

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Van Schaack, Elizabeth

Ambassador-at-Large for Global Criminal Justice, Department of State

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

Senior Fellow, Lieber Institute for Law & Land Warfare, West Point Military Academy (6/2016 - 3/2022) See endnote

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/ Van Schaack, Elizabeth [electronically signed on 05/16/2023 by Van Schaack, Elizabeth in Integrity.gov] - Filer received a 45 day filing extension.

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/ Kiingi, Elizabeth M, Certifying Official [electronically signed on 09/13/2023 by Kiingi, Elizabeth M in Integrity.gov]

Other review conducted by

/s/ Kiingi, Elizabeth M, Ethics Official [electronically signed on 09/13/2023 by Kiingi, Elizabeth M in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/30/2023

Data Revised 06/28/2023

Data Revised 06/26/2023

Data Revised 06/22/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Center for Justice & Accountability	See Endnote	San Francisco, California	Non-Profit	Board of Directors Member	3/2018	3/2022
2	Nuru International	See Endnote	Washington, District of Columbia	Non-Profit	Secretary	2/2016	3/2022
3	Guernica Centre for International Justice	See Endnote	San Francisco, California	Non-Profit	Board of Directors Member	1/2017	3/2022
4	Institute for International Criminal Investigations	See Endnote	The Hague, Outside U.S.	Non-Profit	Board of Directors Member	5/2015	3/2022
5	Stanford Law School (Stanford University)		Palo Alto, California	University/College	Visiting Professor of Law/Lecturer in Law	9/2014	3/2022
6	Clooney Foundation for Justice	See Endnote	New York City, New York	Non-Profit	Consultant	4/2017	3/2022
7	Institute for Integrated Transitions	See Endnote	Barcelona, Outside U.S.	Non-Profit	Practice Group Member	3/2016	3/2022
8	Just Security Blog	See Endnote	New York City, New York	Non-Profit	Executive Editor	8/2013	3/2022
9	Family Revocable Trust		Los Altos, California	Trust	Trustee	3/2011	Present
10	Human Rights Watch Silicon Valley Executive Committee	See Endnote	Palo Alto, California	Non-Profit	Member	3/2016	3/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	US Investment Account (Cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.2	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.3	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.5	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.6	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.8	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.9	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.10	Vanguard Global ex-US Real Estate Index Fund ETF Shares (VNQI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Stanford Law School	N/A		Salary	\$21,294
3	Royalties for "International Criminal Law & Its Enforcement" (Foundation Press 2019) - value not readily ascertainable	See Endnote	N/A	Rent or Royalties	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Imagining Justice for Syria, Oxford University Press (value not readily ascertainable)	See Endnote	N/A		None (or less than \$201)
5	International Criminal Law: Intersections & Contradictions, Foundation Press (value not readily ascertainable)	See Endnote	N/A		None (or less than \$201)
6	Stanford 457 Plan	No		Capital Gains	\$2,501 - \$5,000
6.1	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Stanford SCRIP Plan	No			
7.1	Vanguard Institutional Target Retirement 2045 Fund Institutional Class Shares (VITLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	IRA #2	No			
8.1	US Investment Account (Cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Stanford Law School	Palo Alto, California	Upon separating from Stanford in March 2022, my participation in Stanford's 457(b) plan ceased and I began receiving annual distributions from this plan. The first of ten installments was paid in 2022. I continue to participate in the 403(b) plan, however, retirement contributions have ceased.	9/2014

