

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

Filer's Information

Fink, Dorothy A

Deputy Assistant Secretary for Office of Women's Health/OASH, Department of Health & Human Services

Report Year: 2021

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Fink, Dorothy A [electronically signed on 08/16/2021 by Fink, Dorothy A in Integrity.gov] - Filer received a 91 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/ Reed, Paul L, Certifying Official [electronically signed on 12/13/2021 by Reed, Paul L in Integrity.gov]

Other review conducted by

/s/ McClure, Chester, Ethics Official [electronically signed on 12/12/2021 by McClure, Chester in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 12/12/2021

Data Revised 08/16/2021

Comments of Reviewing Officials (public annotations):

| PART | # | REFERENCE | COMMENT |
|------|-----|-----------|--|
| N/A | N/A | General | (08/16/2021, McClure, Chester): Preliminary Review 8/16/21. |
| N/A | N/A | General | (12/12/2021, McClure, Chester): Filer received 91-day filing extension. Certification delayed to confirm details of numerous filer and spousal assets and transactions. Filer initially included assets held and transactions made during 2019 and 2021. |
| N/A | N/A | General | (12/12/2021, McClure, Chester): Filer confirmed all holdings of spouse's healthcare-related stock were below both the \$15,000 exemption level for a particular matter involving specific parties, and the \$25,000 exemption level for all affected parties based on sector, industry and product. Filer confirmed spouse held less than \$6,000 at any time during 2020 before full divestiture of the following: Biogen, Bristol Myers, Collegium Pharmaceutical, Crispr, Dexcom, Intuitive Surgical, Natera, United Health Group, Regeneron, Squibb, and Stryker. Filer confirmed the following newly acquired spouse assets were briefly held and fully divested during 2020, via small transactions that were not reportable: Arvinas, Bluebird Bio, Clearside Biomedical, ICLICK, Lexin Fintech, Luckin Coffee, Maxar Technologies, Palomar, Uber, and 10x Genomics. No ethics concerns due to nominal valuation and income of each of these formerly held assets. |

| PART | # | REFERENCE | COMMENT |
|------|-----|----------------|---|
| N/A | N/A | General | <p>(12/12/2021, McClure, Chester): Filer advised to seek ethics guidance if a matter arises related to any of her or spouse's healthcare-related holdings to avoid any optics concerns. Filer and her spouse counseled to at a minimum maintain current healthcare and technology holdings below exemption levels, and to abstain from acquiring any additional healthcare, pharmaceutical, medical device, health insurance, and health-related technology assets to avoid conflict of interest concerns. Filer should manage holdings based on guidance provided in her ethics agreement upon joining HHS. All reportable transactions were reported via Form 278-T.</p> <p>Spouse honoraria were for presentations in field of research and based on his expertise. Spouse employment (including clinical practice and research), and fellowship are unrelated to filer's duties and create no ethics concerns.</p> <p>Filer must be recused from matters arising in her official duties related to NYU School of Medicine due to spousal employment. Filer has confirmed that NYU School of Medicine and Hospital for Special Surgery no longer manage or contribute to her retirement plans. Thus, no on-going financial relationship/agreement for retirement plan participation.</p> <p>No reportable outside positions. No ethics concerns except as noted for spousal assets and employer above. Edits made upon filer guidance.</p> |
| 5. | 7 | TIAA/CREF-457B | (12/12/2021, McClure, Chester): Filer confirmed that spouse's TIAA/CREF 457-B account was inadvertently overlooked and thus not included on prior annual report covering 2019. No ethics concerns. |
| 5. | 8 | Fidelity 403B | (12/12/2021, McClure, Chester): Filer confirmed that spouse's Fidelity 403B account was inadvertently overlooked and thus not included on prior annual report covering 2019. No ethics concerns. |

1. Filer's Positions Held Outside United States Government

None

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|---------------------|-------------|---------------------------|
| 1 | Alcoa Corp- AA | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2 | Arconic Inc- ARNC | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3 | Conono Phillips- COP | No | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 4 | Dominion Energy Inc- D | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 5 | Kinder Morgan Pfd- KMI A | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 6 | Ford Motor Co- F | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7 | Adams Natural Resources Fund- PEO | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8 | Am FDS World G&I- CWGIX | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 9 | Brighthouse Variable Annuity | No | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.1 | Schroders Global Multi Asset Portfolio | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.2 | Brighthouse Balanced Plus Portfolio | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-------------|-----------------------------|-------------|---------------------------|
| 10 | Home Depot Inc- HD | No | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 11 | Realty Income Corp- O | See Endnote | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 12 | T Rowe Price- CAP-APP Fd PRWCX | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 13 | Vanguard Treasury Money Market- VUSSX | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 14 | Transamerica – Hospital for Special Surgery 403b | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 14.1 | Vanguard Institutional Target Retirement 2045 Fund (VITLX) | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 15 | TIAA-CREF - NYU School of Medicine 403(b) | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 15.1 | TIAA-CREF annuity account | See Endnote | \$100,001 - \$250,000 | | |
| 15.2 | Vanguard Star Fund Investor Shares VGSTX | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 15.3 | Vanguard Institutional Target Retirement 2045 Fund Institutional Shares VITLX | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 15.4 | Vanguard Dividend Growth Investor Shares VDIGX | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 15.5 | Vanguard Extended Market Index Fund Admiral Shares VEXAX | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 16 | Wal-Mart - WMT | See Endnote | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 17 | FedEx Corp (FDX) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 18 | Intel Corp (INTC) | No | \$1,001 - \$15,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--------------------------------------|-----|---------------------|-------------|---------------------------|
| 19 | Kohls Corp- KSS | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 20 | Lowes Companies, Inc- LOW | No | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 21 | Magna International Inc Class A -MGA | No | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 22 | TJX Cos Inc (TJX) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23 | Walt Disney Co (DIS) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 24 | Bed Bath & Beyond Inc (BBBY) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 25 | The Walt Disney Co. (DIS) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 26 | Raytheon Technology- RTX | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 27 | Howmet Aerospace (HWM) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 28 | Viacom CBS | No | \$1,001 - \$15,000 | | \$201 - \$1,000 |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|--|--------------------|---|--------|
| 1 | Hospital for Special Surgery | New York, New York | I will not participate in employer-sponsored defined contribution option of this 403(b) plan after my separation. | 3/2017 |
| 2 | New York University School of Medicine | New York, New York | I will not participate in employer-sponsored defined contribution option of this 403(b) plan after my separation. | 8/2014 |

