

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

## Filer's Information

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Kysar, Rebecca

Counselor, Tax Policy, Department of the Treasury

Date of Termination: 08/05/2022

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Kysar, Rebecca [electronically signed on 08/15/2022 by Kysar, Rebecca in Integrity.gov] - Filer received a 90 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/ Sonfield, Brian, Certifying Official [electronically signed on 10/26/2022 by Sonfield, Brian in Integrity.gov]

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Other review conducted by

/s/ Vetter, Mark, Ethics Official [electronically signed on 10/25/2022 by Vetter, Mark in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 09/20/2022

Data Revised 09/19/2022

Data Revised 09/16/2022

Data Revised 09/15/2022

Data Revised 08/25/2022

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Fordham University School of Law	New York, New York	University/College	Professor of Law	8/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fordham University School of Law	N/A		Salary	\$49,325
2	Brooklyn Law School, defined contribution plan	No			
2.1	Vanguard Total Stock Market Index Fund Institutional Class Shares (VITSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.2	Vanguard Total Bond Market Index Fund Admiral	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Brooklyn Law School, defined contribution plan	No			
3.1	Vanguard Total Stock Market Index Fund Admiral	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	Vanguard Total Bond Market Index Fund Admiral	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Fordham University, defined contribution plan	No			None (or less than \$201)
4.1	VANG TARGET RETURN 2045 (VTIVX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	VANG TOT BD MKT INST (VBTIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Fordham University School of Law	New York, New York	In July 2021, I received the second portion of my summer research stipend (expected amount of \$13,000) for research conducted during the summer of 2020. In July 2022, I received prepayment of my 2022-23 salary in anticipation of my termination from Treasury.	4/2020
2	Fordham University School of Law	New York, New York	One year, unpaid leave of absence. Renewable annually, upon University approval, pursuant to established University statutes governing extensions.	2/2021
3	Fordham University	New York, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my unpaid leave of absence.	8/2018
4	Brooklyn Law School	Brooklyn, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	8/2008
5	Brooklyn Law School	Brooklyn, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	8/2008

### 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	Bellguard Capital Management, LP, an investment management firm (value not readily ascertainable)	N/A		no income to report through entity	
2	Bellguard Capital 401k	No			
2.1	Vanguard Intrm-Trm Bnd Indx Fd	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.2	BlackRock High Yield Bond Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank # 1 - cash	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	U.S. bank # 2 - cash	N/A	\$100,001 - \$250,000		None (or less than \$201)
3	U.S. bank # 3 - cash	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	U.S. bank # 4 - cash	N/A	\$50,001 - \$100,000		None (or less than \$201)
5	U.S. bank # 5 - cash	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Roth IRA - Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	NY 529 Plan # 1 - age-based growth	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	NY 529 Plan # 2 - age-based blended growth		Yes	\$1,001 - \$15,000		None (or less than \$201)
9	U.S. bank # 6 - cash		N/A	\$15,001 - \$50,000		None (or less than \$201)
10	Family Trust # 1		No			
10.1	Zencolor	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
11	Family Trust # 2		No			
11.1	Zencolor	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
12	U.S. bank #7 - cash		N/A	\$1,001 - \$15,000		None (or less than \$201)
13	U.S. bank #8 - cash		N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Cosmos cryptocurrency (ATOM)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
15	LM FUNDING AMERICA INC (LMFA)		N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Open long call option position (BHVN 20JAN23 150 C)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Open long call option position (CCXI 20JAN23 40 C)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Open long call option position (CCXI 20JAN23 43 C)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Open long call option position (MARA 20JAN23 37 C)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	Open long call option position (NLSN 20JAN23 25 C)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Open long call option position (VIVO 20JAN23 30 C)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Open long call option position (ZEN 19JAN24 70 C)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	Open long put option position (AAWW 16SEP22 80 P)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Open long put option position (AAWW 19AUG22 95 P)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	Open long put option position (BHAVN 20JAN23 140 P)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Open long put option position (CCXI 20JAN23 43 P)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	Open long put option position (VIVO 20JAN23 30 P)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	NIELSEN HOLDINGS PLC (NLSN)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	SHAW COMMUNICATIONS INC-B (SJR)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	TENNECO INC-CLASS A (TEN)		N/A	\$1,001 - \$15,000	Capital Gains	\$5,001 - \$15,000
31	The Graph cryptocurrency (GRT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
32	VANGUARD NY MUNI MMKT-INV (VYFXX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
33	APPIAN CORP (APPN)	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
34	CITRIX SYSTEMS INC (CTXS)		N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
35	CRICUT INC - CLASS A (CRCT)		N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
36	GOODRX HOLDINGS INC-CLASS A (GDRX)		N/A	\$100,001 - \$250,000		None (or less than \$201)
37	INOTIV INC (NOTV)		N/A	\$100,001 - \$250,000		None (or less than \$201)
38	ISHARES CORE MSCI EAFE ETF (IEFA)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
39	ISHARES MSCI EMERGING MARKET (EEM)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
40	ISHARES RUSSELL 3000 ETF (IWV)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
41	KOHL'S CORP (KSS)		N/A	\$100,001 - \$250,000		None (or less than \$201)
42	MARATHON DIGITAL HOLDINGS IN (MARA)		N/A	\$100,001 - \$250,000	Capital Gains	\$100,001 - \$1,000,000
43	NAM TAI PROPERTY INC (NTP)		N/A	\$100,001 - \$250,000		None (or less than \$201)
44	SAILPOINT TECHNOLOGIES HOLDI (SAIL)	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
45	GOODRX HOLDINGS INC-CLASS A (GDRX)		N/A	\$15,001 - \$50,000		None (or less than \$201)
46	LANDEC CORP (LNDC)		N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
47	Open long call option position (AAWW 19AUG22 95 C)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
48	Open long call option position (MARA 20JAN23 30 C)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
49	Open long call option position (MNDDT 16SEP22 20 C)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50	MONEYGRAM INTERNATIONAL INC (MGI)		N/A	\$15,001 - \$50,000		None (or less than \$201)
51	NIELSEN HOLDINGS PLC (NLSN)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
52	SAILPOINT TECHNOLOGIES HOLDI (SAIL)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
53	APPIAN CORP (APPN)	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
54	FISERV INC (FISV)		N/A	\$250,001 - \$500,000	Capital Gains	\$5,001 - \$15,000
55	ISHARES CORE MSCI EMERGING (IEMG)		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
56	ISHARES MSCI USA QUALITY FAC (QUAL)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
57	ISHARES RUSSELL 2000 VALUE E (IWN)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
58	QORVO INC (QRVO)		N/A	\$250,001 - \$500,000		None (or less than \$201)
59	VANGUARD FTSE EMERGING MARKE (VWO)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
60	VANGUARD GROWTH ETF (VUG)		Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
61	VIASAT INC (VSAT)		N/A	\$250,001 - \$500,000	Capital Gains	\$100,001 - \$1,000,000
62	AMPLIFY ENERGY CORP (AMPY)		N/A	\$50,001 - \$100,000		None (or less than \$201)
63	PELTON INTERACTIVE INC-A (PTON)		N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
64	SHAW COMMUNICATIONS INC-B (SJR)	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
65	TUFIN SOFTWARE TECHNOLOGIES (TUFN)		N/A	\$50,001 - \$100,000		None (or less than \$201)
66	ZENDESK INC (ZEN)	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
67	CONSUMER STAPLES SPDR (XLP)		Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
68	ISHARES MSCI USA MIN VOL FAC (USMV)		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
69	ISHARES RUSSELL 1000 GROWTH (IWF)		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
70	MERIDIAN BIOSCIENCE INC (VIVO)		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
71	RENREN INC-ADR (RENN)		N/A	Over \$1,000,000	Capital Gains	\$201 - \$1,000
72	ZENDESK INC (ZEN)	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
73	ARK INNOVATION ETF (ARKK), open short position: 5000 shares at \$46.98	See Endnote	N/A			None (or less than \$201)
74	INVESCO QQQ TRUST SERIES 1 (QQQ), open short position: 6000 shares at \$295.35	See Endnote	N/A			None (or less than \$201)
75	SPDR S&P 500 ETF TRUST (SPY), open short position: 2000 shares at \$399.06	See Endnote	N/A			None (or less than \$201)
76	VANGUARD SMALL-CAP GRWTH ETF (VBK), open short position: 1640 shares at \$209.99	See Endnote	N/A			None (or less than \$201)
77	ATLAS AIR WORLDWIDE HOLDINGS (AAWW)		N/A	Over \$1,000,000	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
78	Open short call option position (AAWW 19AUG22 100 C), 113 contracts at \$0.61, x100	See Endnote	N/A		None (or less than \$201)
79	Open short call option position (AAWW 19AUG22 105 C), 50 contracts at \$0.39, x100	See Endnote	N/A		None (or less than \$201)
80	Open short call option position (AAWW 19AUG22 97.5 C), 134 contracts at \$1.15, x100	See Endnote	N/A		None (or less than \$201)
81	Open short call option position (BHVN 16DEC22 145 C), 20 contracts at \$5.99, x100	See Endnote	N/A		None (or less than \$201)
82	Open short call option position (BHVN 16DEC22 150 C), 14 contracts at \$2.9, x100	See Endnote	N/A		None (or less than \$201)
83	Open short call option position (BHVN 21OCT22 150 C), 50 contracts at \$0.92, x100	See Endnote	N/A		None (or less than \$201)
84	Open short call option position (CCXI 20JAN23 45 C), 10 contracts at \$6.35, x100	See Endnote	N/A		None (or less than \$201)
85	Open short call option position (CCXI 20JAN23 47 C), 2 contracts at \$5.01, x100	See Endnote	N/A		None (or less than \$201)
86	Open short call option position (CCXI 20JAN23 50 C), 20 contracts at \$2.49, x100	See Endnote	N/A		None (or less than \$201)
87	Open short put option position (MARA 20JAN23 3 P), 20 contracts at \$0.61, x100	See Endnote	N/A		None (or less than \$201)
88	Open short call option position (ZEN 20JAN23 90 C), 50 contracts at \$0.45, x100	See Endnote	N/A		None (or less than \$201)
89	Open short put option position (AAWW 19AUG22 97.5 P), 120 contracts at \$0.23, x100	See Endnote	N/A		None (or less than \$201)
90	Open short call option position (ZEN 19JAN24 80 C), 23 contracts at \$1.32, x100	See Endnote	N/A		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
91	Open short put option position (MARA 20JAN23 1 P), 200 contracts at \$0.16, x100	See Endnote	N/A		None (or less than \$201)
92	Open short call option position (NLSN 18NOV22 28 C), 50 contracts at \$1, x100	See Endnote	N/A		None (or less than \$201)
93	Open short put option position (ZEN 20JAN23 65 P), 30 contracts at \$1.78, x100	See Endnote	N/A		None (or less than \$201)
94	Open short put option position (MARA 20JAN23 2 P), 200 contracts at \$0.31, x100	See Endnote	N/A		None (or less than \$201)
95	Open short put option position (CCXI 20JAN23 47 P), 114 contracts at \$0.87, x100	See Endnote	N/A		None (or less than \$201)
96	Open short call option position (VIVO 21OCT22 35 C), 271 contracts at \$0.49, x100	See Endnote	N/A		None (or less than \$201)
97	Open short call option position (ZEN 19AUG22 75 C), 20 contracts at \$1.25, x100	See Endnote	N/A		None (or less than \$201)
98	Open short put option position (BHVN 20JAN23 145 P), 374 contracts at \$1.91, x100	See Endnote	N/A		None (or less than \$201)
99	AERCAP HOLDINGS (AER)		N/A	None (or less than \$1,001)	Capital Gains \$100,001 - \$1,000,000
100	ALDR.CVR (contingent right to future payments from the acquisition of ALDR by H. Lundbeck A/S - now closed)		N/A	None (or less than \$1,001)	Capital Gains \$100,001 - \$1,000,000
101	ALPHABET INC-C (GOOG)		N/A	None (or less than \$1,001)	Capital Gains \$100,001 - \$1,000,000
102	ALPHABET INC-C (GOOG) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains \$100,001 - \$1,000,000
103	AMAZON.COM INC (AMZN)		N/A	None (or less than \$1,001)	Capital Gains \$100,001 - \$1,000,000
104	ANAPLAN INC (PLAN)		N/A	None (or less than \$1,001)	Capital Gains \$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
105	ANAPLAN INC (PLAN) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
106	ANTERO MIDSTREAM (AM)		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
107	ANTERO MIDSTREAM (AM)		N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
108	ANTERO RESOURCES (AR)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
109	APPIAN CORP (APPN)		N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
110	APPLE INC (AAPL)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
111	APPLE INC (AAPL)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
112	ARK AUTON TECH (ARKQ) - short position		N/A	None (or less than \$1,001)		\$2,501 - \$5,000
113	ARK FINTECH INNO (ARKF) - short position		N/A	None (or less than \$1,001)		\$5,001 - \$15,000
114	ARK GENOMIC REVO (ARKG) - short position		N/A	None (or less than \$1,001)		\$5,001 - \$15,000
115	ARK INNOVAT ETF (ARKK) - closed options position	See Endnote	N/A	None (or less than \$1,001)		\$1,001 - \$2,500
116	ARK INNOVAT ETF (ARKK) - short position		N/A	None (or less than \$1,001)		\$50,001 - \$100,000
117	ARK NEXT GENERAT (ARKW) - short position		N/A	None (or less than \$1,001)		\$5,001 - \$15,000
118	BANK OF AMERICA (BAC)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
119	BANK OF AMERICA (BAC)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
120	BERKSHIRE HATHAWAY - Class B (BRK/B)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
121	BIOHAVEN PHARMAC (BHVN)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
122	BIOHAVEN PHARMAC (BHVN) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
123	BRIGHTHOUSE FINA (BHF)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
124	CHANGE HEALTHCAR (CHNG)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
125	CHEMOURS CO (CC)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
126	CHEMOURS CO (CC)		N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
127	CITRIX SYSTEMS (CTXS)		N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
128	Cosmos cryptocurrency (ATOM)		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
129	DELTA AIR LI (DAL) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
130	EXXON MOBIL CORP (XOM)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
131	EXXON MOBIL CORP (XOM)		N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
132	GANNETT CO INC (GCI) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
133	GANNETT CO INC (GCI)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
134	GOLDMAN SACHS GP (GS)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
135	GOLDMAN SACHS GP (GS)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
136	GRAFTECH INTERNA (EAF)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
137	GRAFTECH INTERNA (EAF)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
138	INVESCO QQQ TRUS (QQQ ) - closed options position	See Endnote	N/A	None (or less than \$1,001)		\$2,501 - \$5,000
139	INVESCO QQQ TRUS (QQQ)		Yes	None (or less than \$1,001)		\$50,001 - \$100,000
140	ISHA CORE EM (IEMG)		Yes	None (or less than \$1,001)		\$15,001 - \$50,000
141	ISHARES 1-3 YEAR (SHY)		Yes	None (or less than \$1,001)		\$201 - \$1,000
142	JPMORGAN CHASE (JPM)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
143	JPMORGAN CHASE (JPM)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
144	LIBERTY RES-CL A (LBTY) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
145	MANDIANT INC (MNDR)		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
146	META PLATFORMS-A (FB)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
147	MICROSTRATEGY (MSTR) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
148	NIELSEN HOLDINGS (NLSN)		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
149	NIELSEN HOLDINGS (NLSN) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
150	NIO INC - ADR (NIO ) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
151	OLEMA PHARMACEUT (OLMA)		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
152	PIMCO ENHANCED S (MINT)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
153	PLUG POWER INC (PLUG) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
154	S&P 500 Index - closed options positions	See Endnote	N/A	None (or less than \$1,001)		\$50,001 - \$100,000
155	SAILPOINT TECHNO (SAIL)		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
156	SHAW COMM-B (SJR)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
157	SNAP INC - A (SNAP) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
158	SPDR BLOOMBERG S (SJNK)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
159	SPDR S&P 500 ETF (SPY)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
160	SPDR-ENERGY SEL (XLE)		Yes	None (or less than \$1,001)		\$15,001 - \$50,000