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vocera Communications, Inc.	N/A		Salary, Bonus, Disqualified Employee Stock Purchase Plan Contributions	
2	Vocera Communications, Inc. 401(k) Plan	No			
2.1	T Rowe Price Retirement 2040 Fund (TRRDX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
3	Vocera Communications, Inc. Common Stock	N/A	\$5,000,001 - \$25,000,000	Capital Gains	Over \$5,000,000
4	Stryker Employment Company, LLC	N/A		Salary	
5	Thriveworks Administrative Services	N/A		Board Retainer	
6	IRA #1	N/A			
6.1	T Rowe Price New Horizons Fund, Inc (PRNHX)	Yes	\$15,001 - \$50,000		
7	IRA #2	N/A			
7.1	US Investment Account (Cash)	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.2	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.3	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.4	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.5	VanguardGlobal ex-US Real Estate Index Fund ETF Shares (VNQI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.6	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.7	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.8	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.9	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.10	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank # 1 (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
2	US Bank # 2 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
3	Health Rhythms, Inc. See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	HighGear Ventures Secondary III, LP	No			
4.1	Domino Data Lab, Inc. See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.2	Netskope, Inc. See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	Tealium, Inc. See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	Intercom, Inc. See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.5	Malwarebytes Inc. See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.6	mParticle, Inc. See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	PieEye, Inc. See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	Snowline Ranch, LLC See Endnote	No			
6.1	Crook County, OR Farmland and Ranch	N/A	\$100,001 - \$250,000		None (or less than \$201)
7	US Bank # 4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	US Bank # 5 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Personal Loan to Family Members See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
10	CollegeSave Bank of North Dakota 529 Plan (Child 2)	No			
10.1	Aggressive Age-Based Option: Conservative Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.2	529 Plan Distribution (2022)	N/A		Cash Distribution	\$59,424
11	CollegeSave Bank of North Dakota 529 Plan (Child 1)	No			
11.1	Aggressive Age-Based Option: Conservative Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.2	529 Plan Distribution (2022)	N/A		cash distribution	\$18,061
12	Family Irrevocable Trust #1	No			
12.1	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.2	iShares MSCI Emerging Markets (EEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.3	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.4	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.5	U.S. investment account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.6	SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	Family Irrevocable Trust #2	No			
13.1	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.2	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.4	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.5	U.S. investment account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.6	SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14	US Investment Account #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.1	MORGAN STANLEY LINKED TO SP500 CONTINGENT COUPON WITH BUFFER DUE 7/12/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.2	JPM LINKED TO SP500 CONTINGENT COUPON WITH BUFFER DUE 1/25/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.3	UBS AG LINKED TO SP500 CONTINGENT COUPON WITH BUFFER DUE 5/9/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.4	BNP PARIBAS LNKD TO SP500 CONTINGENT CPN WITH BUFFER DUE 9/20/23	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.5	TORONTO DOMINION BANK LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER, 4227.26 STRUCTURED NOTE DUE 03/16/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.6	JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER, 4582.64 STRUCTURED NOTE DUE 05/03/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.7	SOCIETE GENERALE LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 06/09/2023	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
14.8	TORONTO DOMINION BANK LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 07/12/2023	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
14.9	UBS AG LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 08/23/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.10	JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 09/07/2023	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
14.11	THE BANK OF NOVA SCOTIA LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 10/26/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.12	UBS AG LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 11/22/2023	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
14.13	THE BANK OF NOVA SCOTIA LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 12/20/2023	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.14	CREDIT SUISSE AG LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 01/24/2024	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
14.15	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 03/21/2024	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
14.16	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 03/28/2024	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.17	CREDIT SUISSE AG LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 04/17/2024	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
14.18	CANADIAN IMPERIAL BANK OF COMM LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 05/08/2024	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.19	ROYAL BANK OF CANADA LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 05/08/2024	N/A	\$250,001 - \$500,000	Capital Gains	\$15,001 - \$50,000
14.20	CITIGROUP INC. LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 06/05/2024	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
14.21	BNP PARIBAS LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 07/24/2024	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.22	BNP PARIBAS LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 07/24/2024	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.23	CANADIAN IMPERIAL BANK OF COMM LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 09/11/2024	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
14.24	SOCIETE GENERALE LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 11/20/2024	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.25	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 02/05/2025	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
14.26	U.S. investment account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
15	US Investment Account #1	No			
15.1	Goldman Sachs High Yield Municipal Fund Class P Shares (GGLPX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
15.2	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
15.3	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
15.4	Johnson & Johnson (JNJ)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
15.5	United Parcel Service, Inc. (UPS)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
15.6	Procter & Gamble Co. (PG)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
15.7	Merck & Co., Inc. (MRK)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.8	Mondelez International, Inc. (MDLZ)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
15.9	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
15.10	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
15.11	WisdomTree US High Dividend Fund (DHS)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
15.12	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
15.13	iShares Global Clean Energy ETF (ICLN)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
15.14	RBC LINKED TO ESTX BANKS BETTER OF DUE 7/31/2024	N/A	\$250,001 - \$500,000	Capital Gains	\$15,001 - \$50,000
15.15	iShares Russell 2000 ETF (IWM)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15.16	U.S. investment account (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
