



United States Department of State

Washington, D.C. 20520

February 14, 2022

Mr. Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, NW
Suite 500
Washington DC, 20005

Dear Mr. Rounds:

The purpose of this letter is to supplement the Public Financial Disclosure Report (278e) of Constance Milstein, dated June 18, 2021. Ms. Milstein explains in her letter dated February 9, 2022, that the reasons for the supplement are that she inadvertently omitted from her report (1) an account at Credit Agricole that was confirmed as belonging to her former spouse in their divorce settlement but from which her name has not yet been removed, and (2) a position on the Management Committee of DC CAP Hotelier LLC.

As the Alternate Designated Agency Ethics official of the U.S. Department of State, I have reviewed the updated information contained in the supplement, and, based upon my review of this information and the prior commitments made by Ms. Milstein in her previously transmitted Ethics Agreement, I continue to believe that Ms. Milstein is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

A handwritten signature in black ink, appearing to read "David P. Huitema", with a stylized flourish at the end.

David P. Huitema

February 9, 2022

David P. Huitema
Assistant Legal Adviser and Alternate Designated
Agency Ethics Official
U.S. Department of State
2100 C St, NW
Washington, DC 20005

Re: Supplement to Financial Disclosure Report of Constance Milstein

Dear Mr. Huitema:

The purpose of this document is to supplement my financial disclosure report signed on June 18, 2021, by adding one inadvertently omitted bank account at Credit Agricole and one additional position with DC CAP Hotelier LLC. The account at Credit Agricole belongs to my former spouse and was confirmed as his in our divorce settlement, but he has not yet removed my name from the account. In addition to serving as a Manager of DC CAP Hotelier LLC, I inadvertently omitted my position as a Member of the Management Committee, which is solely authorized to select a replacement manager for the LLC in the case of a vacancy. The amendments are noted below.

Amendment to Part 6 – Other Assets and Income

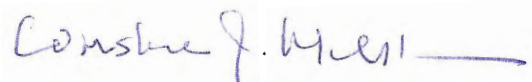
Description	EIF	Value	Income Type	Income Amount
22. Credit Agricole (cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

Amendment to Part 1 – Filer's Positions Held Outside United States Government

#	Organization Name	City, State	Organization Type	Position Held	From	To
30	DC CAP Hotelier LLC	Washington, District of Columbia	Limited Liability Company	Manager and Member of Management Committee	3/2005	Present

I understand that this supplement will be attached to my financial disclosure report and released upon request with that report.

Sincerely,



Constance J. Milstein

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

Filer's Information

Milstein, Constance J.

Ambassador to Malta, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Milstein, Constance J. [electronically signed on 06/18/2021 by Milstein, Constance J. in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Huitema, David, Certifying Official [electronically signed on 12/15/2021 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 12/20/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	NY CAP Agency LLC	New York, New York	Limited Liability Company	Member of Management Committee	4/2003	Present
2	Nedgo LLC	New York, New York	Limited Liability Company	Member of Management Committee	12/2010	Present
3	EBA Foundation	New York, New York	Non-Profit	Trustee	8/2002	Present
4	CJM Foundation	New York, New York	Non-Profit	Trustee	12/1996	Present
5	SMF Foundation/JM, Inc.	New York, New York	Non-Profit	Director, Vice President	3/2007	Present
6	SVM Foundation	New York, New York	Non-Profit	Trustee	8/2002	Present
7	French American Cultural Foundation	Washington, District of Columbia	Non-Profit	Chairman	6/2016	Present
8	New York University	New York, New York	University/College	Trustee	10/2006	Present
9	National Symphony Orchestra at The Kennedy Center	Washington, District of Columbia	Non-Profit	Director, Board of Directors	3/2010	Present
10	Foundation Sweet Success, Inc.	New York, New York	Non-Profit	Director, Vice President	1/2005	Present
11	American Australian Council	Washington, District of Columbia	Non-Profit	Director	9/2017	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Irrevocable Family Trust #2	New York, New York	Trust	Trustee	12/2018	Present
13	Irrevocable Family Trust #1	New York, New York	Trust	Trustee	12/2018	Present
14	Irrevocable Family Trust #5	New York, New York	Trust	Trustee	12/2018	Present
15	Irrevocable Family Trust #4	New York, New York	Trust	Trustee	12/2018	Present
16	Irrevocable Family Trust #7	New York, New York	Trust	Family Trustee	12/2018	Present
17	Irrevocable Family Trust #6	New York, New York	Trust	Family Trustee	12/2018	Present
18	Irrevocable Family Trust #8	New York, New York	Trust	Family Trustee	5/2000	Present
19	Irrevocable Family Trust #9	Greenville, Delaware	Trust	Trustee	1/2008	Present
20	Irrevocable Family Trust #10	New York, New York	Trust	Family Trustee	8/1994	Present
21	Revocable Family Trust #1	Scarsdale, New York	Trust	Trustee	1/2002	Present
22	Ogden CAP Agency, LLC	New York, New York	Limited Liability Company	Member of Management Committee	4/2003	Present
23	Ogden CAP Construction, LLC	New York, New York	Limited Liability Company	Member of Management Committee	4/2003	Present
24	Ogden CAP Consultants, LLC	New York, New York	Limited Liability Company	Member of Management Committee	4/2003	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
25	Ogden CAP Ventures, LLC		New York, New York	Limited Liability Company	Member of Management Committee	4/2003	Present
26	Seymour Milstein Family Company, LLC		New York, New York	Limited Liability Company	Manager	7/1998	Present
27	Ogden CAP Properties, LLC	See Endnote	New York, New York	Limited Liability Company	Co-Founder and Member of Management Committee	4/2003	Present
28	Northmon Investment Company		New York, New York	Investment Partnership	Partner	1/1973	Present
29	Heathcote Associates		New York, New York	Investment Partnership	Partner	12/1996	Present
30	DC CAP Hotelier LLC		Washington, District of Columbia	Limited Liability Company	Manager	3/2005	Present
31	Connie's Corp		New York, New York	Corporation	Sole shareholder	6/2004	Present
32	Evergreen Gardens, Inc.		New York, New York	Corporation	Director, Vice President	2/2008	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Connie's Corp (Bakery and General Store). The filer is the sole shareholder of this entity, which is currently inactive.	N/A	None (or less than \$1,001)		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Ogden CAP Properties, LLC	New York, New York	Pursuant to company policy for principals and co-founders, the filer and her spouse will retain health insurance coverage and tax planning/preparation services for life. In addition, the filer will retain office space, administrative support, and financial and estate planning services for life.	3/2003
2	Connie's Corp	New York, New York	Connie's Corp is currently inactive and will remain inactive during the filer's appointment.	6/2004

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	United Nations Joint Staff Pension Fund. See Endnote	N/A	None (or less than \$1,001)	Pension income	
2	Sai Associates LLC. Inactive consulting business. See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
3	SAI Capital LLC. Inactive consulting business. See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Irrevocable Trust #1	No			
1.1	SM Family/Master Holdings LLC	See Endnote	No	Over \$50,000,000	Rent or Royalties Interest Capital Gains \$1,000,001 - \$5,000,000
1.1.1	H&P 29th Street Associates LLC		No		
1.1.1.1	Residential and Commercial real property in New York, New York		N/A		
1.1.2	DTA Dorchester Associates LLC		No		
1.1.2.1	Residential apartments in New York, New York		N/A		
1.1.3	155 W. 68th Street Associates LLC		No		
1.1.3.1	Commercial real estate in New York, New York		N/A		
1.1.3.2	Whitehall Realty Company		No		
1.1.3.2.1	Co-op shares representing underlying residential apartments in Bronx, New York		N/A		
1.1.3.3	Winston Churchill Sponsors Co.		No		
1.1.3.3.1	Co-op shares representing underlying residential apartments in Bronx, New York		N/A		
1.1.3.4	MHM Sponsors Co.		No		
1.1.3.4.1	Co-op shares representing underlying residential apartments in Bronx, New York and New York, New York		N/A		
1.1.4	MF Associates of New York LLC		No		
1.1.4.1	Residential and commercial real estate in New York, New York		N/A		
1.1.5	Yorkville Plaza Associates LLC		No		

