

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Nathanson, Marc

Ambassador to the Kingdom of Norway, Department of State

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
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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/ Nathanson, Marc [electronically signed on 07/05/2021 by Nathanson, Marc in Integrity.gov]

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

/s/ Huitema, David, Certifying Official [electronically signed on 11/08/2021 by Huitema, David in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 11/16/2021 by Apol, David in Integrity.gov]

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	UCLA Operation Mend		Los Angeles, California	Non-Profit	Member, Board of Directors	11/2019	Present
2	Aspen Preserve Homeowners Association, Inc.		Aspen, Colorado	Homeowners Association	Member, Board of Directors	7/1995	Present
3	Falcon Waterfree Technologies, LLC (FKA Falcon Waterfree Holdings, LLC) (d/b/a Falcon Water Technologies)		Los Angeles, California	Limited Liability Company	Chairman; Chairman Emeritus	1/2000	Present
4	Homeland Security Advisory Council for Los Angeles		Los Angeles, California	Non-Profit	Founding Chairman; Executive Committee Member	5/1995	8/2020
5	National Democratic Institute for International Affairs	See Endnote	Washington, District of Columbia	Non-Profit	Vice Chair, Board of Directors; Executive Committee Member	1/2002	Present
6	Pacific Council on International Policy	See Endnote	Los Angeles, California	Non-Profit	Co-Chair, Board of Directors; Director; Executive Committee Member	1/2009	Present
7	The Aspen Institute, Inc.		Aspen, Colorado	Non-Profit	Board of Trustees, Global Leadership Committee, Trustee Affiars, and Socrates Member	4/2008	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
8	USC Annenberg School for the Digital Future	See Endnote	Los Angeles, California	Research Organization	Chairman Emeritus, Director	1/1994	Present
9	Trine Acquisition Corp		New York, New York	Corporation	Member, Board of Directors	11/2018	12/2020
10	Falcon Cable Trust		Los Angeles, California	Trust	Trustee	10/1990	Present
11	Marc and Jane Nathanson Art Trust (FKA Nathanson 2003 Trust)		Los Angeles, California	Trust	Trustee	5/1972	Present
12	Jane & Marc Nathanson Charitable Remainder Trust		Los Angeles, California	Trust	Trustee	11/2003	Present
13	220 N Lake Inc.		Los Angeles, California	Corporation	Chief Executive Officer	7/1985	Present
14	Mapleton Investments, LLC		Los Angeles, California	Investment Firm	Chairman	9/1999	Present
15	Jane and Marc Nathanson Foundation		Los Angeles, California	Non-Profit	Member, Board of Directors	10/1989	Present
16	Nathanson Family Resilience Center, UCLA		Los Angeles, California	Non-Profit	Founder	11/2000	Present
17	Nicole Nathanson 2018 Irrevocable Descendants Trust		Los Angeles, California	Trust	Trustee	6/2018	Present
18	Parkwood Elm Real Estate Investments		Los Angeles, California	Limited Liability Company	Initial Manager	11/2018	Present
19	JMAR Properties, LLC		Aspen, Colorado	Limited Liability Company	Managing Member	7/1995	Present
20	Mapleton SBRE, LLC		Los Angeles, California	Limited Liability Company	Initial Manager	3/2021	Present
21	400 Parkwood LLC		Los Angeles, California	Limited Liability Company	Initial Member	12/2003	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
22	Nathanson 2012 Irrevocable Trust		Los Angeles, California	Trust	Trustee	10/2012	Present
23	Mapleton Media International, LLC		Los Angeles, California	Limited Liability Company	Member	9/2015	Present
24	Aspen Preserve Ditch & Reservoir Company	See Endnote	Aspen, Colorado	Non-Profit	Member, Board of Directors	1/2004	Present
25	USC Annenberg School for Communication, Center on Public Diplomacy	See Endnote	Los Angeles, California	Research Organization	Member, Board of Directors	1/2018	1/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	JMN Investments, L.P. (Stockton, CA - Multi-Family Real Estate)	N/A	None (or less than \$1,001)	Partnership Distributions	\$317,605
2	Falcon Cable Trust:	No			
2.1	450 Bedford Drive, LLC (Beverly Hills, CA Office/Medical Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$698,218
2.2	5058 W Colorado, LLC (Pasadena, CA - Commercial Retail Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$192,506
2.3	Mapleton Investments, LLC (see part 2, line 3 for assets) Full reportable value and income of Mapleton Investments, LLC is captured at Part 2, line 3, Part 5, line 3 and Part 6, line 6.	No			
3	Mapleton Investments, LLC:	No			
3.1	333 S Kingsley Investors, LLC (Los Angeles, CA - Multi-Family Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$182,778
3.2	Mapleton Waterloo, LLC (Portland, OR - Multi-Family/Office Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$565,221

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	1577 East Chevy Chase Ave, LLC (Glendale, CA - Office/Medical Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$167,724
3.4	6780 Caballo Street, LLC (Las Vegas, NV - Industrial Real Estate)	N/A	\$250,001 - \$500,000	LLC Distributions	\$49,026
3.5	Mapleton East University Drive, LLC (Phoenix, AZ - Industrial Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$254,294
3.6	Mapleton East Harbour Drive, LLC (Phoenix, AZ - Industrial Real Estate)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
3.7	8700 Bellanca Avenue, LLC (Los Angeles, CA - Commercial Parking Lot)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$119,584
3.8	5560 West Manchester, LLC (Los Angeles, CA - Commercial Parking Lot)	N/A	\$250,001 - \$500,000	LLC Distributions	\$48,100
3.9	9953 Santa Monica Blvd., LLC (Beverly Hills, CA - Commercial Retail Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$121,142
3.10	3600 Westwind, LLC (Santa Rosa, CA - Office Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$56,456
3.11	Mapleton Real Estate, LLC:	No			
3.11.1	17910 Burbank, LLC (Seattle, WA - Multi-Family Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$130,373
3.11.2	Mapleton Hillcrest Development, LLC (Los Angeles, CA - Multi-Family Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$71,007
3.11.3	2800 Gateway Oaks, LLC (Sacramento, CA - Office Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$539,935
3.11.4	NSHE Lebanon, LLC:	No			
3.11.4.1	10011 Washington Blvd. LLC (Culver City, CA - Commercial Retail Real Estate)	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
3.11.4.2	SODO Holgate Center, LLC (Seattle, WA - Office Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$521,324

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	Mapleton Investments of Glendale, LLC:	No			
3.12.1	Wilson Maryland Mixed Use, LLC (Glendale, CA - Multi-Family Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$225,470
3.13	Mapleton Holdings:				
3.13.1	Winnetka Avenue Investors, LLC (Chatsworth, CA - Industrial Real Estate)	N/A	\$250,001 - \$500,000	LLC Distributions	\$26,192
3.13.2	Spencer Street Investors, LLC (Las Vegas, NV - Industrial Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$8,713
3.13.3	3300 Coffey Lane, LLC (Santa Rosa, CA - Industrial Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$292,472
3.13.4	Riverside Investment Partners, LLC:	No			
3.13.4.1	REA Riverside General, LLC (Riverside, CA - Commercial Retail Real Estate)	N/A	\$250,001 - \$500,000	LLC Distributions	\$68,005
3.13.4.2	REA Magnolia Harrison, LLC (Riverside, CA - Commercial Retail Real Estate)	N/A	\$100,001 - \$250,000	LLC Distributions	\$41,220
4	Trine Acquisition Corp - Desktop Metals (NYSE: DM) -Stock	See Endnote	N/A	\$250,001 - \$500,000	None (or less than \$201)
5	U.S. brokerage account (cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	Trine Acquisition Corp.	See Endnote	New York, New York	Served as Independent Director on the Board for Trine Acquisition Corp (Special Purpose Acquisition Company) and was compensated with 25,000 shares valued at \$10 per share. As of December 2020, Trine Acquisition has merged with Desktop Metal, Inc. and my respective shares have been converted to shares of Desktop Metal, Inc. which is publically traded on the NYSE.	11/2018

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

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Trine Acquisition Corp - Desktop Metals (NYSE: DM)		New York, New York	Independent Director on the Board from 2018 to 2020
2	Mapleton Investments, LLC		Los Angeles, California	Chairman of Investment Firm
3	Falcon Cable Trust		Los Angeles, California	Trustee

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	JMN Investments, L.P. (Stockton, CA - Multi-Family Real Estate)	N/A	None (or less than \$1,001)	Partnership Distributions	\$317,605
2	Falcon Cable Trust:	No			
2.1	450 Bedford Drive, LLC (Beverly Hills, CA Office/Medical Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$698,218
2.2	5058 W Colorado, LLC (Pasadena, CA - Commercial Retail Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$192,506



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Mapleton Investments, LLC (see part 5, line 3 for assets) Full reportable value and income of Mapleton Investments, LLC is captured at Part 2, line 3, Part 5, line 3 and Part 6, line 6.	No			
3	Mapleton Investments, LLC:	No			
3.1	333 S Kingsley Investors, LLC (Los Angeles, CA - Multi-Family Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$182,778
3.2	Mapleton Waterloo, LLC (Portland, OR - Multi-Family/Office Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$565,221
3.3	1577 East Chevy Chase Ave, LLC (Glendale, CA - Office/Medical Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$167,724
3.4	6780 Caballo Street, LLC (Las Vegas, NV - Industrial Real Estate)	N/A	\$250,001 - \$500,000	LLC Distributions	\$49,026
3.5	Mapleton East University Drive, LLC (Phoenix, AZ - Industrial Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$254,294
3.6	Mapleton East Harbour Drive, LLC (Phoenix, AZ - Industrial Real Estate)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
3.7	8700 Bellanca Avenue, LLC (Los Angeles, CA - Commercial Parking Lot)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$119,584
3.8	5560 West Manchester, LLC (Los Angeles, CA - Commercial Parking Lot)	N/A	\$250,001 - \$500,000	LLC Distributions	\$48,100
3.9	9953 Santa Monica Blvd., LLC (Beverly Hills, CA - Commercial Retail Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$121,142
3.10	3600 Westwind, LLC (Santa Rosa, CA - Office Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$56,456
3.11	Mapleton Real Estate, LLC:	No			
3.11.1	17910 Burbank, LLC (Seattle, WA - Multi-Family Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$130,373