15.17	Goldman Sachs Future Real Estate and Infrastructure Equity ETF Goldman Sachs Future Real Estate and Infrastructure Equity ETF (GREI)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
15.18	U.S. TREASURY BILL DUE 04/06/2023 OFF THE RUN	N/A	\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000
15.19	iShares MSCI EAFE ETF (EFA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
15.20	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
15.21	Goldman Sachs High Yield Floating Rate Fund Class P Shares (GGNPX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.22	GS Real Estate Diversified Income Fund Class P (GCADX)		No	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
15.23	iShares Russell 2000 Growth ETF (IWO)		Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
15.24	iShares Russell 2000 Value ETF (IWN)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
15.25	Better Therapeutics Inc. Common Stock (BTTX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
16	HighGear Ventures Secondary II, LP		No			
16.1	Bloomreach, Inc.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
16.2	D2iQ, Inc.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
16.3	Dataminr, Inc.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
16.4	Domino Data Lab, Inc.	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
16.5	Exabeam Inc.	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
16.6	HireVue, Inc.	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
16.7	mParticle, Inc.	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
16.8	Netskope, Inc. (via Forge Investments SPV)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
16.9	Symphony Communication Services Holdings, LLC	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
16.10	Tanium Inc.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.11	Tealium Inc. See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
16.12	ThoughtSpot, Inc. See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
16.13	Trax, Inc. See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
17	US Bank Account (Cash) #6	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	US Investment Account #3	N/A			
18.1	U.S. investment account (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
18.2	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
18.3	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.4	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
18.5	Vanguard Global ex-US Real Estate Index Fund ETF Shares (VNQI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.6	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.7	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.8	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.9	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.10	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	US Investment Account #4	N/A			
19.1	U.S. investment account (cash)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
19.2	iShares MSCI EAFE ETF (EFA)	Yes	Over \$1,000,000		\$15,001 - \$50,000
19.3	BlackRock Advantage Small Cap Core Fund Institutional Class Shares (BDSIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
19.4	iShares Core Dividend Growth ETF (DGRO)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
19.5	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
19.6	SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
20	US Investment Account #5	N/A			
20.1	U.S. investment account (cash)	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
20.2	JPMORGAN CHASE & CO. LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 07/21/2023	No	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
20.3	BNP PARIBAS LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 09/22/2023	No	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
20.4	CITIGROUP INC. LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 11/29/2023	No	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
20.5	CREDIT SUISSE AG LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 01/26/2024	No	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.6	TORONTO DOMINION BANK LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 03/08/2024	No	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
20.7	TORONTO DOMINION BANK LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 04/17/2024	No	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
20.8	UBS AG LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 06/28/2024	No	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
20.9	CITIGROUP INC. LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 07/15/2024	No	\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000
20.10	CANADIAN IMPERIAL BANK OF COMM LINKED TO EURO STOXX 50 PR CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 12/13/2024	No	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
21	US Investment Account #6	N/A			
21.1	U.S. investment account (cash)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.2	REEDY CREEK IMPT DIST FLA GO 5.0000% 06/01/38 JD AD VALOREM TAX BDS A PRERE LT BEO MSF	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.3	WISCONSIN ST TRANSN REV REV 5% 07/01/25 JJ REV BDS 2013 SERIES 1 PRERE 07/01/23 BEO SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.4	QUINCY MASS GO 3.7500% 09/15/23 MS GO BANS UT BEO	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
21.5	VIRGINIA ST RES AUTH REV 5% 11/01/24 MN INFRASTRUCTURE REV REV BDS 2013A PRERE 11/01/23 BEO	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.6	PENNSYLVANIA ST GO 5% 07/15/24 JJ GO FIRST REF BDS 2019 UT BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.7	VA CLG BLDG AUTH VA EDL FCS REV 5.0000% 09/01/24 MS BDS 2018 A GUA BEO	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
21.8	NORTHEAST OHIO REGL SWR DIST REV 4% 11/15/49 MN WASTEWTR REV REV REF BDS 2014 PRERE 11/15/24 BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.9	LOUDOUN CNTY VA GO 5% 12/01/24 JD GO PUB IMPT BDS 2021 A UT GUA BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.10	NEVADA ST GO 5.0000% 11/01/26-CA MN GO LTD TAX CAP IMPT AND CULTURAL AFFAIR REF BDS LT BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.11	HARRISONBURG VA GO 5% 07/15/25 JJ GO PUB IMPT REF BDS 2021 A UT BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.12	ARLINGTON CNTY VA GO 5% 08/15/25 FA GO BDS B UT BEO SR LIEN	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.13	ALEXANDRIA VA INDL DEV AUTH REV 5.0000% 10/01/45-CA AO RESIDENTIAL CARE FACS MTG REV GOODWIN HOUSE INC BEO	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
21.14	LOUDOUN CNTY VA GO 5% 12/01/25 JD GO PUB IMPT REF BDS 2020 A UT BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.15	VIRGINIA ST PUB SCH AUTH SCH REV 5% 04/15/26 AO TECHNOLOGY & SEC NTS X BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.16	VIRGINIA COMWLTH TRANSN BRD REV 5% 05/15/26 MN TRANSN REV CAP PROJ REV REF BDS 2017 A BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.17	ALBUQUERQUE N MEX MUN SCH DIST GO 5% 08/01/26 FA NO 012 GO BDS 2022A UT BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.18	TRI-CNTY MET TRANSN DIST ORE REV 5% 09/01/29 MS SNR LIEN PAYROLL TAX REV REF BDS 2016 A PRERE 09/01/26	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.19	CHESTERFIELD CNTY VA GO 5% 01/01/29- CA JJ GO PUB IMPT BDS 2017 B UT BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.20	FAIRFAX CNTY VA GO 4% 10/01/31-CA AO PUB IMPT BDS 2017 A UT BEO	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
21.21	VIRGINIA COMWLTH TRANSN BRD REV 4% 05/15/30-CA MN TRANSN REV CAP PROJS REV BDS 2017 BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.22	VIRGINIA ST PUB SCH AUTH SPL REV 4% 10/01/27 AO OBLIG PRINCE WILLIAM CNTY FING BDS 2020 BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.23	HAMPTON RDS VA TRANSN REV 5% 07/01/32 JJ ACCOUNTABILITY COMMN REV TRANS FD BDS 2018 A PRERE 01/01/28 B	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.24	IOWA CITY IOWA GO 5% 06/01/28 JD GO BDS 2022 UT BEO	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