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.5.1	Residential and commercial real estate in New York, New York		N/A			
1.1.6	Yorkville Land Associates LLC		No			
1.1.6.1	Residential building and land under residential and commercial property in New York, New York		N/A			
1.1.7	LPA Lincoln Plaza Associates LLC		No			
1.1.7.1	Residential apartments in New York, New York		N/A			
1.1.8	20 W. 64th Street Associates LLC		No			
1.1.8.1	Residential and commercial real estate in New York, New York		N/A			
1.1.9	MHP Land Associates LLC		No			
1.1.9.1	Land under residential and commercial property in New York, New York		N/A			
1.1.10	Mastic Associates of New York LLC		No			
1.1.10.1	Residential and commercial real estate in New York, New York		N/A			
1.1.11	560 Third Associates LLC		No			
1.1.11.1	Commercial real estate in New York, New York		N/A			
1.1.11.2	Landlord for commercial real estate in New York, New York	See Endnote	N/A			
1.2	Ogden CAP Associates, LLC	See Endnote	No			
1.2.1	Ogden CAP Associates, LLC (Series 45)		No			
1.2.1.1	WLR Recovery Fund V, L.P. Underlying assets subject to confidentiality agreement.		No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.1.2	WLR Recovery Fund V Mezzanine AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$15,001 - \$50,000		None (or less than \$201)
1.2.1.3	WLR Recovery Fund V DSS AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$100,001 - \$250,000		None (or less than \$201)
1.2.1.4	WLR V BBEP AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$1,001 - \$15,000		None (or less than \$201)
1.2.2	Ogden CAP Associates, LLC (Series 44i)	No			
1.2.2.1	Vector Capital Credit Opportunity Fund, L.P.	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
1.2.3	Ogden CAP Associates (Series 46ii)	No			
1.2.3.1	General Atlantic Partners 92I, L.P.	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
1.2.3.2	General Atlantic Partners 93, L.P.	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
1.2.3.3	General Atlantic Partners (Bermuda) III, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.2.3.4	General Atlantic Partners 95, L.P.	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.2.3.5	General Atlantic Partners AIV-1 A, L.P.	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
1.2.3.6	General Atlantic Partners 99C, L.P.	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
1.2.3.7	General Atlantic Partners (Bermuda) IV, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
1.2.3.8	General Atlantic Partners 100, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
1.2.3.9	General Atlantic Partners 97F, L.P.	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.4	Ogden CAP Associates, LLC (Series 46iii)	No			
1.2.4.1	General Atlantic Partners AIV-1 A, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.2.4.2	General Atlantic Partners (Bermuda) IV, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
1.2.4.3	General Atlantic Partners 100, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.2.4.4	General Atlantic Partners 99C, L.P.	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.5	Ogden CAP Associates, LLC (Series 44ii)	No			
1.2.5.1	Vector Capital Credit Opportunity Fund, L.P.	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
1.2.6	Ogden CAP Associates, LLC (Series 33)	No			
1.2.6.1	Perosphere Technologies Inc. Privately-held pharmaceuticals company.	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.2.7	U.S. bank #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.2.8	Ogden CAP Associates, LLC (Series 2)	No			
1.2.8.1	Brokerage Account #1	No			
1.2.8.1.1	Bond - NY NYC 5% 07/15/25 1	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1.2	Bond - NY St Lawrence 5% 09/01/2028 2	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1.3	Bond - NY Metro Transpnt 5% 11/15/25 3	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1.4	Bond - NY Hudson Yards 5% 02/15/25 4	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.8.1. 5	Bond - NY Erie Cnty Fiscal 5% 9/1/30	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 6	Bond - NY St Dorm Auth Rev 5% 10/1/24	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 7	Bond - NY Suffolk Cnty 4.00% 10/15/27	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 8	Bond - NY NY 5.00% 08/01/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 9	Bond - NY Met Transprtn 5% 11/15/29	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 10	Bond - TX Tollway 5% 01/01/2026	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 11	Bond - NY St Dorm Auth Rev 5% 10/1/23	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 12	Bond - NY Albany County 5% 04/01/2023	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 13	Bond - NY St Dorm Auth 5% 06/15/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 14	Bond - FL Brd of Edu 4.00% 06/01/32	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 15	Bond - OH Allen County Var% 06/01/34	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.8.1. 16	Bond - NY Erie County 5% 09/15/27	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 17	Bond - NY St Urban Dev 5% 03/15/23	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 18	Bond - NY New York City 5% 07/15/22	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.8.1. 19	Bond - NY New York City 5% 07/15/22	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 20	Bond - KY St Prprty & Bld 5% 11/01/26	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 21	Bond - NY NYC Hsg Dev 5% 07/01/27	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 22	Bond - NY St Dorm Auth 5% 07/01/24	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 23	Bond - WA St Health Care 5% 10/01/42	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 24	Bond - TX Clear Creek 4% 02/15/28	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 25	Bond - NV Clark Cnty Schl 5% 06/15/26	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 26	Bond - NY NYC Trans 5% 02/01/28	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 27	Bond - AZ Maricopa Cnty 5% 01/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 28	Bond - FL Palm Beach Cnty 5% 08/01/30	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 29	Bond - NY NYC Muni Wtr 5% 06/15/32	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 30	Bond - NY St Dorm Auth 5.00% 03/15/26	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 31	Bond - NY Long Island Adj% 09/01/49	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 32	Bond - NY St Liberty 2.45% 09/15/69	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.8.1. 33	Bond - NY St Hsg Fin 1.55% 11/01/23	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 34	Bond - NY St Dorm Auth 5% 03/15/26	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 35	Bond - NY New York 5% 08/01/38	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 36	Bond - NY St Dorm Auth 5% 03/15/29	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 37	Bond - NY Corning Sch 4% 06/15/27	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 38	Bond - NY St Dorm Auth Rev 5% 7/1/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 39	Bond - TX Denton Indep Sch 2% 8/1/43	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 40	Bond - MN Minneapolis Var% 11/15/35	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 41	Bond - MN Minneapolis 0.1% 11/15/48	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.8.1. 42	Bond - NY St Dorm Auth 4% 08/15/34	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 43	Bond - DC Washington Var% 08/15/38	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 44	Bond - CA Irvine Bond Var% 09/02/32	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.8.1. 45	Bond - MA St Health 0.07% 07/01/40	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2.8.1. 46	Bond - DC Washington Var% 10/01/39	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.8.1. 47	Bond - NE Saline County Var% 06/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 48	Bond - IL St Fin Auth Var% 08/01/44	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 49	Bond - NY Port Authority 4% 07/15/35	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 50	Bond - NY NF NYC Sch Dist 5% 06/15/27	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 51	Bond - NY NYC Trans 5% 11/01/23	N/A	\$1,001 - \$15,000	Interest Dividends	\$201 - \$1,000
1.2.8.1. 52	Bond - AZ Indl Dev Auth Var% 2/1/48	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.8.1. 53	Bond - NY Triborough 2% 05/15/45	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.8.1. 54	Cohen & Steers Preferred Securities and Income Fund, Inc Class I Shares (CPXIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.2.9	Ogden CAP Associates, LLC (Series 85)	No			
1.2.9.1	Brokerage Account #2	No			
1.2.9.1. 1	BlackRock MuniYield Quality Fund III, Inc (MYI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2.9.1. 2	Morgan Stanley Emerging Markets Debt Fund, Inc (MSD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 3	Eaton Vance Limited Duration Income Fund (EVV)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.2.9.1. 4	DWS Municipal Income Trust (KTF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 5	BlackRock Muni Intermediate Duration Fund, Inc (MUI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.9.1. 6	TempletonGlobal Income Fund (GIM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 7	Wells Fargo Income Opportunities Fund (EAD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 8	Western AssetEmerging Markets Debt Fund Inc (EMD)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.2.9.1. 9	Eaton Vance Municipal Bond Fund (EIM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 10	Nuveen AMT-Free Quality Municipal Income Fund (NEA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2.9.1. 11	Nuveen Quality Municipal Income Fund (NAD)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2.9.1. 12	Western Asset Managed Municipals Fund Inc (MMU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2.9.1. 13	AllianceBernstein National Municipal Income Fund Inc (AFB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 14	Apollo Senior Floating Rate Fund Inc (AFT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2.9.1. 15	Apollo Tactical Income Fund Inc (AIF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 16	Ares Dynamic Credit Allocation Fund, Inc (ARDC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 17	AllianceBernsteinGlobal High Income Fund, Inc (AWF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 18	BlackRock Municipal Income Quality Trust (BYM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 19	First Trust High Income Long/Short Fund (FSD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.9.1. 20	PGIMGlobal High Yield Fund, Inc (GHY)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.2.9.1. 21	Western Asset High Income Opportunity Fund Inc (HIO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 22	Invesco Value Municipal Income Trust (IIM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 23	Invesco Quality Municipal Income Trust (IQI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 24	PGIM High Yield Bond Fund, Inc (ISD)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2.9.1. 25	NuveenGlobal High Income Fund (JGH)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 26	Pioneer Municipal High Income Advantage Trust (MAV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2.9.1. 27	BlackRock MuniHoldings Investment Quality Fund (MFL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2.9.1. 28	BlackRock MuniHoldings Quality Fund II, Inc (MUE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2.9.1. 29	Invesco Trust For Investment Grade Municipals (VGM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 30	Invesco Municipal Trust (VKQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 31	Invesco Dynamic Credit Opportunities Fund (VTA)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.2.9.1. 32	Invesco Senior Income Trust (VVR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 33	Blackstone / GSO Strategic Credit Fund (BGB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.9.1. 34	BNY Mellon Strategic Municipal Bond Fund, Inc (DSM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2.9.1. 35	Templeton Emerging Markets Income Fund (TEI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.9.1. 36	Morgan Stanley Emerging Markets Domestic Debt Fund, Inc (EDD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2.10	Ogden CAP Associates, LLC (Series 46i)	Yes			
1.2.10. 1	General Atlantic Partners (Bermuda) II, L.P.	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.2.10. 2	General Atlantic Partners (Bermuda) III, LP	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.2.10. 3	General Atlantic Partners 90, L.P.	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
1.2.10. 4	General Atlantic Partners 92I, L.P.	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
1.2.10. 5	General Atlantic Partners 93, L.P.	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
1.2.10. 6	General Atlantic Partners 95, L.P.	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
