

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

Filer's Information

Petsonk, Carol

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

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

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

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

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

/s/ Petsonk, Carol [electronically signed on 05/15/2022 by Petsonk, Carol 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/ Carlson, Terence W, Certifying Official [electronically signed on 06/02/2022 by Carlson, Terence W in Integrity.gov]

Other review conducted by

/s/ Deavers, Lynn, Ethics Official [electronically signed on 06/02/2022 by Deavers, Lynn in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Environmental Defense Fund, Inc.	Washington, District of Columbia	Non-Profit	International Counsel	3/1995	1/2021
2	George Washington University	Washington, District of Columbia	University/College	Professorial Lecturer in Law	1/1995	5/2021
3	2814 Pleasant Valley Properties, LLC	Altoona, Pennsylvania	Corporation	Managing Partner	11/2010	Present
4	Family Trust #1	Altoona, Pennsylvania	Trust	Co-Trustee	12/1988	Present
5	Family Trust #2	Altoona, Pennsylvania	Trust	Co-Trustee	12/1996	Present
6	Family Trust #3	Altoona, Pennsylvania	Trust	Co-Trustee	6/2011	Present
7	Family Trust #4	Altoona, Pennsylvania	Trust	Co-Trustee	12/1988	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Environmental Defense Fund, Inc.	N/A		Salary	\$19,958
2	George Washington University	N/A		Salary	\$454
3	IRA#1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	BlackRock U.S. Government Bond Portfolio Investor A Shares (CIGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	IRA#2	No			
4.1	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	IRA#3	No			
5.1	cash (U.S. Bank)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	IRA#4	No			
6.1	Cash (U.S. Bank)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	Environmental Defense Fund, Inc. 403(b) plan	No			
7.1	Lord Abbett Short Duration Income Fund Class R6 (LDLVX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
7.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
7.3	Fidelity Mid Cap Index Fund (FSMDX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.4	Fidelity Small Cap Index Fund (FSSNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Inherited IRA	No		Cash distributions.	\$1,342
8.1	AB Income Fund Advisor Class Shares (ACGYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	Lord Abbett Growth Leaders Fund Class A Shares (LGLAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	Putnam Master Intermediate Income Trust (PIM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