21.25	VA COLLEGE BLDG AUTH VA EDL FA REV 5% 09/01/28 MS BDS 2022A BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.26	MONTGOMERY CNTY VA ECONOMIC REV 5% 02/01/29 FA DEV AUTH PUB FAC REV BDS MONTGOMERY CNTY PROJS 2022 BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.27	FAIRFAX CNTY VA GO 5% 10/01/29-CA AO PUB IMPT BDS 2019 A UT GUA BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.28	ROANOKE VA GO 5% 04/01/29 AO GO PUB IMPT BDS 2021 A UT BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.29	VIRGINIA ST RES AUTH REV 5% 11/01/32- CA MN INFRASTRUCTURE REV MORAL OBLIG BDS 2019 C BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.30	WEST HARRIS CNTY TEX REGL WTR REV 5% 12/15/30-CA JD AUTH WTR SYS REV REF BDS 2019 BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.31	LOUDOUN CNTY VA SANTN AUTH WTR REV 5% 01/01/30 JJ & SWR REV SYS REF BDS 2021 BEO	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
21.32	SPOTSYLVANIA CNTY VA GO 5% 01/15/30 JJ GO PUB IMPT BDS 2022 UT GUA BEO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
21.33	MARION & POLK CNTYS ORE GO 5% 06/15/32-CA JD CONV DEFD INT GO BDS 0% TO CONV. DATE 06/15/21	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.34	LOUDOUN CNTY VA GO 5% 12/01/30 JD GO PUB IMPT BDS 2021 A UT GUA BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.35	VIRGINIA ST PUB SCH AUTH SPL REV 5% 01/15/31 JJ OBLIG CHESTERFIELD FING CNTY BDS 2022 BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.36	FAIRFAX CNTY VA GO 4% 10/01/31-CA AO PUB IMPT BDS 2021 A UT GUA BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.37	NORTHERN LEBANON PA SCH DIST GO 4% 09/01/32-CA MS GO BDS 2022 UT INS BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.38	FAIRFAX CNTY VA GO 4% 10/01/31 AO PUB IMPT BDS 2022A UT GUA BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21.39	VA COLLEGE BLDG AUTH VA EDL FA REV 5% 02/01/32 FA BDS 2022A BEO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21.40	VIRGINIA ST PUB BLDG AUTH PUB REV 5% 08/01/32 FA FACS REV BDS 2022 A BEO	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
22	US Investment Account #7	N/A			
22.1	U.S. investment account (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
23	US Investment Account #8	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.1	U.S. investment account (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.2	CHARLOTTESVILLE VA GO 5% 06/15/23 JD GO PUB IMPT BDS 2022 UT GUA BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.3	VIRGINIA ST PUB SCH AUTH SCH REV 5% 08/01/23 FA FING REF BDS 2020B BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.4	ARLINGTON CNTY VA GO 5% 08/15/23 FA GO REF BDS 2014B UT BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.5	SOUTHWESTERN ILL DEV AUTH REV 7.6250% 11/01/48-CA MN HEALTH FAC MEM GROUP INC MSF 11/01/44 S-T SPL RDM S-T X	No	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
23.6	VA ST RES AUTH INFRASTRUCTURE REV 5.0000% 11/01/23 MN ST MORAL OBLIG-VA POOLED FING PROG-SER B BEO	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
23.7	NEWPORT NEWS VA GO 5% 08/01/24 FA GO GEN IMPT BDS 2017 A UT BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.8	VIRGINIA ST PUB BLDG AUTH PUB REV 4% 08/01/25-CA FA FACS REV REV BDS C BEO	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.9	CHICAGO ILL MET WTR GO 5% 12/01/24 JD RECLAMATION DIST GTR CHICAGO GO LTD TAX REF BDS 2021 C LT B	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.10	LOUDOUN CNTY VA GO 5% 12/01/24 JD GO REF BDS 2020 B UT BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.11	YORK CNTY S C SCH DIST NO 1 GO 4% 03/01/31 MS YORK GO REF BDS 2015A PRERE 03/01/25 UT BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.12	NEVADA SYS HIGHER ED UNIVS REV REV 5% 07/01/25 JJ REF BDS 2022 BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.13	WASH ST HEALTH CARE FACS AUTH REV 5.0000% 01/01/26-CA JJ BDS CANCER RESEARCH SR LIEN S-T SPL RDM	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
23.14	MIDDLETOWN DEL GO 4% 10/01/25 AO GO REF BDS 2020 UT BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.15	LOUDOUN CNTY VA GO 5% 12/01/25 JD GO PUB IMPT BDS 2018A UT BEO	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.16	FAIRFAX CNTY VA ECONOMIC REV 4.0000% 04/01/35-CA AO TRANSN DIST IMPT REF BEO SR LIEN	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.17	CHESTERFIELD CNTY VA GO 5% 01/01/27 JJ GO PUB IMPT BDS 2018A UT BEO	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.18	SPOTSYLVANIA CNTY VA GO 5% 01/15/27 JJ GO PUB IMPT BDS 2022 UT GUA BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.19	NORFOLK VA GO 4% 09/01/34 MS GO REF BDS 2017 C PRERE 03/01/27 UT BEO	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
23.20	FAIRFAX, VIRGINIA REV 5.0000% 04/01/27 AO (COUNTY OF) BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.21	RICHMOND VA GO 5% 07/15/27 JJ GO PUB IMPT IMPT AND REF BDS 2017 B UT BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.22	LYNCHBURG VA GO 5% 08/01/27 FA GO PUB IMPT BDS 2020 UT BEO	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
24	APOLLO X GLOBAL ACCESS LLC	No	None (or less than \$1,001)		None (or less than \$201)
25	VINTAGE IX B LP	No	\$15,001 - \$50,000		None (or less than \$201)
26	ARES DIRECT LENDING OPPORTUNITIES ACCESS LLC	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
27	US Investment Account #9	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.1	U.S. investment account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
27.2	SPDR S&P 500 ETF Trust (SPY)		\$1,001 - \$15,000		None (or less than \$201)
28	Pacific Life Insurance Company, universal life # 1	N/A	\$15,001 - \$50,000		None (or less than \$201)
29	Pacific Life Insurance Company, # 2	N/A	\$50,001 - \$100,000		None (or less than \$201)
30	Pacific Life Insurance Company, universal life #	N/A	\$50,001 - \$100,000		None (or less than \$201)
31	Pacific Life Insurance Company, universal life #4	N/A	\$100,001 - \$250,000		None (or less than \$201)
32	Los Altos, CA Secondary Residence	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
33	Lincoln Financial, variable life	See Endnote	No		
33.1	LVIP SSGA International Index Fund Standard Class	No	\$250,001 - \$500,000		None (or less than \$201)
33.2	LN Fixed Account II	No	\$100,001 - \$250,000		None (or less than \$201)
33.3	LVIP SSGA S& P 500 Index C	No	Over \$1,000,000		None (or less than \$201)
33.4	LVIP SSGA Small Cap Index SC	No	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	SPDR Portfolio S&P 500 Value ETF (SPYV)	Purchase	03/31/2022	\$250,001 - \$500,000
2	iShares Core Dividend Growth ETF (DGRO)	Purchase	03/31/2022	\$250,001 - \$500,000
3	BlackRock Advantage Small Cap Core Fund Institutional Class Shares (BDSIX)	Purchase	03/31/2022	\$100,001 - \$250,000
4	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Purchase	03/31/2022	\$100,001 - \$250,000
5	Lazard International Strategic Equity Portfolio Institutional Shares (LISIX)	Purchase	03/31/2022	\$100,001 - \$250,000
6	MFS Institutional International Equity Fund (MIEIX)	Purchase	03/31/2022	\$100,001 - \$250,000
7	Goldman Sachs Small/Mid Cap Value Fund Class P (GSVPX)	Purchase	03/30/2022	\$15,001 - \$50,000
8	GS Real Estate Diversified Income Fund Class P (GCADX)	Purchase	03/30/2022	\$50,001 - \$100,000
9	Goldman Sachs High Yield Municipal Fund Class P Shares (GGLPX)	Purchase	03/30/2022	\$50,001 - \$100,000
10	Goldman Sachs High Yield Floating Rate Fund Class P Shares (GGNPX)	Purchase	03/30/2022	\$50,001 - \$100,000
11	JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX	Purchase	04/04/2022	\$50,001 - \$100,000
12	VIRGINIA COMWLTH TRANSN BRD REV 5% 05/15/26 MN	Purchase	04/04/2022	\$100,001 - \$250,000
13	ARLINGTON CNTY VA GO 5% 08/15/25 FA	Purchase	04/04/2022	\$250,001 - \$500,000
14	VA COLLEGE BLDG AUTH VA EDL FA REV 5% 09/01/28 MS	Purchase	04/04/2022	\$250,001 - \$500,000
15	UBS AG LINKED TO S&P 500 INDEX	Purchase	04/05/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	HAMPTON RDS VA TRANSN REV 5% 07/01/32-CA JJ	Purchase	04/05/2022	\$100,001 - \$250,000
17	VIRGINIA ST PUB BLDG AUTH PUB REV 5% 08/01/32 FA	Purchase	04/06/2022	\$100,001 - \$250,000
18	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	04/07/2022	\$1,001 - \$15,000
19	VanguardGlobal ex-US Real Estate Index Fund ETF Shares (VNQI)	Purchase	04/07/2022	\$1,001 - \$15,000
20	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	04/07/2022	\$100,001 - \$250,000
21	iShares Core S&P Small-Cap ETF (IJR)	Purchase	04/07/2022	\$15,001 - \$50,000
22	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Purchase	04/07/2022	\$1,001 - \$15,000
23	VanguardGlobal ex-US Real Estate Index Fund ETF Shares (VNQI)	Purchase	04/07/2022	\$1,001 - \$15,000
24	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	04/07/2022	\$15,001 - \$50,000
