

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

Filer's Information

Goldberg, Beth L

District Director, SBA

Other Federal Government Positions Held During the Preceding 12 Months:

SES: (01/26/2015 - 05/12/2022)

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/ Beth Goldberg \[electronically signed by Beth Goldberg on 2022-05-12 09:54:09 in FOnline\]](#)

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/ Marilyn Barnes, Super Administrator \[electronically signed by Marilyn Barnes on 2022-07-05 15:56:16 in FOnline\]](#)

Other review conducted by:

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	ORG TYPE	POSITION	FROM	TO
1	Auric Ventures, Ltd.	New York, NY, US	Consulting Firm	President	01/01/1988	Present
2	EKG Realty LLC	Marlboro, NJ, US	Real Estate	Partner	01/01/2009	Present
3	KF Finance	Marlboro, NJ, US	Real Estate	Partner	12/01/2009	Present
4	Irrevocable Trust by Sheldon Spring	Riverdale, NY, US	Family Trust	Trustee	01/01/1994	Present
5	Auric Properties Inc.	New York, NY, US	Real Estate Brokerage	President	05/25/1993	Present

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(J) (IRE) Condominium Manalapan, NJ, US	N /A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
2	(J) (Partnership) EKG Realty LLC Manalapan, NJ, US Rental Income	N /A			
2.1	(Cash)	No	\$50,001 - \$100,000	Rent or Royalties, Interest	\$15,001 - \$50,000
3	(J) (Partnership) KF Finance Marlboro, NJ, US Real Estate	N /A			
3.1	(Cash)	No	\$100,001 - \$250,000	Interest	\$201 - \$1,000
4	(Trade) Auric Ventures, Ltd New York, NY, US Consulting	N /A	\$250,001 - \$500,000		None (or less than \$201)
4.1	(Cash)	No	\$1,001 - \$15,000		None (or less than \$201)
4.2	(Other) Defined Contribution Plan - TD Ameritrade (2519 and 2813)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$1,001 - \$2,500

3. Filer's Employment Agreements and Arrangements

None

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

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

5. Spouse's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(S) (Pension) NYC Teachers Retirement System NYC Department of Education	N /A	value not readily ascertainable		None (or less than \$201)
2	(S) (Other) Daniel Meyer SEP Accounts (5913 and 6076)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	None (or less than \$201)
3	(S) (Other Investment Vehicle) United Federation of Teachers Tax Deferred Annuity	N /A			
3.1	(Other) owns units in Diversified Equity Fund	No	Over \$1,000,000*	Dividends, Interest, Capital Gains	None (or less than \$201)
4	(S) (Spouse EI) New York City Department of Education Staten Island, NY, US	N /A			
5	(S) (Spouse EI) Private Practice Marlboro, NJ, US	N /A			

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(J) (Stock) ISBC Investors Bancorp, Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2	(J) (Stock) NJR New Jersey Resource Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3	(J) (Cash Deposit/Savings) PNC Marlboro, NJ, US Checking accounts and money market accounts	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
4	(J) (Cash Deposit/Savings) Investor's Savings Bank Marlboro, NJ, US checking accounts and liquid money markets	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5	(J) (Cash Deposit/Savings) Chase Manhattan Bank New York, NY, US checking, savings accounts and annuity	N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
6	(S) (Cash Deposit/Savings) Santander Bank Marlboro, NJ, US Checking accounts and money market accounts	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
7	(J) (Other) Beth Goldberg Meyer and Alan Goldberg (122 and 557)	No	value not readily ascertainable		None (or less than \$201)
8	(J) (Other) Irrevokable Trust of Sheldon Spring (415)	No	value not readily ascertainable		None (or less than \$201)
9	(J) (Other) Beth Goldberg Meyer and Zachary G. Meyer (5905)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$201 - \$1,000
10	(J) (Other) Beth Goldberg Meyer and Ilyssa R. Meyer (5904)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$201 - \$1,000
11	(S) (Other) Daniel A. Meyer (9902 and 6099)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$15,001 - \$50,000
12	(Other) Beth Goldberg Meyer (9898)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$201 - \$1,000
13	(J) (Other) Beth Goldberg Meyer and Daniel Meyer, Jt Acct (TD 5135)	No	value not readily ascertainable	Dividends, Capital Gains	\$5,001 - \$15,000
14	(J) (Other) Beth Goldberg Meyer and Daniel A. Meyer (TD 0421)	Yes	value not readily ascertainable		\$201 - \$1,000
15	(Other) Beth Goldberg Meyer (TD 9898)	Yes	value not readily ascertainable		\$1,001 - \$2,500
16	(J) (Other) Beth Goldberg Meyer and Daniel Meyer - Stonetown 6 LLLP	Yes	value not readily ascertainable		\$2,501 - \$5,000

17	(J) (Other) Beth Goldberg Meyer and Daniel Meyer - Stonetown 7 LLLP	Yes	value not readily ascertainable		None (or less than \$201)
18	(J) (Other) Beth Goldberg Meyer and Daniel Meyer - Loci Capital	Yes	value not readily ascertainable		None (or less than \$201)
19	(IRA) TD Ameritrade (5907)	N/A			
19.1	(Cash)	No	value not readily ascertainable		None (or less than \$201)
20	(IRA) TD Ameritrade (5909)	No			
20.1	(Cash)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	None (or less than \$201)
21	(S) (IRA) TD Ameritrade (5912)	N/A			
21.1	(Cash)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	None (or less than \$201)
22	(IRA) TD Ameritrade 7704	N/A			
22.1	(Cash)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
23	(IRA) TD Ameritrade 5768	N/A			
23.1	(Cash)	Yes	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AAPL - Apple Inc	sale	01/06/2021	\$1,001 - \$15,000
2	ABNB - Airbnb Inc CI A	purchase	07/26/2021	\$1,001 - \$15,000
3	ADBE - Adobe Systems Inc	sale	02/26/2021	\$1,001 - \$15,000
4	AGC - Altimeter Growth Corp CI A	exchange	12/03/2021	\$1,001 - \$15,000
5	AGC - Altimeter Growth Corp CI A	purchase	09/23/2021	\$1,001 - \$15,000
6	AGC - Altimeter Growth Corp CI A	purchase	09/23/2021	\$1,001 - \$15,000