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11.2	Mapleton Hillcrest Development, LLC (Los Angeles, CA - Multi-Family Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$71,007
3.11.3	2800 Gateway Oaks, LLC (Sacramento, CA - Office Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$539,935
3.11.4	NSHE Lebanon, LLC:	No			
3.11.4.1	10011 Washington Blvd. LLC (Culver City, CA - Commercial Retail Real Estate)	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
3.11.4.2	SODO Holgate Center, LLC (Seattle, WA - Office Real Estate)	N/A	\$5,000,001 - \$25,000,000	LLC Distributions	\$521,324
3.12	Mapleton Investments of Glendale, LLC:	No			
3.12.1	Wilson Maryland Mixed Use, LLC (Glendale, CA - Multi-Family Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$225,470
3.13	Mapleton Holdings:	No			
3.13.1	Winnetka Avenue Investors, LLC (Chatsworth, CA - Industrial Real Estate)	N/A	\$250,001 - \$500,000	LLC Distributions	\$26,192
3.13.2	Spencer Street Investors, LLC (Las Vegas, NV - Industrial Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$8,713
3.13.3	3300 Coffey Lane, LLC (Santa Rosa, CA - Industrial Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$292,472
3.13.4	Riverside Investment Partners, LLC:	No			
3.13.4.1	REA Riverside General, LLC (Riverside, CA - Commercial Retail Real Estate)	N/A	\$250,001 - \$500,000	LLC Distributions	\$68,005
3.13.4.2	REA Magnolia Harrison, LLC (Riverside, CA - Commercial Retail Real Estate)	N/A	\$100,001 - \$250,000	LLC Distributions	\$41,220