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
161	SPDR-ENERGY SEL (XLE)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
162	SPDR-FINL SELECT (XLF)		Yes	None (or less than \$1,001)		\$15,001 - \$50,000
163	SPDR-FINL SELECT (XLF)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
164	SPDR-PORT S/T C (SPSB)		N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
165	STARBUCKS CORP (SBUX)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
166	STARBUCKS CORP (SBUX)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
167	STML.CVR (contingent right to future payments from the acquisition of STML by Menari Group - now closed)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
168	TIVITY HEALTH IN (TVTY)		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
169	TIVITY HEALTH IN (TVTY) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
170	TURNING POINT TH (TPTX) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
171	UNITED STATES OIL (USO)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
172	VANGUARD SHORT-T (BSV)		Yes	None (or less than \$1,001)		\$201 - \$1,000
173	VANGUARD Small Cap Grwth (VBK) - short position		Yes	None (or less than \$1,001)		\$50,001 - \$100,000
174	VANGUARD-S/T COR (VCSH)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
175	VERIZON COMMUNIC (VZ)		N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
176	VERIZON COMMUNIC (VZ)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
177	WELLS FARGO & CO (WFC)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
178	WELLS FARGO & CO (WFC)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
179	ZENDESK INC (ZEN ) - closed options position	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
180	ZENDESK INC (ZEN)		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	INTC 19MAR21 70.0 P INTEL CORP PUT OPTIONS		Sale	03/19/2021	\$15,001 - \$50,000
2	GCI GANNETT CO INC		Sale	03/19/2021	\$50,001 - \$100,000
3	PLUG 19MAR21 80.0 P PLUG POWER INC PUT OPTIONS		Sale	03/19/2021	\$250,001 - \$500,000
4	MNQH1 MNQ 19MAR21 NASDAQ 100 INDEX FUTURES CONTRACTS	See Endnote	Purchase	03/19/2021	Over \$1,000,000
5	GCI GANNETT CO INC		Sale	03/22/2021	\$1,001 - \$15,000
6	FB FACEBOOK INC-CLASS A		Sale	03/19/2021	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	XOM EXXON MOBIL CORP	Sale	03/22/2021	\$100,001 - \$250,000
8	GS GOLDMAN SACHS GROUP INC	Sale	03/22/2021	\$100,001 - \$250,000
9	AAPL APPLE INC	Sale	03/22/2021	\$100,001 - \$250,000
10	CHNG CHANGE HEALTHCARE INC	Sale	03/22/2021	\$100,001 - \$250,000
11	WFC WELLS FARGO & CO	Sale	03/22/2021	\$100,001 - \$250,000
12	SBUX STARBUCKS CORP	Sale	03/22/2021	\$100,001 - \$250,000
13	NIO 16APR21 60.0 P NIO INC PUT OPTIONS	Sale	03/22/2021	\$100,001 - \$250,000
14	LBTYK LIBERTY GLOBAL PLC- C	Sale	03/22/2021	\$250,001 - \$500,000
15	AMZN AMAZON.COM INC	Sale	03/22/2021	\$250,001 - \$500,000
16	GOOG ALPHABET INC-CL C	Sale	03/22/2021	\$250,001 - \$500,000
17	CC CHEMOURS CO/THE	Sale	03/22/2021	\$250,001 - \$500,000
18	GCI GANNETT CO INC	Sale	03/23/2021	\$100,001 - \$250,000
19	BRK B BERKSHIRE HATHAWAY INC-CL B	Sale	03/23/2021	\$100,001 - \$250,000
20	GOOG 21JAN22 1200.0 C ALPHABET INC. CALL OPTIONS	Sale	03/23/2021	\$250,001 - \$500,000
21	BAC BANK OF AMERICA CORP	Sale	03/24/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	EAF GRAFTECH INTERNATIONAL LTD	Sale	03/24/2021	\$100,001 - \$250,000
23	JPM JPMORGAN CHASE & CO	Sale	03/24/2021	\$100,001 - \$250,000
24	AR ANTERO RESOURCES CORP	Sale	03/24/2021	\$100,001 - \$250,000
25	AER AERCAP HOLDINGS NV	Sale	03/25/2021	\$50,001 - \$100,000
26	EAF GRAFTECH INTERNATIONAL LTD	Sale	03/25/2021	\$50,001 - \$100,000
27	AM ANTERO MIDSTREAM CORP	Sale	03/26/2021	\$15,001 - \$50,000
28	EAF GRAFTECH INTERNATIONAL LTD	Sale	03/26/2021	\$50,001 - \$100,000
29	BHF BRIGHHOUSE FINANCIAL INC	Sale	03/26/2021	\$100,001 - \$250,000
30	VSAT VIASAT INC	Sale	03/26/2021	\$100,001 - \$250,000
31	AER AERCAP HOLDINGS NV	Sale	03/26/2021	\$250,001 - \$500,000
32	AER AERCAP HOLDINGS NV	Sale	03/29/2021	\$250,001 - \$500,000
33	GCI GANNETT CO INC	Sale	03/30/2021	\$50,001 - \$100,000
34	BHF BRIGHHOUSE FINANCIAL INC	Sale	03/30/2021	\$250,001 - \$500,000
35	GCI GANNETT CO INC	Sale	03/31/2021	\$100,001 - \$250,000
36	DAL 21JAN22 40.0 C DELTA AIR LINES CALL OPTIONS	Sale	04/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	DAL 21JAN22 50.0 C DELTA AIR LINES CALL OPTIONS	Sale	04/01/2021	\$1,001 - \$15,000
38	VSAT VIASAT INC	Sale	04/01/2021	\$250,001 - \$500,000
39	DAL 21JAN22 40.0 C DELTA AIR LINES CALL OPTIONS	Sale	04/05/2021	\$1,001 - \$15,000
40	DAL 21JAN22 50.0 C DELTA AIR LINES CALL OPTIONS	Sale	04/05/2021	\$1,001 - \$15,000
41	VSAT VIASAT INC	Sale	04/05/2021	\$100,001 - \$250,000
42	DAL 21JAN22 40.0 C DELTA AIR LINES CALL OPTIONS	Sale	04/06/2021	\$1,001 - \$15,000
43	GCI GANNETT CO INC	Sale	04/07/2021	\$50,001 - \$100,000
44	DAL 21JAN22 50.0 C DELTA AIR LINES CALL OPTIONS	Sale	04/06/2021	\$100,001 - \$250,000
45	GCI GANNETT CO INC	Sale	04/08/2021	\$1,001 - \$15,000
46	VSAT VIASAT INC	Sale	04/08/2021	\$50,001 - \$100,000
47	GCI GANNETT CO INC	Sale	04/09/2021	\$50,001 - \$100,000
48	GCI GANNETT CO INC	Sale	04/12/2021	\$100,001 - \$250,000
49	GCI GANNETT CO INC	Sale	04/13/2021	\$1,001 - \$15,000
50	VSAT VIASAT INC	Sale	04/13/2021	\$50,001 - \$100,000
51	GCI GANNETT CO INC	Sale	04/14/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	DAL 21JAN22 40.0 C DELTA AIR LINES CALL OPTIONS	Sale	04/15/2021	\$1,001 - \$15,000
53	GCI GANNETT CO INC	Sale	04/15/2021	\$100,001 - \$250,000
54	IEFA ISHARES CORE MSCI EAFE ETF	Purchase	05/14/2021	\$250,001 - \$500,000
55	IEMG ISHARES CORE MSCI EMERGING ETF	Purchase	05/14/2021	\$500,001 - \$1,000,000
56	VWO VANGUARD FTSE EMERGING MARKET ETF	Purchase	05/14/2021	\$250,001 - \$500,000
57	EEM ISHARES MSCI EMERGING MARKET ETF	Purchase	05/17/2021	\$100,001 - \$250,000
58	IWV ISHARES RUSSELL 3000 ETF	Purchase	05/17/2021	\$100,001 - \$250,000
59	VUG VANGUARD GROWTH ETF	Purchase	05/17/2021	\$250,001 - \$500,000
60	IWN ISHARES RUSSELL 2000 VALUE ETF	Purchase	05/17/2021	\$250,001 - \$500,000
61	SHV ISHARES SHORT TREASURY BOND ETF	Purchase	05/17/2021	\$250,001 - \$500,000
62	XLP CONSUMER STAPLES SPDR ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000
63	USMV ISHARES MSCI USA MIN VOL FAC ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000
64	QUAL ISHARES MSCI USA QUALITY FAC ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000
65	SPSB SPDR PORT SHRT TRM CORP BND ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000
66	SJNK SPDR BBG BARC ST HIGH YIELD ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
67	BSV VANGUARD SHORT-TERM BOND ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000
68	VCSH VANGUARD S/T CORP BOND ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000
69	SHY ISHARES 1-3 YEAR TREASURY ETF	Purchase	05/17/2021	\$500,001 - \$1,000,000
70	IWF ISHARES RUSSELL 1000 GROWTH ETF	Purchase	05/17/2021	Over \$1,000,000
71	MINT PIMCO ENHANCED SHORT MATURIT ETF	Purchase	05/17/2021	Over \$1,000,000
72	SJNK SPDR BBG BARC ST HIGH YIELD ETF	Sale	05/27/2021	\$500,001 - \$1,000,000
73	BSV VANGUARD SHORT-TERM BOND ETF	Sale	05/27/2021	\$500,001 - \$1,000,000
74	Nasdaq-100 ETF (QQQ)	Purchase	06/15/2021	\$500,001 - \$1,000,000
75	1-3 Yr Treasury ETF (SHY)	Sale	09/16/2021	\$500,001 - \$1,000,000
76	Bitcoin ETF (BITO)	Purchase	12/17/2021	\$250,001 - \$500,000
77	SPDR Port Short Term Corp Bond ETF (SPSB)	Sale	07/02/2021	\$500,001 - \$1,000,000
78	Gold ETF (GLD)	Purchase	06/15/2021	\$250,001 - \$500,000
79	Pimco Short Maturity ETF (MINT)	Sale	09/15/2021	\$250,001 - \$500,000
80	Vanguard S/T Corp Bond ETF (VCSH)	Sale	07/09/2021	\$250,001 - \$500,000
81	Nasdaq-100 ETF (QQQ)	Sale	12/13/2021	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
82	Nasdaq-100 ETF (QQQ)	Sale	12/07/2021	\$250,001 - \$500,000
83	Gold ETF (GLD)	Sale	06/16/2021	\$250,001 - \$500,000
84	Ethereum cryptocurrency (ETH)	Purchase	12/09/2021	\$15,001 - \$50,000
85	Ethereum cryptocurrency (ETH)	Purchase	12/13/2021	\$15,001 - \$50,000
86	Bitcoin cryptocurrency (BTC)	Purchase	12/13/2021	\$15,001 - \$50,000
87	Bitcoin cryptocurrency (BTC)	Purchase	12/09/2021	\$15,001 - \$50,000
88	Ethereum cryptocurrency (ETH)	Purchase	12/03/2021	\$15,001 - \$50,000
89	Bitcoin cryptocurrency (BTC)	Purchase	12/04/2021	\$15,001 - \$50,000
90	Solana cryptocurrency (SOL)	Purchase	12/13/2021	\$15,001 - \$50,000
91	Bitcoin cryptocurrency (BTC)	Purchase	12/03/2021	\$15,001 - \$50,000
92	Solana cryptocurrency (SOL)	Purchase	12/04/2021	\$15,001 - \$50,000
93	Ethereum cryptocurrency (ETH)	Purchase	12/04/2021	\$1,001 - \$15,000
94	Avalanche cryptocurrency (AVAX)	Purchase	12/13/2021	\$1,001 - \$15,000
95	Avalanche cryptocurrency (AVAX)	Purchase	12/09/2021	\$1,001 - \$15,000
96	Avalanche cryptocurrency (AVAX)	Purchase	12/04/2021	\$1,001 - \$15,000
97	Solana cryptocurrency (SOL)	Purchase	12/09/2021	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