1.2.10. 7	General Atlantic Partners 97F, L.P.	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.2.10. 8	General Atlantic Partners AIV-1 A, L.P.	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3	OCA Opportunity Fund LLC	No			
1.3.1	450K CAP LLC	No			
1.3.1.1	Residential and commercial real estate in Washington, DC	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.3.2	OCAOF Storey Park LLC	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.2.1	1005 First GP LLC	No			
1.3.2.1.1	Mixed use real estate in Washington, DC	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.3.2.2	Perseus SP Investors LLC	No			
1.3.2.2.1	Mixed use real estate in Washington, DC	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.3	OCAOF 1728 LLC	No			
1.3.3.1	OP 14th Street LLC	No			
1.3.3.1.1	Commercial real estate in Washington, DC	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
1.3.4	Brokerage Account #13	No			
1.3.4.1	City National Rochdale Government Money Market Fund Servicing Class Shares (CNIXX)	Yes	\$1,000,001 - \$5,000,000		\$201 - \$1,000
1.3.4.2	Bond - New York City New York Muni Wtr Fin Water Revenue dtd 09/17/2013	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.4.3	Bond - New York City New York Muni Wtr Fin Water Revenue dtd 05/15/2001	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.4.4	Bond - New York City New York Muni Water Fin Water Revenue dtd 07/10/2014	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.4.5	Bond - New York City New York Muni Water Fin Water Revenue dtd 06/19/2018	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.4.6	Bond - New York City New York Muni Water Fin Water Revenue dtd 10/04/2012	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.4.7	Bond - New York City New York Muni Water Fin Water Revenue dtd 09/17/2013	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.4.8	Bond - New York City New York Muni Water Fin Water Revenue dtd 08/01/2014	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.4.9	Bond - New York City New York Transitional General Obligation dtd 04/29/2014	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.4.10	Bond - New York New York General Obligation dtd 03/25/2014	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.3.4.11	Bond - New York New York General Obligation dtd 06/18/2015	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.4.12	Bond - New York New York General Obligation dtd 03/30/2010	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.4.13	Bond - New York New York General Obligation dtd 10/23/2012	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.4.14	Bond - New York New York General Obligation dtd 03/02/2009	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.4.15	Bond - New York State Urban Dev Corp Rev Revenue Bonds dtd 06/24/2008	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.4.16	Bond - New York State Urban Dev Corp Rev Revenue Bonds dtd 06/09/2011	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.4.17	U.S. bank #3 deposit sweep (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.5	U.S. bank #3 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
1.3.6	Semper Short Duration Fund Instit Class (SEMIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2	Irrevocable Trust #2	No			
2.1	SM Family/Master Holdings LLC	See Endnote	No	Over \$50,000,000	Rent or Royalties Interest Capital Gains \$1,000,001 - \$5,000,000
2.2	Ogden CAP Associates, LLC	See Endnote	No		
2.2.1	Ogden CAP Associates, LLC (Series 45)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2.1.1	WLR Recovery Fund V, L.P. Underlying assets subject to confidentiality agreement.	No	\$15,001 - \$50,000		None (or less than \$201)
2.2.1.2	WLR Recovery Fund V Mezzanine AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$15,001 - \$50,000		None (or less than \$201)
2.2.1.3	WLR Recovery Fund V DSS AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$100,001 - \$250,000		None (or less than \$201)
2.2.1.4	WLR V BBEP AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$1,001 - \$15,000		None (or less than \$201)
2.2.2	Ogden CAP Associates, LLC (Series 44i)	No			
2.2.2.1	Vector Capital Credit Opportunity Fund, L.P.	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
2.2.3	Ogden CAP Associates, LLC (Series 46ii)	No			
2.2.3.1	General Atlantic Partners 92I, L.P.	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
2.2.3.2	General Atlantic Partners 93, L.P.	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
2.2.3.3	General Atlantic Partners (Bermuda) III, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.2.3.4	General Atlantic Partners 95, L.P.	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.2.3.5	General Atlantic Partners AIV-1 A, L.P.	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
2.2.3.6	General Atlantic Partners 99C, L.P.	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
2.2.3.7	General Atlantic Partners (Bermuda) IV, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
2.2.3.8	General Atlantic Partners 100, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2.3.9	General Atlantic Partners 97F, L.P.	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.2.4	Ogden CAP Associates, LLC (Series 60i)	No			
2.2.4.1	Brokerage Account #11	No			
2.2.4.1.1	Baron Small Cap Fund Retail Shares (BSCFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.2.4.1.2	Baron Partners Fund Retail Shares (BPTRX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2.5	Ogden CAP Associates, LLC (Series 60ii)	No			
2.2.5.1	Brokerage Account #12	No			
2.2.5.1.1	Baron Emerging Markets Fund Retail Class Shares (BEXFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2.6	Ogden CAP Associates, LLC (Series 46iii)	No			
2.2.6.1	General Atlantic Partners AIV-1 A, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.2.6.2	General Atlantic Partners (Bermuda) IV, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
2.2.6.3	General Atlantic Partners 100, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.2.6.4	General Atlantic Partners 99C, L.P.	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.2.7	Ogden CAP Associates, LLC (Series 44ii)	No			
2.2.7.1	Vector Capital Credit Opportunity Fund, L.P.	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.2.8	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9	Ogden CAP Associates, LLC (Series 2)	No			
2.2.9.1	Brokerage Account #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2.9.1. 1	Bond - FL Brd of Edu 4.00% 06/01/32	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 2	Bond - OH Allen County Var% 06/01/34	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 3	Bond - KY St Prprty & Bld 5% 11/01/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 4	Bond - AZ Maricopa Cnty 5% 01/01/31	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 5	Bond - FL Palm Beach Cnty 5% 08/01/30	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 6	Bond - TX Denton Indep Sch 2% 8/1/43	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 7	Bond - MN Minneapolis 0.1% 11/15/48	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 8	Bond - DC Washington Var% 08/15/38	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 9	Bond - CA Irvine Bond Var% 09/02/32	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 10	Bond - DC Washington Var% 10/01/39	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 11	Bond - AZ Indl Dev Auth Var% 2/1/48	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 12	Cohen & Sters Preferred Securities and Income Fund, Inc Class I Shares (CPXIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.2.9.1. 13	Bond - NY St Lawrence 5% 09/01/2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.9.1. 14	NY Erie Cnty Fiscal 5% 9/1/30	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2.10	Ogden CAP Associates, LLC (Series 85)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2.10.1	Brokerage Account #2	No			
2.2.10.1.1	Nuveen AMT-Free Quality Municipal Income Fund (NEA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.10.1.2	Nuveen Quality Municipal Income Fund (NAD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.11	Ogden CAP Associates, LLC (Series 46i)	No			
2.2.11.1	General Atlantic Partners (Bermuda) II, L.P.	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.2.11.2	General Atlantic Partners (Bermuda) III, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.2.11.3	General Atlantic Partners 90, L.P.	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
2.2.11.4	General Atlantic Partners 92I, L.P.	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
2.2.11.5	General Atlantic Partners 93, L.P.	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
2.2.11.6	General Atlantic Partners 95, L.P.	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
2.2.11.7	General Atlantic Partners 97F, L.P.	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
2.2.11.8	General Atlantic Partners AIV-1 A, L.P.	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.3	OCA Opportunity Fund LLC	No			
2.3.1	450K CAP LLC	No			
2.3.1.1	Residential and commercial real estate in Washington, DC	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
2.3.2	OCAOF Storey Park LLC	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3.2.1	1005 First GP LLC	No			
2.3.2.1.1	Mixed use real estate in Washington, DC	N/A	\$250,001 - \$500,000		None (or less than \$201)
2.3.2.2	Perseus SP Investors LLC	No			
2.3.2.2.1	Mixed use real estate in Washington, DC	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.3.3	OCAOF 1728 LLC	No			
2.3.3.1	OP 14th Street LLC	No			
2.3.3.1.1	Commercial real estate in Washington, DC	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
2.3.4	Brokerage Account #13	No			
2.3.4.1	City National Rochdale Government Money Market Fund (CNIXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.3.4.2	Bond - New York City New York Muni Wtr Fin Water Revenue dtd 09/17/2013	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.3.4.3	Bond - New York City New York Muni Wtr Fin Water Revenue dtd 05/15/2001	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.3.4.4	Bond - New York City New York Muni Water Fin Water Revenue dtd 07/10/2014	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.3.4.5	Bond - New York City New York Muni Water Fin Water Revenue dtd 06/19/2018	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.3.4.6	Bond - New York City New York Muni Water Fin Water Revenue dtd 10/04/2012	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3.4.7	Bond - New York City New York Muni Water Fin Water Revenue dtd 09/17/2013	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.3.4.8	Bond - New York City New York Muni Water Fin Water Revenue dtd 08/01/2014	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3.4.9	Bond - New York City New York Transitional General Obligation dtd 04/29/2014	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.3.4.10	Bond - New York New York General Obligation dtd 03/25/2014	N/A	\$250,001 - \$500,000		None (or less than \$201)
2.3.4.11	Bond - New York New York General Obligation dtd 06/18/2015	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.3.4.12	Bond - New York New York General Obligation dtd 03/30/2010	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.3.4.13	Bond - New York New York General Obligation dtd 10/23/2012	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3.4.14	Bond - New York New York General Obligation dtd 03/02/2009	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3.4.15	Bond - New York State Urban Dev Corp Rev Revenue Bonds dtd 06/24/2008	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3.4.16	Bond - New York State Urban Dev Corp Rev Revenue Bonds dtd 06/09/2011	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3.4.17	U.S. bank #3 Deposit Sweep (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3.5	U.S. bank #3 (cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
2.3.6	Semper Sort Duration Fund Instit Class (SEMIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3	Irrevocable Trust #3	No			
3.1	DC CAP Hotelier LLC	No			
3.1.1	Commercial Real Estate, Washington, DC	N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)
3.2	RFA Investments LP	No			
3.2.1	Reserve Financial Associates LLC	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2.1.1	BBFC Holdings, Inc.		No			
3.2.1.1.1	Florida Business Bank 1		N/A	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000
3.3	Note Receivable from filer individually	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
3.4	Note Receivable from filer individually	See Endnote	N/A	\$5,000,001 - \$25,000,000	Interest	\$50,001 - \$100,000
3.5	Ogden CAP Associates, LLC	See Endnote	No			
3.5.1	U.S. bank #1 (cash)		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3.5.2	Ogden CAP Associates, LLC (Series 2)		No			
3.5.2.1	Brokerage Account #1		No			