7	AGC - Altimeter Growth Corp CI A	purchase	09/23/2021	\$1,001 - \$15,000
8	AGC - Altimeter Growth Corp CI A	purchase	09/23/2021	\$1,001 - \$15,000
9	AIG - American International Group	purchase	02/25/2021	\$1,001 - \$15,000
10	AKAM - Akamai Technologies	sale	09/28/2021	\$1,001 - \$15,000
11	ALXN - Alexion Pharm Inc	sale	03/03/2021	\$1,001 - \$15,000
12	AMCR - Amcor Plc	sale	12/29/2021	\$1,001 - \$15,000
13	AMGN - Amgen Inc	sale	09/01/2021	\$1,001 - \$15,000
14	AMGN - Amgen Inc	sale	08/31/2021	\$1,001 - \$15,000
15	AMGN - Amgen Inc	purchase	07/22/2021	\$1,001 - \$15,000
16	AMZN - Amazon.com Inc	purchase	03/04/2021	\$1,001 - \$15,000
17	AMZN - Amazon.com Inc	purchase	01/04/2021	\$1,001 - \$15,000
18	AMZN - Amazon.com Inc	sale	01/06/2021	\$1,001 - \$15,000
19	APPS - Digital Turbine	purchase	01/13/2021	\$1,001 - \$15,000
20	ARKG - Ark Genomic Revolution ETF	sale	07/14/2021	\$1,001 - \$15,000
21	ARKG - Ark Genomic Revolution ETF	sale	07/14/2021	\$1,001 - \$15,000
22	ARKG - Ark Genomic Revolution ETF	purchase	06/14/2021	\$1,001 - \$15,000
23	ARKG - Ark Genomic Revolution ETF	purchase	06/14/2021	\$1,001 - \$15,000
24	ARKG - Ark Genomic Revolution ETF	sale	02/23/2021	\$1,001 - \$15,000
25	ARKG - Ark Genomic Revolution ETF	sale	02/23/2021	\$1,001 - \$15,000
26	ARKG - Ark Genomic Revolution ETF	purchase	01/07/2021	\$1,001 - \$15,000
27	ARKK - Ark Innovation ETF	sale	03/05/2021	\$1,001 - \$15,000
28	ARKK - Ark Innovation ETF	sale	03/05/2021	\$1,001 - \$15,000
29	ARKK - Ark Innovation ETF	sale	01/04/2021	\$1,001 - \$15,000
30	ASLAX - Ab Cap Fund Inc. - Ab Select US Long/Short Port	purchase	11/09/2021	\$1,001 - \$15,000
31	ASLAX - Ab Cap Fund Inc. - Ab Select US Long/Short Port	purchase	07/26/2021	\$1,001 - \$15,000
32	BABA - Alibaba Group Holding	sale	01/29/2021	\$1,001 - \$15,000
33	BABA - Alibaba Group Holding ADR	sale	11/23/2021	\$1,001 - \$15,000

34	BABA - Alibaba Group Holding ADR	purchase	10/19/2021	\$1,001 - \$15,000
35	BABA - Alibaba Group Holding ADR	purchase	09/20/2021	\$1,001 - \$15,000
36	BHP - Bhp Billiton Ltd ADR	purchase	09/21/2021	\$1,001 - \$15,000
37	BIDU - Baidu Inc	purchase	05/26/2021	\$1,001 - \$15,000
38	BIDU - Baidu Inc ADR	sale	07/08/2021	\$1,001 - \$15,000
39	BIZD - Bdc Income Vaneck ETF	purchase	06/22/2021	\$1,001 - \$15,000
40	BK - Bank of New York Mellon Corp	purchase	10/29/2021	\$1,001 - \$15,000
41	BLDP - Ballard Power Sys	sale	02/18/2021	\$1,001 - \$15,000
42	BLDP - Ballard Power Sys	purchase	02/03/2021	\$1,001 - \$15,000
43	BUD - Anheuser-Busch Inbev S.A.	sale	03/03/2021	\$1,001 - \$15,000
44	C - Citigroup Inc	sale	07/08/2021	\$1,001 - \$15,000
45	C - Citigroup Inc	sale	01/06/2021	\$1,001 - \$15,000
46	CARR - Carrier Global Corp	purchase	05/07/2021	\$1,001 - \$15,000
47	CARR - Carrier Global Corp	purchase	05/07/2021	\$1,001 - \$15,000
48	CARR - Carrier Global Corp [Carr/I]	sale	01/28/2021	\$1,001 - \$15,000
49	CAT - Caterpillar Inc	sale	01/06/2021	\$1,001 - \$15,000
50	CGCIX - Calamos Global Growth and Income Fund Class I	purchase	12/20/2021	\$1,001 - \$15,000
51	CGCIX - Calamos Global Growth and Income Fund Class I	purchase	12/20/2021	\$1,001 - \$15,000
52	CLOU - Global X Cloud Computing ETF	purchase	04/12/2021	\$1,001 - \$15,000
53	CLOU - Global X Cloud Computing ETF	purchase	04/12/2021	\$1,001 - \$15,000
54	CLOU - Global X Cloud Computing ETF	sale	04/20/2021	\$1,001 - \$15,000
55	CLOU - Global X Cloud Computing ETF	sale	04/20/2021	\$1,001 - \$15,000
56	CMCSA - Comcast Corp A	sale	04/29/2021	\$1,001 - \$15,000
57	CMNIX - Calamos Market Neutral Fd CI I	purchase	11/09/2021	\$1,001 - \$15,000
58	CMNIX - Calamos Market Neutral Fd CI I	purchase	11/09/2021	\$1,001 - \$15,000
59	CMNIX - Calamos Market Neutral Fd CI I	purchase	06/22/2021	\$1,001 - \$15,000
60	CMNIX - Calamos Market Neutral Fd CI I	purchase	06/22/2021	\$1,001 - \$15,000