98	ARK Autonomous Tech & Robotics ETF (ARKQ)	See Endnote	Sale	01/26/2022	\$50,001 - \$100,000
99	ARK Fintech Innovation ETF (ARKF)	See Endnote	Sale	01/26/2022	\$50,001 - \$100,000
100	ARK Genomic Revolution ETF (ARKG)	See Endnote	Sale	01/26/2022	\$100,001 - \$250,000
101	ARK Innovation ETF (ARKK)	See Endnote	Sale	01/26/2022	\$250,001 - \$500,000
102	ARK Innovation ETF (ARKK)	See Endnote	Sale	01/31/2022	\$250,001 - \$500,000
103	ARK Innovation ETF (ARKK)	See Endnote	Purchase	02/02/2022	\$100,001 - \$250,000
104	ARK Innovation ETF (ARKK)	See Endnote	Purchase	02/11/2022	\$15,001 - \$50,000
105	ARK Innovation ETF (ARKK)	See Endnote	Purchase	02/17/2022	\$50,001 - \$100,000
106	ARK Innovation ETF (ARKK)	See Endnote	Purchase	02/16/2022	\$15,001 - \$50,000
107	ARK Innovation ETF (ARKK)	See Endnote	Purchase	02/18/2022	\$100,001 - \$250,000
108	ARK Next Generation Internet ETF (ARKW)	See Endnote	Sale	01/26/2022	\$50,001 - \$100,000
109	Avalanche cryptocurrency (AVAX)		Sale	01/22/2022	\$15,001 - \$50,000
110	Avalanche cryptocurrency (AVAX)		Purchase	01/23/2022	\$15,001 - \$50,000
111	Avalanche cryptocurrency (AVAX)		Sale	01/26/2022	\$15,001 - \$50,000
112	Bitcoin cryptocurrency (BTC)		Sale	01/22/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
113	Bitcoin cryptocurrency (BTC)	Purchase	01/23/2022	\$15,001 - \$50,000
114	Bitcoin cryptocurrency (BTC)	Sale	01/26/2022	\$15,001 - \$50,000
115	Bitcoin ETF (BITO)	Purchase	01/05/2022	\$15,001 - \$50,000
116	Bitcoin ETF (BITO)	Purchase	01/07/2022	\$100,001 - \$250,000
117	Bitcoin ETF (BITO)	Purchase	01/21/2022	\$50,001 - \$100,000
118	Bitcoin ETF (BITO)	Sale	01/26/2022	\$500,001 - \$1,000,000
119	Cosmos cryptocurrency (ATOM)	Purchase	01/23/2022	\$15,001 - \$50,000
120	Energy Sector SPDR ETF (XLE)	Purchase	01/26/2022	\$100,001 - \$250,000
121	Ethereum cryptocurrency (ETH)	Sale	01/22/2022	\$50,001 - \$100,000
122	Ethereum cryptocurrency (ETH)	Purchase	01/23/2022	\$15,001 - \$50,000
123	Ethereum cryptocurrency (ETH)	Sale	01/26/2022	\$15,001 - \$50,000
124	Financial Sector SPDR ETF (XLF)	Purchase	01/26/2022	\$250,001 - \$500,000
125	Grayscale Ethereum Trust (ETHE)	Purchase	01/21/2022	\$50,001 - \$100,000
126	Grayscale Ethereum Trust (ETHE)	Sale	01/26/2022	\$50,001 - \$100,000
127	Nasdaq-100 ETF (QQQ)	Purchase	01/21/2022	\$250,001 - \$500,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
128	Nasdaq-100 ETF (QQQ)		Sale	01/26/2022	\$250,001 - \$500,000
129	Pimco Short Maturity ETF (MINT)		Sale	01/06/2022	\$250,001 - \$500,000
130	Put options on ARK Innovation ETF (ARKK 04FEB22 70.0 P)		Purchase	01/31/2022	\$1,001 - \$15,000
131	Put options on ARK Innovation ETF (ARKK 04FEB22 70.0 P)		Sale	02/03/2022	\$1,001 - \$15,000
132	Put options on S&P 500 Index (SPX 18FEB22 3100.0 P)	See Endnote	Sale	02/11/2022	\$1,001 - \$15,000
133	Put options on S&P 500 Index (SPXW 22FEB22 4000.0 P)	See Endnote	Sale	02/18/2022	\$1,001 - \$15,000
134	Solana cryptocurrency (SOL)		Sale	01/22/2022	\$15,001 - \$50,000
135	The Graph cryptocurrency (GRT)		Purchase	01/23/2022	\$1,001 - \$15,000
136	United States Oil ETF (USO)		Purchase	01/26/2022	\$100,001 - \$250,000
137	United States Oil ETF (USO)		Sale	02/18/2022	\$100,001 - \$250,000
138	Vanguard S/T Corp Bond ETF (VCSH)		Sale	01/14/2022	\$100,001 - \$250,000
139	Appian Corp (APPN)		Purchase	03/11/2022	\$15,001 - \$50,000
140	Appian Corp (APPN)		Purchase	03/14/2022	\$50,001 - \$100,000
141	ARK Autonomous Tech & Robotics ETF (ARKQ)	See Endnote	Purchase	03/04/2022	\$15,001 - \$50,000
142	ARK Autonomous Tech & Robotics ETF (ARKQ)	See Endnote	Purchase	02/23/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
143	ARK Autonomous Tech & Robotics ETF (ARKQ)	See Endnote	Purchase	03/07/2022	\$15,001 - \$50,000
144	ARK Fintech Innovation ETF (ARKF)	See Endnote	Purchase	02/24/2022	\$1,001 - \$15,000
145	ARK Fintech Innovation ETF (ARKF)	See Endnote	Purchase	02/23/2022	\$15,001 - \$50,000
146	ARK Fintech Innovation ETF (ARKF)	See Endnote	Purchase	03/03/2022	\$1,001 - \$15,000
147	ARK Fintech Innovation ETF (ARKF)	See Endnote	Purchase	03/04/2022	\$15,001 - \$50,000
148	ARK Fintech Innovation ETF (ARKF)	See Endnote	Purchase	03/07/2022	\$15,001 - \$50,000
149	ARK Genomic Revolution ETF (ARKG)	See Endnote	Purchase	02/23/2022	\$15,001 - \$50,000
150	ARK Genomic Revolution ETF (ARKG)	See Endnote	Purchase	03/04/2022	\$15,001 - \$50,000
151	ARK Genomic Revolution ETF (ARKG)	See Endnote	Purchase	03/03/2022	\$1,001 - \$15,000
152	ARK Genomic Revolution ETF (ARKG)	See Endnote	Purchase	03/07/2022	\$15,001 - \$50,000
153	ARK Innovation ETF (ARKK)	See Endnote	Purchase	02/22/2022	\$15,001 - \$50,000
154	ARK Innovation ETF (ARKK)	See Endnote	Purchase	02/23/2022	\$100,001 - \$250,000
155	ARK Innovation ETF (ARKK)	See Endnote	Purchase	03/03/2022	\$50,001 - \$100,000
156	ARK Innovation ETF (ARKK)	See Endnote	Purchase	03/04/2022	\$50,001 - \$100,000
157	ARK Innovation ETF (ARKK)	See Endnote	Purchase	03/07/2022	\$15,001 - \$50,000
158	ARK Next Generation Internet ETF (ARKW)	See Endnote	Purchase	03/03/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
159	ARK Next Generation Internet ETF (ARKW)	See Endnote	Purchase	02/23/2022	\$15,001 - \$50,000
160	ARK Next Generation Internet ETF (ARKW)	See Endnote	Purchase	03/07/2022	\$15,001 - \$50,000
161	Energy Sector SPDR ETF (XLE)		Sale	03/22/2022	\$100,001 - \$250,000
162	Financial Sector SPDR ETF (XLF)		Purchase	02/24/2022	\$100,001 - \$250,000
163	Financial Sector SPDR ETF (XLF)		Sale	03/22/2022	\$500,001 - \$1,000,000
164	GoodRx Holdings Inc - Class A (GDRX)		Purchase	03/11/2022	\$250,001 - \$500,000
165	Nasdaq-100 ETF (QQQ)		Sale	03/08/2022	\$500,001 - \$1,000,000
166	Nasdaq-100 ETF (QQQ)		Purchase	03/07/2022	\$1,000,001 - \$5,000,000
167	Nasdaq-100 ETF (QQQ)		Sale	03/09/2022	\$500,001 - \$1,000,000
168	Put options on S&P 500 Index (SPXW 02MAR22 4100.0 P)	See Endnote	Sale	03/01/2022	\$1,001 - \$15,000
169	Pimco Short Maturity ETF (MINT)		Sale	03/09/2022	\$250,001 - \$500,000
170	Put options on S&P 500 Index (SPXW 02MAR22 4100.0 P)	See Endnote	Purchase	03/01/2022	\$1,001 - \$15,000
171	Put options on S&P 500 Index (SPXW 18MAR22 4400.0 P)	See Endnote	Sale	03/18/2022	\$1,001 - \$15,000
172	Put options on S&P 500 Index (SPXW 07MAR22 3950.0 P)	See Endnote	Sale	03/04/2022	\$1,001 - \$15,000
173	Put options on S&P 500 Index (SPXW 22FEB22 4250.0 P)	See Endnote	Sale	02/22/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
174	Put options on S&P 500 Index (SPXW 23FEB22 4200.0 P)	See Endnote	Sale	02/22/2022	\$1,001 - \$15,000
175	Put options on S&P 500 Index (SPXW 23FEB22 4150.0 P)	See Endnote	Sale	02/22/2022	\$1,001 - \$15,000
176	SPDR S&P 500 ETF (SPY)		Purchase	03/07/2022	\$1,000,001 - \$5,000,000
177	Put options on S&P 500 Index (SPXW 23FEB22 4200.0 P)	See Endnote	Purchase	02/22/2022	\$1,001 - \$15,000
178	SPDR S&P 500 ETF (SPY)		Sale	03/08/2022	\$500,001 - \$1,000,000
179	SPDR S&P 500 ETF (SPY)		Sale	03/09/2022	\$500,001 - \$1,000,000
180	SPDR Short Term Bond High Yield ETF (SJNK)		Sale	03/09/2022	\$250,001 - \$500,000
181	Vanguard S/T Corp Bond ETF (VCSH)		Sale	03/09/2022	\$250,001 - \$500,000
182	Nielsen Holdings PLC (NLSN)		Purchase	03/29/2022	\$500,001 - \$1,000,000
183	Call options on Nielsen Holdings PLC (NLSN 17JUN22 24.0 C)		Purchase	03/29/2022	\$15,001 - \$50,000
184	Call options on Nielsen Holdings PLC (NLSN 17JUN22 23.0 C)		Purchase	03/29/2022	\$1,001 - \$15,000
185	Nielsen Holdings PLC (NLSN)		Sale	03/31/2022	\$100,001 - \$250,000
186	Put options on Nielsen Holdings PLC (NLSN 20JAN23 25.0 P)		Purchase	03/29/2022	\$1,001 - \$15,000
187	Put options on Nielsen Holdings PLC (NLSN 16DEC22 25.0 P)		Purchase	03/29/2022	\$1,001 - \$15,000
188	Nielsen Holdings PLC (NLSN)		Sale	04/01/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
189	Put options on Nielsen Holdings PLC (NLSN 20JAN23 25.0 P)	Sale	04/04/2022	\$1,001 - \$15,000
190	Nielsen Holdings PLC (NLSN)	Sale	04/04/2022	\$50,001 - \$100,000
191	Put options on Nielsen Holdings PLC (NLSN 20JAN23 25.0 P)	Sale	04/06/2022	\$1,001 - \$15,000
192	Nielsen Holdings PLC (NLSN)	Sale	04/06/2022	\$100,001 - \$250,000
193	Nielsen Holdings PLC (NLSN)	Sale	04/07/2022	\$100,001 - \$250,000
194	Put options on Nielsen Holdings PLC (NLSN 16DEC22 25.0 P)	Sale	04/07/2022	\$1,001 - \$15,000
195	Call options on Nielsen Holdings PLC (NLSN 17JUN22 24.0 C)	Sale	04/08/2022	\$50,001 - \$100,000
196	Call options on Nielsen Holdings PLC (NLSN 17JUN22 23.0 C)	Sale	04/13/2022	\$1,001 - \$15,000
197	Appian Corp (APPN)	Purchase	04/18/2022	\$50,001 - \$100,000
198	GoodRx Holdings Inc - Class A (GDRX)	Purchase	04/18/2022	\$100,001 - \$250,000
199	Nam Tai Property Inc (NTP)	Purchase	04/18/2022	\$15,001 - \$50,000
200	Nam Tai Property Inc (NTP)	Purchase	04/19/2022	\$1,001 - \$15,000
201	Nielsen Holdings PLC (NLSN)	Purchase	04/20/2022	\$50,001 - \$100,000
202	Appian Corp (APPN)	Purchase	04/20/2022	\$15,001 - \$50,000