3.5.2.1.1	Bond - NY NYC 5% 07/15/25 1		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1.2	Bond - NY St Lawrence 5% 09/01/2028 2		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.5.2.1.3	Bond - NY Metro Transptn 5% 11/15/25 3		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1.4	Bond - NY Hudson Yards 5% 02/15/25 4		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1.5	Bond - NY Erie Cnty Fiscal 5% 9/1/30 5		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1.6	Bond - NY St Dorm Auth Rev 5% 10/1/24 6		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1.7	Bond - NY Suffolk Cnty 4.00% 10/15/27 7		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1.8	Bond - NY Met Transprt 5% 11/15/29 8		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.2.1. 9	Bond - TX Tollway 5% 01/01/2026	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 10	Bond - NY St Dorm Auth Rev 5% 10/1/23	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 11	Bond - NY Albany County 5% 04/01/2023	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 12	Bond - NY St Dorm Auth 5% 06/15/31	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 13	Bond - FL Brd of Edu 4.00% 06/01/32	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.5.2.1. 14	Bond - OH Allen County Var% 06/01/34	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 15	Bond - NY Erie County 5% 09/15/27	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 16	Bond - NY New York City 5% 07/15/22	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 17	Bond - KY St Prprty & Bld 5% 11/01/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 18	Bond - NY NYC Hsg Dev 5% 07/01/27	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 19	Bond - NY St Dorm Auth 5% 07/01/24	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 20	Bond - WA St Health Care 5% 10/01/42	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.5.2.1. 21	Bond - TX Clear Creek 4% 02/15/28	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 22	Bond - NV Clark Cnty Schl 5% 06/15/26	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.2.1. 23	Bond - NY NYC Trans 5% 02/01/28	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 24	Bond - AZ Maricopa Cnty 5% 01/01/31	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.5.2.1. 25	Bond - FL Palm Beach Cnty 5% 08/01/30	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.5.2.1. 26	Bond - NY NYC Muni Wtr 5% 06/15/32	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 27	Bond - NY St Dorm Auth 5.00% 03/15/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 28	Bond - NY Long Island Adj% 09/01/49	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 29	Bond - NY St Liberty 2.45% 09/15/69	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 30	Bond - NY St Hsg Fin 1.55% 11/01/23	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 31	Bond - NY St Dorm Auth 5% 03/15/29	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 32	Bond - NY St Dorm Auth Rev 5% 7/1/31	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 33	Bond - TX Denton Indep Sch 2% 8/1/43	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 34	Bond - MN Minneapolis Var% 11/15/35	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 35	Bond - MN Minneapolis 0.1% 11/15/48	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 36	Bond - NY St Dorm Auth 4% 08/15/34	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.2.1. 37	Bond - DC Washington Var% 08/15/38	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 38	Bond - CA Irvine Bond Var% 09/02/32	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 39	Bond - MA St Health 0.07% 07/01/40	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 40	Bond - DC Washington Var% 10/01/39	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 41	Bond - NE Saline County Var% 06/01/31	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 42	Bond - IL St Fin Auth Var% 08/01/44	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 43	Bond - NY Port Authority 4% 07/15/35	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 44	Bond - NY NF NYC Sch Dist 5% 06/15/27	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 45	Bond - AZ Indl Dev Auth Var% 2/1/48	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 46	Bond - NY Triborough 2% 05/15/45	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.2.1. 47	Cohen & Sters Preferred Securities and Income Fund, Inc Class I Shares (CPXIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5.3	Ogden CAP Associates, LLC (Series 5)	No			
3.5.3.1	Brokerage Account #3	No			
3.5.3.1. 1	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 2	Intuit, Inc. (INTU)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.3.1. 3	Netflix, Inc. (NFLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 4	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 5	Align Technology, Inc. (ALGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 6	CoStar Group, Inc. (CSGP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 7	Warner Music Group Corp. (WMG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 8	DexCom, Inc. (DXCM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 9	Visa, Inc. (V)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.3.1. 10	Facebook, Inc. (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 11	Zoetis, Inc. (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 12	ServiceNow, Inc. (NOW)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 13	Charter Communications, Inc. (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 14	Square, Inc. (SQ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 15	Floor & Decor Holdings, Inc. (FND)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 16	Sarepta Therapeutics, Inc. (SRPT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.3.1. 17	Atlassian Corp. PLC (TEAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 18	Twilio, Inc. (TWLO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 19	Carvana Co. (CVNA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 20	Sea Ltd. ADR (SE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 21	Uber Technologies, Inc. (UBER)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.3.1. 22	Coupa Software, Inc. (COUP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 23	Zillow Group, Inc. (Z)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 24	Grocery Outlet Holding Corp. (GO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 25	Match Group, Inc. (MTCH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 26	Snowflake, Inc. (SNOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 27	Shopify Inc. (SHOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 28	Fiverr International Ltd. (FVRR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 29	Doordash, Inc. (DASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.3.1. 30	Airbnb, Inc. (ABNB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4	Ogden CAP Associates, LLC (Series 6)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.4.1	Brokerage Account #9	No			
3.5.4.1. 1	Gilead Sciences, Inc. (GILD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 2	Juniper Networks, Inc. (JNPR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 3	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.4.1. 4	Schlumberger NV (SLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 5	Bristol-Myers Squibb (BMY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 6	Raytheon Technologies Corp. (RTX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 7	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 8	American Express Co. (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 9	Halliburton Co. (HAL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 10	Gap, Inc. (GPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 11	GlaxoSmithKline PLC (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 12	Microsoft Corp. (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.4.1. 13	The Williams Cos., Inc. (WMB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 14	Capital One Financial Corp. (COF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.4.1. 15	FedEx Corp. (FDX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.4.1. 16	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 17	Wells Fargo & Co. (WFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.4.1. 18	The Charles Schwab Corp. (SCHW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.4.1. 19	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 20	Novartis AG ADR (NVS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 21	AstraZeneca Group PLC ADR (AZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 22	MetLife, Inc. (MET)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 23	Truist Financial Corp. (TFC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 24	Occidental Petroleum Corp. (OXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 25	Vulcan Materials Co. (VMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 26	The Goldman Sachs Group, Inc. (GS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 27	eBay, Inc. (EBAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 28	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.4.1. 29	Microchip Technology, Inc. (MCHP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 30	Chevron Corp. (CVX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.5.4.1. 31	BioMarin Pharmaceutical Inc. (BMRN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 32	ConocoPhillips (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 33	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.4.1. 34	Cognizant Technology Solutions Corp. (CTSH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 35	Roche Holding AG ADR (RHHBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 36	Dell Technologies, Inc. (DELL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 37	Sanofi SA (SNY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 38	Molson Coors Beverage Co. (TAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 39	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 40	The Bank of New York Mellon Corporation (BK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 41	TE Connectivity Ltd. (TEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 42	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.4.1. 43	T-Mobile US, Inc. (TMUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 44	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.4.1. 45	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.4.1. 46	Alphabet, Inc. (GOOG)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
3.5.4.1. 47	HP, Inc. (HPQ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 48	Hewlett-Packard Enterprise Co. (HPE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 49	Charter Communications, Inc. (CHTR)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
3.5.4.1. 50	Johnson Controls International Plc (JCI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 51	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 52	Micro Focus International PLC - ADR (MFGP)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
3.5.4.1. 53	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.4.1. 54	Booking Holdings Inc. (BKNG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.4.1. 55	Qurate Retail, Inc. (QRTEA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.4.1. 56	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.4.1. 57	Cigna Corp. (CI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.4.1. 58	Fox Corp. (FOXA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.4.1. 59	Carrier Global Corp. (CARR)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.4.1. 60	Occidental Petroleum Corp. WT (OXY/WS)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
3.5.5	Ogden CAP Associates, LLC (Series 7)	No			
3.5.5.1	Brokerage Account #4	No			
3.5.5.1. 1	AutoZone, Inc. (AZO)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.5.1. 2	Berkshire Hathaway Inc. (BRKB)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
3.5.5.1. 3	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.5.1. 4	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.5.5.1. 5	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 6	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.5.1. 7	Roche Holdings AG (ROG SW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.5.1. 8	Emerson Electric Co. (EMR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 9	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.5.1. 10	Novartis AG Basel (NOVN SW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 11	United Overseas Bank Ltd. (UOB SP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 12	Wells Fargo & Co. (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 13	Muenchener Rueckversicherungs-Gesellschaft AG (MUV2 GR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 14	Bae Systems PLC (BA LN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 15	Truist Financial Corp (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 16	Diageo PLC (DGE LN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.5.1. 17	Nestle S.A. Registered Shares (NESN SW)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.5.5.1. 18	GlaxoSmithKline PLC (GSK LN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 19	Berkshire Hathaway Inc. (BRKA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 20	Unilever NV (UNA NA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.5.5.1. 21	Carlisle Cos., Inc. (CSL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 22	ABB Ltd (ABBN SW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 23	3M Co. (MMM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.5.1. 24	Trelleborg AB (TRELB SS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 25	Autoliv, Inc. (ALV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 26	Heineken Holding NV - A (HEIO NA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.5.1. 27	CNP Assurances S.A. (CNP FP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 28	Coca-Cola Femsa, S.A. Sp ADR (KOF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 29	Astellas Pharmaceutical Inc (4503 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 30	Asia Financial Holdings Ltd. (662 HK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 31	The Bank of New York Mellon Corporation (BK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.5.1. 32	Scor SE (SCR FP)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