61	CMNIX - Calamos Market Neutral Fd Cl I	purchase	04/30/2021	\$1,001 - \$15,000
62	COST - Costco Wholesale	sale	03/03/2021	\$1,001 - \$15,000
63	COST - Costco Wholesale	sale	01/19/2021	\$1,001 - \$15,000
64	COST - Costco Wholesale	sale	01/25/2021	\$1,001 - \$15,000
65	COST - Costco Wholesale	sale	01/06/2021	\$1,001 - \$15,000
66	CRL - Charles River Laboratories Intl	purchase	11/03/2021	\$1,001 - \$15,000
67	CRM - Salesforce.com Inc	sale	02/26/2021	\$1,001 - \$15,000
68	CRM - Salesforce.com Inc	sale	03/03/2021	\$1,001 - \$15,000
69	CRM - Salesforce.com Inc	purchase	03/04/2021	\$1,001 - \$15,000
70	CRM - Salesforce.com Inc	sale	01/06/2021	\$1,001 - \$15,000
71	CRWD - CrowdStrike Holdings Inc	purchase	11/17/2021	\$1,001 - \$15,000
72	CRWD - CrowdStrike Holdings Inc	sale	01/04/2021	\$1,001 - \$15,000
73	CRWD - CrowdStrike Holdings Inc	sale	01/06/2021	\$1,001 - \$15,000
74	CTVA - Corteva Inc	sale	05/27/2021	\$1,001 - \$15,000
75	CTXS - Citrix Systems Inc	sale	08/04/2021	\$1,001 - \$15,000
76	CX - Cemex S.A.B. DE C.V.	purchase	02/24/2021	\$1,001 - \$15,000
77	DAL - Delta Air Lines Inc	purchase	08/12/2021	\$1,001 - \$15,000
78	DASTY - Dassault Systems SA ADR	sale	01/28/2021	\$1,001 - \$15,000
79	DBA - DB Agriculture Fund Invesco	purchase	02/22/2021	\$1,001 - \$15,000
80	DBA - DB Agriculture Fund Invesco	purchase	02/22/2021	\$1,001 - \$15,000
81	DBA - DB Agriculture Fund Invesco	purchase	02/23/2021	\$1,001 - \$15,000
82	DBLTX - Doubleline Total Return Bond Fund Class I	sale	06/22/2021	\$1,001 - \$15,000
83	DBLTX - Doubleline Total Return Bond Fund Class I	sale	06/22/2021	\$1,001 - \$15,000
84	DELL - Dell Technologies Inc	sale	01/29/2021	\$1,001 - \$15,000
85	DIS - Walt Disney Company	purchase	02/24/2021	\$1,001 - \$15,000
86	DISCA - Discovery Comm A	purchase	03/04/2021	\$1,001 - \$15,000
87	DMYD - Dmy Technology Group Inc II Cl A	sale	02/12/2021	\$1,001 - \$15,000

88	DMYD - Dmy Technology Group Inc II Cl A	purchase	01/28/2021	\$1,001 - \$15,000
89	DOCU - DocuSign Inc	purchase	09/15/2021	\$1,001 - \$15,000
90	DOCU - DocuSign Inc	purchase	05/07/2021	\$1,001 - \$15,000
91	DODIX - Dodge & Cox Income Fund	sale	03/12/2021	\$1,001 - \$15,000
92	DODIX - Dodge & Cox Income Fund	sale	03/12/2021	\$1,001 - \$15,000
93	DOW - Dow Inc	sale	12/27/2021	\$1,001 - \$15,000
94	ECL - Ecolab Inc	sale	12/16/2021	\$1,001 - \$15,000
95	EEM - Emerging Markets Ishares MSCI ETF	sale	03/04/2021	\$1,001 - \$15,000
96	EL - Estee Lauder Companies	sale	01/06/2021	\$1,001 - \$15,000
97	EMQQ - Emrg Mkts Internet and Ecommerce Etc	sale	03/04/2021	\$1,001 - \$15,000
98	EMQQ - Emrg Mkts Internet and Ecommerce Etc	purchase	01/20/2021	\$1,001 - \$15,000
99	ENPH - Enphase Energy Inc	purchase	02/19/2021	\$1,001 - \$15,000
100	ENPH - Enphase Energy Inc	sale	02/22/2021	\$1,001 - \$15,000
101	EQH - Axa Equitable Holdings Inc	purchase	04/08/2021	\$1,001 - \$15,000
102	ESPO - Vaneck Vectors Video Gaming and Esports ETF	purchase	06/22/2021	\$1,001 - \$15,000
103	ESPO - Vaneck Vectors Video Gaming and Esports ETF	sale	05/13/2021	\$1,001 - \$15,000
104	ESPO - Vaneck Vectors Video Gaming and Esports ETF	sale	03/03/2021	\$1,001 - \$15,000
105	ESPO - Vaneck Vectors Video Gaming and Esports ETF	sale	03/05/2021	\$1,001 - \$15,000
106	ESPO - Vaneck Video Gaming and Esports ETF	sale	08/03/2021	\$1,001 - \$15,000
107	ESPO - Vaneck Video Gaming and Esports ETF	sale	08/03/2021	\$1,001 - \$15,000
108	ETHE - Grayscale Ethereum	sale	07/26/2021	\$1,001 - \$15,000
109	ETHE - Grayscale Ethereum Tr Eth Shs	purchase	01/08/2021	\$1,001 - \$15,000
110	ETSY - Etsy Inc	purchase	11/09/2021	\$1,001 - \$15,000
111	ETSY - Etsy Inc	purchase	03/11/2021	\$1,001 - \$15,000
112	EWU - United Kingdom Ishares MSCI ETF	sale	06/22/2021	\$1,001 - \$15,000
113	EXPE - Expedia Group Inc	sale	01/22/2021	\$1,001 - \$15,000
114	EXPE - Expedia Group Inc	purchase	01/06/2021	\$1,001 - \$15,000

115	FB - Facebook Inc	purchase	03/04/2021	\$1,001 - \$15,000
116	FB - Facebook Inc	sale	01/06/2021	\$1,001 - \$15,000
117	FCX - Freeport-Mcmoran Inc	sale	03/03/2021	\$1,001 - \$15,000
118	FCX - Freeport-Mcmoran Inc	sale	01/06/2021	\$1,001 - \$15,000
119	FUBO - Fubotv Inc	purchase	09/14/2021	\$1,001 - \$15,000
120	FUBO - Fubotv Inc	sale	09/28/2021	\$1,001 - \$15,000
121	GBTC - Grayscale Bitcoin Trust	sale	07/26/2021	\$1,001 - \$15,000
122	GBTC - Grayscale Bitcoin Trust BTC	sale	06/22/2021	\$1,001 - \$15,000
123	GBTC - Grayscale Bitcoin Trust BTC	purchase	05/03/2021	\$1,001 - \$15,000
124	GOOGL - Alphabet Cl A	sale	01/13/2021	\$1,001 - \$15,000
125	GOOGL - Alphabet Cl A	sale	01/06/2021	\$1,001 - \$15,000
126	GRAB - Grab Holdings Limited Cl A	exchange	12/03/2021	\$1,001 - \$15,000
127	HD - Home Depot	purchase	03/04/2021	\$1,001 - \$15,000
128	HUBS - Hubspot Inc	purchase	09/27/2021	\$1,001 - \$15,000
129	IAU - Gold Trust Ishares	purchase	11/09/2021	\$1,001 - \$15,000
130	IAU - Gold Trust Ishares	purchase	08/16/2021	\$1,001 - \$15,000
131	IAU - Gold Trust Ishares	sale	04/30/2021	\$1,001 - \$15,000
132	IAU - Gold Trust Ishares	sale	04/30/2021	\$1,001 - \$15,000
133	IEUR - Europe Ishares Core MSCI ETF	sale	06/22/2021	\$1,001 - \$15,000
134	IEUS - Europe Small-Cap Ishares MSCI ETF	sale	06/22/2021	\$1,001 - \$15,000
135	IGV - North American Tech-Software Ishares ETF	purchase	10/19/2021	\$1,001 - \$15,000
136	IGV - North American Tech-Software Ishares ETF	purchase	08/20/2021	\$1,001 - \$15,000
137	IGV - North American Tech-Software Ishares ETF	purchase	07/14/2021	\$1,001 - \$15,000
138	IGV - North American Tech-Software Ishares ETF	purchase	07/23/2021	\$1,001 - \$15,000
139	IGV - North American Tech-Software Ishares ETF	purchase	07/23/2021	\$1,001 - \$15,000
140	IGV - North American Tech-Software Ishares ETF	purchase	06/11/2021	\$1,001 - \$15,000
141	IGV - North American Tech-Software Ishares ETF	purchase	06/11/2021	\$1,001 - \$15,000