203	Nam Tai Property Inc (NTP)	Purchase	04/20/2022	\$1,001 - \$15,000
204	Inotiv Inc (NOTV)	Purchase	04/20/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
205	Call options on Nielsen Holdings PLC (NLSN 18NOV22 28.0 C)	See Endnote	Sale	04/20/2022	\$1,001 - \$15,000
206	Call options on Nielsen Holdings PLC (NLSN 20JAN23 25.0 C)		Purchase	04/20/2022	\$15,001 - \$50,000
207	Inotiv Inc (NOTV)		Purchase	04/21/2022	\$100,001 - \$250,000
208	GoodRx Holdings Inc - Class A (GDRX)		Purchase	04/21/2022	\$15,001 - \$50,000
209	Appian Corp (APPN)		Purchase	04/21/2022	\$50,001 - \$100,000
210	Nam Tai Property Inc (NTP)		Purchase	04/21/2022	\$50,001 - \$100,000
211	Cricut Inc (CRCT)		Purchase	04/22/2022	\$100,001 - \$250,000
212	Inotiv Inc (NOTV)		Purchase	04/22/2022	\$100,001 - \$250,000
213	Appian Corp (APPN)		Purchase	04/22/2022	\$15,001 - \$50,000
214	GoodRx Holdings Inc - Class A (GDRX)		Purchase	04/22/2022	\$15,001 - \$50,000
215	Inotiv Inc (NOTV)		Purchase	04/25/2022	\$50,001 - \$100,000
216	Nam Tai Property Inc (NTP)		Purchase	04/22/2022	\$50,001 - \$100,000
217	Invesco Nasdaq 100 ETF (QQQ)		Purchase	04/26/2022	\$1,000,001 - \$5,000,000
218	Nielsen Holdings PLC (NLSN)		Purchase	04/26/2022	\$100,001 - \$250,000
219	Inotiv Inc (NOTV)		Purchase	04/26/2022	\$100,001 - \$250,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
220	Cricut Inc (CRCT)	Purchase	04/26/2022	\$15,001 - \$50,000
221	Appian Corp (APPN)	Purchase	04/26/2022	\$15,001 - \$50,000
222	Invesco Nasdaq 100 ETF (QQQ)	Sale	04/27/2022	\$1,000,001 - \$5,000,000
223	Cricut Inc (CRCT)	Purchase	04/27/2022	\$15,001 - \$50,000
224	Appian Corp (APPN)	Purchase	04/27/2022	\$15,001 - \$50,000
225	Inotiv Inc (NOTV)	Purchase	04/27/2022	\$15,001 - \$50,000
226	GoodRx Holdings Inc - Class A (GDRX)	Purchase	04/27/2022	\$15,001 - \$50,000
227	Nam Tai Property Inc (NTP)	Purchase	04/27/2022	\$15,001 - \$50,000
228	GoodRx Holdings Inc - Class A (GDRX)	Purchase	04/28/2022	\$100,001 - \$250,000
229	Inotiv Inc (NOTV)	Purchase	04/28/2022	\$15,001 - \$50,000
230	Nielsen Holdings PLC (NLSN)	Sale	04/28/2022	\$250,001 - \$500,000
231	Nam Tai Property Inc (NTP)	Purchase	04/28/2022	\$50,001 - \$100,000
232	Cricut Inc (CRCT)	Purchase	04/29/2022	\$50,001 - \$100,000
233	Cricut Inc (CRCT)	Purchase	04/29/2022	\$1,001 - \$15,000
234	GoodRx Holdings Inc - Class A (GDRX)	Purchase	04/29/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
235	Nam Tai Property Inc (NTP)		Purchase	04/29/2022	\$15,001 - \$50,000
236	Inotive Inc (NOTV)		Purchase	04/29/2022	\$15,001 - \$50,000
237	Put options on S&P 500 Index (SPXW 02MAY22 4000.0 P)	See Endnote	Sale	04/29/2022	\$1,001 - \$15,000
238	Put options on S&P 500 Index (SPXW 09MAY22 3500.0 P)	See Endnote	Sale	05/02/2022	\$1,001 - \$15,000
239	Olema Pharma (OLMA)		Purchase	05/03/2022	\$50,001 - \$100,000
240	Invesco Nasdaq 100 ETF (QQQ)		Purchase	05/05/2022	\$500,001 - \$1,000,000
241	Appian Corp (APPN)		Purchase	05/05/2022	\$15,001 - \$50,000
242	Landec Corp (LNDC)		Purchase	05/05/2022	\$15,001 - \$50,000
243	Nam Tai Property Inc (NTP)		Purchase	05/05/2022	\$15,001 - \$50,000
244	Nam Tai Property Inc (NTP)		Purchase	05/05/2022	\$1,001 - \$15,000
245	Nam Tai Property Inc (NTP)		Sale	05/05/2022	\$1,001 - \$15,000
246	Olema Pharma (OLMA)		Purchase	05/05/2022	\$1,001 - \$15,000
247	Put options on S&P 500 Index (SPXW 09MAY22 3900.0 P)	See Endnote	Sale	05/05/2022	\$1,001 - \$15,000
248	Short Duration Treasury Bond ETF (SHV)		Sale	05/05/2022	\$250,001 - \$500,000
249	ARK Innovation ETF (ARKK)	See Endnote	Sale	05/06/2022	\$250,001 - \$500,000
250	Cricut Inc (CRCT)		Sale	05/06/2022	\$100,001 - \$250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
251	Invesco Nasdaq 100 ETF (QQQ)		Purchase	05/06/2022	\$1,000,001 - \$5,000,000
252	GoodRx Holdings Inc - Class A (GDRX)		Sale	05/06/2022	\$250,001 - \$500,000
253	Cricut Inc (CRCT)		Sale	05/06/2022	\$1,001 - \$15,000
254	Landec Corp (LNDC)		Purchase	05/06/2022	\$15,001 - \$50,000
255	Nam Tai Property Inc (NTP)		Sale	05/06/2022	\$15,001 - \$50,000
256	Olema Pharma (OLMA)		Purchase	05/06/2022	\$15,001 - \$50,000
257	Put options on S&P 500 Index (SPXW 06MAY22 4060.0 P)	See Endnote	Sale	05/06/2022	\$1,001 - \$15,000
258	Put options on S&P 500 Index (SPXW 09MAY22 3900.0 P)	See Endnote	Sale	05/06/2022	\$1,001 - \$15,000
259	Vanguard Small Cap Growth ETF (VBK)	See Endnote	Sale	05/06/2022	\$500,001 - \$1,000,000
260	Viasat Inc (VSAT)		Purchase	05/06/2022	\$250,001 - \$500,000
261	ARK Innovation ETF (ARKK)	See Endnote	Purchase	05/09/2022	\$250,001 - \$500,000
262	Cricut Inc (CRCT)		Sale	05/09/2022	\$50,001 - \$100,000
263	GoodRx Holdings Inc - Class A (GDRX)		Sale	05/09/2022	\$100,001 - \$250,000
264	GoodRx Holdings Inc (GDRX)		Purchase	05/09/2022	\$15,001 - \$50,000
265	Invesco Nasdaq 100 ETF (QQQ)		Purchase	05/09/2022	\$500,001 - \$1,000,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
266	Nam Tai Property Inc (NTP)		Sale	05/09/2022	\$50,001 - \$100,000
267	Vanguard Small Cap Growth ETF (VBK)	See Endnote	Purchase	05/09/2022	\$250,001 - \$500,000
268	Appian Corp (APPN)		Sale	05/10/2022	\$50,001 - \$100,000
269	Biohaven Pharma (BHVN)		Purchase	05/10/2022	\$250,001 - \$500,000
270	Call options on Nasdaq 100 ETF (QQQ 11MAY22 306.0 C)	See Endnote	Sale	05/10/2022	\$1,001 - \$15,000
271	Cricut Inc (CRCT)		Sale	05/10/2022	\$50,001 - \$100,000
272	Invesco Nasdaq 100 ETF (QQQ)		Sale	05/10/2022	\$1,000,001 - \$5,000,000
273	Put options on Biohaven Pharma (BHVN 17JUN22 135.0 P)	See Endnote	Sale	05/10/2022	\$1,001 - \$15,000
274	Nam Tai Property Inc (NTP)		Sale	05/10/2022	\$15,001 - \$50,000
275	Put options on Biohaven Pharma (BHVN 20MAY22 140.0 P)	See Endnote	Sale	05/10/2022	\$1,001 - \$15,000
276	Biohaven Pharma (BHVN)		Purchase	05/11/2022	\$250,001 - \$500,000
277	Call options on Biohaven Pharma (BHVN 16DEC22 180.0 C)	See Endnote	Sale	05/11/2022	\$1,001 - \$15,000
278	Call options on Nasdaq 100 ETF (QQQ 11MAY22 306.0 C)	See Endnote	Purchase	05/11/2022	\$1,001 - \$15,000
279	Vanguard Small Cap Growth ETF (VBK)	See Endnote	Purchase	05/11/2022	\$250,001 - \$500,000
280	Invesco Nasdaq 100 ETF (QQQ)		Sale	05/11/2022	\$1,000,001 - \$5,000,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
281	Put options on MicroStrategy Inc (MSTR 20MAY22 10.0 P)	See Endnote	Sale	05/12/2022	\$1,001 - \$15,000
282	Put options on MicroStrategy Inc (MSTR 20MAY22 20.0 P)	See Endnote	Sale	05/12/2022	\$1,001 - \$15,000
283	Call options on Biohaven Pharma (BHAVN 16DEC22 140.0 C)		Purchase	05/16/2022	\$1,001 - \$15,000
284	Call options on Biohaven Pharma (BHAVN 16DEC22 140.0 C)		Sale	05/16/2022	\$1,001 - \$15,000
285	Appian Corp (APPN)		Purchase	05/17/2022	\$50,001 - \$100,000
286	Nielsen Holdings PLC (NLSN)		Purchase	05/16/2022	\$15,001 - \$50,000
287	Biohaven Pharma (BHAVN)		Purchase	05/17/2022	\$1,000,001 - \$5,000,000
288	Call options on Biohaven Pharma (BHAVN 16DEC22 150.0 C)	See Endnote	Sale	05/17/2022	\$1,001 - \$15,000
289	Call options on Biohaven Pharma (BHAVN 16DEC22 145.0 C)	See Endnote	Sale	05/17/2022	\$50,001 - \$100,000
290	Call options on Biohaven Pharma (BHAVN 20JAN23 150.0 C)	See Endnote	Sale	05/17/2022	\$1,001 - \$15,000
291	Call options on Biohaven Pharma (BHAVN 21OCT22 150.0 C)	See Endnote	Sale	05/17/2022	\$1,001 - \$15,000
292	GoodRx Holdings Inc (GDRX)		Sale	05/17/2022	\$50,001 - \$100,000
293	Nielsen Holdings PLC (NLSN)		Sale	05/17/2022	\$50,001 - \$100,000
294	Invesco Nasdaq 100 ETF (QQQ)		Sale	05/17/2022	\$250,001 - \$500,000
295	Renren Inc. (RENN)		Purchase	05/17/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
296	Biohaven Pharma (BHVN)		Sale	05/20/2022	\$50,001 - \$100,000
297	Call options on Marathon Digital (MARA 10JUN22 21.0 C)		Purchase	05/20/2022	\$1,001 - \$15,000
298	Call options on Marathon Digital (MARA 10JUN22 18.0 C)		Purchase	05/20/2022	\$1,001 - \$15,000
299	Marathon Digital (MARA)		Purchase	05/20/2022	\$15,001 - \$50,000
300	Appian Corp (APPN)		Purchase	05/24/2022	\$15,001 - \$50,000
301	Inotive Inc (NOTV)		Sale	05/23/2022	\$15,001 - \$50,000
302	Cricut Inc (CRCT)		Purchase	05/24/2022	\$50,001 - \$100,000
303	Marathon Digital (MARA)		Purchase	05/24/2022	\$15,001 - \$50,000
304	Put options on Biohaven Pharma (BHVN 15JUL22 110.0 P)		Purchase	05/24/2022	\$1,001 - \$15,000
305	Put options on Biohaven Pharma (BHVN 21OCT22 90.0 P)		Purchase	05/24/2022	\$1,001 - \$15,000
306	Cricut Inc (CRCT)		Purchase	05/25/2022	\$15,001 - \$50,000
307	Call options on Biohaven Pharma (BHVN 16DEC22 145.0 C)	See Endnote	Purchase	05/26/2022	\$15,001 - \$50,000
308	Inotive Inc (NOTV)		Sale	05/26/2022	\$50,001 - \$100,000
309	Inotive Inc (NOTV)		Sale	05/27/2022	\$50,001 - \$100,000
310	Qorvo (QRVO)		Purchase	06/01/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
311	Biohaven Pharma (BHVN)		Sale	06/02/2022	\$500,001 - \$1,000,000
312	Call options on Marathon Digital (MARA 20JAN23 30.0 C)		Purchase	06/03/2022	\$1,001 - \$15,000