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 | New York University School of Medicine (Physician) | N/A | | salary, bonus | |
| 2 | Paul and Daisy Soros Fellowship - 2020 | N/A | | Honorarium | \$500 |
| 3 | Roth IRA First Republic Inv Mgt Moderate Growth FRIM | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 4 | TIAA/CREF-403B | Yes | | | |
| 4.1 | Vanguard Midcap | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.2 | Vanguard PRIMECAP | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.3 | Vanguard Capital Opportunity | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.4 | Vanguard Small-Cap Growth | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.5 | TIAA Real Estate | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.6 | Vanguard Inflation Prot Sec | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.7 | Vanguard GNMA | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 4.8 | Vanguard Target 40 | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 5 | NYU School of Medicine Retiree Medical Savings Account | Yes | | | |
| 5.1 | TIAA-CREF Lifecycle 2040 | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6 | Individual Brokerage Account | No | | | |
| 6.1 | Alphabet Inc (GOOGL) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.2 | Alteryx, Inc. (AYX) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.3 | Amazon.com, Inc. (AMZN) | No | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 6.4 | Apple, Inc. (AAPL) | No | \$1,001 - \$15,000 | Dividends | \$1,001 - \$2,500 |
| 6.5 | Biogen Inc. (BIIB) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.6 | Boeing Co (BA) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.7 | Bristol-Myers Squibb (BMY) | No | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 6.8 | Cosan Limited (CZZ) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.9 | Costco Wholesale Corp. (COST) | No | None (or less than \$1,001) | Dividends | \$1,001 - \$2,500 |
| 6.10 | Coupa Software, Inc. (COUP) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.11 | Crispr Therapeutics (CRSP) | No | None (or less than \$1,001) | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-----------------------------------|-----|-----------------------------|-------------|---------------------------|
| 6.12 | DexCom, Inc. (DXCM) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.13 | Dynatrace Holdings LLC (DT) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.14 | Intuitive Surgical, Inc. (ISRG) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.15 | L3Harris Technologies, Inc. (LHX) | No | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 6.16 | McDonald's Corp. (MCD) | No | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 6.17 | Natera, Inc. (NTRA) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.18 | NMI Holdings, Inc. (NMIH) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.19 | NVIDIA Corp. (NVDA) | No | \$15,001 - \$50,000 | Dividends | \$5,001 - \$15,000 |
| 6.20 | Paycom Software, Inc. (PAYC) | No | None (or less than \$1,001) | | \$1,001 - \$2,500 |
| 6.21 | salesforce.com, inc. (CRM) | No | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 6.22 | Stryker Corp. (SYK) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.23 | Ubiquiti, Inc. (UI) | No | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 6.24 | UnitedHealth Group, Inc. (UNH) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.25 | Veeva Systems, Inc. (VEEV) | No | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 6.26 | Visa, Inc. (V) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---------------------------------|-----|-----------------------------|-------------|---------------------------|
| 6.27 | Workday, Inc. (WDAY) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.28 | Applied Materials, Inc. (AMAT) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.29 | Arvinas, Inc. (ARVN) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.30 | Bank of America Corp. (BAC) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.31 | Beyond Meat, Inc. (BYND) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.32 | BlackRock, Inc. (BLK) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.33 | Bloom Energy Corporation (BE) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.34 | bluebird bio, Inc. (BLUE) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.35 | Broadcom, Inc. (AVGO) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.36 | Cardlytics, Inc. (CDLX) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.37 | Chart Industries, Inc. (GTLS) | No | None (or less than \$1,001) | | \$1,001 - \$2,500 |
| 6.38 | Chevron Corp. (CVX) | No | None (or less than \$1,001) | | \$1,001 - \$2,500 |
| 6.39 | Clearside Biomedical Inc (CLSD) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.40 | Cloudflare Inc (NET) | No | None (or less than \$1,001) | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|----------------------------------|-----|-----------------------------|-------------|---------------------------|
| 6.41 | CME Group (CME) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.42 | Collegium Pharmaceuticals (COLL) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.43 | Colonnade (CLA) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.44 | Crowdstrike Holdings (CRWD) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.45 | Crown Castle CCI | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.46 | Cyberark (CYBR) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.47 | Delta (DAL) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.48 | Digital Turbine (APPS) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.49 | Dropbox (DBX) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.50 | eGain Corp. (EGAN) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.51 | Fortress Transportation FTAI | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.52 | Funko, Inc. (FNKO) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.53 | Globant (GLOB) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.54 | ICLICK (ICLK) | No | None (or less than \$1,001) | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|------------------------------|-----|-----------------------------|-------------|---------------------------|
| 6.55 | JD Com inc | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.56 | JFROG | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.57 | JPMorgan Chase and Co (JPM) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.58 | Lexin Fintech (LX) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.59 | Lockheed Martin Corp. (LMT) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.60 | Luckin Coffee (LKNCY) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.61 | Magnachip (MX) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.62 | Maxar Technologies (MAXR) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.63 | Mercadolibre (MELI) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.64 | Mongo DB (MDB) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.65 | Overstock.com, Inc. (OSTK) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.66 | Palantir (PLTR) | No | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 6.67 | Palomar (PLMR) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.68 | PayPal Holdings, Inc. (PYPL) | No | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 6.69 | Pinterest (PINS) | No | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---------------------------|-----|-----------------------------|-------------|---------------------------|
| 6.70 | Plugpower (PLUG) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.71 | Quantumscape (QS) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.72 | Redfin (RDFN) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.73 | Regeneron (REGN) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.74 | Renesola LTD (SOL) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.75 | Sharpspring (SHSP) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.76 | Shopify (SHOP) | No | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 6.77 | Simon Property Goup (SPG) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.78 | Square Inc (SQ) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.79 | Stamps.com Inc (STMP) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.80 | Tesla (TSLA) | No | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 6.81 | Topbuild (BLD) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.82 | Trex (TREX) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.83 | Twilio (TWLO) | No | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-------------------------------|-----|-----------------------------|-------------|---------------------------|
| 6.84 | Uber (UBER) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.85 | Vertex Pharmaceuticals (VRTX) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.86 | Virgin Galactic (SPCE) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.87 | Wingstop (WING) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.88 | Xpeng (XPEV) | No | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6.89 | 100 ZTO Express Cayman (ZTO) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.90 | 10x Genomics (TXG) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.91 | Fireeye Inc (FEYE) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.92 | Lovesac (LOVE) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.93 | Teradyne, Inc. (TER) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.94 | The Trade Desk (TTD) | No | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7 | TIAA/CREF-457B | Yes | | | |
| 7.1 | Vanguard Target 40 | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8 | Fidelity 403B | Yes | | | |
| 8.1 | Vanguard Inst TR 2045 | Yes | \$1,001 - \$15,000 | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|------------------------|-----|----------------------|-------------|---------------------------|
| 8.2 | Vanguard Vmmr-FED Mmkt | Yes | \$50,001 - \$100,000 | | |
| 9 | Citigroup, Inc. (C) | No | \$1,001 - \$15,000 | | None (or less than \$201) |