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 checking (cash)		N/A	\$1,000,001 - \$5,000,000	Interest	None (or less than \$201)
2	Gold Coins		N/A	\$250,001 - \$500,000		None (or less than \$201)
3	Marc and Jane Nathanson Art Trust (FKA Nathanson 2003 Family Trust):		No			
3.1	Art Collection		N/A	Over \$50,000,000		None (or less than \$201)
4	Democratic Data Exchange	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Falcon Cable Trust:		No			
5.1	Snowden Account Services, LLC - Brokerage Account:		No			
5.1.1	Federated Hermes Prime Cash Obligations Fund Capital Share		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5.1.2	Snowden Account Services, LLC - Equities:		No			
5.1.2.1	Kirkland Lake Gold LTD Com - KL		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.2	Sumitomo Metal MNG CO LTD Adr - SMMYY		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.3	Liberty Global PLC Shs CL A - LBTYA		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.4	Amazon Com Inc - AMZN		N/A	\$100,001 - \$250,000		None (or less than \$201)
5.1.2.5	Comcast Corp CL A - CMCSA		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.6	Denso Copr ADR - DNZOY		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.7	Discovery Inc Com Ser A - DISCA	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.8	Draftkings Inc Cl A - DKNG	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$50,001 - \$100,000
5.1.2.9	Flutter Entmt PLC ADR - PDYPY	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.1 0	Fox Corp CL B Com - FOX	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.1 1	General MTRS Co Com - GM	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 2	Lions Gate Entertainment Corp Registeres SHS A - LGF A	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
5.1.2.1 3	Lions Gate Entertainment Corp Registeres SHS B - LGF B	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
5.1.2.1 4	Livexlive Media Inc Com New - LIVX	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.1 5	MGM Resorts Intl Com - MGM	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.1 6	News Corp New CL B - NWS	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
5.1.2.1 7	Penn Natl Gaming Inc Com - PENN	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.1.2.1 8	Roku Inc Com CL A - ROKU	N/A	\$50,001 - \$100,000	Dividends Capital Gains	None (or less than \$201)
5.1.2.1 9	Starbucks Corp Com - SBUX	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.2 0	VIACOMCBS Inc CL B - VIAC	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.2 1	Telsa Inc Com - TSLA	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.1.2.2 2	World Wrestling Entnt Inc CL A - WWE	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
5.1.2.2 3	Petroleo Brasileiro SA Petrobras Sponsored ADR - PBR	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.1.2.2 4	San Miguel Corp Spons ADR (REP 2 CL B) - SMGBY	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.2 5	Schlumberger LTD Com - SLB	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.2 6	Bull Horn HLDGS Corp USD Units Consist 1 ORD Shs & 1 Red - BHSEU	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.2 7	Ion Acquisition Corp 1 LTD Unit 1 CL A SHS & 1/2 Red WT Exp - IACA U	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.2 8	Social CAP_D Hedosophia Hldgs Co Corp V Unit 1 Com - IPOF U	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.2 9	Soaring Eagle Acquisition Corp Unit 1 Com & 1/2 WT EXP-SRNGU	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.3 0	AF Acquisition Corp Unit 1 CLA & 1/3 WT EXP 3/31/28-AFAQU	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.3 1	Allstate Corp DEP SHS REPSTG 1/1000th Perp PDF Ser 1 PERP - All PRI	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.3 2	Apollo Global MGMT Inc CL A Com - APO	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.1.2.3 3	Bank of America Corporation Com - BAC	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.3 4	Compass Diversified Hldgs PFD Ser C 7.875% Quarterly Perp - CODI PRC	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.3 5	East RES Acquisition Co Unit 1 CL A & 1/2 WT Exp 7/1/27-ERESU	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.3 6	Federal AGRIC MTG Corp Non Cum PFD Ser 5.25% Qtly Div Perp CLLB on or Anytime afer 10/17/25@ 25 Perp MTY-AGM PRF	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.3 7	East West Bancorp Inc Com - EWBC	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
5.1.2.3 8	Healthcard Cap Corp Del Unit 1 Com & 1/2 WT Exp 2025 - HCCCU	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.3 9	Shinhan Finl Group Co Ltd Speonsored ADR - SHG	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.4 0	Twelve Seas INVT Co II Unit 1 Com CL A & 1/3 WT EXP - TWLVU	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.4 1	Wells Fargo & Co New Com - WFC	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
5.1.2.4 2	Urogen Pharma LTD Registered SHS - URGN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.4 3	Abbott Labs Com - ABT	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.4 4	Astrazeneca PLC Sponsored ADR - AZN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.4 5	Bristol Myers Squibb Co Com - BMY	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.4 6	CVS Health Corp Com - CVS	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.4 7	Dexcom Inc Com - DXCM	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.1.2.4 8	Enzo Biochem Inc Com - ENZ	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.4 9	Gilead Sciences Inc - GILD	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.5 0	Immunitybio Inc Com - IBRX	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.5 1	Inovio Pharmaceuticals Inc Com New - INO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.5 2	Johnson & Johnson Com -JNJ	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.5 3	Moderna Inc Com - MRNA	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
5.1.2.5 4	Nanthealth Inc Com - NH	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.5 5	Novartis AG Sponsored ADR - NVS	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.5 6	Pfizer Inc Com - PFE	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.5 7	Roche Hldgs LTD Sponsored ADR - RHHBY	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.5 8	Sanofi Spons ADR - SNY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.5 9	Sesen Bio Inc Com - SESN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.1.2.6 0	Takeda Pharmaceutical Co LTD Sponsored ADR - TAK	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.6 1	Teladoc Health Inc Com - TDOC	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
5.1.2.6 2	Viking Therapeutics Inc Com - VKTX	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.6 3	Johnson CTLS Intl PLC Shs - JCI	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.6 4	Loomis AB Registered SHS - LOIMF	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.6 5	Bombardier Inc Class B-BDRBF	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.6 6	Carrier Global Corp Com - CARR	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.2.6 7	Delta Airlines Inc Com New - DAL	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.6 8	Fastenal Co Com - FAST	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.6 9	FEDEX Corp Com - FDX	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.7 0	Generac Hldgs Inc Com - GNRC	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.7 1	Lockheed Martin Corp Com - LMT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.7 2	Proto Labs Inc Com - PRLB	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.1.2.7 3	United Parcel SVC, Inc. Cl B - UPS	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
5.1.2.7 4	General Electric Co Com - GE	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.1.2.7 5	Rite Aid Corp Com Par \$1.00 - RAD	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.2.7 6	Liberty Latin America LTD Reg SHS CL-A - LILA	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.7 7	SES SA Global Cert Fiduciary Deposit Receipts 1 A-SH - SGBAF	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.7 8	ASML Hldg N V N Y Registry SHS New 2012-ASML	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000
5.1.2.7 9	AT&T Inc. Dep Shs Repstg 1/1000th Perp Cum PDF Ser A 5.00% - T PRA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.8 0	Alibaba Group HLDG LTD Sponsored ADR-BABA	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
5.1.2.8 1	Alphabet Inc Cap STK CL C-GOOG	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.1.2.8 2	Apple Inc Com - AAPL	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.8 3	Applied Materials Inc - AMAT	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
5.1.2.8 4	Boingo Wireless Inc Com -WIFI	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.1.2.8 5	Charter Communications Inc New CL A-CHTR	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
5.1.2.8 6	Coinbase Global Inc Com CL A - COIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.8 7	Commscope Hldg Co Inc Com - COMM	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.8 8	Corsair Gaming Inc Com - CRSR	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.8 9	Desktop Metal Inc Com-DM	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.9 0	Grayscale Bitcoin TR BTC SHS Repstg Com Unit - GBTC	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.9 1	Lumen Technologies Inc. LA Com - LUNM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.9 2	Microsoft Corp Com-MSFT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.9 3	Netflix Inc Com - NFLX	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.1.2.9 4	Qualcomm Inc - QCOM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.9 5	Roblox Corp Com CL A-RBLX	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.9 6	Rogers Communications Inc CL B Non Voting SHS-RCI	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.9 7	Singapore Telecommunications LTD Sponsored ADR New-SGAPY	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.2.9 8	Sony Group Amern SH New - SONY	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
5.1.2.9 9	Telephone & Data Sys Inc Dep SHS Repstg 1/1000th Int Ser UU - TDS-PRU	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.1 00	Telephone & Data Syus Inc Com New - TDS	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.1.2.1 01	Tencent Hldgs Ltd ADR - TCEHY	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000
5.1.2.1 02	Truecar Inc Com - TRUE	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 03	II-VI Inc. Com - IIVI	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.1.2.1 04	United States Cellular Coirp SR Unsecured 6.25% NTS QTLY-UZD	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.1 05	ZOOM Video Communicaitons Inc CL A-ZM	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.1 06	DTE Energy Co JR Sub Deb 2020 Ser G 4.375% Quarterly-DTB	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.1 07	Duke Energy Corp N3ew JR Sub Deb Exp 9- 15/78-DUKB	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.2.1 08	ARK ETF TR Israel Innovative Technology ETF-IZRL	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 09	Global X FDS US Infrastructure DEV ETF-LIT	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 10	Global X Lithium and Battery ETF-LIT	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 11	SPDR S&P 500 ETF TR TR Unit-SPY	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 12	Global X FDS Cloud Computing ETF-CLOU	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 13	Morgan Stanley India INVT FD Inc Com - IIF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 14	Vaneck Vectors ETF TR Gold Miners ETF- GDx	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.2.1 15	Vaneck Vectors ETF TR Video Gaming & eSports -ESPO	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.1.2.1 16	Cociedad Quimica Y Minera de Chile S A Spon ADR-SQM	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.1 17	Materialise NV Sponsored ADS REPSTG SHS - MTLs	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
5.1.2.1 18	JD Com Iunc Spons ADR REPSTG Com CI A- JD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.2.1 19	Exone Co Com - XONE	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.1.2.1 20	Viacamcbs Inc. CL A-VIACA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
5.1.2.1 21	Orbcomm Inc Com - ORBC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
5.1.2.1 22	Pioneer Nat Res Co Com - PXD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
5.1.2.1 23	Inogen Inc Con - INGN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
5.1.2.1 24	Goldman Sachs Group Inc Com - GS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
5.1.2.1 25	Disney Walt Co Disney Com - DIS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
5.1.2.1 26	Boeing Co Com - BA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
5.1.2.1 27	Activision Blizzard Inc Com - ATVI	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
5.1.2.1 28	SkillZ Inc Com CL A	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$50,001 - \$100,000
5.1.3	Snowden Account Services, LLC - Alternative Investments:	No			
5.1.3.1	Frist TR Exchange Traded FD VIII FT CBOE Vest US Equity Deep Buffer ETF April-DAPR	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.3.2	Innovator ETFS TR S&P 500 Ultra Buffer ETF January - UJAN	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.1.3.3	Innovator ETFS TR S&P 500 Ultra Buffer ETF April - UAPR	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.3.4	Innovator ETFS TR S&P 500 Ultra Buffer ETF October- UOCT	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.1.3.5	Proshares TR Proshares Ultra NASDAQ Biotechnology-BIB	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.4	Snowden Account Services, LLC - Other:	No			
5.1.4.1	American Fin TR Inc PFD Ser A7 50% - AFINP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.4.2	Artis Real Estate Investments Trust - ARESF	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.4.3	Cherry Hill MTG INVT Corp PFD Ser B Fixed/FLTG Rate-CHMI PRB	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.4.4	Diamond Rock Hospitality Co PFD Ser A8 250% Anytm Aft 8/31/25@25 NTY 12/31/49 - DRH-PRA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.4.5	Skillz Inc Wt Exp Exp 2/26/27 - SKLZ WS	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.4.6	Mack Cali Rlty Corp Com - CLI	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.4.7	UMH PPTYS Inc Cum Red PFD Ser C 6.75% QTLY Div Perp Callable Anytime on or aft 7/26/22 @ 25 Pery Mty-UMH PRC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.2	U.S. bank #1 checking (cash)	N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)
5.3	Brookfield Opportunity Zone Partners - Real Estate Multi-Family	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
5.4	Mack Real Estate Group Qualified Opportunity Zone	See Endnote	Yes	\$1,000,001 - \$5,000,000	None (or less than \$201)
5.5	GlobeIn World, Inc - Palo Alto, CA	See Endnote	N/A	\$15,001 - \$50,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	Loans to Family Member Trust #1	N/A	\$5,000,001 - \$25,000,000	Interest	\$15,001 - \$50,000
5.7	Loans to Family Member Trust #2	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
5.8	Loans to Family Member Trust #3	N/A	\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000
5.9	Loans to Family Member Trust #4	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
5.10	Loans to Family Member	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
5.11	Loans to Family Member Trust #5	N/A	None (or less than \$1,001)	Interest	\$50,001 - \$100,000
5.12	Mapleton Investments LLC (see part 6, line 6 for assets) Full reportable value and income of Mapleton Investments, LLC is captured at Part 2, line 3, Part 5, line 3 and Part 6, line 6.	No			
6	Mapleton Investments, LLC:	No			
6.1	UBS Brokerage Account:	No			
6.1.1	UBS SELECT TREASURY INSTITUTIONAL FUND	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
6.1.2	California State, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.3	California State, bonds	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
6.1.4	California State, bonds	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
6.1.5	California St Department Veteran Affairs, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.6	California St Department Veteran Affairs, bonds	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