313	Call options on Marathon Digital (MARA 20JAN23 37.0 C)		Purchase	06/03/2022	\$1,001 - \$15,000
314	Put options on Marathon Digital (MARA 20JAN23 2.0 P)	See Endnote	Sale	06/03/2022	\$1,001 - \$15,000
315	Put options on Marathon Digital (MARA 20JAN23 3.0 P)	See Endnote	Sale	06/03/2022	\$1,001 - \$15,000
316	Put options on Turning Point Therapeutics (TPTX 20JAN23 50.0 P)		Sale	06/03/2022	\$1,001 - \$15,000
317	Put options on Turning Point Therapeutics (TPTX 20JAN23 50.0 P)		Purchase	06/03/2022	\$1,001 - \$15,000
318	Renren Inc ADR (RENN)		Sale	06/03/2022	\$1,001 - \$15,000
319	Renren Inc ADR (RENN)		Purchase	06/03/2022	\$15,001 - \$50,000
320	Anaplan Inc (PLAN)		Purchase	06/06/2022	\$250,001 - \$500,000
321	Biohaven Pharma (BHVN)		Purchase	06/06/2022	\$250,001 - \$500,000
322	Inotive Inc (NOTV)		Sale	06/06/2022	\$50,001 - \$100,000
323	Olema Pharma (OLMA)		Sale	06/06/2022	\$15,001 - \$50,000
324	Sailpoint Technologies (SAIL)		Purchase	06/06/2022	\$100,001 - \$250,000
325	Renren Inc ADR (RENN)		Purchase	06/06/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
326	Call options on Anaplan Inc (PLAN 15JUL22 62.5 C)		Purchase	06/07/2022	\$15,001 - \$50,000
327	Inotive Inc (NOTV)		Sale	06/07/2022	\$50,001 - \$100,000
328	Landec Corp (LNDC)		Sale	06/07/2022	\$15,001 - \$50,000
329	Olema Pharma (OLMA)		Sale	06/07/2022	\$50,001 - \$100,000
330	Put options on Marathon Digital (MARA 20JAN23 2.0 P)	See Endnote	Sale	06/07/2022	\$1,001 - \$15,000
331	Renren Inc ADR (RENN)		Purchase	06/07/2022	\$50,001 - \$100,000
332	Renren Inc ADR (RENN)		Purchase	06/08/2022	\$50,001 - \$100,000
333	Landec Corp (LNDC)		Sale	06/09/2022	\$1,001 - \$15,000
334	Biohaven Pharma (BHVN)		Purchase	06/09/2022	\$100,001 - \$250,000
335	Marathon Digital (MARA)		Purchase	06/09/2022	\$50,001 - \$100,000
336	Renren Inc ADR (RENN)		Purchase	06/09/2022	\$100,001 - \$250,000
337	Qorvo (QRVO)		Purchase	06/09/2022	\$100,001 - \$250,000
338	Anaplan Inc (PLAN)		Purchase	06/10/2022	\$100,001 - \$250,000
339	Biohaven Pharma (BHVN)		Purchase	06/10/2022	\$100,001 - \$250,000
340	Marathon Digital (MARA)		Purchase	06/10/2022	\$15,001 - \$50,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
341	Qorvo (QRVO)		Purchase	06/10/2022	\$250,001 - \$500,000
342	Renren Inc ADR (RENN)		Purchase	06/10/2022	\$50,001 - \$100,000
343	Sailpoint Technologies (SAIL)		Purchase	06/10/2022	\$100,001 - \$250,000
344	Anaplan Inc (PLAN)		Purchase	06/13/2022	\$100,001 - \$250,000
345	Appian Corp (APPN)		Purchase	06/13/2022	\$50,001 - \$100,000
346	Biohaven Pharma (BHVN)		Purchase	06/13/2022	\$100,001 - \$250,000
347	Fiserv Inc (FISV)		Purchase	06/13/2022	\$100,001 - \$250,000
348	Marathon Digital (MARA)		Purchase	06/13/2022	\$15,001 - \$50,000
349	Peloton Interactive Inc Class A (PTON)		Purchase	06/13/2022	\$15,001 - \$50,000
350	Put options on S&P 500 Index (SPXW 15JUN22 3500 P)	See Endnote	Sale	06/13/2022	\$1,001 - \$15,000
351	Qorvo (QRVO)		Purchase	06/13/2022	\$100,001 - \$250,000
352	Renren Inc ADR (RENN)		Purchase	06/13/2022	\$50,001 - \$100,000
353	Sailpoint Technologies (SAIL)		Purchase	06/13/2022	\$250,001 - \$500,000
354	Viasat Inc (VSAT)		Purchase	06/13/2022	\$100,001 - \$250,000
355	Fiserv Inc (FISV)		Purchase	06/14/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
356	Invesco Nasdaq 100 ETF (QQQ)		Purchase	06/14/2022	\$250,001 - \$500,000
357	Renren Inc ADR (RENN)		Purchase	06/14/2022	\$15,001 - \$50,000
358	Sailpoint Technologies (SAIL)		Purchase	06/14/2022	\$50,001 - \$100,000
359	SPDR S&P 500 ETF (SPY)		Purchase	06/14/2022	\$250,001 - \$500,000
360	Sailpoint Technologies (SAIL)		Sale	06/14/2022	\$15,001 - \$50,000
361	Viasat Inc (VSAT)		Purchase	06/14/2022	\$15,001 - \$50,000
362	Appian Corp (APPN)		Purchase	06/15/2022	\$50,001 - \$100,000
363	Biohaven Pharma (BHVN)		Sale	06/15/2022	\$100,001 - \$250,000
364	Call options on Tivity Health Inc (TVTY 19AUG22 35 C)	See Endnote	Sale	06/15/2022	\$1,001 - \$15,000
365	Invesco Nasdaq 100 ETF (QQQ)		Sale	06/15/2022	\$250,001 - \$500,000
366	Qorvo (QRVO)		Sale	06/15/2022	\$50,001 - \$100,000
367	Put options on Sailpoint Technologies (SAIL 16DEC22 60 P)		Purchase	06/15/2022	\$1,001 - \$15,000
368	SPDR S&P 500 ETF (SPY)		Sale	06/15/2022	\$250,001 - \$500,000
369	Tivity Health Inc (TVTY)		Purchase	06/15/2022	\$250,001 - \$500,000
370	Tivity Health Inc (TVTY)		Sale	06/15/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
371	Qorvo (QRVO)		Purchase	06/16/2022	\$50,001 - \$100,000
372	Biohaven Pharma (BHVN)		Sale	06/17/2022	\$15,001 - \$50,000
373	Call options on Marathon Digital (MARA 01JUL22 10.5 C)		Purchase	06/17/2022	\$1,001 - \$15,000
374	Call options on Marathon Digital (MARA 08JUL22 9.0 C)		Purchase	06/17/2022	\$1,001 - \$15,000
375	Invesco Nasdaq 100 ETF (QQQ)	See Endnote	Sale	06/17/2022	\$500,001 - \$1,000,000
376	Nielsen Holdings PLC (NLSN)		Purchase	06/17/2022	\$1,001 - \$15,000
377	Put options on Biohaven Pharma (BHVN 17JUN22 135 P)		Purchase	06/17/2022	\$1,001 - \$15,000
378	Put options on Biohaven Pharma (BHVN 17JUN22 80 P)	See Endnote	Sale	06/17/2022	\$1,001 - \$15,000
379	Put options on Biohaven Pharma (BHVN 17JUN22 130 P)		Purchase	06/17/2022	\$1,001 - \$15,000
380	Qorvo (QRVO)		Sale	06/17/2022	\$100,001 - \$250,000
381	Anaplan Inc (PLAN)		Sale	06/21/2022	\$500,001 - \$1,000,000
382	Anaplan Inc (PLAN)		Purchase	06/21/2022	\$250,001 - \$500,000
383	Appian Corp (APPN)		Sale	06/23/2022	\$50,001 - \$100,000
384	Tivity Health Inc. (TVTY)		Sale	06/22/2022	\$100,001 - \$250,000
385	Appian Corp (APPN)		Sale	06/24/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
386	Fiserv Inc (FISV)		Sale	06/24/2022	\$50,001 - \$100,000
387	Invesco Nasdaq 100 ETF (QQQ)	See Endnote	Sale	06/24/2022	\$250,001 - \$500,000
388	Call options on Biohaven Pharma (BHAVN 21OCT22 175 C)	See Endnote	Sale	06/24/2022	\$1,001 - \$15,000
389	Put options on Zendesk Inc (ZEN 01JUL22 71 P)		Purchase	06/27/2022	\$1,001 - \$15,000
390	Put options on Zendesk Inc (ZEN 29JUL22 70 P)	See Endnote	Sale	06/27/2022	\$1,001 - \$15,000
391	Tivity Health Inc (TVTY)		Sale	06/27/2022	\$50,001 - \$100,000
392	Zendesk Inc (ZEN)		Purchase	06/27/2022	\$500,001 - \$1,000,000
393	Biohaven Pharma (BHAVN)	See Endnote	Sale	06/28/2022	\$250,001 - \$500,000
394	Call options on Biohaven Pharma (BHAVN 16DEC22 145 C)		Purchase	06/28/2022	\$15,001 - \$50,000
395	Call options on Biohaven Pharma (BHAVN 21OCT22 150 C)	See Endnote	Sale	06/28/2022	\$1,001 - \$15,000
396	Citrix Systems (CTXS)		Purchase	06/28/2022	\$250,001 - \$500,000
397	Inotiv Inc (NOTV)		Purchase	06/28/2022	\$15,001 - \$50,000
398	LM Funding America (LMFA)		Purchase	06/28/2022	\$1,001 - \$15,000
399	Mandiant Inc (MNDT)		Purchase	06/28/2022	\$15,001 - \$50,000
400	Marathon Digital (MARA)		Purchase	06/28/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
401	Put options on Marathon Digital (MARA 20JAN23 1 P)	See Endnote	Sale	06/28/2022	\$1,001 - \$15,000
402	Renren Inc (RENN)		Purchase	06/28/2022	\$250,001 - \$500,000
403	Sailpoint Technologies (SAIL)		Sale	06/28/2022	\$50,001 - \$100,000
404	Zendesk Inc (ZEN)		Purchase	06/28/2022	\$15,001 - \$50,000
405	Biohaven Pharma (BHVN)		Sale	06/29/2022	\$500,001 - \$1,000,000
406	Mandiant Inc (MNDR)		Purchase	06/29/2022	\$15,001 - \$50,000
407	Moneygram International (MGI)		Purchase	06/29/2022	\$1,001 - \$15,000
408	Qorvo (QRVO)		Purchase	06/29/2022	\$1,001 - \$15,000
409	Renren Inc (RENN)		Purchase	06/29/2022	\$15,001 - \$50,000
410	Call options on Biohaven Pharma (BHVN 20JAN23 150 C)		Purchase	06/30/2022	\$1,001 - \$15,000
411	Call options on Zendesk Inc (ZEN 19AUG22 75 C)	See Endnote	Sale	06/30/2022	\$1,001 - \$15,000
412	Invesco Nasdaq 100 ETF (QQQ)		Purchase	06/30/2022	\$250,001 - \$500,000
413	Mandiant Inc (MNDR)		Purchase	06/30/2022	\$15,001 - \$50,000
414	Moneygram International (MGI)		Purchase	06/30/2022	\$1,001 - \$15,000
415	Nielsen Holdings PLC (NLSN)		Purchase	06/30/2022	\$15,001 - \$50,000
416	Sailpoint Technologies (SAIL)		Purchase	06/30/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
417	Tenneco Inc (TEN)	Purchase	06/30/2022	\$50,001 - \$100,000
418	Zendesk Inc (ZEN)	Purchase	06/30/2022	\$50,001 - \$100,000
419	Qorvo (QRVO)	Purchase	07/01/2022	\$50,001 - \$100,000
420	Sailpoint Technologies (SAIL)	Sale	07/01/2022	\$100,001 - \$250,000
421	Zendesk Inc (ZEN)	Purchase	07/01/2022	\$100,001 - \$250,000
422	Appian Corp (APPN)	Sale	07/05/2022	\$15,001 - \$50,000
423	Appian Corp (APPN)	Sale	07/05/2022	\$15,001 - \$50,000
424	Biohaven Pharma (BHVN)	Sale	07/05/2022	\$50,001 - \$100,000
425	Citrix Systems (CTXS)	Sale	07/05/2022	\$50,001 - \$100,000
426	Qorvo (QRVO)	Sale	07/05/2022	\$15,001 - \$50,000
427	Sailpoint Technologies (SAIL)	Sale	07/05/2022	\$15,001 - \$50,000
428	Shaw Communications (SJR)	Purchase	07/05/2022	\$1,001 - \$15,000
429	Shaw Communications (SJR)	Purchase	07/05/2022	\$50,001 - \$100,000
430	Qorvo (QRVO)	Sale	07/06/2022	\$15,001 - \$50,000