6. Other Assets and Income

None

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|--------------------|
| 1 | Viacom CBS | Purchase | 02/24/2020 | \$1,001 - \$15,000 |
| 2 | Globant SA- GLOB | Purchase | 03/02/2020 | \$1,001 - \$15,000 |
| 3 | JP Morgan Chase & Co (JPM) | Purchase | 03/02/2020 | \$1,001 - \$15,000 |
| 4 | Delta Air Lines (DAL) | Purchase | 03/06/2020 | \$1,001 - \$15,000 |
| 5 | Boeing Co (BA) | Purchase | 03/09/2020 | \$1,001 - \$15,000 |
| 6 | JP Morgan Chase & Co (JPM) | Purchase | 03/09/2020 | \$1,001 - \$15,000 |
| 7 | Regeneron Pharmaceuticals Inc (REGN) | Purchase | 03/04/2020 | \$1,001 - \$15,000 |
| 8 | Intuitive Surgical, Inc. - Common Stock (ISRG) | Purchase | 03/11/2020 | \$1,001 - \$15,000 |
| 9 | ALTERYX INC- AYX | Purchase | 03/10/2020 | \$1,001 - \$15,000 |
| 10 | NVIDIA Corporation - Common Stock (NVDA) | Purchase | 03/18/2020 | \$1,001 - \$15,000 |
| 11 | Chevron Corp (CVX) | Purchase | 03/18/2020 | \$1,001 - \$15,000 |
| 12 | Boeing Co (BA) | Purchase | 03/18/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|--------------------|
| 13 | Apple Inc. - Common Stock (AAPL) | Purchase | 03/12/2020 | \$1,001 - \$15,000 |
| 14 | Crispr - CRSP | Sale | 03/02/2020 | \$1,001 - \$15,000 |
| 15 | ALTERYX INC - AYX | Sale | 03/09/2020 | \$1,001 - \$15,000 |
| 16 | Intuitive Surgical Inc (ISRG) | Sale | 03/10/2020 | \$1,001 - \$15,000 |
| 17 | CME Group Inc. - Class A Common Stock (CME) | Sale | 03/12/2020 | \$1,001 - \$15,000 |
| 18 | Dynatrace Holdings - DT | Purchase | 03/13/2020 | \$1,001 - \$15,000 |
| 19 | Cyberark - CYDR | Sale | 03/09/2020 | \$1,001 - \$15,000 |
| 20 | Trade Desk Inc - TTD | Purchase | 03/13/2020 | \$1,001 - \$15,000 |
| 21 | Dropbox - DBX | Sale | 03/12/2020 | \$1,001 - \$15,000 |
| 22 | DexCom, Inc. - Common Stock (DXCM) | Sale | 03/17/2020 | \$1,001 - \$15,000 |
| 23 | Tesla Motors, Inc. - Common Stock (TSLA) | Purchase | 02/04/2020 | \$1,001 - \$15,000 |
| 24 | Cardlytics Inc - CDLX | Purchase | 02/04/2020 | \$1,001 - \$15,000 |
| 25 | Collegium Pharmaceutical - COLL | Purchase | 02/07/2020 | \$1,001 - \$15,000 |
| 26 | Magnachip - MX | Purchase | 02/03/2020 | \$1,001 - \$15,000 |
| 27 | CyberArk Software Ltd. - Ordinary Shares (CYBR) | Purchase | 02/10/2020 | \$1,001 - \$15,000 |
| 28 | Topbuild Corp - BLD | Purchase | 02/14/2020 | \$1,001 - \$15,000 |
| 29 | Fortress Transportation - FTAI | Purchase | 02/18/2020 | \$1,001 - \$15,000 |
| 30 | Dropbox Inc - DBX | Purchase | 02/25/2020 | \$1,001 - \$15,000 |
| 31 | Tesla Motors, Inc. - Common Stock (TSLA) | Purchase | 02/27/2020 | \$1,001 - \$15,000 |
| 32 | CME Group Inc. - Class A Common Stock (CME) | Purchase | 02/26/2020 | \$1,001 - \$15,000 |
| 33 | Paypal Holdings Inc - PYPL | Purchase | 02/27/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|--------------------|
| 34 | Beyond Meat Inc - BYND | Sale | 02/13/2020 | \$1,001 - \$15,000 |
| 35 | NVIDIA Corporation - Common Stock (NVDA) | Purchase | 02/28/2020 | \$1,001 - \$15,000 |
| 36 | McDonald's Corp (MCD) | Sale | 02/07/2020 | \$1,001 - \$15,000 |
| 37 | Paypal Holdings Inc - PYPL | Purchase | 01/13/2020 | \$1,001 - \$15,000 |
| 38 | DexCom, Inc. - Common Stock (DXCM) | Purchase | 01/13/2020 | \$1,001 - \$15,000 |
| 39 | Paypal Holdings Inc - PYPL | Purchase | 01/14/2020 | \$1,001 - \$15,000 |