6.1.7	Livermore Amador Valley Water Management, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.8	Los Angeles California Wastewater System, bonds	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
6.1.9	Los Angeles California Wastewater System, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.10	Los Angeles County California Metropolitan, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.11	San Francisco California Bay Area Rapid Transit District, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.12	San Francisco California Bay Area Rapid Transit District, bonds	N/A	\$50,001 - \$100,000	Interest	\$15,001 - \$50,000
6.1.13	San Francisco California Bay Area, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.14	California State, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.15	California State, bonds	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
6.1.16	California State, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.17	California State, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.18	California State, bonds	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
6.1.19	California State, bonds	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.20	California State, bonds	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
6.1.21	University of California, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.1.22	California Infrastructure And Usc Soto Street Health, bonds	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
6.1.23	California State Department of Water, bonds	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
6.1.24	Sacramento County California Sanitation District	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
6.2	Goldman Sachs Brokerage Accounts:	No			
6.2.1	GOLDMAN SACHS - CORP FIXED INCOME:	No			
6.2.1.1	ABBOTT LABORATORIES 1.15% 01/30/2028 USD SR LIEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.2	AFLAC INCORPORATED 3.25% 03/17/2025 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.2.1.3	ALEXANDRIA REAL ESTATE EQUITIE 2.0% 05/18/2032 SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
6.2.1.4	AMGEN INC. 2.2% 02/21/2027 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
6.2.1.5	APPLE INC. 3.0% 06/20/2027 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.6	AUTOMATIC DATA PROCESSING, INC 1.25% 09/01/2030 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
6.2.1.7	AUTOZONE INC 3.125% 04/21/2026 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.2.1.8	AVALONBAY COMMUNITIES MTN 2.95% 05/11/2026 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.1.9	BANK OF AMERICA CORPORATION HYBRID MTN 02/07/2030 USD SER N SR LIEN CPN 02/07/19 3.974%	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.1 0	BERKSHIRE HATHAWAY INC. 2.75% 03/15/2023 USD SR LIEN	N/A	\$50,001 - \$100,000	Capital Gains Interest	\$5,001 - \$15,000
6.2.1.1 1	BURLINGTON NORTHERN SANTA FE, 3.25% 06/15/2027 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.2.1.1 2	CAMDEN PROPERTY TRUST 2.8% 05/15/2030 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.2.1.1 3	CATERPILLAR FINL SERVICE 0.65% 07/07/2023 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
6.2.1.1 4	CHARLES SCHWAB CORP FRN 03/18/2024 USD SOFRRATE O/N +50.00BP SR LIEN CPN 06/18/21-09/17/21 0.001%	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
6.2.1.1 5	CIGNA CORPORATION 3.75% 07/15/2023 USD SER WI SR LIEN	N/A	\$50,001 - \$100,000	Capital Gains Interest	\$2,501 - \$5,000
6.2.1.1 6	CME GROUP INC 3.0% 09/15/2022 USD SR LIEN	N/A	\$50,001 - \$100,000	Capital Gains Interest	\$5,001 - \$15,000
6.2.1.1 7	CME GROUP INC. 3.75% 06/15/2028 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.2.1.1 8	CNA FINANCIAL CORPORATION 3.45% 08/15/2027 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.1 9	COCA-COLA COMPANY (THE) 1.0% 03/15/2028 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.2 0	COMCAST CORPORATION 3.6% 03/01/2024 USD SR LIEN	N/A	\$50,001 - \$100,000	Capital Gains Interest	\$5,001 - \$15,000
6.2.1.2 1	COMCAST CORPORATION 4.25% 01/15/2033 USD SR LIEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.2 2	COSTCO WHOLESALE CORP 2.75% 05/18/2024 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.1.2 3	DUKE ENERGY FLORIDA, LLC 3.2% 01/15/2027 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.2 4	ECOLAB INC. 1.3% 01/30/2031 USD SR LIEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.2 5	ELI LILLY & CO 3.375% 03/15/2029 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.2 6	FLORIDA POWER & LIGHT CO 3.25% 06/01/2024 USD SR LIEN	N/A	\$15,001 - \$50,000	Capital Gains Interest	\$5,001 - \$15,000
6.2.1.2 7	GOLDMAN SACHS BANK USA DEPOSIT (BDA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.2 8	INGERSOLL-RAND GLOBAL HOLDING 4.25% 06/15/2023 USD SER B SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.2 9	INTERCONTINENTAL EXCHANGE, INC 3.75% 12/01/2025 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.3 0	INVESCO FINANCE PLC 3.125% 11/30/2022 SR LIEN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
6.2.1.3 1	JOHN DEERE CAPITAL CORP MTN 2.8% 07/18/2029 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.3 2	JPMORGAN CHASE & CO. HYBRID 10/15/2030 USD SR LIEN CPN 09/12/19 2.739%	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.3 3	LOCKHEED MARTIN CORPORATION 3.35% 09/15/2021 SR LIEN	N/A	\$50,001 - \$100,000	Capital Gains Interest	\$5,001 - \$15,000
6.2.1.3 4	MARSH & MCLENNAN COS INC 2.25% 11/15/2030 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
6.2.1.3 5	MEDTRONIC, INC. 3.15% 03/15/2022 USD SER WI SR LIEN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
6.2.1.3 6	MICROSOFT CORPORATION 2.875% 02/06/2024 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.1.3 7	MOODY'S CORPORATION 3.75% 03/24/2025 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.3 8	MORGAN STANLEY HYBRID MTN 01/22/2031 USD SR LIEN CPN 01/22/20 2.699%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.2.1.3 9	MPLX LP 4.0% 02/15/2025 USD SR LIEN SRS 20423806	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.4 0	NEXTERA ENERGY CAPITAL 3.55% 05/01/2027 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.2.1.4 1	ORACLE CORP 2.95% 11/15/2024 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.2.1.4 2	PFIZER INC. 3.4% 05/15/2024 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.2.1.4 3	PRAXAIR INC 1.1% 08/10/2030 USD SR LIEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.4 4	PROLOGIS, L.P. 2.125% 04/15/2027 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
6.2.1.4 5	PRUDENTIAL FINANCIAL INC MTN 2.1% 03/10/2030 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
6.2.1.4 6	S&P GLOBAL INC. 1.25% 08/15/2030 USD SR LIEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.4 7	SANOFI 3.625% 06/19/2028 USD SER 10Y SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.4 8	SOUTHERN POWER COMPANY 4.15% 12/01/2025 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.4 9	STARBUCKS CORP 2.7% 06/15/2022 USD SR LIEN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
6.2.1.5 0	TD AMERITRADE HOLDING CO 3.3% 04/01/2027 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.1.5 1	TEXAS INSTRUMENTS INC 2.25% 09/04/2029 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.5 2	THE KROGER CO. 3.3% 01/15/2021 SR LIEN S&P	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
6.2.1.5 3	TOTAL CAPITAL INTERNATIONAL 3.75% 04/10/2024 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.5 4	U.S. BANCORP MTN 1.375% 07/22/2030 USD SR LIEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.5 5	UNION PACIFIC CORP 3.25% 08/15/2025 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.2.1.5 6	VERIZON COMMUNICATIONS, INC. 1.75% 01/20/2031 SR LIEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.1.5 7	VISA INC. 3.15% 12/14/2025 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.2.1.5 8	VODAFONE GROUP PUBLIC LIMITED 4.375% 05/30/2028 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.5 9	WALMART INC. 3.25% 07/08/2029 USD SR LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.6 0	WASTE MANAGEMENT INC 1.5% 03/15/2031 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
6.2.1.6 1	WELLS FARGO & COMPANY 3.0% 04/22/2026 USD SR LIEN	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.2.1.6 2	WELLS FARGO & COMPANY MTN 4.1% 06/03/2026 USD SER M SUB LIEN	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.2.1.6 3	XILINX INC 2.95% 06/01/2024 USD SR LIEN	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.2.2	GOLDMAN SACHS - GSAM: TAX ADV LH (S&P 500):	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1	2U, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2	A.O. SMITH CORP (DEL) CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3	ABBOTT LABORATORIES CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.4	ABBVIE INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.2.5	ACCENTURE PLC CMN CLASS A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.6	ACTIVISION BLIZZARD, INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.7	ADAPTIVE BIOTECHNOLOGIES CORPO CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.8	ADOBE INC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.2.9	ADT INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 0	ADVANCED MICRO DEVICES, INC. CMN	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
6.2.2.1 1	AES CORP. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 2	AIR PRODUCTS & CHEMICALS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 3	ALBEMARLE CORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 4	ALEXANDRIA REAL ESTATE EQUITIES, INC.	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 5	ALIGN TECHNOLOGY, INC CMN	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
6.2.2.1 6	ALLIANT ENERGY CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 7	ALLSTATE CORPORATION COMMON STOCK	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.1 8	ALLY FINANCIAL INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 9	ALPHABET INC. CMN CLASS A	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.2.2 0	AMAZON.COM INC CMN	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.2.2.2 1	AMCOR PLC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 2	AMERICAN AIRLINES GROUP INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 3	AMERICAN ELECTRIC POWER INC CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.2 4	AMERICAN EXPRESS CO. CMN	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
6.2.2.2 5	AMERICAN INTL GROUP, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 6	AMERICAN TOWER CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.2 7	AMERIPRISE FINANCIAL, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.2 8	AMGEN INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 9	AMPHENOL CORP CL-A (NEW) CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3 0	ANTHEM, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.3 1	APPLE INC. CMN	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
6.2.2.3 2	APPLIED MATERIALS INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.3 3	APTARGROUP, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3 4	APTIV PLC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3 5	ASSURED GUARANTY LTD. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3 6	ATHENE HOLDING LTD. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.3 7	AUTODESK, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.3 8	AUTOMATIC DATA PROCESSING INC CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.3 9	AUTOZONE, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.4 0	BALL CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.4 1	BANK OF AMERICA CORP CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.4 2	BAXTER INTERNATIONAL INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.4 3	BECTON, DICKINSON AND COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.4 4	BERKSHIRE HATHAWAY INC. CLASS B	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
6.2.2.4 5	BEST BUY CO INC CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.4 6	BIO-RAD LABORATORIES, INC CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.4 7	BLACKROCK, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.4 8	BOEING COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.4 9	BOOKING HOLDINGS INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.5 0	BOOZ ALLEN HAMILTON HOLDING CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.5 1	BROADCOM INC. CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.5 2	BROWN FORMAN CORP CL B CMN CLASS B	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.5 3	CACI INTERNATIONAL INC CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.5 4	CADENCE DESIGN SYSTEMS INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.5 5	CAPITAL ONE FINANCIAL CORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.5 6	CARRIER GLOBAL CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.5 7	CARVANA CO. CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.5 8	CATERPILLAR INC (DELAWARE) CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.5 9	CBRE GROUP, INC. CMN CLASS A	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
6.2.2.6 0	CDW CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.6 1	CELANESE CORPORATION COMMON STOCK	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.6 2	CENTENE CORPORATION CMN	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
6.2.2.6 3	CERNER CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
6.2.2.6 4	CHARLES SCHWAB CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.6 5	CHARTER COMMUNICATIONS, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.6 6	CHENIERE ENERGY, INC. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.6 7	CHEVRON CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.6 8	CIENA CORPORATION CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.6 9	CIGNA CORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.7 0	CIMAREX ENERGY CO. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.7 1	CISCO SYSTEMS, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.7 2	CIT GROUP INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.7 3	CITIGROUP INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.7 4	CME GROUP INC. CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.7 5	COCA-COLA COMPANY (THE) CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.7 6	COLGATE-PALMOLIVE CO CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.7 7	COMCAST CORPORATION CMN CLASS A VOTING	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.7 8	COMERICA INCORPORATED CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.7 9	CONOCOPHILLIPS CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.8 0	CONTINENTAL RESOURCES, INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.8 1	COPART INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.8 2	CORNING INCORPORATED CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.8 3	CORTEVA, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.8 4	COSTCO WHOLESALE CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.8 5	CROWN CASTLE INTL CORP CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.8 6	CROWN HOLDINGS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.8 7	CSX CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.8 8	CULLEN FROST BANKERS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.8 9	CUMMINS INC COMMON STOCK	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.9 0	D.R. HORTON, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.9 1	DEERE & COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.9 2	DELL TECHNOLOGIES INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.9 3	DELTA AIR LINES, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.9 4	DISCOVER FINANCIAL SERVICES CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.9 5	DISCOVERY INC - A CMN SERIES A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.9 6	DOLLAR GENERAL CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.9 7	DOVER CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.9 8	DOW INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.9 9	DTE ENERGY COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.1 00	DUKE REALTY CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 01	DUPONT DE NEMOURS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 02	DXC TECHNOLOGY COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 03	DYNATRACE HOLDINGS LLC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 04	EAGLE MATERIALS INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 05	EATON CORP PLC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 06	EBAY INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 07	ECOLAB INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 08	EDWARDS LIFESCIENCES CORPORATI CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 09	ELANCO ANIMAL HEALTH INCORPORA CMN	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