25	iShares Core MSCI EAFE ETF (IEFA)	Purchase	04/07/2022	\$50,001 - \$100,000
26	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Purchase	04/07/2022	\$50,001 - \$100,000
27	CREDIT SUISSE AG LINKED TO EURO STOXX 50 PR	Purchase	04/07/2022	\$100,001 - \$250,000
28	HAMPTON RDS VA TRANSN REV 5% 07/01/26 JJ	Purchase	04/08/2022	\$100,001 - \$250,000
29	CHESTERFIELD CNTY VA GO 5% 01/01/29- CA JJ	Purchase	04/08/2022	\$250,001 - \$500,000
30	THE BANK OF NOVA SCOTIA LINKED TO S&P 500 INDEX	Purchase	04/11/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	HARRISONBURG VA GO 5% 07/15/25 JJ	Purchase	04/12/2022	\$100,001 - \$250,000
32	FAIRFAX CNTY VA GO 5% 10/01/29-CA AO	Purchase	04/13/2022	\$250,001 - \$500,000
33	VIRGINIA ST PUB SCH AUTH SPL REV 4% 10/01/27 AO	Purchase	04/13/2022	\$100,001 - \$250,000
34	CREDIT SUISSE AG LINKED TO S&P 500 INDEX	Purchase	04/14/2022	\$100,001 - \$250,000
35	JPMORGAN CHASE & CO. LINKED TO EURO STOXX 50 PR	Purchase	04/14/2022	\$100,001 - \$250,000
36	SPDR Portfolio S&P 500 Value ETF (SPYV)	Purchase	04/18/2022	\$100,001 - \$250,000
37	iShares Core Dividend Growth ETF (DGRO)	Purchase	04/18/2022	\$50,001 - \$100,000
38	Goldman Sachs Small/Mid Cap Value Fund Class P (GSVPX)	Purchase	04/18/2022	\$15,001 - \$50,000
39	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Purchase	04/18/2022	\$15,001 - \$50,000
40	CANADIAN IMPERIAL BANK OF COMM LINKED TO S&P 500 INDEX	Purchase	04/18/2022	\$50,001 - \$100,000
41	BlackRock Advantage Small Cap Core Fund Institutional Class Shares (BDSIX)	Purchase	04/18/2022	\$50,001 - \$100,000
42	Lazard International Strategic Equity Portfolio Institutional Shares (LISIX)	Purchase	04/18/2022	\$100,001 - \$250,000
43	MFS Institutional International Equity Fund (MIEIX)	Purchase	04/18/2022	\$100,001 - \$250,000
44	Goldman Sachs High Yield Municipal Fund Class P Shares (GGLPX)	Purchase	04/18/2022	\$100,001 - \$250,000
45	Goldman Sachs High Yield Floating Rate Fund Class P Shares (GGNPX)	Purchase	04/18/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	BNP PARIBAS LINKED TO S&P 500 INDEX	Purchase	04/19/2022	\$100,001 - \$250,000
47	TORONTO DOMINION BANK LINKED TO EURO STOXX 50 PR	Purchase	04/19/2022	\$100,001 - \$250,000
48	WISCONSIN ST TRANSN REV REV 5% 07/01/25 JJ	Purchase	04/20/2022	\$100,001 - \$250,000
49	LOUDOUN CNTY VA GO 5% 12/01/30 JD	Purchase	04/22/2022	\$250,001 - \$500,000
50	ALBUQUERQUE N MEX MUN SCH DIST GO 5% 08/01/26 FA	Purchase	04/22/2022	\$100,001 - \$250,000
51	NORTHERN LEBANON PA SCH DIST GO 4% 09/01/32-CA MS	Purchase	04/22/2022	\$100,001 - \$250,000
52	MONTGOMERY CNTY VA ECONOMIC REV 5% 02/01/29 FA	Purchase	04/22/2022	\$100,001 - \$250,000
53	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX	Purchase	04/25/2022	\$100,001 - \$250,000
54	WEST HARRIS CNTY TEX REGL WTR REV 5% 12/15/30-CA JD	Purchase	04/25/2022	\$100,001 - \$250,000
55	MARION & POLK CNTYS ORE GO 5% 06/15/32-CA JD	Purchase	04/25/2022	\$250,001 - \$500,000
56	REEDY CREEK IMPT DIST FLA GO 5.0000% 06/01/38 JD	Purchase	04/25/2022	\$250,001 - \$500,000
57	TORONTO DOMINION BANK LINKED TO S&P 500 INDEX	Purchase	04/26/2022	\$100,001 - \$250,000
58	LOUDOUN CNTY VA GO 5% 12/01/24 JD	Purchase	04/26/2022	\$250,001 - \$500,000
59	VIRGINIA ST PUB SCH AUTH SPL REV 5% 01/15/31 JJ	Purchase	04/26/2022	\$250,001 - \$500,000
60	UBS AG LINKED TO EURO STOXX 50 PR	Purchase	04/28/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
61	Domino Data Lab, Inc. within HIGHGEAR VENTURES SECONDARY II, LP	Purchase	03/28/2022	\$1,001 - \$15,000
62	Symphony Communication Services Holdings, LLC within HIGHGEAR VENTURES SECONDARY II, LP	Purchase	03/18/2022	\$15,001 - \$50,000
63	SOCIETE GENERALE LINKED TO S&P 500 INDEX	Purchase	05/02/2022	\$100,001 - \$250,000
64	SPDR Portfolio S&P 500 Value ETF (SPYV)	Purchase	05/03/2022	\$100,001 - \$250,000
65	iShares Core Dividend Growth ETF (DGRO)	Purchase	05/03/2022	\$50,001 - \$100,000
66	Goldman Sachs Small/Mid Cap Value Fund Class P (GSVPX)	Purchase	05/03/2022	\$15,001 - \$50,000
67	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Purchase	05/03/2022	\$50,001 - \$100,000
68	BlackRock Advantage Small Cap Core Fund Institutional Class Shares (BDSIX)	Purchase	05/03/2022	\$50,001 - \$100,000
69	Lazard International Strategic Equity Portfolio Institutional Shares (LISIX)	Purchase	05/03/2022	\$100,001 - \$250,000
70	MFS Institutional International Equity Fund (MIEIX)	Purchase	05/03/2022	\$100,001 - \$250,000
71	GS Real Estate Diversified Income Fund Class P (GCADX)	Purchase	05/03/2022	\$15,001 - \$50,000
72	VIRGINIA ST PUB SCH AUTH SCH REV 5% 04/15/26 AO	Purchase	05/03/2022	\$250,001 - \$500,000
73	IOWA CITY IOWA GO 5% 06/01/28 JD	Purchase	05/03/2022	\$500,001 - \$1,000,000
74	Goldman Sachs High Yield Municipal Fund Class P Shares (GGLPX)	Purchase	05/03/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
75	Goldman Sachs High Yield Floating Rate Fund Class P Shares (GGNPX)	Purchase	05/03/2022	\$50,001 - \$100,000
76	JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX	Purchase	05/04/2022	\$100,001 - \$250,000
77	BNP PARIBAS LINKED TO EURO STOXX 50 PR	Purchase	05/04/2022	\$100,001 - \$250,000
78	SPDR Portfolio S&P 500 Value ETF (SPYV)	Purchase	05/06/2022	\$15,001 - \$50,000
79	SPDR Portfolio S&P 500 Value ETF (SPYV)	Purchase	05/06/2022	\$15,001 - \$50,000
80	GS BANK USA TERM DEPOSIT 1.46% (USD) May 06, 2022 - Aug 08, 2022	Purchase	05/06/2022	\$1,000,001 - \$5,000,000
81	NORTHEAST OHIO REGL SWR DIST REV 4% 11/15/49 MN	Purchase	05/06/2022	\$250,001 - \$500,000
82	TRI-CNTY MET TRANSN DIST ORE REV 5% 09/01/29 MS	Purchase	05/06/2022	\$100,001 - \$250,000
83	UBS AG LINKED TO S&P 500 INDEX	Purchase	05/09/2022	\$100,001 - \$250,000
84	VA ST RES AUTH INFRASTRUCTURE REV 5% 11/01/42 MN	Purchase	05/09/2022	\$250,001 - \$500,000
85	CREDIT SUISSE AG LINKED TO S&P 500 INDEX	Purchase	05/10/2022	\$100,001 - \$250,000
86	CITIGROUP INC. LINKED TO EURO STOXX 50 INDEX	Purchase	05/10/2022	\$100,001 - \$250,000
87	ROANOKE VA GO 5% 04/01/29 AO	Purchase	05/10/2022	\$250,001 - \$500,000
88	PENNSYLVANIA ST GO 5% 07/15/24 JJ	Purchase	05/10/2022	\$250,001 - \$500,000
89	VIRGINIA ST RES AUTH REV 5% 11/01/24 MN	Purchase	05/11/2022	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
90	iShares ESG US Aggregate Bond ETF (EAGG)	Sale	05/12/2022	\$1,001 - \$15,000
91	VA COLLEGE BLDG AUTH VA EDL FA REV 5% 02/01/32 FA	Purchase	05/13/2022	\$250,001 - \$500,000
92	LOUDOUN CNTY VA SANTN AUTH WTR REV 5% 01/01/30 JJ	Purchase	05/18/2022	\$500,001 - \$1,000,000
93	BNP PARIBAS LINKED TO S&P 500 INDEX	Purchase	05/19/2022	\$50,001 - \$100,000
94	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX	Purchase	05/23/2022	\$50,001 - \$100,000
95	CANADIAN IMPERIAL BANK OF COMM LINKED TO S&P 500 INDEX	Purchase	05/24/2022	\$100,001 - \$250,000
96	FAIRFAX CNTY VA GO 4% 10/01/31-CA AO	Purchase	06/03/2022	\$250,001 - \$500,000
97	ALEXANDRIA VA INDL DEV AUTH REV 5.0000% 10/01/45-CA AO	Purchase	06/03/2022	\$500,001 - \$1,000,000
98	SPDR Portfolio S&P 500 Value ETF (SPYV)	Purchase	06/08/2022	\$15,001 - \$50,000
99	iShares Core Dividend Growth ETF (DGRO)	Purchase	06/08/2022	\$15,001 - \$50,000
100	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Purchase	06/08/2022	\$100,001 - \$250,000
101	ROYAL BANK OF CANADA LINKED TO S&P 500 INDEX	Purchase	06/08/2022	\$250,001 - \$500,000
102	BlackRock Advantage Small Cap Core Fund Institutional Class Shares (BDSIX)	Purchase	06/08/2022	\$15,001 - \$50,000
103	GS REAL ESTATE DIVERSIFIED INCOME FUND CLASS P (GCADX)	Purchase	06/08/2022	\$15,001 - \$50,000
104	GS BANK USA TERM DEPOSIT 1.78% (USD) Jun 08, 2022 - Sep 30, 2022	Purchase	06/08/2022	\$5,000,001 - \$25,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
105	Goldman Sachs High Yield Floating Rate Fund Class P Shares (GGNPX)	Purchase	06/08/2022	\$50,001 - \$100,000
106	CITIGROUP INC. LINKED TO S&P 500 INDEX	Purchase	06/13/2022	\$100,001 - \$250,000
107	SPDR Portfolio S&P 500 Value ETF (SPYV)	Purchase	06/23/2022	\$15,001 - \$50,000
108	iShares Core Dividend Growth ETF (DGRO)	Purchase	06/23/2022	\$15,001 - \$50,000
109	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Purchase	06/23/2022	\$50,001 - \$100,000
110	BlackRock Advantage Small Cap Core Fund Institutional Class Shares (BDSIX)	Purchase	06/23/2022	\$15,001 - \$50,000
111	MFS Institutional International Equity Fund (MIEIX)	Purchase	06/23/2022	\$100,001 - \$250,000
112	Goldman Sachs High Yield Municipal Fund Class P Shares (GGLPX)	Purchase	06/23/2022	\$50,001 - \$100,000
113	Goldman Sachs High Yield Floating Rate Fund Class P Shares (GGNPX)	Purchase	06/23/2022	\$100,001 - \$250,000