| 40 | Bluebird Inc - BLUE | Purchase | 01/15/2020 | \$1,001 - \$15,000 |
| 41 | Magnachip - MX | Sale | 02/18/2020 | \$1,001 - \$15,000 |
| 42 | Workday Inc - WDAY | Sale | 02/25/2020 | \$1,001 - \$15,000 |
| 43 | Beyond Meat Inc - BYND | Purchase | 01/30/2020 | \$1,001 - \$15,000 |
| 44 | Tesla Motors, Inc. - Common Stock (TSLA) | Sale | 02/26/2020 | \$1,001 - \$15,000 |
| 45 | Beyond Meat Inc - BYND | Sale | 01/15/2020 | \$1,001 - \$15,000 |
| 46 | Crispr Inc - CRSP | Sale | 01/09/2020 | \$1,001 - \$15,000 |
| 47 | Cosan Limited - CZZ | Sale | 01/13/2020 | \$1,001 - \$15,000 |
| 48 | Boeing Co (BA) | Sale | 01/15/2020 | \$1,001 - \$15,000 |
| 49 | Lexinfintech Holdings - LX | Sale | 01/13/2020 | \$1,001 - \$15,000 |
| 50 | Stryker Corp (SYK) | Sale | 02/26/2020 | \$1,001 - \$15,000 |
| 51 | Arvinas Inc - ARVN | Sale | 02/26/2020 | \$1,001 - \$15,000 |
| 52 | Crown Castle Intl Corp (CCI) | Sale | 02/27/2020 | \$1,001 - \$15,000 |
| 53 | bluebird bio, Inc. - Common Stock (BLUE) | Sale | 01/30/2020 | \$1,001 - \$15,000 |
| 54 | Natera Inc - NTRA | Sale | 01/30/2020 | \$1,001 - \$15,000 |
| 55 | Palomar Holdings Inc - PLMR | Sale | 01/29/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|--------------------|
| 56 | Luckin Coffee Inc - LK | Sale | 03/27/2020 | \$1,001 - \$15,000 |
| 57 | Maxar Technology Inc - MAXR | Sale | 01/29/2020 | \$1,001 - \$15,000 |
| 58 | Virgin Galactic Holdings - SPCE | Sale | 01/29/2020 | \$1,001 - \$15,000 |
| 59 | Dynatrace Holdings - DT | Sale | 01/17/2020 | \$1,001 - \$15,000 |
| 60 | Luckin Coffee Inc - LK | Sale | 01/22/2020 | \$1,001 - \$15,000 |
| 61 | Cardlytics Inc - CDLX | Sale | 03/04/2020 | \$1,001 - \$15,000 |
| 62 | Ubiquiti Inc - UI | Sale | 01/07/2020 | \$1,001 - \$15,000 |
| 63 | Unitedhealth Group Inc (UNH) | Sale | 01/02/2020 | \$1,001 - \$15,000 |
| 64 | NMI Holdings Inc - Common Stock (NMIH) | Sale | 01/02/2020 | \$1,001 - \$15,000 |
| 65 | NVIDIA Corporation - Common Stock (NVDA) | Purchase | 01/30/2020 | \$1,001 - \$15,000 |
| 66 | Virgin Galactic Holdings - SPCE | Purchase | 01/22/2020 | \$1,001 - \$15,000 |
| 67 | Virgin Galactic Holdings - SPCE | Purchase | 01/15/2020 | \$1,001 - \$15,000 |
| 68 | CyberArk Software Ltd. - Ordinary Shares (CYBR) | Purchase | 01/08/2020 | \$1,001 - \$15,000 |
| 69 | Crown Castle Intl Corp (CCI) | Purchase | 01/15/2020 | \$1,001 - \$15,000 |
| 70 | Arvinas Inc - ARVN | Purchase | 01/09/2020 | \$1,001 - \$15,000 |
| 71 | Vertex Pharmaceuticals Incorporated - Common Stock (VRTX) | Purchase | 01/07/2020 | \$1,001 - \$15,000 |
| 72 | Lockheed Martin (LMT) | Purchase | 01/06/2020 | \$1,001 - \$15,000 |
| 73 | Level3/Harris - LHX | Purchase | 01/02/2020 | \$1,001 - \$15,000 |
| 74 | Crispr - CRSP | Purchase | 01/02/2020 | \$1,001 - \$15,000 |
| 75 | Biogen Idec Inc. - Common Stock (BIIB) | Sale | 02/28/2020 | \$1,001 - \$15,000 |
| 76 | Vertex Pharmaceuticals Incorporated - Common Stock (VRTX) | Sale | 02/27/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|--------------------|
| 77 | Bristol-Myers Squibb (BMY) | Sale | 02/27/2020 | \$1,001 - \$15,000 |
| 78 | Howmet Aerospace- HWM | Purchase | 04/03/2020 | \$1,001 - \$15,000 |
| 79 | Arconic Inc- ARNC | Sale | 04/03/2020 | \$1,001 - \$15,000 |