3.5.5.1. 33	Krones AG (KRN GR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 34	Inaba Denki Sangyo Co. Ltd. (9934 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 35	Safran SA (SAF FP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.5.1. 36	BASF SE (BAS GR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 37	Fresenius SE & Co KGaA (FRE GR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.5.1. 38	Alibaba Group Holding Ltd (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 39	Zurich Insurance Group AG (ZURN SW)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
3.5.5.1. 40	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 41	Alphabet, Inc. (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 42	LG Corp (003550 KS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 43	Inchcape PLC (INCH LN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 44	Rubis (RUI FP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 45	CNH Industrial N.V. (CNHI IM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5.5.1. 46	Bollore (BOL FP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 47	Babcock Intern Group PLC (BAB LN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 48	CK Hutchison Holdings Limited (1 HK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 49	Kuraray Co Ltd (3405 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 50	Megacable Holdings SAB de CV (MEGACPO MM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.5.1. 51	A-Living Smart City Services (3319 HK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.5.1. 52	Dali Foods Group Co Ltd (3799 HK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 53	Concentrix Corp (CNXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.5.1. 54	LX Holdings (383800 KS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6	Ogden CAP Associates, LLC (Series 14)	No			
3.5.6.1	Brokerage Account #5	No			
3.5.6.1. 1	Arch Capital Group Ltd. (ACGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 2	Flex Ltd (FLEX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.6.1. 3	Laboratory Corp. of America Holdings (LH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.6.1. 4	NortonLifeLock Inc (NLOK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.6.1. 5	Visteon Corp. (VC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 6	Ball Corporation (BLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 7	Lithia Motors, Inc. (LAD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 8	Toll Brothers, Inc. (TOL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 9	Charles River Laboratories International, Inc. (CRL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 10	Cree, Inc. (CREE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.6.1. 11	Wynn Resorts Ltd. (WYNN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 12	L3Harris Technologies, Inc. (LHX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.6.1. 13	Molina Healthcare, Inc. (MOH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 14	Beacon Roofing Supply, Inc. (BECN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 15	LPL Financial Holdings, Inc. (LPLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 16	Splunk, Inc. (SPLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 17	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 18	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 19	IAC/InterActiveCorp. (IAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 20	Restaurant Brands International Inc (QSR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.6.1. 21	Post Holdings, Inc. (POST)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.6.1. 22	Univar Solutions, Inc. (UNVR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 23	Hilton Grand Vacations, Inc. (HGV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 24	Zynga, Inc. (ZNGA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.6.1. 25	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.6.1. 26	Teck Resources Ltd (TECK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 27	Qorvo, Inc. (QRVO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 28	Terminix Global Holdings Inc (TMX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 29	Travel + Leisure Co. (TNL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.6.1. 30	KKR & Co., Inc. (KKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 31	frontdoor, Inc. (FTDR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 32	Resideo Technologies, Inc. (REZI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 33	Element Solutions, Inc. (ESI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 34	Axsome Therapeutics, Inc. (AXSM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 35	Lyft, Inc. (LYFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 36	ChampionX Corp. (CHX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 37	Viatis Inc. (VTRS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.6.1. 38	BridgeBio Pharma, Inc. (BBIO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.6.1. 39	FinServ Acquisition Corp. (FSRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 40	Avantor, Inc. (AVTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 41	Danimer Scientific Inc (DNMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 42	Precigen Inc (PGEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 43	GoPro, Inc. (GPRO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 44	BowX Acquisition Corp (BOWX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.6.1. 45	Vimeo Inc (VMEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.7	Ogden CAP Associates, LLC (Series 22)	No			
3.5.7.1	WLR Recovery Fund III, L.P. Underlying assets subject to confidentiality agreement.	No	\$1,001 - \$15,000	Capital Gains Interest	\$1,001 - \$2,500
3.5.7.2	WLR Recovery Fund III IAC AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$15,001 - \$50,000		None (or less than \$201)
3.5.8	Ogden CAP Associates, LLC (Series 23)	No			
3.5.8.1	Brokerage Account #6	No			
3.5.8.1. 1	Casey's General Stores, Inc. (CASY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 2	Trinity Industries, Inc. (TRN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 3	Arrow Electronics, Inc. (ARW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.8.1. 4	Asbury Automotive Group, Inc. (ABG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 5	M.D.C. Holdings, Inc. (MDC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 6	Worthington Industries, Inc. (WOR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 7	Tupperware Brands Corp. (TUP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 8	Enerpac Tool Group Corp. (EPAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 9	The Brink's Co. (BCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 10	First Merchants Corp. (Indiana) (FRME)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 11	Brunswick Corp. (BC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 12	Texas Capital Bancshares, Inc. (TCBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 13	Monarch Casino & Resort, Inc. (MCRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 14	Enstar Group Ltd. (ESGR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.8.1. 15	PGT Innovations, Inc. (PGTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 16	Ruth's Hospitality Group, Inc. (RUTH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 17	TechTarget, Inc. (TTGT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.8.1. 18	Core-Mark Holding Co., Inc. (CORE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 19	BankUnited, Inc. (BKU)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 20	First Interstate BancSystem, Inc. (Montana) (FIBK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 21	Fortune Brands Home & Security, Inc. (FBHS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 22	Addus HomeCare Corp. (ADUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 23	Cannae Holdings, Inc. (CNNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 24	Valvoline, Inc. (VVV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 25	Atlantic Capital Bancshares, Inc. (ACBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 26	Terminix Global Holdings Inc (TMX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 27	Horizon Bancorp, Inc. (Indiana) (HBNC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 28	Sterling Bancorp (Montebello, New York) (STL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 29	Element Solutions, Inc. (ESI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 30	Rexnord Corp. (RXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 31	Accel Entertainment Inc (ACEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.8.1. 32	ChampionX Corp (CHX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 33	Viper Energy Partners LP (VNOM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.8.1. 34	Landcadia Holdings III Inc. (LCY)	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 35	Soaring Eagle Acquisition Corp (SRNGU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 36	Austerlitz Acquisition Corp II (ASZU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 37	Luxfer Holdings PLC (LXFR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.8.1. 38	Denbury Inc. (DEN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.9	Ogden CAP Associates, LLC (Series 46i)	No			
3.5.9.1	General Atlantic Partners (Bermuda) II, L.P.	Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
3.5.9.2	General Atlantic Partners 90, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
3.5.9.3	General Atlantic Partners 92I, L.P.	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
3.5.9.4	General Atlantic Partners 93, L.P.	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
3.5.9.5	General Atlantic Partners (Bermuda) III, L.P.	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
3.5.9.6	General Atlantic Partners 95, L.P.	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
3.5.9.7	General Atlantic Partners AIV A, L.P.	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.9.8	General Atlantic Partners 97F, L.P.	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
3.5.10	Ogden CAP Associates, LLC (Series 28)	No			
3.5.10.1	WLR IV Recovery Fund IV DSS AIV, L.P. Underlying assets subject to confidentiality agreement.	No	\$1,001 - \$15,000		None (or less than \$201)
3.5.11	Ogden CAP Associates, LLC (Series 38)	No			
3.5.11.1	Cognition Therapeutics, Inc. Privately-held biotechnology company.	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
3.5.12	Ogden CAP Associates, LLC (Series 42)	No			
3.5.12.1	Somerset Energy Holdings. Privately-held mineral handling and processing company.	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3.5.12.1.1	Somerset International Inc. Privately-held mineral handling and processing company.	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
3.5.12.1.2	QWave Solutions Holdings Ltd. Privately-held mineral handling and processing company (Ireland).	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
3.5.13	Ogden CAP Associates, LLC (Series 46ii)	No			
3.5.13.1	General Atlantic Partners (Bermuda) III, L.P.	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
3.5.13.2	General Atlantic Partners (Bermuda) IV, L.P.	Yes	\$1,000,001 - \$5,000,000		\$1,000,001 - \$5,000,000
3.5.13.3	General Atlantic Partners 92I, L.P.	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
3.5.13.4	General Atlantic Partners 93, L.P.	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
3.5.13.5	General Atlantic Partners 95, L.P.	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.13.6	General Atlantic Partners 97F, L.P.	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.5.13.7	General Atlantic Partners 99C, L.P.	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
3.5.13.8	General Atlantic Partners 100, L.P.	Yes	\$1,000,001 - \$5,000,000		\$1,000,001 - \$5,000,000
3.5.13.9	General Atlantic Partners AIV-1 A, L.P.	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
3.5.14	Ogden CAP Associates, LLC (Series 49)	No			