114	NEWPORT NEWS VA GO 5% 08/01/24 FA	Purchase	10/19/2022	\$50,001 - \$100,000
115	NORFOLK VA GO 4% 09/01/34 MS	Purchase	10/19/2022	\$100,001 - \$250,000
116	RICHMOND VA GO 5% 07/15/27 JJ	Purchase	10/18/2022	\$50,001 - \$100,000
117	CHESTERFIELD CNTY VA GO 5% 01/01/27 JJ	Purchase	10/18/2022	\$15,001 - \$50,000
118	CANADIAN IMPERIAL BANK OF COMM LINKED TO EURO STOXX 50 PR	Purchase	10/17/2022	\$100,001 - \$250,000
119	LOUDOUN CNTY VA GO 5% 12/01/24 JD	Purchase	10/17/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
120	FAIRFAX, VIRGINIA REV 5.0000% 04/01/27 AO	Purchase	10/14/2022	\$50,001 - \$100,000
121	SPOTSYLVANIA CNTY VA GO 5% 01/15/27 JJ	Purchase	10/14/2022	\$50,001 - \$100,000
122	LYNCHBURG VA GO 5% 08/01/27 FA	Purchase	10/14/2022	\$50,001 - \$100,000
123	ARLINGTON CNTY VA GO 5% 08/15/23 FA	Purchase	10/14/2022	\$50,001 - \$100,000
124	FAIRFAX CNTY VA GO 4% 10/01/31-CA AO	Purchase	10/14/2022	\$500,001 - \$1,000,000
125	VIRGINIA ST PUB SCH AUTH SCH REV 5% 08/01/23 FA	Purchase	10/13/2022	\$50,001 - \$100,000
126	VIRGINIA ST PUB BLDG AUTH PUB REV 4% 08/01/25-CA FA	Purchase	10/13/2022	\$15,001 - \$50,000
127	FAIRFAX CNTY VA ECONOMIC REV 4.0000% 04/01/35-CA AO	Purchase	10/12/2022	\$50,001 - \$100,000
128	LOUDOUN CNTY VA GO 5% 12/01/25 JD	Purchase	10/12/2022	\$15,001 - \$50,000
129	CITIGROUP INC. LINKED TO EURO STOXX 50 PR	Purchase	10/11/2022	\$50,001 - \$100,000
130	WASH ST HEALTH CARE FACS AUTH REV 5.0000% 01/01/26-CA JJ	Purchase	10/11/2022	\$50,001 - \$100,000
131	SOUTHWESTERN ILL DEV AUTH REV 7.6250% 11/01/48-CA MN	Purchase	10/11/2022	\$50,001 - \$100,000
132	CHARLOTTESVILLE VA GO 5% 06/15/23 JD	Purchase	10/11/2022	\$50,001 - \$100,000
133	TORONTO DOMINION BANK LINKED TO EURO STOXX 50 PR	Purchase	10/07/2022	\$15,001 - \$50,000
134	YORK CNTY S C SCH DIST NO 1 GO 4% 03/01/31 MS	Purchase	10/05/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
135	NEVADA SYS HIGHER ED UNIVS REV REV 5% 07/01/25 JJ	Purchase	10/05/2022	\$50,001 - \$100,000
136	VA ST RES AUTH INFRASTRUCTURE REV 5.0000% 11/01/23 MN	Purchase	10/05/2022	\$50,001 - \$100,000
137	CHICAGO ILL MET WTR GO 5% 12/01/24 JD	Purchase	10/05/2022	\$50,001 - \$100,000
138	MIDDLETOWN DEL GO 4% 10/01/25 AO	Purchase	10/05/2022	\$50,001 - \$100,000
139	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Purchase	10/04/2022	\$100,001 - \$250,000
140	U.S. TREASURY BILL DUE 04/06/2023	Purchase	10/04/2022	\$1,000,001 - \$5,000,000
141	LOUDOUN CNTY VA GO 5% 12/01/25 JD	Purchase	10/04/2022	\$250,001 - \$500,000
142	FAIRFAX CNTY VA GO 4% 10/01/31 AO	Purchase	11/25/2022	\$250,001 - \$500,000
143	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX	Purchase	11/17/2022	\$50,001 - \$100,000
144	HAMPTON RDS VA TRANSN REV 5% 07/01/26 JJ	Sale	11/16/2022	\$100,001 - \$250,000
145	SPOTSYLVANIA CNTY VA GO 5% 01/15/30 JJ	Purchase	11/07/2022	\$250,001 - \$500,000
146	Goldman Sachs Small/Mid Cap Growth Fund Class P Shares (GSWPX)	Sale	11/03/2022	\$100,001 - \$250,000
147	Goldman Sachs Small/Mid Cap Value Fund Class P (GSVPX)	Sale	11/03/2022	\$250,001 - \$500,000
148	SPDR S&P 500 ETF Trust (SPY)	Purchase	11/03/2022	\$250,001 - \$500,000
149	iShares Russell 2000 ETF (IWM)	Purchase	11/03/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
150	AMCAP Fund Class F2 Shares (AMCFX)	Sale	11/03/2022	\$250,001 - \$500,000
151	T Rowe Price New Horizons Fund, Inc (PRNHX)	Sale	11/03/2022	\$500,001 - \$1,000,000
152	iShares Russell 2000 Growth ETF (IWO)	Purchase	11/03/2022	\$500,001 - \$1,000,000
153	iShares Russell 2000 Value ETF (IWN)	Purchase	11/03/2022	\$250,001 - \$500,000
154	Goldman Sachs GQG Partners International Opportunities Fund Class P Shares (GGIPX)	Sale	11/03/2022	\$100,001 - \$250,000
155	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	11/03/2022	\$50,001 - \$100,000
156	Goldman Sachs Emerging Markets Equity Fund Class P Shares (GAHPX)	Sale	11/03/2022	\$50,001 - \$100,000
157	Lazard International Strategic Equity Portfolio Institutional Shares (LISIX)	Sale	11/03/2022	\$500,001 - \$1,000,000
158	iShares MSCI EAFE ETF (EFA)	Purchase	11/03/2022	\$1,000,001 - \$5,000,000
159	iShares MSCI EAFE ETF (EFA)	Purchase	11/03/2022	\$100,001 - \$250,000
160	MFS Institutional International Equity Fund (MIEIX)	Sale	11/03/2022	\$500,001 - \$1,000,000
161	iShares Global Clean Energy ETF (ICLN)	Purchase	11/03/2022	\$50,001 - \$100,000
162	GS CLEAN ENERGY INCOME FUND CLASS P (GCEPX)	Sale	11/03/2022	\$50,001 - \$100,000
163	FAIRFAX CNTY VA GO 4% 10/01/31 AO	Purchase	11/25/2022	\$250,001 - \$500,000
164	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX	Purchase	11/17/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
165	HAMPTON RDS VA TRANSN REV 5% 07/01/26 JJ	Sale	11/16/2022	\$100,001 - \$250,000
166	SPOTSYLVANIA CNTY VA GO 5% 01/15/30 JJ	Purchase	11/07/2022	\$250,001 - \$500,000
167	Goldman Sachs Small/Mid Cap Growth Fund Class P Shares (GSWPX)	Sale	11/03/2022	\$100,001 - \$250,000
168	Goldman Sachs Small/Mid Cap Value Fund Class P (GSVPX)	Sale	11/03/2022	\$250,001 - \$500,000
169	SPDR S&P 500 ETF Trust (SPY)	Purchase	11/03/2022	\$250,001 - \$500,000
170	iShares Russell 2000 ETF (IWM)	Purchase	11/03/2022	\$50,001 - \$100,000
171	AMCAP Fund Class F2 Shares (AMCFX)	Sale	11/03/2022	\$250,001 - \$500,000
172	T Rowe Price New Horizons Fund, Inc (PRNHX)	Sale	11/03/2022	\$500,001 - \$1,000,000
173	iShares Russell 2000 Growth ETF (IWO)	Purchase	11/03/2022	\$500,001 - \$1,000,000
174	iShares Russell 2000 Value ETF (IWN)	Purchase	11/03/2022	\$250,001 - \$500,000
175	Goldman Sachs GQG Partners International Opportunities Fund Class P Shares (GGIPX)	Sale	11/03/2022	\$100,001 - \$250,000
176	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	11/03/2022	\$50,001 - \$100,000
177	Goldman Sachs Emerging Markets Equity Fund Class P Shares (GAHPX)	Sale	11/03/2022	\$50,001 - \$100,000
178	Lazard International Strategic Equity Portfolio Institutional Shares (LISIX)	Sale	11/03/2022	\$500,001 - \$1,000,000
179	iShares MSCI EAFE ETF (EFA)	Purchase	11/03/2022	\$1,000,001 - \$5,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
180	iShares MSCI EAFE ETF (EFA)	Purchase	11/03/2022	\$100,001 - \$250,000
181	MFS Institutional International Equity Fund (MIEIX)	Sale	11/03/2022	\$500,001 - \$1,000,000
182	iShares Global Clean Energy ETF (ICLN)	Purchase	11/03/2022	\$50,001 - \$100,000
183	GS CLEAN ENERGY INCOME FUND CLASS P (GCEPX)	Sale	11/03/2022	\$50,001 - \$100,000
184	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Purchase	12/19/2022	\$15,001 - \$50,000
185	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Purchase	12/09/2022	\$1,001 - \$15,000
186	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Purchase	12/09/2022	\$1,001 - \$15,000
187	VanguardGlobal ex-US Real Estate Index Fund ETF Shares (VNQI)	Purchase	12/09/2022	\$1,001 - \$15,000
188	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	12/09/2022	\$1,001 - \$15,000
189	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Purchase	12/09/2022	\$15,001 - \$50,000
190	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Purchase	12/09/2022	\$1,001 - \$15,000
191	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Purchase	12/09/2022	\$1,001 - \$15,000
192	THE BANK OF NOVA SCOTIA LINKED TO S&P 500 INDEX	Purchase	08/01/2022	\$50,001 - \$100,000
193	U.S. TREASURY BILL DUE 11/03/2022	Purchase	08/04/2022	\$100,001 - \$250,000
194	NEVADA ST GO 5.0000% 11/01/26-CA MN	Purchase	09/06/2022	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
195	QUINCY MASS GO 3.7500% 09/15/23 MS	Purchase	09/08/2022	\$500,001 - \$1,000,000
196	VIRGINIA COMWLTH TRANSN BRD REV 4% 05/15/30-CA MN	Purchase	09/12/2022	\$250,001 - \$500,000
197	VA CLG BLDG AUTH VA EDL FCS REV 5.0000% 09/01/24 MS	Purchase	09/15/2022	\$500,001 - \$1,000,000
198	VIRGINIA ST RES AUTH REV 5% 11/01/32-CA MN	Purchase	09/28/2022	\$100,001 - \$250,000
199	SOCIETE GENERALE LINKED TO S&P 500 INDEX	Purchase	09/30/2022	\$50,001 - \$100,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	LoanCare	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2022	2.5	30
2	HighGear Ventures Secondary II, LP	Capital Commitment	\$15,001 - \$50,000	2020	n/a	n/a
3	Ares Direct Lending Opportunities Access LLC	Capital Commitment	\$100,001 - \$250,000	2021	n/a	n/a
4	LoanCare	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2022	2.5	30
5	HighGear Ventures Secondary III, LP	Capital Commitment	\$250,001 - \$500,000	2022	n/a	n/a
6	VINTAGE IX B LP	Capital Commitment	\$500,001 - \$1,000,000	2022	n/a	n/a