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

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse IRA #1	No			
1.1	ADMA Biologics Inc. (ADMA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	Newmark Group Inc. (NMRK)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3	Agile Therapeutics Inc. (AGRX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Magnite (MGNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Spouse IRA #2	No			
2.1	ADMA Biologics Inc. (ADMA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	PRIMECAP Odyssey Growth Fund (POGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Xenon Pharmaceuticals Inc. (XENE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Spouse IRA #3	No		Cash distributions.	\$18,118
3.1	Vanguard Capital Opportunity Fund Investor Shares (VHCOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	ADMA Biologics Inc (ADMA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.4	Altimune Inc. (ALT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Baozun Inc. (BZUN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	HSBC Holdings PLC (HSBC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	Inhibrx Inc. (INBX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.8	Wells Fargo & Co. (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	Vanguard Health Care Fund Admiral Shares (VGHAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.10	Dodge & Cox International Stock Fund (DODFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	ICICI Bank Stock (IBN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Spouse IRA #4	No		Cash distributions.	\$33,287
4.1	Standard Chartered ADR (SCBFY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.2	Fidelity Software and IT Services Portfolio (FSCSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.3	Fidelity Health Care Portfolio (FSPHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	Wasatch Emerging Markets Small Cap Fund Institutional Class (WIEMX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.5	Alibaba Group Holding Ltd - ADR (BABA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.6	HDFC Bank (HDB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.7	ICICI Bank (IBN)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.8	Inhibrx Inc. (INBX)	N/A	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Vanguard PRIMECAP Fund Investor Shares (VPMCX)		Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
4	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5	GeorgePutnam Balanced Fund Class A Shares (PGEOX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	Nuveen Intermediate Duration Municipal Bond Fund Class I Shares (NUVBX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	Putnam Strategic Intermediate Municipal Fund (PPNAX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8	Allspring Omega Growth Fund (EKOAX)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9	M&T Bank Corp. (MTB)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10	Tri-Continental Corporation (TY)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	2814 Pleasant Valley Properties, LLC	See Endnote	No			
11.1	U.S. Bank #1 (cash) (property management account)		N/A	\$100,001 - \$250,000		None (or less than \$201)
11.2	Commercial real estate, Altoona, PA		N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
12	Trust #1 for dependent child		No			
12.1	Vanguard STAR Fund Investor Shares (VGSTX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.2	Vanguard International Growth Fund Admiral Shares (VWILX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
12.3	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.4	Vanguard Emerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.5	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
12.6	Vanguard Windsor II Fund Investor Shares (VWNFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
12.7	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
12.8	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.9	Vanguard Health Care Fund Investor Shares (VGHCX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.10	Vanguard International Value Fund Investor Shares (VTRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.11	Vanguard Windsor II Fund Admiral Shares (VWNAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
13	U.S. Bank #2 (cash) (credit union account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	JALC-DD Joint Venture (real estate)	See Endnote	No		
14.1	Commercial property, Wye Switches, PA	N/A	\$15,001 - \$50,000	Rent or Royalties	\$5,001 - \$15,000
15	Office Depot, Inc. (ODP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
16	DC 529 Account (Spouse)	No			
16.1	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	DC 529 Account	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1	DC 529 Fund 1004 DC College Savings 2025 Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
17.2	DC 529 Fund 1009 Intermediate-Term Bond Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.3	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.4	DC 529 Fund 1010 U.S. Large Cap Equity Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Vanguard Health Care Fund Admiral Shares (VGHAX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
19	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20	BGC Partners, Inc. (BGCP)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$100,001 - \$1,000,000
21	Inhibrx (INBX)	N/A	Over \$1,000,000		None (or less than \$201)
22	Broadcom, Inc. (AVGO)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
23	Agile Therapeutics, Inc. (AGRX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