431	Renren Inc (RENN)	Purchase	07/06/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
432	Zendesk Inc (ZEN)		Purchase	07/06/2022	\$50,001 - \$100,000
433	Citrix Systems (CTXS)		Sale	07/07/2022	\$15,001 - \$50,000
434	Qorvo (QRVO)		Sale	07/07/2022	\$15,001 - \$50,000
435	ARK Innovation ETF (ARKK)	See Endnote	Sale	07/08/2022	\$15,001 - \$50,000
436	Biohaven Pharma (BHVN)		Sale	07/08/2022	\$100,001 - \$250,000
437	Mandiant Inc (MNDT)		Sale	07/08/2022	\$15,001 - \$50,000
438	Renren Inc (RENN)		Purchase	07/08/2022	\$100,001 - \$250,000
439	Tenneco Inc (TEN)		Sale	07/08/2022	\$15,001 - \$50,000
440	Call options on Meridian Bioscience Inc (VIVO 21OCT22 35 C)	See Endnote	Sale	07/11/2022	\$1,001 - \$15,000
441	Meridian Bioscience Inc (VIVO)		Purchase	07/11/2022	\$100,001 - \$250,000
442	Put options on Meridian Bioscience Inc (VIVO 20JAN23 30 P)		Purchase	07/11/2022	\$1,001 - \$15,000
443	Renren Inc (RENN)		Purchase	07/11/2022	\$100,001 - \$250,000
444	Call options on Meridian Bioscience Inc (VIVO 21OCT22 35 C)	See Endnote	Sale	07/12/2022	\$1,001 - \$15,000
445	Meridian Bioscience Inc (VIVO)		Purchase	07/12/2022	\$100,001 - \$250,000
446	Sailpoint Technologies (SAIL)		Sale	07/13/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
447	Call options on Meridian Bioscience Inc (VIVO 21OCT22 35 C)	See Endnote	Sale	07/14/2022	\$1,001 - \$15,000
448	Meridian Bioscience Inc (VIVO)		Purchase	07/14/2022	\$100,001 - \$250,000
449	Kohls Corp (KSS)		Purchase	07/14/2022	\$50,001 - \$100,000
450	Put options on Meridian Bioscience Inc (VIVO 20JAN23 30 P)		Purchase	07/14/2022	\$1,001 - \$15,000
451	Tenneco Inc (TEN)		Sale	07/14/2022	\$15,001 - \$50,000
452	ARK Innovation ETF (ARKK)	See Endnote	Sale	07/18/2022	\$15,001 - \$50,000
453	Biohaven Pharma (BHVN)		Sale	07/18/2022	\$100,001 - \$250,000
454	Call options on Biohaven Pharma (BHVN 20JAN23 150 C)		Purchase	07/18/2022	\$1,001 - \$15,000
455	Call options on Meridian Bioscience Inc (VIVO 21OCT22 35 C)	See Endnote	Sale	07/18/2022	\$1,001 - \$15,000
456	Invesco Nasdaq 100 ETF (QQQ)	See Endnote	Sale	07/18/2022	\$250,001 - \$500,000
457	Marathon Digital (MARA)		Sale	07/18/2022	\$15,001 - \$50,000
458	Meridian Bioscience Inc (VIVO)		Purchase	07/18/2022	\$100,001 - \$250,000
459	Put options on Meridian Bioscience Inc (VIVO 20JAN23 30 P)		Purchase	07/18/2022	\$1,001 - \$15,000
460	SPDR S&P 500 ETF (SPY)	See Endnote	Sale	07/18/2022	\$250,001 - \$500,000
461	Call options on Marathon Digital (MARA 20JAN23 30 C)		Sale	07/19/2022	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
462	Call options on Marathon Digital (MARA 20JAN23 37 C)		Sale	07/19/2022	\$1,001 - \$15,000
463	Mandiant Inc (MNDT)		Sale	07/19/2022	\$50,001 - \$100,000
464	Marathon Digital (MARA)		Sale	07/19/2022	\$50,001 - \$100,000
465	Qorvo (QRVO)		Sale	07/19/2022	\$15,001 - \$50,000
466	Vanguard Small Cap Growth ETF (VBK)	See Endnote	Sale	07/19/2022	\$100,001 - \$250,000
467	ARK Innovation ETF (ARKK)	See Endnote	Sale	07/20/2022	\$15,001 - \$50,000
468	Call options on Meridian Bioscience Inc (VIVO 20JAN23 30 C)		Purchase	07/20/2022	\$1,001 - \$15,000
469	Marathon Digital (MARA)		Sale	07/20/2022	\$50,001 - \$100,000
470	Vanguard Small Cap Growth ETF (VBK)	See Endnote	Sale	07/20/2022	\$100,001 - \$250,000
471	Sailpoint Technologies (SAIL)		Sale	07/20/2022	\$15,001 - \$50,000
472	Biohaven Pharma (BHVN)		Sale	07/21/2022	\$100,001 - \$250,000
473	Qorvo (QRVO)		Sale	07/21/2022	\$50,001 - \$100,000
474	Shaw Communications (SJR)		Purchase	07/21/2022	\$1,001 - \$15,000
475	Biohaven Pharma (BHVN)		Sale	07/25/2022	\$100,001 - \$250,000
476	Tenneco Inc (TEN)		Sale	07/25/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
477	Call options on Biohaven Pharma (BHAVN 20JAN23 150 C)		Purchase	07/26/2022	\$1,001 - \$15,000
478	Call options on Zendesk Inc (ZEN 19JAN24 70 C)		Purchase	07/26/2022	\$1,001 - \$15,000
479	Biohaven Pharma (BHAVN)		Sale	07/27/2022	\$250,001 - \$500,000
480	Call options on Mandiant Inc (MNDT 16SEP22 20 C)		Purchase	07/27/2022	\$15,001 - \$50,000
481	Call options on Zendesk Inc (ZEN 19JAN24 80 C)	See Endnote	Sale	07/27/2022	\$1,001 - \$15,000
482	Meridian Bioscience Inc (VIVO)		Purchase	07/27/2022	\$50,001 - \$100,000
483	Put options on Zendesk Inc (ZEN 20JAN23 65 P)	See Endnote	Sale	07/27/2022	\$1,001 - \$15,000
484	Call options on Meridian Bioscience Inc (VIVO 21OCT22 35 C)	See Endnote	Sale	07/28/2022	\$1,001 - \$15,000
485	Call options on Zendesk Inc (ZEN 20JAN23 90 C)	See Endnote	Sale	07/28/2022	\$1,001 - \$15,000
486	Invesco Nasdaq 100 ETF (QQQ)	See Endnote	Sale	07/28/2022	\$100,001 - \$250,000
487	Marathon Digital (MARA)		Sale	07/28/2022	\$15,001 - \$50,000
488	Meridian Bioscience Inc (VIVO)		Purchase	07/28/2022	\$15,001 - \$50,000
489	Put options on Meridian Bioscience Inc (VIVO 20JAN23 30 P)		Purchase	07/28/2022	\$1,001 - \$15,000
490	Invesco Nasdaq 100 ETF (QQQ)	See Endnote	Sale	07/29/2022	\$100,001 - \$250,000
491	Marathon Digital (MARA)		Sale	07/29/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
492	Sailpoint Technologies (SAIL)		Sale	07/29/2022	\$15,001 - \$50,000
493	SPDR S&P 500 ETF (SPY)	See Endnote	Sale	07/29/2022	\$250,001 - \$500,000
494	Zendesk Inc (ZEN)		Sale	07/29/2022	\$100,001 - \$250,000
495	Tufin Software Tech (TUFN)		Purchase	07/29/2022	\$50,001 - \$100,000
496	Amplify Energy Corp (AMPY)		Purchase	08/01/2022	\$50,001 - \$100,000
497	ARK Innovation ETF (ARKK)	See Endnote	Sale	08/01/2022	\$15,001 - \$50,000
498	Put options on Biohaven Pharma (BHVN 20JAN23 140 P)		Purchase	08/01/2022	\$15,001 - \$50,000
499	Put options on Biohaven Pharma (BHVN 20JAN23 145 P)	See Endnote	Sale	08/01/2022	\$50,001 - \$100,000
500	Call options on Zendesk Inc (ZEN 19JAN24 80 C)	See Endnote	Sale	08/02/2022	\$1,001 - \$15,000
501	Citrix Systems (CTXS)		Sale	08/02/2022	\$50,001 - \$100,000
502	Sailpoint Technologies (SAIL)		Sale	08/02/2022	\$15,001 - \$50,000
503	Amplify Energy Corp (AMPY)		Purchase	08/03/2022	\$1,001 - \$15,000
504	ARK Innovation ETF (ARKK)	See Endnote	Sale	08/03/2022	\$15,001 - \$50,000
505	Atlas Air Worldwide (AAWW)		Purchase	08/03/2022	\$1,000,001 - \$5,000,000
506	Call options on Atlas Air (AAWW 19AUG22 105 C)	See Endnote	Sale	08/03/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
507	Call options on Atlas Air (AAWW 19AUG22 100 C)	See Endnote	Sale	08/03/2022	\$1,001 - \$15,000
508	Call options on Atlas Air (AAWW 19AUG22 95 C)		Purchase	08/03/2022	\$1,001 - \$15,000
509	Call options on Atlas Air (AAWW 19AUG22 97.5 C)	See Endnote	Sale	08/03/2022	\$15,001 - \$50,000
510	Fiserv Inc (FISV)		Sale	08/03/2022	\$15,001 - \$50,000
511	Invesco Nasdaq 100 ETF (QQQ)	See Endnote	Sale	08/03/2022	\$250,001 - \$500,000
512	Put options on Atlas Air (AAWW 16SEP22 80 P)		Purchase	08/03/2022	\$1,001 - \$15,000
513	Meridian Bioscience Inc (VIVO)		Sale	08/03/2022	\$50,001 - \$100,000
514	Put options on Atlas Air (AAWW 19AUG22 95 P)		Purchase	08/03/2022	\$15,001 - \$50,000
515	Sailpoint Technologies (SAIL)		Sale	08/03/2022	\$15,001 - \$50,000
516	Sailpoint Technologies (SAIL)		Sale	08/03/2022	\$15,001 - \$50,000
517	Atlas Air Worldwide (AAWW)		Sale	08/04/2022	\$500,001 - \$1,000,000
518	Atlas Air Worldwide (AAWW)		Purchase	08/04/2022	\$50,001 - \$100,000
519	Biohaven Pharma (BHVN)		Sale	08/04/2022	\$250,001 - \$500,000
520	Call options on Atlas Air (AAWW 19AUG22 100 C)	See Endnote	Sale	08/04/2022	\$1,001 - \$15,000
521	Call options on Atlas Air (AAWW 19AUG22 97.5 C)		Purchase	08/04/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
522	Call options on ChemoCentryx Inc (CCXI 20JAN23 40 C)		Purchase	08/04/2022	\$1,001 - \$15,000
523	Call options on ChemoCentryx Inc (CCXI 20JAN23 43 C)		Purchase	08/04/2022	\$1,001 - \$15,000
524	Call options on ChemoCentryx Inc (CCXI 20JAN23 45 C)	See Endnote	Sale	08/04/2022	\$1,001 - \$15,000
525	Call options on ChemoCentryx Inc (CCXI 20JAN23 47 C)	See Endnote	Sale	08/04/2022	\$1,001 - \$15,000
526	Call options on ChemoCentryx Inc (CCXI 20JAN23 50 C)	See Endnote	Sale	08/04/2022	\$1,001 - \$15,000
527	Marathon Digital (MARA)		Sale	08/04/2022	\$50,001 - \$100,000
528	Put options on Atlas Air (AAWW 19AUG22 97.5 P)	See Endnote	Sale	08/04/2022	\$1,001 - \$15,000
529	Put options on Biohaven Pharma (BHVN 20JAN23 140 P)		Purchase	08/04/2022	\$1,001 - \$15,000
530	Put options on Biohaven Pharma (BHVN 20JAN23 145 P)	See Endnote	Sale	08/04/2022	\$1,001 - \$15,000
531	Zendesk Inc (ZEN)		Sale	08/04/2022	\$50,001 - \$100,000
532	Atlas Air Worldwide (AAWW)		Sale	08/05/2022	\$250,001 - \$500,000
533	Put options on ChemoCentryx Inc (CCXI 20JAN23 43 P)		Purchase	08/05/2022	\$1,001 - \$15,000
534	Call options on Atlas Air (AAWW 19AUG22 97.5 C)		Purchase	08/05/2022	\$1,001 - \$15,000
535	Put options on ChemoCentryx Inc (CCXI 20JAN23 47 P)	See Endnote	Sale	08/05/2022	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Interactive Brokers	Margin loan	Over \$1,000,000	2022	approx 3.25%	revolving