142	IGV - North American Tech-Software Ishares ETF	purchase	06/22/2021	\$1,001 - \$15,000
143	IGV - North American Tech-Software Ishares ETF	sale	02/25/2021	\$1,001 - \$15,000
144	IGV - North American Tech-Software Ishares ETF	sale	02/26/2021	\$1,001 - \$15,000
145	IGV - North American Tech-Software Ishares ETF	sale	02/26/2021	\$1,001 - \$15,000
146	IGV - North American Tech-Software Ishares ETF	sale	01/29/2021	\$1,001 - \$15,000
147	IGV - North American Tech-Software Ishares ETF	sale	01/07/2021	\$1,001 - \$15,000
148	IJH - S&P Mid-Cap 400 Ishares Core ETF	sale	06/22/2021	\$1,001 - \$15,000
149	IJH - S&P Mid-Cap 400 Ishares Core ETF	sale	06/22/2021	\$1,001 - \$15,000
150	IJH - S&P Mid-Cap 400 Ishares Core ETF	purchase	04/08/2021	\$1,001 - \$15,000
151	IJH - S&P Mid-Cap 400 Ishares Core ETF	purchase	04/08/2021	\$1,001 - \$15,000
152	IJJ - S&P Mid-Cap 400 Value Ishares ETF	sale	04/08/2021	\$1,001 - \$15,000
153	IJJ - S&P Mid-Cap 400 Value Ishares ETF	sale	04/08/2021	\$1,001 - \$15,000
154	IJJ - S&P Mid-Cap 400 Value Ishares ETF	purchase	01/06/2021	\$1,001 - \$15,000
155	IJR - S&P Small-Cap Ishares Core ETF	sale	12/16/2021	\$1,001 - \$15,000
156	IJR - S&P Small-Cap Ishares Core ETF	sale	12/16/2021	\$1,001 - \$15,000
157	IJR - S&P Small-Cap Ishares Core ETF	purchase	11/30/2021	\$1,001 - \$15,000
158	IJR - S&P Small-Cap Ishares Core ETF	purchase	11/30/2021	\$1,001 - \$15,000
159	IJR - S&P Small-Cap Ishares Core ETF	sale	12/02/2021	\$1,001 - \$15,000
160	IJR - S&P Small-Cap Ishares Core ETF	purchase	09/24/2021	\$1,001 - \$15,000
161	IJR - S&P Small-Cap Ishares Core ETF	sale	07/23/2021	\$1,001 - \$15,000
162	IJR - S&P Small-Cap Ishares Core ETF	sale	06/22/2021	\$1,001 - \$15,000
163	IJS - S&P Small-Cap 600 Value Ishares ETF	sale	06/22/2021	\$1,001 - \$15,000
164	IJS - S&P Small-Cap 600 Value Ishares ETF	sale	04/08/2021	\$1,001 - \$15,000
165	IJS - S&P Small-Cap 600 Value Ishares ETF	purchase	01/06/2021	\$1,001 - \$15,000
166	INDY - India 50 Ishares ETF	sale	04/12/2021	\$1,001 - \$15,000
167	INFI - Infinity Pharmaceuti	sale	10/13/2021	\$1,001 - \$15,000
168	INFI - Infinity Pharmaceuti	sale	09/14/2021	\$1,001 - \$15,000

169	INFI - Infinity Pharmaceuti	purchase	08/03/2021	\$1,001 - \$15,000
170	INFO - IHS Markit Ltd	sale	09/28/2021	\$1,001 - \$15,000
171	INTC - Intel Corp	sale	12/27/2021	\$1,001 - \$15,000
172	INTU - Intuit Inc	sale	03/05/2021	\$1,001 - \$15,000
173	INTU - Intuit Inc	sale	01/06/2021	\$1,001 - \$15,000
174	ISRG - Intuitive Surg Inc	purchase	12/10/2021	\$1,001 - \$15,000
175	ISRG - Intuitive Surg Inc	sale	01/28/2021	\$1,001 - \$15,000
176	ITOT - S&P Total US Stock Market Ishares Core ETF	purchase	11/09/2021	\$1,001 - \$15,000
177	ITOT - S&P Total US Stock Market Ishares Core ETF	purchase	11/09/2021	\$1,001 - \$15,000
178	IVOL - Quadratic Interest Rate Vol and Infl ETF	sale	11/09/2021	\$1,001 - \$15,000
179	IVOL - Quadratic Interest Rate Vol and Infl ETF	sale	11/09/2021	\$1,001 - \$15,000
180	JBALX - Janus Henderson Balanced Fund - I Shares	sale	06/22/2021	\$1,001 - \$15,000
181	JBALX - Janus Henderson Balanced Fund - I Shares	purchase	04/13/2021	\$1,001 - \$15,000
182	JBALX - Janus Henderson Balanced Fund - I Shares	sale	01/20/2021	\$1,001 - \$15,000
183	JD - Jd.com Inc Ads	sale	01/06/2021	\$1,001 - \$15,000
184	JETS - US Global Jets ETF	purchase	04/08/2021	\$1,001 - \$15,000
185	JETS - US Global Jets ETF	sale	04/12/2021	\$1,001 - \$15,000
186	JETS - US Global Jets ETF	sale	04/12/2021	\$1,001 - \$15,000
187	JKF - Mstar Large-Cap Value Ishares ETF	sale	02/01/2021	\$1,001 - \$15,000
188	JKF - Mstar Large-Cap Value Ishares ETF	purchase	01/06/2021	\$15,001 - \$50,000
189	JMIA - Jumia Technologies Ag ADR	sale	03/05/2021	\$1,001 - \$15,000
190	JMIA - Jumia Technologies Ag ADR	sale	01/27/2021	\$1,001 - \$15,000
191	JMIA - Jumia Technologies Ag ADR	sale	01/04/2021	\$1,001 - \$15,000
192	KRE - S&P Regional Banking ETF SPDR	sale	04/08/2021	\$1,001 - \$15,000
193	KRE - S&P Regional Banking ETF SPDR	sale	04/08/2021	\$1,001 - \$15,000
194	KRE - S&P Regional Banking ETF SPDR	purchase	03/03/2021	\$1,001 - \$15,000
195	KRE - S&P Regional Banking ETF SPDR	purchase	03/03/2021	\$1,001 - \$15,000