24	Standard Chartered Bank (STAN.L)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
25	HDFC Bank (HDB)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
26	QUALCOMM, Inc. (QCOM)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
27	ADMA Biologics, Inc. (ADMA)	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	JD.com (JD)	N/A	\$100,001 - \$250,000		None (or less than \$201)
29	Wells Fargo & Co. (WFC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
30	Xenon (XENE)	N/A	\$100,001 - \$250,000		None (or less than \$201)
31	Newmark Group, Inc. (NMRK)	N/A	\$250,001 - \$500,000	Dividends	\$201 - \$1,000
32	Bristol-Myers Squibb (BMY)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
33	Ericsson (ERIC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
34	AstraZeneca (AZN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
35	iShares MSCI Taiwan ETF (EWT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
36	Matthews Emerging Markets Small Companies Institutional Class (MISMIX)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
37	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
38	Charter Communications, Inc. (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	Cigna Corp. (CI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
40	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
41	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	Dow, Inc. (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
45	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
46	IDACORP, Inc. (IDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	Intel Corp. (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
48	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
49	Kadant, Inc. (KAI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	KraneShares CSI China Internet ETF (KWEB)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
51	Magnite (MGNI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
52	Microsoft Corp. (MSFT)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
53	Nutrien (NTR)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$15,001 - \$50,000
54	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
55	Baozun (BZUN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
56	Fidelity National Information Services, Inc. (FIS)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
57	Pagseguro Digital LTD (PAGS)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
59	Koninklijke Philips NV (PHG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
60	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
61	iShares MSCI India Small-Cap ETF (SMIN)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
62	Stone Co. LTD CL A (STNE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
63	Thermo Fisher Scientific, Inc. (TMO)	N/A	Over \$1,000,000	Capital Gains Dividends	\$100,001 - \$1,000,000
64	TRI Pointe Homes, Inc. (TPH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
65	Marriott Vacations Worldwide Corp. (VAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
66	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
67	Janus Henderson Overseas Fund Class D Shares (JNOSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
68	Fidelity Government Money Market Fund (SPAXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
69	US brokerage (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
70	W.P. Carey, Inc. (WPC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
71	Vanguard Federal Money Market Fund (VMFXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
72	Trust #2 for dependent child	See Endnote	No		\$100,001 - \$250,000 None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
73	ICICI Bank Stock (IBN)	N/A	\$250,001 - \$500,000	Dividends	\$201 - \$1,000
74	Pubmatic, Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
75	Merck & Co., Inc. (MRK)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
76	Organon & Co. (OGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
77	HSBC Holdings PLC (HSBC)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$1,001 - \$2,500
78	Global Payments, Inc. (GPN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	ADMA Biologics, Inc. (ADMA)	See Endnote	Purchase	01/28/2021	\$1,001 - \$15,000
2	ADMA Biologics, Inc. (ADMA)	See Endnote	Purchase	01/28/2021	\$1,001 - \$15,000
3	Exxon Mobil Corp. (XOM)		Sale	02/01/2021	\$1,001 - \$15,000
4	Bristol-Myers Squibb (BMY)		Purchase	02/10/2021	\$1,001 - \$15,000
5	Bristol-Myers Squibb (BMY)		Purchase	02/10/2021	\$1,001 - \$15,000
6	L3Harris Technologies, Inc. (LHX)		Sale	02/12/2021	\$15,001 - \$50,000
7	ConocoPhillips (COP)		Sale	02/12/2021	\$1,001 - \$15,000
8	Phillips 66 (PSX)		Sale	02/12/2021	\$1,001 - \$15,000
9	Enbridge (ENB)		Sale	02/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
10	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
11	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
12	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$1,001 - \$15,000
13	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
14	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
15	Alibaba (BABA)	Sale	02/16/2021	\$50,001 - \$100,000
16	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
17	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
18	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$1,001 - \$15,000
19	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
20	Inhibrx, Inc. (INBX)	Purchase	02/16/2021	\$15,001 - \$50,000
21	ADMA Biologics, Inc. (ADMA)	Purchase	02/23/2021	\$1,001 - \$15,000
22	Inhibrx, Inc. (INBX)	Purchase	02/24/2021	\$15,001 - \$50,000