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
7	APOLLO X GLOBAL ACCESS LLC	Capital Commitment	\$500,001 - \$1,000,000	2022	n/a	n/a
8	PEAKVIEW CAPITAL IV, L.P.	Capital Commitment	\$250,001 - \$500,000	2022	n/a	n/a

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
Filer's Information	1	I am one of several academics who serve as Senior Fellows with the Lieber Institute.
1.	1	I serve on the board of this human rights organization that represents survivors of torture seeking legal redress; I once served as staff attorney and acting executive director with CJA.
1.	2	This is an organization that works to end extreme poverty in fragile areas that are vulnerable to violent extremist organizations.
1.	3	This is an organization that represents human rights victims in their efforts to achieve justice in U.S., foreign, and international courts.
1.	4	This organization trains war crimes investigators.
1.	6	I was originally retained by the Clooney Foundation in 2017-2019 to help conceptualize and launch their Trial Watch global trial monitoring program. This involved designing the program, identifying potential implementing partners, writing the trial monitoring protocol and curriculum, designing an online course and monitoring phone app, etc. I then served as an expert to monitor an early trial in Zambia. I continue to advise the Foundation informally (unpaid) and serve as an expert for additional monitoring missions and human rights litigation.

PART	#	ENDNOTE
1.	7	I am a member of IFIT's Law & Peace Practice Group. We are academics and advocates who advise policymakers and civil society actors on transitional justice options/mechanisms.
1.	8	This blog, hosted by New York University School of Law, is devoted to publishing content at the intersection of human rights and national security. My role as Executive Editor (unpaid) is to help identify important voices to feature, to vet and edit submissions, to organize online symposia, to advise the editorial board, and to otherwise promote the blog.
1.	10	This volunteer committee assists our local Human Rights Watch office with fundraising and human rights outreach within the local community, although we are not involved in the substance of their work.
2.	3	This is an annual royalty payment for a law casebook on International Criminal Law & Its Enforcement published by Foundation Press. The royalties are usually within this range, although the exact amount remains uncertain.
2.	4	This is a recently published book that has not yet begun to receive royalties.
2.	5	This is a recently published book that has not yet begun to receive royalties.
6.	3	Line of business - Behavioral Health
6.	4.1	Line of Business: Domino is a Enterprise MLOps (Machine Learning Operations) and data science platform. Products enable data scientists to develop better medicines, grow more productive crops, adapt risk models to major economic shifts, build better cars, improve customer support, or simply recommend the best purchase to make at the right time.
6.	4.2	Line of Business: Netskope is an American software company providing a computer security platform. The platform offers cloud-native solutions to businesses for data protection and defense against threats in cloud applications, cloud infrastructure, and the web.
6.	4.3	Line of Business: Tealium is a company that sells enterprise tag management, an API hub, a customer data platform with machine learning, and data management products.
6.	4.4	Line of Business: Intercom, Inc. is a software company that specializes in business messaging, providing businesses with a way to chat with their customers.
6.	4.5	Line of Business: Malwarebytes Inc. is an American Internet security company that specializes in protecting home computers, smartphones, and companies from malware and other threats.
6.	4.6	Line of Business: mParticle is a mobile customer data platform that simplifies how users collect and connect their data to hundreds of vendors without needing to manage multiple integrations.
6.	5	Line of Business - Data Management