6.2.2.1 10	ELECTRONIC ARTS CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 11	ELI LILLY & CO CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 12	EMERSON ELECTRIC CO. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 13	ENBRIDGE INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 14	ENTERGY CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.1 15	ESTEE LAUDER COS INC CL-A CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
6.2.2.1 16	EVERSOURCE ENERGY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 17	EXPEDIA GROUP INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 18	EXXON MOBIL CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 19	F5 NETWORKS, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 20	FACEBOOK, INC. CMN CLASS A	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.2.1 21	FEDEX CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
6.2.2.1 22	FIDELITY NATIONAL FINANCIAL, I CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.1 23	FIDELITY NATL INFO SVCS INC CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.1 24	FIFTH THIRD BANCORP CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.1 25	FISERV, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 26	FORD MOTOR COMPANY CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 27	FORTINET, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 28	FORTIVE CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 29	FOX CORPORATION CMN CLASS B	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 30	FREEPORT-MCMORAN INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 31	GAP INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 32	GARMIN LTD. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 33	GENERAL ELECTRIC CO CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 34	GENERAL MOTORS COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 35	GLOBAL PAYMENTS INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 36	GRAPHIC PACKAGING HLDGCO CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.1 37	GS FINANCIAL SQUARE TREASURY SOLUTIONS FUND - FEDXX	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 38	HALLIBURTON COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 39	HCA HEALTHCARE, INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 40	HESS CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 41	HEXCEL CORPORATION (NEW) CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 42	HONEYWELL INTL INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.2.1 43	HP INC. CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.1 44	HUMANA INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 45	IDEXX LABORATORIES CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.2.1 46	IHS MARKIT LTD CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 47	ILLINOIS TOOL WORKS CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 48	INGERSOLL RAND INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 49	INTEL CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.1 50	INTERCONTINENTAL EXCHANGE INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 51	INTUIT INC CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.1 52	IONIS PHARMACEUTICALS, INC. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.1 53	JOHNSON & JOHNSON CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
6.2.2.1 54	JPMORGAN CHASE & CO CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 55	KANSAS CITY SOUTHERN CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 56	KNIGHT-SWIFT TRANSPORTATION HO CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.1 57	L BRANDS, INC. CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
6.2.2.1 58	L3HARRIS TECHNOLOGIES INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 59	LAM RESEARCH CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 60	LAMB WESTON HOLDINGS, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 61	LEGGETT & PLATT, INCORPORATED CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 62	LENNAR CORPORATION CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 63	LINCOLN ELECTRIC HOLDINGS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 64	LINDE PLC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 65	LOCKHEED MARTIN CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.1 66	LOEWS CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 67	LULULEMON ATHLETICA INC. CMN	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
6.2.2.1 68	LYFT, INC. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 69	LYONDELLBASELL INDUSTRIES N.V. CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 70	MARRIOTT INTERNATIONAL, INC CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 71	MARRIOTT VACATIONS WORLDWIDE CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)
6.2.2.1 72	MARSH & MCLENNAN CO INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 73	MARTIN MARIETTA MATERIALS, INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 74	MASCO CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 75	MASTERCARD INCORPORATED CMN CLASS A	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
6.2.2.1 76	MATCH GROUP, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 77	MC DONALDS CORP CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.1 78	MCCORMICK & CO NON VTG SHRS CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 79	MEDICAL PROPERTIES TRUST INC CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.1 80	MEDTRONIC PUBLIC LIMITED COMPA CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.1 81	MERCK & CO., INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.1 82	MGIC INVESTMENT CORP COMMON STOCK	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 83	MICRON TECHNOLOGY, INC. CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
6.2.2.1 84	MICROSOFT CORPORATION CMN	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
6.2.2.1 85	MKS INSTRUMENTS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 86	MOHAWK INDUSTRIES INC COMMON STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.1 87	MOLSON COORS BEVERAGE CO CMN CLASS B	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
6.2.2.1 88	MONDELEZ INTERNATIONAL, INC. CMN	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
6.2.2.1 89	MOODY'S CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 90	MORGAN STANLEY CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.1 91	MOTOROLA SOLUTIONS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 92	MSCI INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 93	NETAPP, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 94	NETFLIX, INC. CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
6.2.2.1 95	NEWMONT CORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.1 96	NEXSTAR MEDIA GROUP INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.1 97	NEXTERA ENERGY, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.1 98	NIKE CLASS-B CMN CLASS B	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.1 99	NORFOLK SOUTHERN CORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 00	NORTHERN TRUST CORP CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.2 01	NORTHROP GRUMMAN CORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 02	NORWEGIAN CRUISE LINE HLDG LTD CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 03	NVIDIA CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.2 04	OMNICOM GROUP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 05	ONEOK INC CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.2 06	ORACLE CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.2 07	O'REILLY AUTOMOTIVE, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 08	OTIS WORLDWIDE CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.2 09	PACKAGING CORP OF AMERICA COMMON STOCK	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 10	PACWEST BANCORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 11	PALO ALTO NETWORKS INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 12	PARKER-HANNIFIN CORP. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 13	PAYCHEX, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 14	PAYPAL HOLDINGS, INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.2.2 15	PEPSICO, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.2 16	PERKINELMER, INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 17	PFIZER INC. CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.2 18	PHILIP MORRIS INTL INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 19	PHILLIPS 66 CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 20	PNC FINANCIAL SERVICES GROUP, CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
6.2.2.2 21	PRINCIPAL FINANCIAL GROUP, INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 22	PROCTER & GAMBLE COMPANY (THE) CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.2 23	PROLOGIS INC CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.2 24	PRUDENTIAL FINANCIAL INC CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 25	PULTEGROUP INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 26	QIAGEN N.V. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 27	QUALCOMM INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 28	QUANTA SERVICES INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 29	QUEST DIAGNOSTICS INCORPORATED CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 30	RAYTHEON TECHNOLOGIES CORPORAT CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 31	REPUBLIC SERVICES INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 32	ROBERT HALF INTERNATIONAL INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 33	ROCKWELL AUTOMATION INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 34	S&P GLOBAL INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 35	SALESFORCE.COM, INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 36	SEAGATE TECHNOLOGY HOLDIN PLC CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.2 37	SEAGEN INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 38	SERVICENOW INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 39	SHERWIN-WILLIAMS CO CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 40	SHOPIFY INC. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 41	SIGNATURE BANK (NEW YORK) CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 42	SIMON PROPERTY GROUP INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 43	SKYWORKS SOLUTIONS, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 44	SNAP INC. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 45	SPLUNK INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 46	STANLEY BLACK & DECKER, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 47	STARBUCKS CORP. CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.2 48	STERIS PUBLIC LIMITED COMPANY CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 49	STRYKER CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.2 50	SYSCO CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 51	T. ROWE PRICE GROUP, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 52	TARGA RESOURCES CORP. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 53	TARGET CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.2 54	TE CONNECTIVITY LTD CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 55	TEMPUR SEALY INTERNATIONAL INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 56	TESLA, INC. CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
6.2.2.2 57	TEXAS INSTRUMENTS INC. CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.2.2 58	THE HERSHEY COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 59	THE HOME DEPOT, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.2 60	THE PROGRESSIVE CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 61	THERMO FISHER SCIENTIFIC INC CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.2 62	TJX COMPANIES INC (NEW) CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 63	T-MOBILE US, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 64	TOLL BROTHERS, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 65	TORO CO (DELAWARE) CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 66	TRACTOR SUPPLY COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 67	TRANE TECHNOLOGIES PUBLIC LIMI CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 68	TRANSDIGM GROUP INCORPORATED CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 69	TRUIST FINANCIAL CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 70	TYSON FOODS INC CL-A CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.2 71	U.S. brokerage sweep account (cash)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
6.2.2.2 72	U.S. BANCORP CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 73	UNION PACIFIC CORP. CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.2.2.2 74	UNITED AIRLINES HOLDINGS INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 75	UNITED PARCEL SERVICE, INC. CLASS B COMMON STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 76	UNITED RENTALS, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 77	UNITEDHEALTH GROUP INCORPORATE CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.2 78	UNIVERSAL DISPLAY CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 79	VALERO ENERGY CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 80	VERISIGN, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 81	VERIZON COMMUNICATIONS, INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.2.2 82	VERTEX PHARMACEUTICALS INCORPO CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 83	VIACOMCBS INC CMN CLASS B	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 84	VISA INC. CMN CLASS A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.2.2 85	VMWARE, INC. CMN CLASS A	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.2 86	VOYA FINANCIAL INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 87	VULCAN MATERIALS CO CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 88	W.W. GRAINGER INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 89	WALMART INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.2.2 90	WALT DISNEY COMPANY (THE) CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.2 91	WASTE MANAGEMENT INC CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 92	WATERS CORPORATION COMMON STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 93	WAYFAIR INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2.2 94	WEC ENERGY GROUP, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.2 95	WELLS FARGO & CO (NEW) CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.2.2 96	WESTLAKE CHEMICAL CORPORATION CMN	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.2.2.2 97	WEYERHAEUSER COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 98	WILEY JOHN & SONS CL-A CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.2 99	WILLIS TOWERS WATSON PLC CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.3 00	XILINX INCORPORATED CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
6.2.2.3 01	YANDEX N.V. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 02	YUM BRANDS, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3 03	YUM CHINA HOLDINGS, INC. CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3 04	ZOETIS INC. CMN CLASS A	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.2.3 05	ADVANCE MICRO DEVICES, INC. CMN	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
6.2.2.3 06	ALLEGHANY CORP (DELAWARE) CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 07	AMERICAN CAMPUS CMNTYS, INC	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 08	ARCH CAPITAL GROUP LTD CMN	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.3 09	AXIS CAPITAL HOLDINGS LIMITED CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 10	BANK OZK CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)
6.2.2.3 11	BORGWARNER INC. CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 12	CHANGE HEALTHCARE INC. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 13	CITIZENS FINANCIAL GROUP, INC CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 14	CONCHO RESOURCES INC. CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 15	CVS HEALTH CORP CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 16	DEXCOM, INC CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 17	DIAMONDBACK ENERGY INC. CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 18	GRAFTECH INTERNATIONAL LTD. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 19	HILTON WORLDWIDE HOLDINGS INC CMN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2.2.3 20	JONES LANG LASALLE INCORPORATE CMN	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