23	ADMA Biologics, Inc. (ADMA)	Purchase	02/25/2021	\$1,001 - \$15,000
24	ADMA Biologics, Inc. (ADMA)	Purchase	02/25/2021	\$1,001 - \$15,000
25	ADMA Biologics, Inc. (ADMA)	Purchase	02/25/2021	\$1,001 - \$15,000
26	W.P. Carey, Inc. (WPC)	Sale	02/26/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
27	ADMA Biologics, Inc. (ADMA)	Purchase	02/26/2021	\$1,001 - \$15,000
28	ADMA Biologics, Inc. (ADMA)	Purchase	02/26/2021	\$1,001 - \$15,000
29	ADMA Biologics, Inc. (ADMA)	Purchase	02/26/2021	\$1,001 - \$15,000
30	ADMA Biologics, Inc. (ADMA)	Purchase	03/01/2021	\$1,001 - \$15,000
31	Agile Therapeutics, Inc. (AGRX)	Sale	03/02/2021	\$1,001 - \$15,000
32	ADMA Biologics, Inc. (ADMA)	Purchase	03/05/2021	\$1,001 - \$15,000
33	ADMA Biologics, Inc. (ADMA)	Purchase	03/05/2021	\$1,001 - \$15,000
34	ADMA Biologics, Inc. (ADMA)	Purchase	03/05/2021	\$1,001 - \$15,000
35	Inhibrx	Purchase	03/15/2021	\$15,001 - \$50,000
36	W.P. Carey, Inc. (WPC)	Sale	03/15/2021	\$15,001 - \$50,000
37	Inhibrx	Purchase	03/15/2021	\$15,001 - \$50,000
38	ADMA Biologics, Inc. (ADMA)	Purchase	03/23/2021	\$1,001 - \$15,000
39	Inhibrx	Purchase	03/23/2021	\$1,001 - \$15,000
40	ADMA Biologics, Inc. (ADMA)	Sale	03/29/2021	\$1,001 - \$15,000
41	ADMA Biologics, Inc. (ADMA)	Sale	03/29/2021	\$15,001 - \$50,000
42	ADMA Biologics, Inc. (ADMA)	Sale	03/29/2021	\$1,001 - \$15,000
43	ADMA Biologics, Inc. (ADMA)	Sale	03/29/2021	\$15,001 - \$50,000
44	ADMA Biologics, Inc. (ADMA)	Sale	03/29/2021	\$15,001 - \$50,000
45	ADMA Biologics, Inc. (ADMA)	Sale	03/29/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	HSBC Holdings plc	Purchase	04/01/2021	\$50,001 - \$100,000
47	HSBC Holdings plc	Purchase	04/15/2021	\$15,001 - \$50,000
48	HSBC Holdings plc	Purchase	04/15/2021	\$15,001 - \$50,000
49	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
50	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
51	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
52	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
53	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
54	Murphy USA, Inc. (MUSA)	Sale	04/27/2021	\$15,001 - \$50,000
55	HSBC Holdings plc	Purchase	04/01/2021	\$50,001 - \$100,000
56	HSBC Holdings plc	Purchase	04/15/2021	\$15,001 - \$50,000
57	HSBC Holdings plc	Purchase	04/15/2021	\$15,001 - \$50,000
58	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
59	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
60	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
61	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
62	Merck & Co., Inc. (MRK)	Purchase	04/20/2021	\$1,001 - \$15,000
63	Murphy USA, Inc. (MUSA)	Sale	04/27/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	Nutrien Ltd.	Sale	05/03/2021	\$1,001 - \$15,000
65	Agile Therapeutics, Inc. (AGRX)	Purchase	05/03/2021	\$15,001 - \$50,000
66	Agile Therapeutics, Inc. (AGRX)	Purchase	05/03/2021	\$1,001 - \$15,000
67	Inhibrx, Inc.	Purchase	05/05/2021	\$1,001 - \$15,000
68	Nutrien Ltd.	Sale	05/05/2021	\$1,001 - \$15,000
69	ADMA Biologics, Inc. (ADMA)	Purchase	05/07/2021	\$15,001 - \$50,000
70	Nutrien Ltd.	Sale	05/07/2021	\$1,001 - \$15,000
71	ADMA Biologics, Inc. (ADMA)	Purchase	05/07/2021	\$15,001 - \$50,000
72	ADMA Biologics, Inc. (ADMA)	Purchase	05/07/2021	\$15,001 - \$50,000
73	ADMA Biologics, Inc. (ADMA)	Purchase	05/07/2021	\$1,001 - \$15,000
74	ADMA Biologics, Inc. (ADMA)	Purchase	05/07/2021	\$15,001 - \$50,000
75	ADMA Biologics, Inc. (ADMA)	Purchase	05/07/2021	\$15,001 - \$50,000
76	Nutrien Ltd.	Sale	05/11/2021	\$1,001 - \$15,000
77	ICICI Bank Limited	Purchase	05/12/2021	\$1,001 - \$15,000
78	ICICI Bank Limited	Purchase	05/12/2021	\$15,001 - \$50,000
79	Nutrien Ltd.	Sale	05/12/2021	\$1,001 - \$15,000
80	ICICI Bank Limited	Purchase	05/12/2021	\$15,001 - \$50,000
81	ADMA Biologics, Inc. (ADMA)	Purchase	05/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
82	ADMA Biologics, Inc. (ADMA)	Purchase	05/12/2021	\$1,001 - \$15,000
83	ICICI Bank Limited	Purchase	05/13/2021	\$15,001 - \$50,000
84	W.P. Carey, Inc. (WPC)	Purchase	05/13/2021	\$15,001 - \$50,000
85	ICICI Bank Limited	Purchase	05/13/2021	\$1,001 - \$15,000
86	ICICI Bank Limited	Purchase	05/13/2021	\$1,001 - \$15,000
87	ICICI Bank Limited	Purchase	05/13/2021	\$50,001 - \$100,000
88	Limelight Networks, Inc. (LLNW)	Sale	05/17/2021	\$1,001 - \$15,000
89	Magnite, Inc.	Purchase	05/17/2021	\$15,001 - \$50,000
90	Limelight Networks, Inc. (LLNW)	Sale	05/17/2021	\$1,001 - \$15,000
91	HDFC Bank Limited	Purchase	05/25/2021	\$15,001 - \$50,000
92	Thermo Fisher Scientific, Inc. (TMO)	Sale	05/25/2021	\$15,001 - \$50,000
93	ADMA Biologics, Inc. (ADMA)	Purchase	05/25/2021	\$15,001 - \$50,000
94	Thermo Fisher Scientific, Inc. (TMO)	Sale	05/25/2021	\$15,001 - \$50,000
95	HDFC Bank Limited	Purchase	05/26/2021	\$50,001 - \$100,000
96	Thermo Fisher Scientific, Inc. (TMO)	Sale	05/26/2021	\$50,001 - \$100,000
97	BGC Partners, Inc. (BGCP)	Purchase	05/26/2021	\$1,001 - \$15,000
98	ICICI Bank Limited	Purchase	05/26/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
99	Thermo Fisher Scientific, Inc. (TMO)	Sale	05/26/2021	\$50,001 - \$100,000
100	ICICI Bank Limited	Purchase	05/26/2021	\$50,001 - \$100,000
101	Thermo Fisher Scientific, Inc. (TMO)	Sale	05/26/2021	\$50,001 - \$100,000
102	BGC Partners, Inc. (BGCP)	Purchase	05/26/2021	\$1,001 - \$15,000
103	Merck & Co., Inc. (MRK)	Purchase	06/02/2021	\$15,001 - \$50,000
104	Merck & Co., Inc. (MRK)	Purchase	06/02/2021	\$1,001 - \$15,000
105	ICICI Bank Limited	Sale	06/04/2021	\$15,001 - \$50,000
106	Inhibrx, Inc.	Purchase	06/04/2021	\$15,001 - \$50,000
107	ICICI Bank Limited	Purchase	06/04/2021	\$15,001 - \$50,000
108	Inhibrx, Inc.	Sale	06/04/2021	\$15,001 - \$50,000