| 80 | Raytheon Co (RTN) | Sale | 04/03/2020 | \$1,001 - \$15,000 |
| 81 | Raytheon Technologies - RTX | Purchase | 04/03/2020 | \$1,001 - \$15,000 |
| 82 | Trex Co., Inc. (TREX) | Purchase | 06/15/2020 | \$1,001 - \$15,000 |
| 83 | Delta Air Lines, Inc. (DAL) | Sale | 06/26/2020 | \$1,001 - \$15,000 |
| 84 | Collegium Pharmaceutical, Inc. (COLL) | Sale | 06/30/2020 | \$1,001 - \$15,000 |
| 85 | Dropbox, Inc. (DBX) | Sale | 07/08/2020 | \$1,001 - \$15,000 |
| 86 | Intuitive Surgical, Inc. (ISRG) | Sale | 07/08/2020 | \$1,001 - \$15,000 |
| 87 | Lockheed Martin Corp. (LMT) | Sale | 07/09/2020 | \$1,001 - \$15,000 |
| 88 | JPMorgan Chase & Co. (JPM) | Sale | 07/09/2020 | \$1,001 - \$15,000 |
| 89 | Cloudflare (NET) | Sale | 07/23/2020 | \$1,001 - \$15,000 |
| 90 | Boeing Co (BA) | Sale | 07/23/2020 | \$1,001 - \$15,000 |
| 91 | Cloudflare (NET) | Purchase | 07/08/2020 | \$1,001 - \$15,000 |
| 92 | Chevron Corp. (CVX) | Sale | 07/07/2020 | \$1,001 - \$15,000 |
| 93 | Shopify (SHOP) | Purchase | 07/07/2020 | \$1,001 - \$15,000 |
| 94 | Chart Industries, Inc. (GTLS) | Purchase | 07/08/2020 | \$1,001 - \$15,000 |
| 95 | Regeneron Pharmaceuticals, Inc. (REGN) | Sale | 07/09/2020 | \$1,001 - \$15,000 |
| 96 | Shopify (SHOP) | Purchase | 07/13/2020 | \$1,001 - \$15,000 |
| 97 | Cloudflare (NET) | Purchase | 07/14/2020 | \$1,001 - \$15,000 |
| 98 | Trex Co., Inc. (TREX) | Purchase | 07/15/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|-----------------------------------|----------|------------|--------------------|
| 99 | L3Harris Technologies, Inc. (LHX) | Sale | 07/23/2020 | \$1,001 - \$15,000 |
| 100 | Twilio, Inc. (TWLO) | Purchase | 07/23/2020 | \$1,001 - \$15,000 |
| 101 | Twilio, Inc. (TWLO) | Purchase | 07/24/2020 | \$1,001 - \$15,000 |
| 102 | Trex Co., Inc. (TREX) | Sale | 07/09/2020 | \$1,001 - \$15,000 |
| 103 | Globant (GLOB) | Purchase | 07/08/2020 | \$1,001 - \$15,000 |
| 104 | Twilio, Inc. (TWLO) | Purchase | 07/23/2020 | \$1,001 - \$15,000 |
| 105 | The Trade Desk, Inc. (TTD) | Purchase | 07/23/2020 | \$1,001 - \$15,000 |
| 106 | Boeing Co (BA) | Sale | 07/27/2020 | \$1,001 - \$15,000 |
| 107 | Redfin Corp. (RDFN) | Purchase | 07/30/2020 | \$1,001 - \$15,000 |
| 108 | Wingstop, Inc. (WING) | Purchase | 07/30/2020 | \$1,001 - \$15,000 |
| 109 | Mercadolibre Inc (MELI) | Purchase | 07/30/2020 | \$1,001 - \$15,000 |
| 110 | Globant (GLOB) | Sale | 07/31/2020 | \$1,001 - \$15,000 |
| 111 | Shopify (SHOP) | Purchase | 07/31/2020 | \$1,001 - \$15,000 |
| 112 | Mercadolibre Inc (MELI) | Purchase | 08/04/2020 | \$1,001 - \$15,000 |
| 113 | Redfin Corp. (RDFN) | Purchase | 08/07/2020 | \$1,001 - \$15,000 |
| 114 | Alteryx, Inc. (AYX) | Sale | 08/07/2020 | \$1,001 - \$15,000 |
| 115 | Trex Co., Inc. (TREX) | Sale | 08/07/2020 | \$1,001 - \$15,000 |
| 116 | Wingstop, Inc. (WING) | Sale | 08/07/2020 | \$1,001 - \$15,000 |
| 117 | Amazon.com, Inc. (AMZN) | Sale | 08/07/2020 | \$1,001 - \$15,000 |
| 118 | Redfin Corp. (RDFN) | Sale | 08/07/2020 | \$1,001 - \$15,000 |
| 119 | Redfin Corp. (RDFN) | Purchase | 08/26/2020 | \$1,001 - \$15,000 |
| 120 | Simon Property Group, Inc. (SPG) | Purchase | 08/12/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|----------------------------------|----------|------------|--------------------|