6.2.2.3 21	KIMBERLY-CLARK CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.2.2.3 22	KKR & CO. INC	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.3 23	MARKEL CORPORATION CMN	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
6.2.2.3 24	MATTEL, INC. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 25	METLIFE, INC. CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 26	MILLER HERMAN INC. CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 27	NISOURCE INC. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 28	PLURALSIGHT, INC. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 29	PRINCIPAL FINANCIAL GROUP, INC CMN - PFG	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 30	REALTY INCOME CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 31	RESMED INC CMN	N/A	None (or less than \$1,001)	Capital Gains Dividends	None (or less than \$201)
6.2.2.3 32	SEAGATE TECHNOLOGY PUBLIC LIMI CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2.2.3 33	SOUTHWEST AIRLINES CO CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 34	TEXTRON INC DEL CMN	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.2.2.3 35	TIFFANY & CO CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.2.3 36	WEBSTER FINANCIAL CORP CMN	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.3 37	WILLIAMS-SONOMA, INC. CMN	N/A	None (or less than \$1,001)	Capital Gains Dividends	None (or less than \$201)
6.2.2.3 38	ALTRIA GROUP INC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.3 39	AMEREN CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 40	BOSTON SCIENTIFIC CORP. COMMON STOCK	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2.2.3 41	CENTERPOINT ENERGY, INC. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 42	DOMINION ENERGY INC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.3 43	EQUINIX, INC. REIT	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.3 44	EXELON CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.3 45	GENERAL DYNAMICS CORP. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 46	GENERAL MILLS INC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.2.2.3 47	HASBRO, INC. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 48	HD SUPPLY HOLDINGS, INC CMN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2.2.3 49	INTL BUSINESS MACHINES CORP CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 50	KELLOGG COMPANY CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.2.3 51	LAS VEGAS SANDS CORP. CMN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2.2.3 52	PUBLIC STORAGE CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 53	PUBLIC-SVC ENTERPRISE GROUP HOLDING CO	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 54	REGENERON PHARMACEUTICAL INC CMN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2.2.3 55	SEMPRA ENERGY CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 56	THE BANK OF NY MELLON CORP CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.2.3 57	VARIAN MEDICAL SYSTEMS INC CMN	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.2.2.3 58	XCEL ENERGY INC. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.2.3	GOLDMAN SACHS - INVESCO: NON-US EQ:	No			
6.2.3.1	AIA GROUP LIMITED SPONSORED ADR CMN SERIES	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.2	ALCON, INC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.3	ALIBABA GROUP HOLDING LIMITED SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.4	ALLIANZ SE ADR CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.5	AMCOR PLC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.3.6	ASHTED GROUP PUBLIC LIMITED C ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.3.7	ASML HOLDING N.V. ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.8	BANK OF NOVA SCOTIA (THE) CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.3.9	BEIERSDORF AKTIENGESELLSCHAFT UNSPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2.3.1 0	BOOKING HOLDINGS INC. CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
6.2.3.1 1	BROADCOM INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.1 2	CANADIAN NATIONAL RAILWAY CO. CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000
6.2.3.1 3	CARLSBERG A/S SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.1 4	CGI INC. CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
6.2.3.1 5	CHINA MENGNIU DAIRY COMPANY LI UNSPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.1 6	CRH PLC SPON ADR ADR CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.3.1 7	CRITEO SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.1 8	CSL LIMITED SPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.1 9	DEUTSCHE BOERSE AG UNPOSNORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.2 0	ESSILOR INTERNATIONAL SA ADR CMN	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.3.2 1	FANUC CORPORATION UNSPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000
6.2.3.2 2	FLUTTER ENTERTAINMENT PUBLIC L ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
6.2.3.2 3	GRUPO AEROPORTUARIO DEL PACIF SPONSORED ADR CMN S.A.B DE C.V.	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
6.2.3.2 4	GS FINANCIAL SQUARE TREASURY SOLUTIONS FUND - FEDXX	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2.3.2 5	HDFC BANK LIMITED SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
6.2.3.2 6	HEINEKEN N.V. SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.2 7	HOYA CORP SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
6.2.3.2 8	ICON PUBLIC LIMITED COMPANY CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.2 9	JD.COM, INC. SPONSORED ADR CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.3.3 0	JULIUS BAER GRUPPE AG ADR CMN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2.3.3 1	KAO CORPORATION ADR CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.3 2	KERING ADR CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.3.3 3	KNORR-BREMSE AG ADR CMN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.2.3.3 4	KOITO MFG CO LTD ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.3.3 5	KOMATSU LTD ADR (NEW) SPONSORED GDS CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.3 6	KUEHNE & NAGEL INTERNATIONAL A UNSPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
6.2.3.3 7	LINDE PLC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.3.3 8	LOGITECH INTERNATIONAL S.A. ORD CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.3 9	LVMH MOET HENNESSY LOUIS VUITTON S.A. ADR CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.3.4 0	MAGNA INTERNATIONAL INC. CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.4 1	MONDELEZ INTERNATIONAL, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.3.4 2	NESTLE SA SPONSORED ADR (REP 1/20 CHF 10 REGD SHS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.3.4 3	NEW ORIENTAL ED & TECH GRP SPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
6.2.3.4 4	NIDEC CORPORATION SPONSORED ADR	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.4 5	NOVARTIS AG-ADR SPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.4 6	NOVO-NORDISK A/S ADR ADR CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.3.4 7	OLYMPUS CORPORATION SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.4 8	OPEN TEXT CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.3.4 9	PERNOD RICARD UNSPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.5 0	PHILIP MORRIS INTL INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.3.5 1	PROSUS NV SPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.5 2	REED ELSEVIER PLC SPONSORED ADR CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.3.5 3	RITCHIE BROS. AUCTIONEERS INC CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.5 4	ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224.184	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.5 5	SAND VIK (ADR) ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.5 6	SANDS CHINA LTD ADR CMN	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
6.2.3.5 7	SANOFI SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.3.5 8	SAP SE (SPON ADR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.3.5 9	SCHNEIDER ELECTRIC SE UNSPONSORED ADR (FRANCE) SCHNEIDER ELECTRIC SE UNSPONSO	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.3.6 0	SMC CORPORATION SPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.6 1	SONY GROUP CORPORATION SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.6 2	TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.3.6 3	TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN ADD ADR REL 19358779	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.6 4	TRAVIS PERKINS PLC SPONSORED ADR CMN	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.2.3.6 5	UNITED OVERSEAS BK LTD SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.3.6 6	WAL-MART DE MEXICO SAB DE CV SPONSORED ADR REPSTG SER V SHS	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.6 7	WOLTERS KLUWER N.V. SPONSORED ADR CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.3.6 8	WPP PLC ADR CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.3.6 9	YUM CHINA HOLDINGS, INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.4	GOLDMAN SACHS - EQ AND FI:	No			
6.2.4.1	T. ROWE PRICE TAX-FREE HIGH YIELD FUND INVESTOR	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
6.2.4.2	STATE STREET HEDGED INTERNATIONAL DEVELOPED EQUITY INDEX FUND CLASS K	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
6.2.5	GOLDMAN SACHS - ROTHSCHILD:LCV:	No			
6.2.5.1	GS FINANCIAL SQUARE TREASURY SOLUTIONS FUND - FEDXX	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.2	BANK OF AMERICA CORP CMN	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.3	JPMORGAN CHASE & CO CMN	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.5.4	ALPHABET INC. CMN CLASS A	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2.5.5	MEDTRONIC PUBLIC LIMITED COMPA CMN	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.2.5.6	COMCAST CORPORATION CMN CLASS A VOTING	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.2.5.7	TARGET CORPORATION CMN	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.2.5.8	JOHNSON & JOHNSON CMN	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.2.5.9	WALT DISNEY COMPANY (THE) CMN	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
6.2.5.1 0	THERMO FISHER SCIENTIFIC INC CMN	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
6.2.5.1 1	UNITEDHEALTH GROUP INCORPORATE CMN	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.2.5.1 2	VERIZON COMMUNICATIONS, INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.1 3	WELLS FARGO & CO (NEW) CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.5.1 4	BLACKROCK, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.1 5	PARKER-HANNIFIN CORP. CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.5.1 6	CHEVRON CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.2.5.1 7	CHARLES SCHWAB CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.5.1 8	PRUDENTIAL FINANCIAL INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.2.5.1 9	CONOCOPHILLIPS CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.2 0	PROLOGIS INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.2 1	STATE STREET CORPORATION (NEW) CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.2 2	BRISTOL-MYERS SQUIBB COMPANY CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.2 3	GENERAL MOTORS COMPANY CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.2 4	GLOBAL PAYMENTS INC. CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.5.2 5	CATERPILLAR INC (DELAWARE) CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.2 6	DUKE ENERGY CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.2 7	SCHLUMBERGER LTD CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.2 8	HONEYWELL INTL INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.2 9	TRUIST FINANCIAL CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.3 0	MARTIN MARIETTA MATERIALS,INC CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.5.3 1	QUANTA SERVICES INC CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.5.3 2	AIR PRODUCTS & CHEMICALS INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.3 3	EOG RESOURCES INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.3 4	NEXTERA ENERGY, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.5.3 5	XCEL ENERGY INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.5.3 6	ON SEMICONDUCTOR CORPORATION CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
6.2.5.3 7	HARTFORD FINANCIAL SRVCS GROUP CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.3 8	MICRON TECHNOLOGY, INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.3 9	ABBVIE INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.4 0	INTERCONTINENTAL EXCHANGE INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.4 1	PEPSICO, INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.5.4 2	TEXTRON INC.DEL. CMN	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.5.4 3	ALLSTATE CORPORATION COMMON STOCK	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.4 4	NORTHROP GRUMMAN CORP CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.5.4 5	AUTOZONE, INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.5.4 6	LOWES COMPANIES INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.4 7	ELI LILLY & CO CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.5.4 8	TRANE TECHNOLOGIES PUBLIC LIMI CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.4 9	CISCO SYSTEMS, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.5 0	EMERSON ELECTRIC CO. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.5 1	AMERISOURCEBERGEN CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.5 2	BERKSHIRE HATHAWAY INC. CLASS B	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.5 3	TYSON FOODS INC CL-A CMN CLASS A	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.2.5.5 4	DARDEN RESTAURANTS, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.5 5	MONDELEZ INTERNATIONAL, INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.2.5.5 6	MERCK & CO., INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.5 7	SOUTHWEST AIRLINES CO CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.5 8	BOSTON PROPERTIES, INC. COMMON STOCK	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.5 9	CIGNA CORP CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.5.6 0	MICROSOFT CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.6 1	OWENS CORNING CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.6 2	BROADCOM INC. CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.6 3	AMERICAN EXPRESS CO. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.6 4	HILL-ROM HOLDINGS, INC. CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.6 5	HUNTSMAN CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.6 6	AMERICAN TOWER CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.6 7	LOCKHEED MARTIN CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.6 8	EQUITY LIFESTYLE PROPERTIES, I CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.6 9	PROCTER & GAMBLE COMPANY (THE) CMN	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
6.2.5.7 0	PHILLIPS 66 CMN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2.5.7 1	THE TRAVELERS COMPANIES, INC CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.7 2	WESTROCK COMPANY CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2.5.7 3	INTEL CORPORATION CMN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.5.7 4	CVS HEALTH CORP CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2.5.7 5	KANSAS CITY SOUTHERN CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
6.2.5.7 6	DTE ENERGY COMPANY CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.5.7 7	PULTEGROUP INC. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.5.7 8	WILLIS TOWERS WATSON PLC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.7 9	DISCOVERY INC - A CMN SERIES A	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.2.5.8 0	AMERICAN ELECTRIC POWER INC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.5.8 1	KIMBERLY CLARK CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.2.5.8 2	ORACLE CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.8 3	BEST BUY CO INC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.5.8 4	APPLE INC. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.5.8 5	E*TRADE FINANCIAL CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