109	ICICI Bank Limited	Sale	06/07/2021	\$15,001 - \$50,000
110	Inhibrx, Inc.	Purchase	06/07/2021	\$15,001 - \$50,000
111	ICICI Bank	Purchase	06/10/2021	\$100,001 - \$250,000
112	ICICI Bank Limited	Purchase	06/07/2021	\$15,001 - \$50,000
113	Inhibrx, Inc.	Sale	06/07/2021	\$15,001 - \$50,000
114	Thermo Fisher Scientific, Inc. (TMO)	Sale	06/22/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
115	Inhibrx, Inc.	Purchase	06/22/2021	\$1,001 - \$15,000
116	Inhibrx, Inc. (INBX)	Sale	07/22/2021	\$1,001 - \$15,000
117	Alibaba Group Holding Limited American Depositary (BABA)	Sale	07/26/2021	\$100,001 - \$250,000
118	Alibaba Group Holding Limited American Depositary (BABA)	Sale	07/26/2021	\$100,001 - \$250,000
119	Inhibrx, Inc. (INBX)	Sale	07/26/2021	\$15,001 - \$50,000
120	Inhibrx, Inc. (INBX)	Sale	07/26/2021	\$15,001 - \$50,000
121	Alibaba Group Holding Limited American Depositary (BABA)	Sale	07/26/2021	\$50,001 - \$100,000
122	Inhibrx, Inc. (INBX)	Sale	07/29/2021	\$15,001 - \$50,000
123	Inhibrx, Inc. (INBX)	Sale	07/29/2021	\$15,001 - \$50,000
124	Agile Therapeutics, Inc. (AGRX)	Purchase	07/30/2021	\$1,001 - \$15,000
125	AstraZeneca PLC American Depositary Shares (AZN)	Purchase	08/09/2021	\$15,001 - \$50,000
126	Vertex Pharmaceuticals, Inc. (VRTX)	Sale	08/09/2021	\$1,001 - \$15,000
127	AstraZeneca PLC American Depositary Shares (AZN)	Purchase	08/09/2021	\$1,001 - \$15,000
128	Vertex Pharmaceuticals, Inc. (VRTX)	Sale	08/09/2021	\$1,001 - \$15,000
129	Agile Therapeutics, Inc. (AGRX)	Purchase	08/09/2021	\$1,001 - \$15,000
130	AstraZeneca PLC American Depositary Shares (AZN)	Purchase	08/09/2021	\$1,001 - \$15,000
131	AstraZeneca PLC American Depositary Shares (AZN)	Purchase	08/09/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
132	Vertex Pharmaceuticals, Inc. (VRTX)	Sale	08/09/2021	\$1,001 - \$15,000
133	Agile Therapeutics, Inc. (AGRX)	Purchase	08/09/2021	\$1,001 - \$15,000
134	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	08/10/2021	\$15,001 - \$50,000
135	Stone Co. Ltd. (STNE)	Purchase	08/16/2021	\$1,001 - \$15,000
136	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/16/2021	\$1,001 - \$15,000
137	Stone Co. Ltd. (STNE)	Purchase	08/16/2021	\$1,001 - \$15,000
138	Stone Co. Ltd. (STNE)	Purchase	08/17/2021	\$1,001 - \$15,000
139	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/18/2021	\$1,001 - \$15,000
140	ADMA Biologics, Inc. (ADMA)	Purchase	08/18/2021	\$1,001 - \$15,000
141	Stone Co. Ltd. (STNE)	Purchase	08/18/2021	\$15,001 - \$50,000
142	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/18/2021	\$1,001 - \$15,000
143	ADMA Biologics, Inc. (ADMA)	Purchase	08/18/2021	\$1,001 - \$15,000
144	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/19/2021	\$1,001 - \$15,000
145	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/19/2021	\$1,001 - \$15,000
146	ADMA Biologics, Inc. (ADMA)	Purchase	08/23/2021	\$1,001 - \$15,000
147	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/23/2021	\$1,001 - \$15,000
148	ADMA Biologics, Inc. (ADMA)	Purchase	08/23/2021	\$1,001 - \$15,000
149	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/23/2021	\$1,001 - \$15,000
150	ADMA Biologics, Inc. (ADMA)	Purchase	08/23/2021	\$1,001 - \$15,000
151	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/23/2021	\$1,001 - \$15,000
152	ADMA Biologics, Inc. (ADMA)	Purchase	08/23/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
153	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/23/2021	\$1,001 - \$15,000
154	ADMA Biologics, Inc. (ADMA)	Purchase	08/23/2021	\$1,001 - \$15,000
155	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/02/2021	\$15,001 - \$50,000
156	BGC Partners, Inc. (BGCP)	Purchase	09/02/2021	\$15,001 - \$50,000
157	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/02/2021	\$1,001 - \$15,000
158	Stone Co. Ltd. (STNE)	Purchase	09/02/2021	\$1,001 - \$15,000
159	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/02/2021	\$1,001 - \$15,000
160	BGC Partners, Inc. (BGCP)	Purchase	09/02/2021	\$1,001 - \$15,000
161	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/13/2021	\$15,001 - \$50,000
162	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/14/2021	\$1,001 - \$15,000
163	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/14/2021	\$1,001 - \$15,000
164	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/15/2021	\$1,001 - \$15,000
165	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/17/2021	\$1,001 - \$15,000
166	StoneCo Ltd. (STNE)	Purchase	09/20/2021	\$1,001 - \$15,000
167	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/17/2021	\$1,001 - \$15,000
168	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/22/2021	\$1,001 - \$15,000
169	W.P. Carey, Inc. (WPC)	Sale	09/22/2021	\$15,001 - \$50,000
170	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/22/2021	\$1,001 - \$15,000
171	W.P. Carey, Inc. (WPC)	Sale	09/23/2021	\$15,001 - \$50,000
172	BGC Partners, Inc. (BGCP)	Purchase	09/24/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
173	BGC Partners, Inc. (BGCP)	Purchase	09/24/2021	\$1,001 - \$15,000
174	HSBC Holdings plc (HSBC)	Purchase	09/24/2021	\$15,001 - \$50,000
175	W.P. Carey, Inc. (WPC)	Sale	09/27/2021	\$15,001 - \$50,000
176	BGC Partners, Inc. (BGCP)	Purchase	09/27/2021	\$15,001 - \$50,000
177	W.P. Carey, Inc. (WPC)	Sale	09/27/2021	\$1,001 - \$15,000
178	BGC Partners, Inc. (BGCP)	Purchase	09/29/2021	\$15,001 - \$50,000
179	BGC Partners, Inc. (BGCP)	Purchase	09/29/2021	\$1,001 - \$15,000
180	W.P. Carey, Inc. (WPC)	Sale	10/07/2021	\$15,001 - \$50,000
181	BGC Partners, Inc. (BGCP)	Purchase	10/07/2021	\$1,001 - \$15,000
182	BGC Partners, Inc. (BGCP)	Purchase	10/11/2021	\$1,001 - \$15,000