| 121 | ZTO Express Cayman Inc (ZTO) | Purchase | 08/26/2020 | \$1,001 - \$15,000 |
| 122 | JD Common Inc (JD) | Purchase | 08/26/2020 | \$1,001 - \$15,000 |
| 123 | SharpSpring, Inc. (SHSP) | Sale | 08/26/2020 | \$1,001 - \$15,000 |
| 124 | Boeing Co (BA) | Sale | 08/26/2020 | \$1,001 - \$15,000 |
| 125 | Pinterest, Inc. (PINS) | Purchase | 08/25/2020 | \$1,001 - \$15,000 |
| 126 | Redfin Corp. (RDFN) | Sale | 08/24/2020 | \$1,001 - \$15,000 |
| 127 | Simon Property Group, Inc. (SPG) | Sale | 08/19/2020 | \$1,001 - \$15,000 |
| 128 | SharpSpring, Inc. (SHSP) | Purchase | 08/19/2020 | \$1,001 - \$15,000 |
| 129 | Paycom Software, Inc. (PAYC) | Sale | 08/18/2020 | \$1,001 - \$15,000 |
| 130 | Boeing Co (BA) | Purchase | 08/12/2020 | \$1,001 - \$15,000 |
| 131 | Shopify (SHOP) | Purchase | 08/07/2020 | \$1,001 - \$15,000 |
| 132 | Applied Materials, Inc. (AMAT) | Purchase | 08/10/2020 | \$1,001 - \$15,000 |
| 133 | Twilio, Inc. (TWLO) | Purchase | 08/10/2020 | \$1,001 - \$15,000 |
| 134 | ZTO Express Cayman Inc (ZTO) | Purchase | 08/27/2020 | \$1,001 - \$15,000 |
| 135 | JD Common Inc (JD) | Purchase | 08/27/2020 | \$1,001 - \$15,000 |
| 136 | Chart Industries Inc (GTLS) | Sale | 08/27/2020 | \$1,001 - \$15,000 |
| 137 | Tesla, Inc. (TSLA) | Sale | 09/01/2020 | \$1,001 - \$15,000 |
| 138 | Applied Materials, Inc. (AMAT) | Sale | 09/01/2020 | \$1,001 - \$15,000 |
| 139 | CrowdStrike Hldgs INC (CRWD) | Purchase | 09/01/2020 | \$1,001 - \$15,000 |
| 140 | Shopify (SHOP) | Purchase | 09/04/2020 | \$1,001 - \$15,000 |
| 141 | Pinterest, Inc. (PINS) | Sale | 09/03/2020 | \$1,001 - \$15,000 |
| 142 | ZTO Express Cayman Inc (ZTO) | Sale | 09/03/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|------------------------------|----------|------------|--------------------|
| 143 | Pinterest, Inc. (PINS) | Purchase | 09/03/2020 | \$1,001 - \$15,000 |
| 144 | Redfin Corp. (RDFN) | Sale | 09/03/2020 | \$1,001 - \$15,000 |
| 145 | Mercadolibre Inc (MELI) | Purchase | 09/03/2020 | \$1,001 - \$15,000 |
| 146 | Boeing Co (BA) | Purchase | 09/28/2020 | \$1,001 - \$15,000 |
| 147 | Mercadolibre Inc (MELI) | Sale | 09/03/2020 | \$1,001 - \$15,000 |
| 148 | MongoDB, Inc. (MDB) | Purchase | 09/03/2020 | \$1,001 - \$15,000 |
| 149 | NVIDIA Corp. (NVDA) | Sale | 09/10/2020 | \$1,001 - \$15,000 |
| 150 | JD Common Inc (JD) | Sale | 09/03/2020 | \$1,001 - \$15,000 |
| 151 | PayPal Holdings, Inc. (PYPL) | Sale | 09/10/2020 | \$1,001 - \$15,000 |
| 152 | Twilio, Inc. (TWLO) | Sale | 09/10/2020 | \$1,001 - \$15,000 |
| 153 | Shopify (SHOP) | Purchase | 09/10/2020 | \$1,001 - \$15,000 |
| 154 | Boeing Co (BA) | Purchase | 09/14/2020 | \$1,001 - \$15,000 |
| 155 | Mercadolibre (MELI) | Sale | 09/16/2020 | \$1,001 - \$15,000 |
| 156 | Square, Inc. (SQ) | Purchase | 09/16/2020 | \$1,001 - \$15,000 |
| 157 | Stamps.com, Inc. (STMP) | Purchase | 09/16/2020 | \$1,001 - \$15,000 |
| 158 | Dynatrace Inc (DT) | Sale | 09/16/2020 | \$1,001 - \$15,000 |
| 159 | Dynatrace Inc (DT) | Purchase | 09/17/2020 | \$1,001 - \$15,000 |
| 160 | NVIDIA Corp. (NVDA) | Purchase | 09/18/2020 | \$1,001 - \$15,000 |
| 161 | salesforce.com, inc. (CRM) | Sale | 09/21/2020 | \$1,001 - \$15,000 |
| 162 | Stamps.com, Inc. (STMP) | Purchase | 09/21/2020 | \$1,001 - \$15,000 |