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	10.1	Privately held color technology company.
6.	11.1	Privately held color technology company.
6.	16	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	17	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	18	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	19	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	20	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry



PART	#	ENDNOTE
6.	52	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	53	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	64	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	66	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	72	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	73	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	74	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	75	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	76	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	78	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	79	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	80	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	81	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	82	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry
6.	83	No income is listed for this holding in this entry, but if there has been any income attributable to this holding during the reporting period, it is reported in a separate entry





PART	#	ENDNOTE
6.	102	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	105	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	115	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	122	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	129	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	132	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	138	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	144	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	147	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	149	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	150	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	153	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	154	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	157	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	167	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes

PART	#	ENDNOTE
6.	169	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	170	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
6.	179	Closed options positions listed in this part 6 may have been long or short, and may have included calls and/or puts of varying strikes
7.	4	Closing short position
7.	98	Short sale
7.	99	Short sale
7.	100	Short sale
7.	101	Short sale
7.	102	Short sale
7.	103	Short cover
7.	104	Short cover
7.	105	Short cover
7.	106	Short cover
7.	107	Short cover
7.	108	Short sale
7.	132	Short sale
7.	133	Short sale
7.	141	Short cover
7.	142	Short cover
7.	143	Short cover
7.	144	Short cover

PART	#	ENDNOTE
7.	145	Short cover
7.	146	Short cover
7.	147	Short cover
7.	148	Short cover
7.	149	Short cover
7.	150	Short cover
7.	151	Short cover
7.	152	Short cover
7.	153	Short cover
7.	154	Short cover
7.	155	Short cover
7.	156	Short cover
7.	157	Short cover
7.	158	Short cover
7.	159	Short cover
7.	160	Short cover
7.	168	Short sale
7.	170	Short cover
7.	171	Short sale
7.	172	Short sale
7.	173	Short sale
7.	174	Short sale