3.5.14.1	Brokerage Account #7	No			
3.5.14.1.1	ABIOMED, Inc. (ABMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.2	Carter's, Inc. (CRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.3	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.4	FactSet Research Systems, Inc. (FDS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.5	Herc Holdings, Inc. (HRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.6	IPG Photonics Corp. (IPGP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.7	Iron Mountain, Inc. (IRM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5.14.1.8	ResMed, Inc. (RMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.9	SLM Corp. (SLM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.14.1.10	Stericycle, Inc. (SRCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.11	Stratasys Ltd (SSYS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.12	Trimble, Inc. (TRMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.13	AAON, Inc. (AAON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.14	Array Technologies Inc. (ARRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.15	Badger Meter, Inc. (BMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.16	BRP Group Inc (BRP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.17	Chemed Corp. (CHE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.18	Everbridge, Inc. (EVBG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.19	FirstCash, Inc. (FCFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.20	Gentherm, Inc. (THRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.21	Healthcare Services Group, Inc. (HCSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.22	Inogen, Inc. (INGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.23	Insulet Corp. (PODD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.14.1.24	Integer Holdings Corp. (ITGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.25	Littelfuse, Inc. (LFUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.26	Masimo Corp. (MASI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.27	Merit Medical Systems, Inc. (MMSI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.28	MISTRAS Group, Inc. (MG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.29	Mueller Industries, Inc. (MLI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.30	Omnicell, Inc. (OMCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.31	ORBCOMM, Inc. (ORBC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.32	PROS Holdings, Inc. (PRO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.33	Simpson Manufacturing Co., Inc. (SSD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.34	Standard Motor Products, Inc. (SMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.35	Tetra Tech, Inc. (TTEK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.36	TPI Composites, Inc. (TPIC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14.1.37	UTZ Brands Inc (UTZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.14. 1.38	Varonis Systems, Inc. (VRNS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.14. 1.39	Vocera Communications, Inc. (VCRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5.15	Ogden CAP Associates, LLC (Series 71)	No			
3.5.15. 1	Thrive Bioscience. Privately-held biotechnology company.	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.16	Ogden CAP Associates, LLC (Series 85)	No			
3.5.16. 1	Brokerage Account #2	No			
3.5.16. 1.1	BlackRock MuniYield Quality Fund III, Inc (MYI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5.16. 1.2	Morgan Stanley Emerging Markets Debt Fund, Inc (MSD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16. 1.3	Eaton Vance Limited Duration Income Fund (EVV)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.5.16. 1.4	DWS Municipal Income Trust (KTF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16. 1.5	BlackRock Muni Intermediate Duration Fund Inc (MUI)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.5.16. 1.6	TempletonGlobal Income Fund (GIM)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5.16. 1.7	Wells Fargo Income Opportunities Fund (EAD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16. 1.8	Western Asset Emerging Markets Debt Fund Inc (EMD)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.5.16. 1.9	Eaton Vance Municipal Bond Fund (EIM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.16.1.10	Western Asset Managed Municipals Fund Inc (MMU)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.11	AllianceBernstein National Municipal Income Fund Inc (AFB)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5.16.1.12	Apollo Senior Floating Rate Fund Inc (AFT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.13	Apollo Tactical Income Fund Inc (AIF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.14	Ares Dynamic Credit Allocation Fund Inc (ARDC)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.5.16.1.15	AllianceBernstein Global High Income Fund Inc (AWF)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.5.16.1.16	BlackRock Municipal Income Quaity Trust (BYM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.17	First Trust High Income Long/Short Fund (FSD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.18	PGIMGlobal High Yield Fund Inc (GHY)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
3.5.16.1.19	Western Asset High Income Opportunity Fund Inc (HIO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.20	Invesco Value Municipal Income Trust (IIM)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5.16.1.21	Invesco Quality Municipal Income Trust (IQI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5.16.1.22	PGIM High Yield Bond Fund Inc (ISD)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5.16.1.23	NuveenGlobal High Income Fund (JGH)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.16.1.24	Pioneer Municipal High Income Advantage Trust (MAV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.25	Blackrock MuniHoldings Investment Quality Fund (MFL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5.16.1.26	Blackrock MuniHldgs Quality Fund II Inc (MUE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.27	Invesco Trust for Investment Grade Municipals (VGM)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.5.16.1.28	Invesco Municipal Trust (VKQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.29	Invesco Dynamic Credit Opportunities Fund (VTA)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.5.16.1.30	Invesco Senior Income Trust (VVR)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.5.16.1.31	Blackstone/GSO Strategic Credit Fund (BGB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.32	BNY Mellon Strategic Municipal Bond Fund, Inc (DSM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.33	Templeton Emerging Markets Income Fund (TEI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.34	Morgan Stanley Emerging Markets Debt Fund, Inc (EDD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5.16.1.35	Western Asset Intermed Muni Fd (SBI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5.16.1.36	Nuveen AMT-Free Municipal (NEA)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.5.16.1.37	Nuveen Qual Muni (NAD)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.16.1.38	BlackRock MuniVest Fund (MVF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5.16.1.39	Pioneer Muni High Inc Fund (MHI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5.16.1.40	Blackrock MuniYield Qual Fd II (MQT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5.17	Ogden CAP Associates, LLC (Series 32i)	No			
3.5.17.1	TetraGenetics Inc. Privately-held biotechnology company.	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
3.5.18	Ogden CAP Associates, LLC (Series 32ii)	No			
3.5.18.1	TetraGenetics Inc Convertible Note. Privately-held biotechnology company.	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
3.5.19	Ogden CAP Associates, LLC (Series 31)	No			
3.5.19.1	Puppet, Inc. Privately-held software company.	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.20	Ogden CAP Associates, LLC (Series 66)	No			
3.5.20.1	Emergent Properties Inc. Privately held software company.	N/A	None (or less than \$1,001)	Distribution	\$232,345
3.5.20.2	Building Engines, Inc. Privately held software company.	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5.21	Ogden CAP Associates, LLC (Series 27)	No			
3.5.21.1	Nor1. Privately-held company that provided check-in merchandising for hotels.	N/A	None (or less than \$1,001)	Distribution	\$489,894
3.5.22	Ogden CAP Associates, LLC (Series 24)	No			
3.5.22.1	Thrift Investors Limited Partnership (alternative asset fund operated by Polaris Capital Management, LLC)	See Endnote	No	None (or less than \$1,001)	Distribution \$625,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5.23	Ogden CAP Associates, LLC (Series 1)	No			
3.5.23.1	Kingdon Associates. Underlying assets subject to confidentiality agreement.	No	None (or less than \$1,001)	Distribution	\$680,616
3.5.24	Ogden CAP Associates (Series 95)	No			
3.5.24.1	S&P 500, put option @ 3,000 index value, expires September 17, 2021. Value not ascertainable.	N/A			None (or less than \$201)
3.5.24.2	S&P 500, put option @ 2,350 index value, expires September 17, 2021. Value not ascertainable.	N/A			None (or less than \$201)
3.5.25	Ogden CAP Associates, LLC (Series 83)	No			
3.5.25.1	S&P 500, put option @ 2,600 index value, expired June 19, 2020.	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.5.26	Ogden CAP Associates, LLC (Series 88)	No			
3.5.26.1	S&P 500, put option @ 2,950 index value, expired March 19, 2021.	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4	Northmon Investment Company (investment partnership)	No			
4.1	M&T Bank Corp. (MTB)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
4.2	Wells Fargo & Co. (WFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.3	Alexander & Baldwin, Inc. (ALEX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.4	Matson, Inc. (MATX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.5	Marcus Corp. (MCS)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	OCA Opportunity Fund LLC	No			
5.1	U.S. bank #3 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
5.2	Semper Short Duration Fund Instit Class (SEMIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.3	Brokerage Account #13	No			
5.3.1	City National Rochdale Government Money Market Fund (CNIXX)	Yes	\$1,000,001 - \$5,000,000		\$1,001 - \$2,500
5.3.2	Bond - New York City New York Muni Wtr Fin Water Revenue dtd 09/17/2013	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.3.3	Bond - New York City New York Muni Wtr Fin Water Revenue dtd 05/15/2001	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.3.4	Bond - New York City New York Muni Water Fin Water Revenue dtd 07/10/2014	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.3.5	Bond - New York City New York Muni Water Fin Water Revenue dtd 06/19/2018	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.3.6	Bond - New York City New York Muni Water Fin Water Revenue dtd 10/04/2012	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.3.7	Bond - New York City New York Muni Water Fin Water Revenue dtd 09/17/2013	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.3.8	Bond - New York City New York Muni Water Fin Water Revenue dtd 08/01/2014	N/A	\$250,001 - \$500,000		None (or less than \$201)
5.3.9	Bond - New York City New York Transitional General Obligation dtd 04/29/2014	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.3.10	Bond - New York New York General Obligation dtd 03/25/2014	N/A	\$250,001 - \$500,000		None (or less than \$201)
5.3.11	Bond - New York New York General Obligation dtd 06/18/2015	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3.12	Bond - New York New York General Obligation dtd 03/30/2010	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.3.13	Bond - New York New York General Obligation dtd 10/23/2012	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.3.14	Bond - New York New York General Obligation dtd 03/02/2009	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.3.15	Bond - New York State Urban Dev Corp Rev Revenue Bonds dtd 06/24/2008	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.3.16	Bond - New York State Urban Dev Corp Rev Revenue Bonds dtd 06/09/2011	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.3.17	U.S. bank #3 Deposit Sweep (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Irrevocable Trust #11	See Endnote	No		
6.1	SM Family/Master Holdings LLC	See Endnote	No	Over \$50,000,000	Interest Rent or Royalties Capital Gains \$1,000,001 - \$5,000,000
7	Brokerage Account #8		No		
7.1	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.2	Gilead Sciences, Inc. (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.3	Takeda Pharmaceutical Co Ltd (TAK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	U.S. bank #3 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
9	Royal Bank of Canada (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10	U.S. bank #4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Royal Bank of Canada (cash)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