| 163 | JFROG LTD F (FROG) | Purchase | 09/22/2020 | \$1,001 - \$15,000 |
| 164 | MongoDB, Inc. (MDB) | Sale | 09/23/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|-----------------------------|----------|------------|--------------------|
| 165 | Square, Inc. (SQ) | Purchase | 09/23/2020 | \$1,001 - \$15,000 |
| 166 | Square, Inc. (SQ) | Sale | 09/23/2020 | \$1,001 - \$15,000 |
| 167 | Dynatrace Inc (DT) | Sale | 09/24/2020 | \$1,001 - \$15,000 |
| 168 | eGain Corp. (EGAN) | Purchase | 09/24/2020 | \$1,001 - \$15,000 |
| 169 | Lockheed Martin Corp. (LMT) | Purchase | 09/28/2020 | \$1,001 - \$15,000 |
| 170 | Pinterest, Inc. (PINS) | Purchase | 10/02/2020 | \$1,001 - \$15,000 |
| 171 | Shopify (SHOP) | Sale | 10/01/2020 | \$1,001 - \$15,000 |
| 172 | Boeing Co (BA) | Purchase | 10/05/2020 | \$1,001 - \$15,000 |
| 173 | Lockheed Martin Corp. (LMT) | Sale | 10/12/2020 | \$1,001 - \$15,000 |
| 174 | Boeing Co (BA) | Sale | 10/13/2020 | \$1,001 - \$15,000 |
| 175 | Mercadolibre (MELI) | Purchase | 10/16/2020 | \$1,001 - \$15,000 |
| 176 | Plug Power, Inc. (PLUG) | Sale | 10/19/2020 | \$1,001 - \$15,000 |
| 177 | Renesola LTD (SOL) | Sale | 10/21/2020 | \$1,001 - \$15,000 |
| 178 | Broadcom, Inc. (AVGO) | Purchase | 10/15/2020 | \$1,001 - \$15,000 |
| 179 | JFROG LTD (FROG) | Purchase | 10/29/2020 | \$1,001 - \$15,000 |
| 180 | Teradyne, Inc. (TER) | Purchase | 10/22/2020 | \$1,001 - \$15,000 |
| 181 | JFROG LTD (FROG) | Sale | 10/28/2020 | \$1,001 - \$15,000 |
| 182 | Tesla, Inc. (TSLA) | Purchase | 10/19/2020 | \$1,001 - \$15,000 |
| 183 | Pinterest, Inc. (PINS) | Purchase | 10/28/2020 | \$1,001 - \$15,000 |
| 184 | CrowdStrike HLDGS INC | Sale | 10/28/2020 | \$1,001 - \$15,000 |
| 185 | Square, Inc. (SQ) | Purchase | 10/26/2020 | \$1,001 - \$15,000 |
| 186 | The Trade Desk, Inc. (TTD) | Purchase | 10/26/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|------------------------------|----------|------------|--------------------|
| 187 | Bank of America Corp. (BAC) | Sale | 10/26/2020 | \$1,001 - \$15,000 |
| 188 | Pinterest, Inc. (PINS) | Sale | 10/22/2020 | \$1,001 - \$15,000 |
| 189 | Bank of America Corp. (BAC) | Purchase | 10/22/2020 | \$1,001 - \$15,000 |
| 190 | Teradyne, Inc. (TER) | Purchase | 10/21/2020 | \$1,001 - \$15,000 |
| 191 | BlackRock, Inc. (BLK) | Sale | 10/19/2020 | \$1,001 - \$15,000 |
| 192 | Plug Power, Inc. (PLUG) | Purchase | 10/07/2020 | \$1,001 - \$15,000 |
| 193 | BlackRock, Inc. (BLK) | Purchase | 10/12/2020 | \$1,001 - \$15,000 |
| 194 | Renesola LTD (SOL) | Purchase | 10/12/2020 | \$1,001 - \$15,000 |
| 195 | Mercadolibre Inc (MELI) | Purchase | 10/13/2020 | \$1,001 - \$15,000 |
| 196 | Stamps.com, Inc. (STMP) | Sale | 11/02/2020 | \$1,001 - \$15,000 |
| 197 | Apple, Inc. (AAPL) | Purchase | 11/02/2020 | \$1,001 - \$15,000 |
| 198 | eGain Corp. (EGAN) | Sale | 11/02/2020 | \$1,001 - \$15,000 |
| 199 | PayPal Holdings, Inc. (PYPL) | Purchase | 11/03/2020 | \$1,001 - \$15,000 |
| 200 | Apple, Inc. (AAPL) | Sale | 11/03/2020 | \$1,001 - \$15,000 |
| 201 | JFROG LTD (FROG) | Sale | 11/05/2020 | \$1,001 - \$15,000 |
| 202 | Funko, Inc. (FNKO) | Purchase | 11/05/2020 | \$1,001 - \$15,000 |
| 203 | JFROG (FROG) | Purchase | 11/06/2020 | \$1,001 - \$15,000 |
| 204 | Palantir Technologies (PLTR) | Purchase | 11/06/2020 | \$1,001 - \$15,000 |