6.2.5.8 6	BIOGEN INC. CMN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2.5.8 7	GILEAD SCIENCES CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.5.8 8	WASTE MANAGEMENT INC CMN	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.2.6	GOLDMAN SACHS - MAPLETON INVESTMENTS:	No			
6.2.6.1	GS FINANCIAL SQUARE TREASURY INSTRUMENTS FUND - FST SHARES	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.2.6.2	UBER TECHNOLOGIES, INC. CMN	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
6.2.7	GOLDMAN SACHS - EAGLE: DYNAMIC EQ:	No			
6.2.7.1	ALPHABET INC. CMN CLASS A	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.2.7.2	ALPHABET INC. CMN CLASS C	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.2.7.3	AON PLC CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.7.4	BERKSHIRE HATHAWAY INC. CLASS B	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.2.7.5	COMCAST CORPORATION CMN CLASS A VOTING	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.7.6	FISERV, INC CMN	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.2.7.7	HILTON WORLDWIDE HOLDINGS CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.2.7.8	LIBERTY BORADBAND CORPORATION CMN	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.2.7.9	MICROSOFT CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
6.2.7.1 0	NETFLIX, INC CMN	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.7.1 1	ORACLE CORPORATION CMN		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
6.2.7.1 2	AMAZON.COM INC CMN		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.2.7.1 3	FACEBOOK, INC CMN		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.3	U.S. bank #1 checking (cash)		N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)
6.4	U.S. bank #2 checking (cash)		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
6.5	Viking Global Equities LP - Public Equities		Yes	\$5,000,001 - \$25,000,000		Over \$5,000,000
6.6	The Cypress Partners L.P. - Public Equities		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
6.7	KKR Partners IV, LP	See Endnote	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
6.8	Oaktree High Yield Plus Feeder Fund, L.P., Class A		Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	JNE Fund, LP (MSD European Opportunity Fund) - In Liquidation		Yes	\$250,001 - \$500,000		None (or less than \$201)
6.10	Eton Park Fund, L.P. - In Liquidation		Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	Falcon Waterfree Technologies, LLC - Water Conservation	See Endnote	No	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
6.12	Mapleton Associates, LLC:	See Endnote	No			
6.12.1	Carlyle Realty Halley Coinvestment IV, LP (NY Multi-Family Real Estate)-In Liquidation		Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
6.12.2	Carlyle Asia Partners III (Health Care / Telecommunications)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.12.3	Carlyle Partners V (Areospace/Telecommunications/Healthcare/Consumer/Media/Financial Service)		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
6.12.4	Carlyle Global Financial Services Partners (Financial Services)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.12.5	PineBridge Asia Partners II, LP - In Liquidation		Yes	\$50,001 - \$100,000		\$100,001 - \$1,000,000
6.12.6	PB GIP Feeder, L.P. - Credit Suisse	See Endnote	Yes	\$1,001 - \$15,000		\$15,001 - \$50,000
6.12.7	Silverpeak Legacy Fund III, LP (Real Estate Equity Investments)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.12.8	Shelter Venture Fund, LP:	See Endnote	No	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
6.12.8.1	Fuel Cycle, Inc (formerly Think Passenger, Inc.) (on-demand customer outreach to support brands product development)		N/A			
6.12.8.2	iSenix, Inc. (collects data from sensors, healthcare market)		N/A			
6.12.8.3	Mobileum Investments II, LP	See Endnote	N/A			
6.12.9	Carlyle/Riverstone Global Energy & Power Fund III, LP		Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12.10	Carlyle/Riverstone Jade Partners, LP		Yes	\$100,001 - \$250,000		None (or less than \$201)
6.12.11	Riverstone/Carlyle Global Energy & Power Fund IV, LP		Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
6.12.12	Riverstone/Carlyle Renewable and Alternative Energy Fund II		Yes	\$1,001 - \$15,000		\$50,001 - \$100,000
6.12.13	Carlyle/Riverstone Jade Partners II, LP		Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.12.14	OCM Oaktree Asia Principal Opportunities Fund, LP (In Liquidation)		Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
6.12.15	PineBridge New Europe Partners II, LP -In Liquidation		Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12.16	Carlyle Strategic Partners II, LP -In Liquidation		Yes	\$15,001 - \$50,000		None (or less than \$201)
6.12.17	Deutsche Bank-RREEF Global Opp Fund II Private Inv LP - In Liquidation		Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12.18	U.S. bank #1 checking (cash)		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
6.13	Mapleton Holdings, LLC:	See Endnote	No			
6.13.1	Mapleton Holdings, LLC (Series 1) - Art Collection		N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
6.13.2	Mapleton Holdings, LLC (Series 7) - Game Taco, Inc	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
6.13.3	Mapleton Holdings, LLC (Series 9) - Homes:	See Endnote	No			
6.13.3.1	Home #1		N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
6.13.3.2	Home #2		N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
6.13.4	Loans to Family Member Trust #2		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.13.5	Loans to Family Member Trust #3		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
6.13.6	Loans to Family Member Trust #5		N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
6.14	10415 Monogram, LLC:	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.14.1	U.S. bank #1 checking (cash)		N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
6.14.2	Resident Home		N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
6.15	Mapleton Property Management, LLC:		No			
6.15.1	Mapleton Property Management, LLC	See Endnote	No	None (or less than \$1,001)	Management Fees; Distributions	\$660,000
6.15.2	U.S. bank #1 checking (cash)		N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
6.16	Loans to Family Member Trust #1		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
6.17	Loans to Family Member Trust #4		N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
6.18	Loans to Parkwood Elm Real Estate Investments, LLC		N/A	\$100,001 - \$250,000		None (or less than \$201)
6.19	Loan to Family Member Trust #6		N/A	\$100,001 - \$250,000		None (or less than \$201)
6.20	Loan to Family Member Trust #7		N/A	\$100,001 - \$250,000		None (or less than \$201)
7	220 North Lake, Inc.:		No			
7.1	U.S. bank #1 checking (cash)		N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
7.2	Mapleton Investments, LLC (see part 6, line 6 for assets) Full reportable value and income of Mapleton Investments, LLC is captured at Part 2, line 3, Part 5, line 3 and Part 6, line 6.		No			
8	400 Parkwood, LLC:	See Endnote	No			
8.1	U.S. bank #3 (cash)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	U.S. bank #1 checking (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
8.3	Home #1	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
8.4	NNSB REAL ESTATE, LLC:	See Endnote	No		
8.4.1	U.S. bank #1 checking (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
8.4.2	Home #1	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	JMAR Properties, LLC	No			
9.1	U.S. bank #1 checking (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
9.2	U.S. bank #3 (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10	Jane & Marc Nathanson Charitable Remainder Trust:	No		Distributions	\$1,839,495
10.1	U.S. bank #1 checking (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
10.2	U.S. bank #2 money market (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
10.3	JANE & MARC NATHANSON CRT - JP MORGAN:	No			
10.3.1	U.S. bank #4 sweep account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.3.2	U.S. bank #4 money market (cash)	N/A	\$5,000,001 - \$25,000,000	Interest	\$50,001 - \$100,000
10.3.3	I-SHARES CORE S&P 500 ETF	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.3.4	ISHARES RUSSEL 3000 ETF	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
10.3.5	ISHARES MSCI EAFE ETF	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
10.3.6	SPDR GOLD SHARES	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
10.3.7	LOOMIS SAYLES BOND FUND-INST	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
11	BTBH, LLC dba Nerano - Beverly Hills, Restaurant	N/A	\$15,001 - \$50,000		None (or less than \$201)
12	U.S. bank #3 money market (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
13	Personal Loan to Family Member	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	Personal Loan to Family Member	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	Personal Loan to Mr. Trujillo	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Personal Loan to Alpha Delta Housing	N/A	\$15,001 - \$50,000		None (or less than \$201)
17	Personal Loan to Family Member Trust #7	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
18	Intentionally Defective Grantor Trust #1:	No			
18.1	JP Morgan Account:	No			
18.1.1	JPM PRIME MM FD - AGENCY 349 (VMIXX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
18.1.2	JPM LIQ ASST MM FD - PREMIER 3912 (PJLXX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.1.3	JPM LIQ ASST MM FD 3909 (AJLXX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
18.1.4	U.S. brokerage account (cash)	N/A	None (or less than \$1,001)		\$201 - \$1,000
18.1.5	ISHARES RUSSELL 3000 ETF (IWV)	Yes	None (or less than \$1,001)		\$1,000,001 - \$5,000,000
18.2	MONARCH DEBT RECOVERY FUND LP - PUBLIC AND PRIVATE CREDIT SECURITIES	Yes	None (or less than \$1,001)		Over \$5,000,000
18.3	CANYON VALUE REALIZATION FUND - PUBLIC AND PRIVATE CREDIT SECURITIES	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
18.4	CANYON BALANCED FUND - PUBLIC AND PRIVATE CREDIT, STRUCTURED AND EVENT-DRIVEN EQUITY	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
18.5	CONSONANCE CAPITAL INVESTORS LP - PUBLIC EQUITIES (HEALTHCARE)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
18.6	FFL PARALLEL FUND II LP	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
18.7	FFL INDIVIDUAL PARTNERS III LP	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
18.8	FIREMAN CAPITAL PARTNERS III	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
18.9	QUADRANGLE CAPITAL PARTNERS II LP	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
18.10	ARES INSTITUTIONAL CREDIT FUND	Yes	\$1,000,001 - \$5,000,000		\$1,000,001 - \$5,000,000
18.11	ACM EMERGING MARKETS FUND I LP:	No			
18.11.1	HELIOS TOWERS	See Endnote	N/A		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.11.2	HELIOS TOWERS II See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
18.12	ACM STRATEGIC INVESTMENT PARTNERS IV, LP (e)	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
18.13	THAYER HOTEL INVESTORS IV FEEDER LP:	No			
18.13.1	HOTEL LOS CABOS	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.13.2	DIPLOMAT RESORT & SPA	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.13.3	HYATT VINEYARD CREEK	N/A	\$50,001 - \$100,000		None (or less than \$201)
18.13.4	NINE ZERO BOSTON	N/A	\$50,001 - \$100,000		None (or less than \$201)
18.13.5	US bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.14	KKR AMERICAS FUND XII	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
18.15	OAKTREE PRIVATE INVESTMENT FUND 2009	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
18.16	DATAMINR See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
18.17	MSD SPORTS PARTNERS See Endnote	N/A	\$100,001 - \$250,000	Distribution	\$28,732
18.18	TROY CAPITAL:	No			
18.18.1	BIRD RIDES, INC. See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
18.19	MAPLETON SPORTS, LLC:	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.19.1	SLAPSHOT, LLC (NHL)	See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
18.20	MAPLETON SOCCER, LLC:		No			
18.20.1	SEATTLE SOUNDERS (MLS)	See Endnote	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
18.21	MAPLETON EVENTS, LLC:		No			
18.21.1	VIAGOGO (STUBHUB) - SECONDARY TICKETING PLATFORM	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
18.22	GAME SPAR, LLC:		No			
18.22.1	GAME TACO, LLC	See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
18.23	Q-BLK REAL ASSETS LP - REAL ESTATE		Yes	\$100,001 - \$250,000		None (or less than \$201)
18.24	Q-BLK REAL ASSETS II LP - REAL ESTATE		Yes	\$100,001 - \$250,000		None (or less than \$201)
18.25	LOS ANGELES, CA - OFFICE REAL ESTATE		N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$100,001 - \$1,000,000
18.26	LOS ANGELES, CA - RETAIL SPACE		N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$100,001 - \$1,000,000
18.27	LOS ANGELES, CA - PARKING LOT		N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
18.28	3600 WESTWIND, LLC (SANTA ROSA, CA - OFFICE REAL ESTATE)		N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$82,076
18.29	MAPLETON HILLCREST DEVELOPMENT, LLC (LOS ANGELES, CA - MULTI-FAMILY REAL ESTATE)		N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$69,948
18.30	NSHE LEBANON, LLC:		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.30.1	10011 WASHINGTON BLVD, LLC (Culver City, CA - Commercial Retail Real Estate)	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
18.31	WILSON MARYLAND MIXED USE, LLC (GLENDALE, CA - MULTI-FAMILY REAL ESTATE)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$89,487
18.32	MAPLETON EAST UNIVERSITY DRIVE, LLC (Phoenix, AZ - Industrial Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$47,091
19	Intentionally Defective Grantor Trust #2:	No			
19.1	U.S. bank #1 checking (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
19.2	U.S. bank #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
19.3	Mapleton Waterloo, LLC (Portland, OR - Multi-Family, Office Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$53,623
20	Intentionally Defective Grantor Trust #3:	No			
20.1	U.S. bank #1 checking (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
20.2	U.S. bank #5 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20.3	10011 Washington Blvd., LLC (Culver City, CA-Commercial Retail Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$1,446
20.4	iCAD-Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Intentionally Defective Grantor Trust #4:	No			
21.1	U.S. bank #1 checking (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
21.2	Mapleton Holdings, LLC:	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.2.1	333 S Kingsley Investors, LLC (Los Angeles, CA - Multi-Family Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$408,782
21.2.2	Spencer Street Investors, LLC (Las Vegas, NV-Industrial Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$41,895
21.2.3	Riverside Investment Partners, LLC:	No			
21.2.3.1	REA Riverside General, LLC (Riverside, CA-Commercial Retail Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$121,230
21.2.3.2	REA Magnolia Harrison, LLC (Riverside, CA - Commercial Retail Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$61,265
21.2.4	3300 Coffey Lane, LLC (Santa Rosa, CA-Industrial Real Estate)	N/A	\$250,001 - \$500,000	LLC Distributions	\$31,512
21.2.5	Winnetka Avenue Investors, LLC (Chatsworth, CA-Industrial Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$96,868
21.3	Mapleton Waterloo, LLC (Portland, OR - Multi-Family, Office Real Estate)	N/A	\$500,001 - \$1,000,000	LLC Distributions	\$44,490
21.4	JMN Investments, L.P. (Stockton, CA - Multi-Family Real Estate)	N/A	\$50,001 - \$100,000	Partnership Distributions	\$90,744
21.5	KKR Partners IV - (See End Note Part 6, 6.7)	Yes	\$250,001 - \$500,000		None (or less than \$201)
22	Intentionally Defective Grantor Trust #5:	No			
22.1	U.S. bank #1 checking (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
22.2	U.S. bank #3 (cash)	N/A	\$1,001 - \$15,000	Interest	\$5,001 - \$15,000
22.3	MAPLETON ASSOCIATES, LLC:	No			
22.3.1	Carlyle Realty Partners IV (NY Multi-Family Real Estate)-In Liquidation	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
22.4	Mapleton Waterloo, LLC (Portland, OR - Multi-Family, Office Real Estate)	N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$160,517