196	KRE - S&P Regional Banking ETF SPDR	purchase	03/03/2021	\$1,001 - \$15,000
197	KRE - S&P Regional Banking ETF SPDR	purchase	03/08/2021	\$1,001 - \$15,000
198	KRE - S&P Regional Banking ETF SPDR	purchase	03/10/2021	\$1,001 - \$15,000
199	KWEB - KS Trust KS CSI China Internet ETF	sale	03/04/2021	\$1,001 - \$15,000
200	LDLFX - Lord Abbett Investment Trust Short Duration Inco	sale	08/27/2021	\$1,001 - \$15,000
201	LDLFX - Lord Abbett Investment Trust Short Duration Inco	sale	08/27/2021	\$1,001 - \$15,000
202	LOW - Loww's Companies	sale	01/04/2021	\$1,001 - \$15,000
203	LSWWX - Loomis Sayles Global Allocation Fund Class Y	purchase	10/19/2021	\$1,001 - \$15,000
204	LSWWX - Loomis Sayles Global Allocation Fund Class Y	purchase	07/27/2021	\$1,001 - \$15,000
205	LSWWX - Loomis Sayles Global Allocation Fund Class Y	sale	06/22/2021	\$1,001 - \$15,000
206	LSWWX - Loomis Sayles Global Allocation Fund Class Y	sale	01/27/2021	\$1,001 - \$15,000
207	LYB - Lyondellbasell Industries NV	sale	12/27/2021	\$1,001 - \$15,000
208	MA - Mastercard Inc	sale	01/19/2021	\$1,001 - \$15,000
209	MA - Mastercard Inc	sale	01/06/2021	\$1,001 - \$15,000
210	MCSMX - Matthews China Small Companies Fd Inv Cl	sale	08/16/2021	\$1,001 - \$15,000
211	MCSMX - Matthews China Small Companies Fd Inv Cl	sale	07/27/2021	\$1,001 - \$15,000
212	MCSMX - Matthews China Small Companies Fd Inv Cl	purchase	06/22/2021	\$1,001 - \$15,000
213	MDIJX - MFS International Diversification Fund Class I	purchase	07/27/2021	\$1,001 - \$15,000
214	MDIJX - MFS International Diversification Fund Class I	purchase	06/22/2021	\$1,001 - \$15,000
215	MDIJX - MFS International Diversification Fund Class I	purchase	06/22/2021	\$1,001 - \$15,000
216	MDT - Medtronic Inc	sale	12/27/2021	\$1,001 - \$15,000
217	MELI - Mercadolibre Inc	sale	02/24/2021	\$1,001 - \$15,000
218	MELI - Mercadolibre Inc	purchase	01/28/2021	\$1,001 - \$15,000
219	MERIX - The Merger Fund Institutional Cl	sale	11/08/2021	\$15,001 - \$50,000
220	MERIX - The Merger Fund Institutional Cl	purchase	06/22/2021	\$1,001 - \$15,000
221	MERIX - The Merger Fund Institutional Cl	purchase	04/26/2021	\$15,001 - \$50,000
222	MERIX - The Merger Fund Institutional Cl	purchase	04/30/2021	\$1,001 - \$15,000

223	MERIX - The Merger Fund Institutional Cl	purchase	01/04/2021	\$1,001 - \$15,000
224	MGA - Magna International	sale	07/08/2021	\$1,001 - \$15,000
225	MGA - Magna International	purchase	01/20/2021	\$1,001 - \$15,000
226	MGM - MGM Resorts International	purchase	05/03/2021	\$1,001 - \$15,000
227	MGM - MGM Resorts International	sale	05/11/2021	\$1,001 - \$15,000
228	MGQIX - Msif Global Sustain Portfolio - Class I	sale	12/20/2021	\$1,001 - \$15,000
229	MGQIX - Msif Global Sustain Portfolio - Class I	sale	12/20/2021	\$1,001 - \$15,000
230	MIAPX - Matthews Asia Growth Fund Insti Class	purchase	02/01/2021	\$1,001 - \$15,000
231	MNDT - Mandiant Inc	sale	11/17/2021	\$1,001 - \$15,000
232	MP - Mp Materials Corp	sale	05/11/2021	\$1,001 - \$15,000
233	MP - Mp Materials Corp	sale	01/27/2021	\$1,001 - \$15,000
234	MQGIX - MFS International Growth Fund - Class I	purchase	07/27/2021	\$1,001 - \$15,000
235	MQGIX - MFS International Growth Fund - Class I	purchase	06/22/2021	\$1,001 - \$15,000
236	MQGIX - MFS International Growth Fund - Class I	purchase	06/22/2021	\$1,001 - \$15,000
237	MSFT - Microsoft Corp	sale	01/13/2021	\$1,001 - \$15,000
238	MSFT - Microsoft Corp	sale	01/06/2021	\$1,001 - \$15,000
239	MSSGX - Msif Inception Portfolio Class I	sale	11/30/2021	\$1,001 - \$15,000
240	MSSGX - Msif Inception Portfolio Class I	sale	11/30/2021	\$1,001 - \$15,000
241	MSSGX - Msif Inception Portfolio Class I	purchase	09/24/2021	\$1,001 - \$15,000
242	MSSGX - Msif Inception Portfolio Class I	purchase	06/22/2021	\$1,001 - \$15,000
243	MSSGX - Msif Inception Portfolio Class I	purchase	06/22/2021	\$1,001 - \$15,000
244	MT - Arcelormittal	purchase	01/13/2021	\$1,001 - \$15,000
245	MT - Arcelormittal	sale	01/06/2021	\$1,001 - \$15,000
246	MU - Micron Technology	purchase	03/01/2021	\$1,001 - \$15,000
247	MU - Micron Technology	sale	03/05/2021	\$1,001 - \$15,000
248	MU - Micron Technology	purchase	03/08/2021	\$1,001 - \$15,000
249	NFLX - Netflix Inc	purchase	09/01/2021	\$1,001 - \$15,000

