactical Opportunities Feeder Fund LP		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
338	Personal loan to REF Investments		N/A	\$1,001 - \$15,000		\$2,501 - \$5,000
339	Birch Infrastructure, Public Benefit Limited Liability Company (develops and arranges renewable energy supply for US data processing centers)		No	\$100,001 - \$250,000		\$100,001 - \$1,000,000
340	Bow Street (REIT investments)	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
341	Community Life Sciences	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
342	10X Genomics Inc (TXG)		N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
343	Airbnb Inc (ABNB)		N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
344	Alnylam Pharmaceuticals, Inc. (ALNY)		N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
345	Amazon.com, Inc. (AMZN)		N/A	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
346	Carvana Co. (CVNA)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
347	Cloudflare Inc (NET)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
348	Coupa Software, Inc. (COUP)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
349	CrowdStrike Holdings Inc (CRWD)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
350	Datadog, Inc. (DDOG)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
351	DexCom, Inc. (DXCM)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
352	DocuSign, Inc. (DOCU)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
353	DoorDash Inc (DASH)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
354	Fastly, Inc. (FSLY)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
355	Guardant Health, Inc. (GH)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
356	Illumina, Inc. (ILMN)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
357	Intuitive Surgical, Inc. (ISRG)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
358	Moderna Inc. (MRNA)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
359	MongoDB, Inc. (MDB)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
360	NVIDIA Corp. (NVDA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
361	Okta, Inc. (OKTA)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
362	Pinterest, Inc. (PINS)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
363	Roblox Corp (RBLX)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
364	Royal Gold, Inc. (RGLD)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
365	Royalty Pharma plc (RPRX)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
366	Sea Ltd (SE)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
367	Shopify Inc (SHOP)	N/A	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
368	Snap, Inc. (SNAP)	N/A	\$50,001 - \$100,000	Capital Gains	None (or less than \$201)
369	Snowflake Inc (SNOW)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
370	Spotify Technology SA (SPOT)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
371	Square, Inc. (SQ)	N/A	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
372	The Trade Desk, Inc. (TTD)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
373	Twilio, Inc. (TWLO)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
374	Twitter, Inc. (TWTR)	N/A	\$50,001 - \$100,000	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
375	Uber Technologies, Inc. (UBER)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
376	Unity Software Inc (U)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
377	Veeva Systems, Inc. (VEEV)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
378	Wayfair, Inc. (W)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
379	Zillow Group, Inc. (Z)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
380	Zoom Video Communications, Inc. (ZM)	N/A	\$50,001 - \$100,000	Capital Gains	None (or less than \$201)
381	Alphabet, Inc. (GOOG)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
382	Affirm Holdings Inc (AFRM)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
383	Atlassian Corporation PLC (TEAM)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
384	Covetrus, Inc. (CVET)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
385	Costco Wholesale Corp. (COST)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
386	Chewy Inc. (CHWY)	N/A	None (or less than \$1,001)		None (or less than \$201)
387	Facebook, Inc. (FB)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
388	Farfetch Ltd (FTCH)	N/A	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
389	iShares Russell 1000 Growth ETF (IWF)	Yes	None (or less than \$1,001)		None (or less than \$201)
390	Livongo Health, Inc. (LVGO)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
391	Mercadolibre Inc (MELI)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
392	Roku, Inc. (ROKU)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
393	ServiceNow, Inc. (NOW)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
394	Slack Technologies, Inc (WORK)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
395	Teladoc Health, Inc. (TDOC)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
396	Workday, Inc. (WDAY)	N/A	None (or less than \$1,001)	Capital Gains	
397	Netflix, Inc. (NFLX)	N/A	None (or less than \$1,001)	Capital Gains	
398	Alcon (ALC)	N/A	None (or less than \$1,001)		None (or less than \$201)

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	333	Real estate sold in 2021 and proceeds have been distributed to investors.
6.	340	Sole holding of which filer is aware is Mack-Call Realty Corp.
6.	341	Sole investment is in Insightec, a medical technology company

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

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