183	STNE (StoneCo. Ltd.)	Purchase	10/22/2021	\$1,001 - \$15,000
184	MGNI (Magnite, Inc.)	Purchase	10/26/2021	\$1,001 - \$15,000
185	Thermo Fisher Scientific, Inc. (TMO)	Sale	10/26/2021	\$1,001 - \$15,000
186	STNE (StoneCo. Ltd.)	Purchase	10/26/2021	\$1,001 - \$15,000
187	MGNI (Magnite, Inc.)	Purchase	10/26/2021	\$1,001 - \$15,000
188	STNE (StoneCo. Ltd.)	Purchase	10/27/2021	\$1,001 - \$15,000
189	Thermo Fisher Scientific, Inc. (TMO)	Sale	10/27/2021	\$1,001 - \$15,000
190	MGNI (Magnite, Inc.)	Purchase	10/27/2021	\$1,001 - \$15,000
191	Thermo Fisher Scientific, Inc. (TMO)	Sale	10/27/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
192	HDB (HDFC Bank Stock)	Purchase	10/28/2021	\$15,001 - \$50,000
193	HSBC Holdings Common Stock	Sale	10/28/2021	\$15,001 - \$50,000
194	Thermo Fisher Scientific, Inc. (TMO)	Sale	10/28/2021	\$1,001 - \$15,000
195	MGNI (Magnite, Inc.)	Purchase	10/28/2021	\$1,001 - \$15,000
196	HDB (HDFC Bank stock)	Purchase	10/28/2021	\$1,001 - \$15,000
197	HSBC Holdings Common Stock	Sale	10/28/2021	\$15,001 - \$50,000
198	HDB (HDFC Bank stock)	Purchase	10/28/2021	\$1,001 - \$15,000
199	FIS (Fidelity National Information Systems stock)	Purchase	11/02/2021	\$1,001 - \$15,000
200	Thermo Fisher Scientific, Inc. (TMO)	Sale	11/02/2021	\$1,001 - \$15,000
201	Thermo Fisher Scientific, Inc. (TMO)	Sale	11/03/2021	\$15,001 - \$50,000
202	Global Payments, Inc. (GPN)	Purchase	11/03/2021	\$15,001 - \$50,000
203	PUBM (PubMatic, Inc.)	Purchase	11/09/2021	\$1,001 - \$15,000
204	PUBM (PubMatic, Inc.)	Purchase	11/09/2021	\$1,001 - \$15,000
205	PUBM (PubMatic, Inc.)	Purchase	11/10/2021	\$1,001 - \$15,000
206	Thermo Fisher Scientific, Inc. (TMO)	Sale	11/03/2021	\$1,001 - \$15,000
207	PUBM (PubMatic, Inc.)	Purchase	11/10/2021	\$1,001 - \$15,000
208	PAGS (Pagseguro Digital Ltd.)	Purchase	11/12/2021	\$1,001 - \$15,000
209	PUBM (PubMatic, Inc.)	Purchase	11/16/2021	\$1,001 - \$15,000
210	BGC Partners, Inc. (BGCP)	Sale	11/17/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
211	BGC Partners, Inc. (BGCP)	Sale	11/17/2021	\$15,001 - \$50,000
212	BGC Partners, Inc. (BGCP)	Sale	11/17/2021	\$15,001 - \$50,000
213	BGC Partners, Inc. (BGCP)	Sale	11/17/2021	\$15,001 - \$50,000
214	PAGS (PagSeguro, Digital Ltd.)se	Purchase	11/17/2021	\$1,001 - \$15,000
215	BGC Partners, Inc. (BGCP)	Sale	11/17/2021	\$15,001 - \$50,000
216	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000
217	BGC Partners, Inc. (BGCP)	Sale	11/17/2021	\$15,001 - \$50,000
218	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000
219	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000
220	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000
221	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000
222	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000
223	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$1,001 - \$15,000
224	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$1,001 - \$15,000
225	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000
226	BGC Partners, Inc. (BGCP)	Sale	11/18/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
227	STNE (StoneCo. Ltd.)	Sale	11/29/2021	\$1,001 - \$15,000
228	STNE (StoneCo. Ltd.)	Sale	11/29/2021	\$1,001 - \$15,000
229	STNE (StoneCo. Ltd.)	Sale	11/29/2021	\$1,001 - \$15,000
230	ADMA Biologics, Inc. (ADMA)	Purchase	12/02/2021	\$1,001 - \$15,000
231	ADMA Biologics, Inc. (ADMA)	Purchase	12/02/2021	\$1,001 - \$15,000
232	ADMA Biologics, Inc. (ADMA)	Purchase	12/02/2021	\$1,001 - \$15,000
233	ADMA Biologics, Inc. (ADMA)	Purchase	12/02/2021	\$1,001 - \$15,000
234	ADMA Biologics, Inc. (ADMA)	Purchase	12/02/2021	\$1,001 - \$15,000
235	ADMA Biologics, Inc. (ADMA)	Purchase	12/02/2021	\$1,001 - \$15,000
236	ADMA Biologics, Inc. (ADMA)	Purchase	12/02/2021	\$1,001 - \$15,000
237	BABA (Alibaba Group Holding Limited)	Sale	12/06/2021	\$100,001 - \$250,000
238	IBN (ICICI Bank Limited)	Purchase	12/06/2021	\$100,001 - \$250,000
239	IBN (ICICI Bank Limited)	Sale	12/06/2021	\$50,001 - \$100,000
240	MGNI (Magnite, Inc.)	Purchase	12/07/2021	\$1,001 - \$15,000
241	MGNI (Magnite, Inc.)	Purchase	12/07/2021	\$1,001 - \$15,000
242	MGNI (Magnite, Inc.)	Purchase	12/07/2021	\$1,001 - \$15,000
243	MGNI (Magnite, Inc.)	Purchase	12/09/2021	\$1,001 - \$15,000
244	MGNI (Magnite, Inc.)	Purchase	12/09/2021	\$1,001 - \$15,000
245	ADMA Biologics, Inc. (ADMA)	Purchase	12/16/2021	\$1,001 - \$15,000
246	HDB (HDFC Bank Limited)	Purchase	12/22/2021	\$1,001 - \$15,000
247	ADMA Biologics, Inc. (ADMA)	Purchase	12/22/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
248	IBN (ICICI Bank Limited)	Sale	12/23/2021	\$15,001 - \$50,000
249	IBN (ICICI Bank Limited)	Purchase	12/23/2021	\$15,001 - \$50,000
250	JD (JD.Com American Depositary Shares)	Purchase	12/23/2021	\$15,001 - \$50,000
251	BABA (Alibaba Group Holding Limited)	Sale	12/23/2021	\$100,001 - \$250,000
252	JD (JD.Com American Depositary Shares)	Purchase	12/23/2021	\$15,001 - \$50,000
253	JD (JD.Com American Depositary Shares)	Purchase	12/23/2021	\$15,001 - \$50,000
254	HDB (HDFC Bank Limited)	Purchase	12/23/2021	\$15,001 - \$50,000
255	ADMA Biologics, Inc. (ADMA)	Purchase	12/23/2021	\$1,001 - \$15,000
256	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	Purchase	01/07/2021	\$15,001 - \$50,000
257	Matthews India Fund Institutional Shares (MIDNX)	Sale	01/11/2021	\$50,001 - \$100,000
258	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	Sale	02/16/2021	\$15,001 - \$50,000
259	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	Sale	02/25/2021	\$15,001 - \$50,000
260	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	Sale	02/25/2021	\$15,001 - \$50,000