250	NFLX - Netflix Inc	purchase	08/31/2021	\$1,001 - \$15,000
251	NFLX - Netflix Inc	sale	01/06/2021	\$1,001 - \$15,000
252	NI - NiSource Inc	purchase	05/03/2021	\$1,001 - \$15,000
253	NKE - Nike Inc	purchase	10/14/2021	\$1,001 - \$15,000
254	NOW - Servicenow Inc	sale	03/05/2021	\$1,001 - \$15,000
255	NOW - Servicenow Inc	sale	01/13/2021	\$1,001 - \$15,000
256	NOW - Servicenow Inc	sale	01/06/2021	\$1,001 - \$15,000
257	NTBIX - Navigator Tactical Fixed Income Fund Class I	purchase	08/27/2021	\$1,001 - \$15,000
258	NTBIX - Navigator Tactical Fixed Income Fund Class I	purchase	08/27/2021	\$1,001 - \$15,000
259	NTNX - Nutanix Inc	sale	03/03/2021	\$1,001 - \$15,000
260	NUAN - Nuance Communicatns	sale	09/27/2021	\$1,001 - \$15,000
261	NUAN - Nuance Communicatns	sale	05/28/2021	\$1,001 - \$15,000
262	NUE - Nucor Corp	sale	08/11/2021	\$1,001 - \$15,000
263	NVDA - Nvidia Corp	sale	03/05/2021	\$1,001 - \$15,000
264	NVDA - Nvidia Corp	sale	01/13/2021	\$1,001 - \$15,000
265	NVDA - Nvidia Corp	sale	01/06/2021	\$1,001 - \$15,000
266	NXPI - Nxp Semiconductors	sale	10/14/2021	\$1,001 - \$15,000
267	OTIS - Otis Worldwide Corp [Otis/I]	sale	01/22/2021	\$1,001 - \$15,000
268	PFORX - Pimco International Bond Fund [U.S. Dollar-Hedge	sale	06/22/2021	\$1,001 - \$15,000
269	PFORX - Pimco International Bond Fund [U.S. Dollar-Hedge	sale	06/22/2021	\$1,001 - \$15,000
270	PINS - Pinterest Inc	sale	03/05/2021	\$1,001 - \$15,000
271	PINS - Pinterest Inc	purchase	01/04/2021	\$1,001 - \$15,000
272	PINS - Pinterest Inc	sale	01/06/2021	\$1,001 - \$15,000
273	PSCE - S&P Smallcap Energy Invesco ETF	sale	11/30/2021	\$1,001 - \$15,000
274	PSCE - S&P Smallcap Energy Invesco ETF	purchase	10/11/2021	\$1,001 - \$15,000
275	PSX - Phillips 66	sale	12/27/2021	\$1,001 - \$15,000
276	PYPL - Paypal Holdings	purchase	12/13/2021	\$1,001 - \$15,000

277	PYPL - Paypal Holdings	sale	03/05/2021	\$1,001 - \$15,000
278	PYPL - Paypal Holdings	sale	01/06/2021	\$1,001 - \$15,000
279	QCOM - Qualcomm Inc	sale	12/10/2021	\$1,001 - \$15,000
280	QCOM - Qualcomm Inc	sale	12/13/2021	\$1,001 - \$15,000
281	QCOM - Qualcomm Inc	sale	02/25/2021	\$1,001 - \$15,000
282	QCOM - Qualcomm Inc	sale	01/06/2021	\$1,001 - \$15,000
283	RING - Global Gold Miners Ishares MSCI ETF	sale	06/22/2021	\$1,001 - \$15,000
284	RSP - S&P 500 EW Invesco ETF	purchase	11/30/2021	\$1,001 - \$15,000
285	RSP - S&P 500 EW Invesco ETF	purchase	11/30/2021	\$1,001 - \$15,000
286	RSP - S&P 500 EW Invesco ETF	purchase	10/19/2021	\$1,001 - \$15,000
287	RSP - S&P 500 EW Invesco ETF	sale	07/23/2021	\$1,001 - \$15,000
288	RSP - S&P 500 EW Invesco ETF	purchase	08/03/2021	\$1,001 - \$15,000
289	RSP - S&P 500 EW Invesco ETF	sale	07/23/2021	\$1,001 - \$15,000
290	RSP - S&P 500 EW Invesco ETF	sale	06/22/2021	\$1,001 - \$15,000
291	RSP - S&P 500 EW Invesco ETF	sale	04/08/2021	\$1,001 - \$15,000
292	RSP - S&P 500 EW Invesco ETF	purchase	03/04/2021	\$1,001 - \$15,000
293	RSP - S&P 500 EW Invesco ETF	purchase	03/10/2021	\$1,001 - \$15,000
294	SDY - S&P Dividend SPDR	purchase	12/27/2021	\$15,001 - \$50,000
295	SE - Sea Ltd ADR	purchase	12/17/2021	\$1,001 - \$15,000
296	SE - Sea Ltd ADR	sale	03/05/2021	\$1,001 - \$15,000
297	SE - Sea Ltd ADR	sale	01/06/2021	\$1,001 - \$15,000
298	SHIYX - Western Asset Short Duration High Income Fund CI	purchase	05/12/2021	\$1,001 - \$15,000
299	SLV - Silver Trust Ishares	sale	08/16/2021	\$1,001 - \$15,000
300	SLY - S&P Smallcap 600 SPDR	purchase	12/27/2021	\$1,001 - \$15,000
301	SLY - S&P Smallcap 600 SPDR	purchase	12/27/2021	\$1,001 - \$15,000
302	SNAP - Snap Inc	purchase	03/15/2021	\$1,001 - \$15,000
303	SPY - S&P 500 SPDR	purchase	11/30/2021	\$1,001 - \$15,000

304	SPY - S&P 500 SPDR	purchase	10/19/2021	\$1,001 - \$15,000
305	SPY - S&P 500 SPDR	purchase	09/27/2021	\$1,001 - \$15,000
306	SPY - S&P 500 SPDR	purchase	07/23/2021	\$1,001 - \$15,000
307	SPY - S&P 500 SPDR	purchase	06/11/2021	\$1,001 - \$15,000
308	SPY - S&P 500 SPDR	purchase	05/20/2021	\$1,001 - \$15,000
309	SPY - S&P 500 SPDR	purchase	05/20/2021	\$1,001 - \$15,000
310	SPY - S&P 500 SPDR	sale	02/23/2021	\$1,001 - \$15,000
311	SPY - S&P 500 SPDR	sale	01/29/2021	\$1,001 - \$15,000
312	SQ - Square	sale	05/13/2021	\$1,001 - \$15,000
313	SQM - Sociedad Quimica Y Minera S.A.	purchase	01/19/2021	\$1,001 - \$15,000
314	SQM - Sociedad Quimica Y Minera S.A.	sale	02/04/2021	\$1,001 - \$15,000
315	SRAC - Stable Road Acquisition Corp Cl A	sale	03/04/2021	\$1,001 - \$15,000
316	SRAC - Stable Road Acquisition Corp Cl A	sale	01/26/2021	\$1,001 - \$15,000
317	STX - Seagate Tech Ord Shs	sale	01/27/2021	\$1,001 - \$15,000
318	STX - Seagate Technology Hldgs Plc	sale	11/03/2021	\$1,001 - \$15,000
319	T - AT&T Inc	sale	12/27/2021	\$1,001 - \$15,000
320	TAN - Solar Invesco ETF	sale	07/23/2021	\$1,001 - \$15,000
321	TAN - Solar Invesco ETF	sale	07/27/2021	\$1,001 - \$15,000
322	TAN - Solar Invesco ETF	purchase	06/23/2021	\$1,001 - \$15,000
323	TAN - Solar Invesco ETF	purchase	06/23/2021	\$1,001 - \$15,000
324	TAN - Solar Invesco ETF	purchase	06/29/2021	\$1,001 - \$15,000
325	TAN - Solar Invesco ETF	sale	02/22/2021	\$1,001 - \$15,000
326	TAN - Solar Invesco ETF	sale	02/22/2021	\$1,001 - \$15,000
327	TAN - Solar Invesco ETF	purchase	02/03/2021	\$1,001 - \$15,000
328	TAN - Solar Invesco ETF	purchase	02/03/2021	\$1,001 - \$15,000
329	TDOC - Teladoc Health Inc	sale	02/25/2021	\$1,001 - \$15,000
330	TDOC - Teladoc Health Inc	purchase	01/19/2021	\$1,001 - \$15,000