| 205 | Pinterest, Inc. (PINS) | Sale | 11/12/2020 | \$1,001 - \$15,000 |
| 206 | Mercadolibre (MELI) | Sale | 11/06/2020 | \$1,001 - \$15,000 |
| 207 | Shopify (SHOP) | Purchase | 11/09/2020 | \$1,001 - \$15,000 |
| 208 | JFROG (FROG) | Sale | 11/09/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|------------------------------|----------|------------|--------------------|
| 209 | Funko, Inc. (FNKO) | Sale | 11/09/2020 | \$1,001 - \$15,000 |
| 210 | Digital Turbine, Inc. (APPS) | Sale | 11/09/2020 | \$1,001 - \$15,000 |
| 211 | Digital Turbine, Inc. (APPS) | Purchase | 11/11/2020 | \$1,001 - \$15,000 |
| 212 | Xpeng Inc (XPEV) | Purchase | 11/09/2020 | \$1,001 - \$15,000 |
| 213 | XPENG INC (XPEV) | Sale | 11/11/2020 | \$1,001 - \$15,000 |
| 214 | The Boeing Co. (BA) | Purchase | 11/09/2020 | \$1,001 - \$15,000 |
| 215 | Palantir Technologies (PLTR) | Purchase | 11/09/2020 | \$1,001 - \$15,000 |
| 216 | Broadcom, Inc. (AVGO) | Sale | 11/06/2020 | \$1,001 - \$15,000 |
| 217 | Digital Turbine, Inc. (APPS) | Purchase | 11/05/2020 | \$1,001 - \$15,000 |
| 218 | XPENG INC (XPEV) | Purchase | 11/12/2020 | \$1,001 - \$15,000 |
| 219 | JFROG (FROG) | Sale | 11/20/2020 | \$1,001 - \$15,000 |
| 220 | FuelCell Energy, Inc. (FCEL) | Sale | 03/05/2021 | \$1,001 - \$15,000 |
| 221 | The Boeing Co. (BA) | Purchase | 11/30/2020 | \$1,001 - \$15,000 |
| 222 | XPENG INC (XPEV) | Sale | 12/04/2020 | \$1,001 - \$15,000 |
| 223 | Veeva Systems, Inc. (VEEV) | Sale | 12/08/2020 | \$1,001 - \$15,000 |
| 224 | The Lovesac Co. (LOVE) | Purchase | 12/21/2020 | \$1,001 - \$15,000 |
| 225 | Overstock.com, Inc. (OSTK) | Purchase | 12/15/2020 | \$1,001 - \$15,000 |
| 226 | FireEye, Inc. (FEYE) | Purchase | 12/22/2020 | \$1,001 - \$15,000 |
| 227 | Citigroup, Inc. (C) | Purchase | 12/31/2020 | \$1,001 - \$15,000 |
| 228 | Quantumscape Corp (QS) | Purchase | 12/22/2020 | \$1,001 - \$15,000 |
| 229 | Overstock.com, Inc. (OSTK) | Sale | 12/22/2020 | \$1,001 - \$15,000 |
| 230 | Colonnade (CLA) | Purchase | 12/22/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|-------------------------------|----------|------------|--------------------|
| 231 | Palantir Technologies (PLTR) | Sale | 12/31/2020 | \$1,001 - \$15,000 |
| 232 | Quantumscap Corp (QS) | Sale | 12/30/2020 | \$1,001 - \$15,000 |
| 233 | Bloom Energy Corporation (BE) | Sale | 12/29/2020 | \$1,001 - \$15,000 |
| 234 | Colonnade Acquisition (CLA) | Sale | 12/28/2020 | \$1,001 - \$15,000 |
| 235 | Costco Wholesale Corp. (COST) | Sale | 12/22/2020 | \$1,001 - \$15,000 |
| 236 | Bloom Energy Corporation (BE) | Purchase | 12/22/2020 | \$1,001 - \$15,000 |
| 237 | NVIDIA Corp. (NVDA) | Sale | 12/15/2020 | \$1,001 - \$15,000 |
| 238 | Shopify Inc (SHOP) | Sale | 12/21/2020 | \$1,001 - \$15,000 |

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|------|--|
| 2. | 11 | Filer divested all of this stock as required by an ethics agreement via a sale on 1/31/19. |
| 2. | 15.1 | Employer and employee contributions to Employee Vesting Account. |

| PART | # | ENDNOTE |
|------|----|--|
| 2. | 16 | Filer confirmed value of Wal-Mart stock and advised to maintain value below the \$15,000 exemption level to avoid ethics concerns. |

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).