261	Global X MSCI Nigeria ETF (NGE)	Sale	03/02/2021	\$1,001 - \$15,000
262	Global X MSCI Nigeria ETF (NGE)	Sale	03/02/2021	\$1,001 - \$15,000
263	Global X MSCI Nigeria ETF (NGE)	Sale	03/08/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
264	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	See Endnote	Purchase	04/08/2021	\$1,001 - \$15,000
265	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	See Endnote	Purchase	04/08/2021	\$1,001 - \$15,000
266	Fidelity Health Care Portfolio (FSPHX)	See Endnote	Purchase	04/09/2021	\$1,001 - \$15,000
267	Global X MSCI Nigeria ETF (NGE)		Sale	04/19/2021	\$15,001 - \$50,000
268	Global X MSCI Nigeria ETF (NGE)		Sale	04/19/2021	\$15,001 - \$50,000
269	Global X MSCI Nigeria ETF (NGE)		Sale	04/19/2021	\$1,001 - \$15,000
270	Global X MSCI Nigeria ETF (NGE)		Sale	04/23/2021	\$15,001 - \$50,000
271	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	See Endnote	Exchange	04/30/2021	\$500,001 - \$1,000,000
272	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	See Endnote	Exchange	04/30/2021	\$500,001 - \$1,000,000
273	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	See Endnote	Exchange	04/30/2021	\$100,001 - \$250,000
274	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	See Endnote	Exchange	04/30/2021	\$100,001 - \$250,000
275	Global X MSCI Pakistan ETF (PAK)		Sale	05/07/2021	\$15,001 - \$50,000
276	Global X MSCI Pakistan ETF (PAK)		Sale	05/07/2021	\$15,001 - \$50,000
277	Global X MSCI Pakistan ETF (PAK)		Sale	05/07/2021	\$15,001 - \$50,000
278	Global X MSCI Pakistan ETF (PAK)		Sale	05/07/2021	\$15,001 - \$50,000
279	Global X MSCI Pakistan ETF (PAK)		Sale	05/10/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
280	Matthews India Fund Institutional Shares (MIDNX)		Sale	05/10/2021	\$50,001 - \$100,000
281	Matthews India Fund Institutional Shares (MIDNX)		Sale	05/12/2021	\$50,001 - \$100,000
282	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)		Sale	06/09/2021	\$100,001 - \$250,000
283	KraneShares CSI China Internet ETF (KWEB)		Purchase	07/26/2021	\$250,001 - \$500,000
284	KraneShares CSI China Internet ETF (KWEB)		Purchase	07/26/2021	\$1,001 - \$15,000
285	KraneShares CSI China Internet ETF (KWEB)		Purchase	07/26/2021	\$1,001 - \$15,000
286	KraneShares CSI China Internet ETF (KWEB)		Purchase	07/26/2021	\$15,001 - \$50,000
287	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)		Sale	09/03/2021	\$15,001 - \$50,000
288	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)		Sale	09/07/2021	\$15,001 - \$50,000
289	Vanguard Health Care Fund Admiral Shares (VGHAX)		Sale	02/16/2021	\$15,001 - \$50,000
290	Vanguard Health Care Fund Admiral Shares (VGHAX)		Sale	02/26/2021	\$15,001 - \$50,000
291	Vanguard Health Care Fund Admiral Shares (VGHAX)		Sale	03/05/2021	\$15,001 - \$50,000
292	Vanguard Health Care Fund Admiral Shares (VGHAX)		Sale	03/15/2021	\$1,001 - \$15,000
293	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	03/26/2021	\$1,001 - \$15,000
294	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	03/26/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
295	iSharesEmerging Markets Dividend ETF (DVYE)		Sale	11/10/2021	\$15,001 - \$50,000
296	iSharesEmerging Markets Dividend ETF (DVYE)		Purchase	11/22/2021	\$15,001 - \$50,000
297	KraneShares CSI China Internet ETF (KWEB)		Purchase	12/06/2021	\$100,001 - \$250,000
298	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	See Endnote	Purchase	12/16/2021	\$15,001 - \$50,000
299	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	See Endnote	Purchase	12/16/2021	\$1,001 - \$15,000
300	Matthews Asia Small Companies Fund Institutional Class Shares (MISMX)	See Endnote	Purchase	12/16/2021	\$1,001 - \$15,000
301	PRIMECAP Odyssey Growth Fund (POGRX)	See Endnote	Purchase	12/16/2021	\$1,001 - \$15,000
302	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	See Endnote	Purchase	12/17/2021	\$1,001 - \$15,000
303	WasatchEmerging Markets Small Cap Fund Institutional Class Shares (WIEMX)	See Endnote	Purchase	12/17/2021	\$15,001 - \$50,000
304	Fidelity Health Care Portfolio (FSPHX)	See Endnote	Purchase	12/17/2021	\$1,001 - \$15,000
305	Fidelity Software and IT Services Portfolio (FSCSX)	See Endnote	Purchase	12/17/2021	\$1,001 - \$15,000
306	iSharesEmerging Markets Dividend ETF (DVYE)		Sale	12/23/2021	\$15,001 - \$50,000
307	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	12/29/2021	\$1,001 - \$15,000
308	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	12/29/2021	\$15,001 - \$50,000
309	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	12/29/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
310	Vanguard Health Care Fund Admiral Shares (VGHAX)	See Endnote	Purchase	12/29/2021	\$1,001 - \$15,000
311	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)		Sale	06/14/2021	\$15,001 - \$50,000
312	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)		Sale	07/11/2021	\$1,001 - \$15,000
313	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)		Sale	08/10/2021	\$15,001 - \$50,000
314	Vanguard PRIMECAP Fund Investor Shares (VPMCX)		Sale	07/01/2021	\$1,001 - \$15,000
315	Vanguard PRIMECAP Fund Investor Shares (VPMCX)		Sale	11/03/2021	\$1,001 - \$15,000
316	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)		Sale	07/01/2021	\$15,001 - \$50,000
317	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)		Sale	11/23/2021	\$1,001 - \$15,000
318	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)		Sale	12/13/2021	\$1,001 - \$15,000
319	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	See Endnote	Purchase	12/31/2021	\$1,001 - \$15,000
320	State of Israel Bonds	See Endnote	Sale	03/31/2021	\$50,001 - \$100,000