331	TEAM - Atlassian Cls A Ord	purchase	03/04/2021	\$1,001 - \$15,000
332	TFSL - Tfs Financial Corp	sale	11/23/2021	\$1,001 - \$15,000
333	TFSL - Tfs Financial Corp	purchase	07/21/2021	\$1,001 - \$15,000
334	TFSL - Tfs Financial Corp	purchase	07/21/2021	\$1,001 - \$15,000
335	TNL - Travel + Leisure Co.	sale	06/23/2021	\$1,001 - \$15,000
336	TNL - Travel + Leisure Co.	purchase	05/26/2021	\$1,001 - \$15,000
337	TRI - Thomson Reuters Corp	sale	10/29/2021	\$1,001 - \$15,000
338	TRI - Thomson Reuters Corp	sale	09/20/2021	\$1,001 - \$15,000
339	TSLA - Tesla Inc	sale	01/06/2021	\$1,001 - \$15,000
340	TSM - Taiwan Semiconductor Manufacturing	purchase	02/09/2021	\$1,001 - \$15,000
341	TSM - Taiwan Semiconductor Manufacturing	sale	03/04/2021	\$1,001 - \$15,000
342	TSM - Taiwan Semiconductor Manufacturing	sale	01/06/2021	\$1,001 - \$15,000
343	TWTR - Twitter Inc	purchase	04/07/2021	\$1,001 - \$15,000
344	TWTR - Twitter Inc	sale	05/04/2021	\$1,001 - \$15,000
345	TXN - Texas Instruments	sale	03/03/2021	\$1,001 - \$15,000
346	U - Unity Software Inc	purchase	02/23/2021	\$1,001 - \$15,000
347	U - Unity Software Inc	sale	03/04/2021	\$1,001 - \$15,000
348	U - Unity Software Inc	sale	01/27/2021	\$1,001 - \$15,000
349	U - Unity Software Inc	sale	01/06/2021	\$1,001 - \$15,000
350	UAL - United Airlines Holdings Inc	purchase	03/10/2021	\$1,001 - \$15,000
351	UBER - Uber Technologies Inc	purchase	06/07/2021	\$1,001 - \$15,000
352	UGI - Ugi Corp	purchase	07/12/2021	\$1,001 - \$15,000
353	UNH - Unitedhealth Group Inc	sale	02/08/2021	\$1,001 - \$15,000
354	UPWK - Upwork Inc	purchase	03/11/2021	\$1,001 - \$15,000
355	US Treasury Note	sale	07/15/2021	\$1,001 - \$15,000
356	US Treasury Note	sale	05/17/2021	\$1,001 - \$15,000
357	USB - U.S. Bancorp	purchase	03/08/2021	\$1,001 - \$15,000

358	VACQ - Vector Acquisition Corporation Cl A	purchase	03/02/2021	\$1,001 - \$15,000
359	VGT - Information Technology ETF Vanguard	sale	05/04/2021	\$1,001 - \$15,000
360	VTV - Value ETF Vanguard	sale	02/01/2021	\$1,001 - \$15,000
361	VTV - Value ETF Vanguard	purchase	01/06/2021	\$15,001 - \$50,000
362	VTWO - Russell 2000 Vanguard	sale	06/22/2021	\$1,001 - \$15,000
363	VTWO - Russell 2000 Vanguard	sale	06/22/2021	\$1,001 - \$15,000
364	VTWO - Russell 2000 Vanguard	purchase	05/27/2021	\$1,001 - \$15,000
365	VTWO - Russell 2000 Vanguard	purchase	05/27/2021	\$1,001 - \$15,000
366	VUG - Growth ETF Vanguard	sale	11/29/2021	\$1,001 - \$15,000
367	VUG - Growth ETF Vanguard	purchase	10/19/2021	\$1,001 - \$15,000
368	VUG - Growth ETF Vanguard	purchase	08/03/2021	\$1,001 - \$15,000
369	VUG - Growth ETF Vanguard	purchase	04/05/2021	\$1,001 - \$15,000
370	VUG - Growth ETF Vanguard	purchase	04/07/2021	\$1,001 - \$15,000
371	VUG - Growth ETF Vanguard	sale	02/23/2021	\$1,001 - \$15,000
372	VUG - Growth ETF Vanguard	sale	03/05/2021	\$1,001 - \$15,000
373	VUG - Growth ETF Vanguard	sale	01/29/2021	\$1,001 - \$15,000
374	VZ - Verizon Communications Inc	sale	12/27/2021	\$1,001 - \$15,000
375	WDAY - Workday Inc	purchase	03/04/2021	\$1,001 - \$15,000
376	WMT - Wal-Mart Stores	sale	01/29/2021	\$1,001 - \$15,000
377	WMT - Wal-Mart Stores	sale	01/29/2021	\$1,001 - \$15,000
378	XES - S&P Oil & Gas Eqpt & Services SPDR	sale	11/30/2021	\$1,001 - \$15,000
379	XES - S&P Oil & Gas Eqpt & Services SPDR	purchase	10/11/2021	\$1,001 - \$15,000
380	XLI - S&P 500 Industrial Sector SPDR	sale	06/14/2021	\$1,001 - \$15,000
381	XLI - S&P 500 Industrial Sector SPDR	purchase	05/13/2021	\$1,001 - \$15,000
382	XLI - S&P 500 Industrial Sector SPDR	purchase	05/05/2021	\$1,001 - \$15,000
383	XLP - S&P 500 Cons Staples Sector SPDR	sale	01/29/2021	\$1,001 - \$15,000
384	XLY - S&P 500 Cons Disc Sector SPDR	sale	01/29/2021	\$1,001 - \$15,000