PART	#	ENDNOTE
7.	175	Short sale
7.	177	Short cover
7.	205	Short sale
7.	237	Short sale
7.	238	Short sale
7.	247	Short sale
7.	249	Short sale
7.	257	Short sale
7.	258	Short sale
7.	259	Short sale
7.	261	Short cover
7.	267	Short cover
7.	270	Short sale
7.	273	Short sale
7.	275	Short sale
7.	277	Short sale
7.	278	Short cover
7.	279	Short cover
7.	281	Short sale
7.	282	Short sale
7.	288	Short sale
7.	289	Short sale

PART	#	ENDNOTE
7.	290	Short sale
7.	291	Short sale
7.	307	Short cover
7.	314	Short sale
7.	315	Short sale
7.	330	Short sale
7.	350	Short sale
7.	364	Short sale
7.	375	Short sale
7.	378	Short sale
7.	387	Short sale
7.	388	Short sale
7.	390	Short sale
7.	393	Extension received (applies to all)
7.	395	Short sale
7.	401	Short sale
7.	411	Short sale
7.	435	Short sale
7.	440	Short sale
7.	444	Short sale
7.	447	Short sale
7.	452	Short sale

PART	#	ENDNOTE
7.	455	Short sale
7.	456	Short sale
7.	460	Short sale
7.	466	Short sale
7.	467	Short sale
7.	470	Short sale
7.	481	Short sale
7.	483	Short sale
7.	484	Short sale
7.	485	Short sale
7.	486	Short sale
7.	490	Short sale
7.	493	Short sale
7.	497	Short sale
7.	499	Short sale
7.	500	Short sale
7.	504	Short sale
7.	506	Short sale
7.	507	Short sale
7.	509	Short sale
7.	511	Short sale
7.	520	Short sale

PART	#	ENDNOTE
7.	524	Short sale
7.	525	Short sale
7.	526	Short sale
7.	528	Short sale
7.	530	Short sale
7.	535	Short sale



# 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).

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