8. Liabilities

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

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	11	LLC is owned by filer, spouse, and trust for dependent child.
6.	14	Filer holds a 10% interest in joint venture.
6.	72	The sole asset in this trust is a 3/4 interest in 2814 Pleasant Valley Properties, LLC. This LLC and its holdings are reported in Part 6, Line 11.
7.	1	Spouse received notification of this transaction 32 days ago, and has timely filed on 2/4/21 a separate Periodic Transaction Report for this transaction.
7.	2	Spouse received notification of this transaction 32 days ago, and has timely filed on 2/4/21 a separate Periodic Transaction Report for this transaction.
7.	264	Automatically reinvested dividends
7.	265	Automatically reinvested dividends
7.	266	Automatically reinvested capital gains
7.	271	Matthews Asia Funds merged shares of Matthews Emerging Asia Institutional Fund (MIASX) into Matthews Emerging Markets Small Companies Institutional Fund (MISMX)
7.	272	Matthews Asia Funds merged shares of Matthews Emerging Asia Institutional Fund (MIASX) into Matthews Emerging Markets Small Companies Institutional Fund (MISMX)
7.	273	Matthews Asia Funds merged shares of Matthews Emerging Asia Institutional Fund (MIASX) into Matthews Emerging Markets Small Companies Institutional Fund (MISMX)
7.	274	Matthews Asia Funds merged shares of Matthews Emerging Asia Institutional Fund (MIASX) into Matthews Emerging Markets Small Companies Institutional Fund (MISMX)

PART	#	ENDNOTE
7.	293	Automatically reinvested capital gains
7.	294	Automatically reinvested capital gains
7.	298	Automatically reinvested capital gains
7.	299	Automatically reinvested capital gains
7.	300	Automatically reinvested dividends
7.	301	Automatically reinvested capital gains
7.	302	Automatically reinvested dividends
7.	303	Automatically reinvested capital gains
7.	304	Automatically reinvested capital gains
7.	305	Automatically reinvested capital gains
7.	307	Automatically reinvested capital gains
7.	308	Automatically reinvested capital gains
7.	309	Automatically reinvested dividends
7.	310	Automatically reinvested capital gains
7.	319	Filer saves \$500/month in automatic savings plan invested into this fund. Total for the year is \$6000.
7.	320	Filer donated these bonds (item #14 on February 2021 Form 278e) to charitable organizations.

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

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