385	XME - S&P Metals & Mining SPDR	sale	06/17/2021	\$1,001 - \$15,000
386	XME - S&P Metals & Mining SPDR	sale	06/17/2021	\$1,001 - \$15,000
387	XME - S&P Metals & Mining SPDR	purchase	03/08/2021	\$1,001 - \$15,000
388	XME - S&P Metals & Mining SPDR	purchase	03/08/2021	\$1,001 - \$15,000
389	XOP - S&P Oil & Gas Expl & Prod SPDR	purchase	11/30/2021	\$1,001 - \$15,000
390	XOP - S&P Oil & Gas Expl & Prod SPDR	purchase	10/11/2021	\$1,001 - \$15,000
391	XOP - S&P Oil & Gas Expl & Prod SPDR	sale	08/20/2021	\$1,001 - \$15,000
392	XOP - S&P Oil & Gas Expl & Prod SPDR	sale	07/16/2021	\$1,001 - \$15,000
393	XOP - S&P Oil & Gas Expl & Prod SPDR	purchase	02/26/2021	\$1,001 - \$15,000
394	XOP - S&P Oil & Gas Expl & Prod SPDR	purchase	02/03/2021	\$1,001 - \$15,000
395	YELP - Yelp Inc	purchase	03/08/2021	\$1,001 - \$15,000
396	ZM - Zoom Video Communications Cl A	sale	12/03/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
1	Navient; Wilkes-Barre, PA, US	Student Loan	\$15,001 - \$50,000	2007	2..5	25
2	Navient; Wilkes-Barre, PA, US	Student Loan	\$15,001 - \$50,000	2008	5.0	25
3	American Education Services; Harrisburg, PA, US	Student Loan	\$15,001 - \$50,000	2011	Libor + 2.25	20
4	Stonetown 6, LLP; Denver, CO, US	Capital Commitment	\$15,001 - \$50,000	2019	N/A	On-Demand
5	Stonetown 7, LLP; Denver, CO, US	Capital Commitment	\$50,001 - \$100,000	2021	Not applicable	On Demand
6	Loci Capital Opportunistic Fund; Safety Harbor, FL, US	Capital Commitment	\$15,001 - \$50,000	2021	Not Applicable	On Demand

9. Gifts and Reimbursements

None

Endnotes

PART	#	ENDNOTE
2	1	Title is held by EKG Realy, LLC My brother and I are the partners
2	4.1	Chase Manhattan Business Banking Account
2	4.2	TD Ameritrade Statements will be attached
5	1	See Information Provided under separate cover by the NYC Teachers Retirement System
5	2	TD Ameritrade Statements will be included
5	3.1	Statement Provided
6	3	Two accounts are held joint with my spouse, Dr. Daniel Meyer Two accounts are held joint with my brother, Alan Goldberg
6	4	Two accounts are joint with my children
6	5	I hold accounts by myself and jointly with my husband, my children, my brother and my aunt. In addition to the personal accounts I have two partnership accounts: EKG Realty(checking and savings) and KF Finance (checking and savings), as well as my consulting firm Auric Ventures, Ltd. (checking and savings) Also accounts have been opened in Riverdale, NY and Marlboro, NJ
6	7	Merrill Lynch Statement Attached Account # xx122 and #xx557 Marilyn Spring's name was removed from these account due to her death. No assets were sold or moved during 2021.
6	8	Merrill Lynch statement Account # xx415
6	9	TD Ameritrade Statements will be included.
6	10	TD Ameritrade Statements will be attached.
6	11	TD Ameritrade Statement will be attached.
6	12	TD Ameritrade Statements will be attached.
6	13	This asset was moved to this account from Charles Schwab on April 26, 2019 to TD Account #5135. It was still held on December 31, 2019.
6	14	This account hold our joint interest in a private real estate fund: Peachtree Hotel and Income Fund. The investment was made on April 22, 2019. Please see supporting documents.
6	15	I am a limited partner in HPI Fund. My original purchase was on September 11, 2018 for \$25,000. Please see supporting documents.
6	16	We are limited partners in a fund called Stonetown. There was one capital call March 5, 2019 for \$35,000. There is an investment obligation of \$100,000. Please see supporting documentation.

6	17	We are limited partners in a fund called Stonetown 7. There was one capital call on 12/30/21 f or \$25,000,
6	18	We are limited partners in a fund called Loci Capital Opportunistic Fund. There is an investment obligation for \$100,000, There was a capital call on 11/15/2021 for \$60,457. Please see supporting documentation.
6	19	Ethel K Goldberg Beneficiary IRA TD Ameritrade Statements will be attached
6	19.1	TD Ameritrade Statement will be attached.
6	20	TD Ameritrade statement will be attached.
6	20.1	TD Ameritrade statement will be attached.
6	21	TD Ameritrade statement will be attached.
6	21.1	TD Ameritrade statement will be attached
6	22	Inherited IRA - cash
6	23	Inherited Ira
8	1	I am a co-signer on this loan. Navient took over as the servicer from Chase Manhattan Bank
8	2	I am co-signer. Navient took over this loan as the servicer from Chase Manhattan Bank.
8	3	I am a co-signer

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses the following: Positions held by the filer at any time during the reporting period (excluding positions with the United States Government). Reportable positions include those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any for-profit or non-profit organization (whether compensated or uncompensated).

2. Filer's Employment Assets and Income

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 if the value of the asset at the end of the reporting period exceeded \$1,000 or if 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, anticipated payments such as severance payments, 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 the following: Agreements or arrangements that the filer had during the reporting period for the following:

- Continuing participation in an employee welfare or benefit plan maintained by a former employer
- Leave of absence
- Future employment
- Continuation of payments by a former employer (e.g., severance payments)

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 and Income

Part 5 discloses the following:

- Source of earned income (excluding honoraria) for the filer's spouse over \$1,000 during the reporting period.
- Sources of honoraria for the filer's spouse over \$200 during the reporting period.

- Assets related to the 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 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

Part 9 discloses the following:

- 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena;
4. to a source when necessary to obtain information relevant to a conflict of interest investigation or determination;
5. to the National Archives and Records Administration or the General Services Administration in records management inspections;
6. to the Office of Management and Budget during legislative coordination on private relief legislation;
7. to the Department of Justice or in certain legal proceedings when OGE, an employee of OGE, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation;
8. to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another;
9. to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record;
10. 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;
11. 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;
12. on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE;
13. 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;
14. 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;
15. 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, NW., Washington, DC 20005-3917.

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

Reviewer Comments and Submission History

for Beth Goldberg

beth.goldberg@sba.gov - Beth Goldberg

05/12/2022 09:54:14

Filing Submitted