PART	#	ENDNOTE
6.	6	Line of Business: Farmland
6.	9	This was a loan to my husband's father and his wife when he was moving from his ranch to a new home. Although it existed at the time of original filing, the loan has since been repaid.
6.	16.1	Bloomreach is a developer of a cloud-based software that connects both customer and product data to personalize all customer touch-points.
6.	16.2	Line of Business: D2iQ is an American technology company based in San Francisco, California which develops software that simplifies Kubernetes lifecycle management, deployment to hybrid, multi-cloud, and edge environments and enables advanced application use cases.
6.	16.3	Line of Business: Dataminr is an artificial intelligence company.
6.	16.4	Line of Business: Domino is a Enterprise MLOps (Machine Learning Operations) and data science platform. Products enable data scientists to develop better medicines, grow more productive crops, adapt risk models to major economic shifts, build better cars, improve customer support, or simply recommend the best purchase to make at the right time.
6.	16.5	Line of Business: Exabeam is a global cybersecurity leader that created New-Scale SIEM for advancing security operations.
6.	16.6	Line of Business: HireVue's enterprise-level hiring platform is a full-service recruitment solution including video interviewing, hiring assessments, AI automation, and more.
6.	16.7	Line of Business: mParticle is a mobile customer data platform that simplifies how users collect and connect their data to hundreds of vendors without needing to manage multiple integrations.
6.	16.8	Line of Business: Netskope is an American software company providing a computer security platform. The platform offers cloud-native solutions to businesses for data protection and defense against threats in cloud applications, cloud infrastructure, and the web.
6.	16.9	Line of Business: Started in 2014 as a messaging platform to enable data security and compliance, today Symphony is a leading common connector for market workflows.
6.	16.10	Line of Business: Tanium is a privately held cybersecurity and systems management company.
6.	16.11	Line of Business: Tealium is a company that sells enterprise tag management, an API hub, a customer data platform with machine learning, and data management products.
6.	16.12	Line of Business: ThoughtSpot, Inc. is a technology company that produces business intelligence analytics search software.

PART	#	ENDNOTE
6.	16.13	Line of Business: Trax is the most global Transportation Spend Management solutions and services partner, spanning four continents.
6.	33	This insurance policy is owned by an irrevocable trust for the benefit of the dependent children

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

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