12	Personal loan to Ms. Kestenbaum		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
13	Irrevocable Trust #21	See Endnote	No			
13.1	Ogden CAP Associates, LLC	See Endnote	No			
13.1.1	U.S. bank #1 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
13.1.2	Ogden CAP Associates, LLC (Series 2)		No			
13.1.2.1	Brokerage Account #1		No			
13.1.2.1.1	Bond - OH Allen County Var% 06/01/34		N/A	\$1,001 - \$15,000		None (or less than \$201)
13.1.2.1.2	Bond - AZ Indl Dev Auth Var% 2/1/48		N/A	\$1,001 - \$15,000		None (or less than \$201)
13.1.2.1.3	Bond - CA Irvine Bond Var% 09/02/32		N/A	\$1,001 - \$15,000		None (or less than \$201)
13.2	SM Family/Master Holdings LLC	See Endnote	No	\$25,000,001 - \$50,000,000	Rent or Royalties Interest Capital Gains	\$1,000,001 - \$5,000,000
14	Irrevocable Trust #22	See Endnote	No			
14.1	SM Family/Master Holdings LLC	See Endnote	No	\$25,000,001 - \$50,000,000	Interest Rent or Royalties Capital Gains	\$1,000,001 - \$5,000,000
14.2	Ogden CAP Associates, LLC		No			
14.2.1	U.S. bank #1 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
14.2.2	Ogden CAP Associates, LLC (Series 2)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.2.2.1	Brokerage Account #1		No			
14.2.2.1.1	Bond - OH Allen County Var% 06/01/34		N/A	\$1,001 - \$15,000		None (or less than \$201)
14.2.2.1.2	Bond - CA Irvine Bond Var% 09/02/32		N/A	\$1,001 - \$15,000		None (or less than \$201)
14.2.2.1.3	Bond - AZ Indl Dev Auth Var% 2/1/48		N/A	\$1,001 - \$15,000		None (or less than \$201)
15	Irrevocable Trust #23. No assets.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
16	Irrevocable Trust #24. No assets.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
17	Irrevocable Trust #8	See Endnote	No			
17.1	Ogden CAP Associates, LLC		No			
17.1.1	U.S. bank #1 (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)
17.1.2	Ogden CAP Associates, LLC (Series 2)		No			
17.1.2.1	Brokerage Account #1		No			
17.1.2.1.1	Bond - OH Allen County Var% 06/01/34		N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.2.1.2	Bond - CA Irvine Bond Var% 09/02/32		N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.2.1.3	Bond - AZ Indl Dev Auth Var% 2/1/48		N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3	Ogden CAP Associates, LLC (Series7)		No			
17.1.3.1	Brokerage Account #4		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.3.1.1	Alphabet, Inc. (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.2	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.3	AutoZone, Inc. (AZO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.4	The Bank of New York Mellon Corporation (BK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.5	Berkshire Hathaway Inc Del Cl A (BRKA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.6	Berkshire Hathaway Inc. (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.7	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.8	Emerson Electric Co. (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.9	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.10	3M Co. (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.11	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.12	Wells Fargo & Co. (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.13	Concentrix Corporation (CNXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3.1.14	Cnh Industrial NV (CHNI IM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.3. 1.15	Rubis Sca (RUI FP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.16	Unilever PLC (UNAA T1)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.17	Heineken Holding NV (HEIO NA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.18	Safran SA (SAFP IX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.19	Scor SE (SCR IX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.20	Alibaba Group Holding Ltd. (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.21	Diageo Ord 28 101/108P (DGE LN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.22	BAE Systems PLC (BA/LN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.23	Glaxo Smithkline (GSK LN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.24	Fresenius SE & Co Kga (FRE IX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.25	Bolloré (BOL FP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.26	Trelleborg Ab (TRELBS TQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.27	Basf SE (BAS GR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.28	Zurich Financial Services Chf10 (ZURN SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.3. 1.29	United Overseas Bank Sg\$1 (UOB SP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.30	Novartis AG (NOVN SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.31	Abb Limited (ABBN SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.32	Roche Holding-AG-Genusss (ROG SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.3. 1.33	Nestle SA (NESN SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.4	Ogden CAP Associates, LLC (Series 6)	No			
17.1.4. 1	Brokerage Account #9	No			
17.1.4. 1.1	FedEx Corp. (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.4. 1.2	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.4. 1.3	The Charles Schwab Corp. (SCHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.4. 1.4	Wells Fargo & Co. (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.5	Ogden CAP Associates, LLC (Series 10)	No			
17.1.5. 1	Brokerage Account #10	No			
17.1.5. 1.1	Procter & Gamble Co. (PG)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
17.1.5. 1.2	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.6	Ogden CAP Associates, LLC (Series 23)	No			
17.1.6.1	Brokerage Account #6	No			
17.1.6.1.1	Accel Entertainment Inc (ACEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.2	Asbury Automotive Group, Inc. (ABG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.3	BankUnited, Inc. (BKU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.4	The Brink's Co. (BCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.5	Brunswick Corp. (BC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.6	Cannae Holdings, Inc. (CNNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.7	Championx Corp (CHX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.8	Core-Mark Holding Co., Inc. (CORE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.9	Denbury Inc (DEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.10	First Interstate BancSystem, Inc. (Montana) (FIBK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.11	First Merchants Corp. (Indiana) (FRME)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.12	M.D.C. Holdings, Inc. (MDC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.13	Monarch Casino & Resort, Inc. (MCRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.6.1.14	Sterling Bancorp (Montebello, New York) (STL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.15	TechTarget, Inc. (TTGT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.16	Terminix Global Holdings Inc (TMX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.17	Texas Capital Bancshares, Inc. (TCBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.18	Trinity Industries, Inc. (TRN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.19	Tupperware Brands Corp. (TUP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.20	Valvoline, Inc. (VVV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.21	Viper Energy Partners LP (VNOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.22	Atlantic Capital Bancshares, Inc. (ACBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.23	Element Solutions, Inc. (ESI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.24	Horizon Bancorp, Inc. (Indiana) (HBNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.25	Rexnord Corp. (RXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.26	Ruth's Hospitality Group, Inc. (RUTH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.6.1.27	Enstar Group Ltd. (ESGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.6. 1.28	Enerpac Tool Group NPV (EPAC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
17.1.7	Ogden CAP Associates, LLC (Series 1)		No			
17.1.7. 1	Kingdon Associates. Underlying assets subject to confidentiality agreement.	See Endnote	No	\$15,001 - \$50,000	Dividends Capital Gains Interest	\$2,501 - \$5,000
17.1.8	Ogden CAP Associates, LLC (Series 18)		No			
17.1.8. 1	Dimensional Fund Advisors		N/A	None (or less than \$1,001)	Distribution	\$49,216
17.1.9	Ogden CAP Associates, LLC (Series 40)		No			
17.1.9. 1	WLR IV PPIP Co-Invest, L.P. Underlying assets subject to confidentiality agreement.		No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
17.1.9. 2	WLR IV PPIP Co-Invest Loans AIV, L.P.		Yes	\$1,001 - \$15,000		None (or less than \$201)
17.1.10	Ogden CAP Associates, LLC (Series 58)		No			
17.1.10 .1	OCAOF Lakeway LLC		No			
17.1.10 .1.1	Lakeway Associates, II		No			
17.1.10 .1.1.1	Commercial real estate in Metairie, Louisiana		N/A	\$100,001 - \$250,000	Rent or Royalties	\$1,001 - \$2,500
17.1.11	Ogden CAP Associates, LLC (Series 95)		No			
17.1.11 .1	S&P 500, put option @ 3,000 index value, expires September 17, 2021. Value not ascertainable.		N/A			None (or less than \$201)
17.1.11 .2	S&P 500, put option @ 2,350 index value, expires September 17, 2021. Value not ascertainable.		N/A			None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.12	Ogden CAP Associates, LLC (Series 83)		No			
17.1.12 .1	S&P 500, put option @ 2,600 index value, expired June 19, 2020.		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
17.1.13	Ogden CAP Associates, LLC (Series 88)		No			
17.1.13 .1	S&P 500, put option @ 2,950 index value, expired March 19, 2021		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
18	Irrevocable Trust #12	See Endnote	No			
18.1	U.S. bank #1 (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
18.2	Ogden CAP Properties, LLC	See Endnote	No			
18.2.1	Ogden CAP Associates, LLC	See Endnote	No			
18.2.1. 1	U.S. bank #1 (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)
18.2.2	Ogden CAP Properties, LLC carried interest. Value not readily ascertainable.	See Endnote	No			None (or less than \$201)
18.2.3	Ogden CAP Properties, LLC management fee. Value not readily ascertainable.	See Endnote	N/A		Management fee	\$3,750,000
19	Note receivable from Irrevocable Trust #21		N/A	\$25,000,001 - \$50,000,000	Interest	\$1,000,001 - \$5,000,000
20	Note receivable from Irrevocable Trust #22		N/A	\$25,000,001 - \$50,000,000	Interest	\$1,000,001 - \$5,000,000
21	Heathcote Associates (Investment Partnership)		No			
21.1	Alpine Equity Partners L.P.		No			
21.1.1	Lord Abbett Short Duration Income Fund Class A Shares (LALDX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.1.2	Morgan Stanley Institutional Liquidity Fund Treasury Portfolio (Institutional Share Class)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Ogden CAP Properties, LLC	Exercised Line of Credit	\$5,000,001 - \$25,000,000	2020	Short term AFR	Demand
2	OCA Opportunity Fund	Exercised Line of Credit	\$5,000,001 - \$25,000,000	2017	2.25% Floating	Annually Renewable
3	Irrevocable Trust #1	Personal Loan	\$1,000,001 - \$5,000,000	2018	2.34% - Short term AFR	3 years
4	Irrevocable Trust #2	Personal Loan	\$1,000,001 - \$5,000,000	2018	2.34% - Short term AFR	3 years
5	Irrevocable Trust #3	Grid Note	\$1,000,001 - \$5,000,000	2020	Mid Term AFR	9 years
6	Irrevocable Trust #3	Personal Loan	\$5,000,001 - \$25,000,000	2020	0.41% - Midterm AFR	9 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	27	The filer ceased to be a Member of the Management Committee in November 2020.
5.	1	The filer's spouse's interest in this pension plan has been liquidated and there are no remaining assets.
5.	2	This company is inactive and has not engaged in business activities.
5.	3	This company is inactive and has not engaged in business activities.
6.	1.1	This entity owns 100% interests in the underlying holdings listed in Part 6, lines 1.1.1 through 1.1.11.1. All income (interest and rents) from the underlying holdings flow through to this entity and are reported by this entity.
6.	1.1.11.2	This entity is the tenant on a lease from the owners of commercial real estate in New York, New York. The entity derives income from subleasing the commercial real estate that is the subject of the lease.
6.	1.2	This Delaware series LLC is an investment vehicle of the filer's family. Individuals and entities may invest in the underlying series of the LLC and not all investments are proportionate.
6.	2.1	Underlying holdings are reported on Part 6, lines 1.1.1 through 1.1.11.1.
6.	2.2	See description of entity reported on Part 6, line 1.2.
6.	3.3	The corresponding liability is shown in Part 8, line 5.
6.	3.4	The corresponding liability is shown in Part 8, line 6.
6.	3.5	See description of entity reported on Part 6, line 1.2.
6.	3.5.8.1.34	In mid-July, this company merged with The Hillman Group and the combined company changed its name to Hillman Solutions Corp. (HLMN).
6.	3.5.22.1	The filer no longer holds this fund and does not have access to its underlying holdings.
6.	6	Intentionally defective grantor trust.

PART	#	ENDNOTE
6.	6.1	Underlying holdings are reported on Part 6, lines 1.1.1 through 1.1.11.1.
6.	13	Intentionally defective grantor trust.
6.	13.1	See description of entity reported on Part 6, line 1.2.
6.	13.2	Underlying holdings are reported on Part 6, lines 1.1.1 through 1.1.11.1.
6.	14	Intentionally defective grantor trust.
6.	14.1	Underlying holdings are reported on Part 6, lines 1.1.1 through 1.1.11.1.
6.	15	This is an intentionally defective grantor trust with no assets.
6.	16	This is an intentionally defective grantor trust with no assets.
6.	17	Intentionally defective grantor trust.
6.	17.1.7.1	This holding will be redeemed by December 31, 2021.
6.	18	Intentionally defective grantor trust.
6.	18.2	This entity is a property management company.
6.	18.2.1	See description of entity reported on Part 6, line 1.2.
6.	18.2.2	Percentage calculated on the basis of assets held in three groups within Ogden CAP Associates, LLC. Percentage interest varies by asset grouping. Tier 1: fee is charged based on the aggregate group assets under management assuming net asset value of the assets under management has increased during the calculation period. The fees charged vary by group, as follows: 0.2% (group 1), 1.1% (group 2), and 1.7% (group 3). These fees are capped at 50% of aggregate profits within each group. Tier 2 (applicable to all three groups): 2% of aggregate group profits remaining after calculation of the Tier 1 interests.
6.	18.2.3	Annual management fee of \$3,000,000 paid by Ogden CAP Associates, LLC for management services, which is paid in quarterly installments.

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.

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