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.5	5058 West Colorado, LLC (Pasadena, CA - Commercial Retail Real Estate)		N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$446,346
22.6	MAPLETON HOLDINGS, LLC:		No			
22.6.1	3300 Coffey Lane, LLC (Santa Rosa, CA- Industrial Real Estate)		N/A	\$1,000,001 - \$5,000,000	LLC Distributions	\$264,726
22.6.2	Spencer Street Investors, LLC (Las Vegas, NV-Industrial Real Estate)		N/A	\$500,001 - \$1,000,000	LLC Distributions	\$10,683
22.6.3	Riverside Investment Partners, LLC:		No			
22.6.3.1	REA Riverside General, LLC (Riverside, CA- Commercial Retail Real Estate)		N/A	\$250,001 - \$500,000	LLC Distributions	\$29,451
22.6.3.2	REA Magnolia Harrison, LLC (Riverside, CA - Commercial Retail Real Estate)		N/A	\$100,001 - \$250,000	LLC Distributions	\$14,273
22.6.4	Winnetka Avenue Investors, LLC (Chatsworth, CA-Industrial Real Estate)		N/A	\$250,001 - \$500,000	LLC Distributions	\$23,738
22.7	6780 Caballo Street, LLC (Las Vegas, NV- Industrial Real Estate)		N/A	\$250,001 - \$500,000	LLC Distributions	\$47,347
22.8	Falcon Waterfree Technologies, LLC (See End Note Part 6, 6.11)		N/A	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000
22.9	KKR PARTNERS IV - (See End Note Part 6, 6.7)		Yes	\$250,001 - \$500,000		None (or less than \$201)
22.10	MAPLETON EVENTS, LLC:		No			
22.10.1	VIAGOGO (STUBHUB) - SECONDARY TICKETING PLATFORM	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
22.11	MAPLETON ANGEL CITY, LLC:		No			
22.11.1	WFC LA, INC (NATIONAL WOMENS SOCCER LEAGUE - LOS ANGELES)		N/A	\$50,001 - \$100,000		None (or less than \$201)
22.12	GAME SPAR, LLC:		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.12.1	GAME TACO, LLC	See Endnote	N/A	\$1,000,001 - \$5,000,000	None (or less than \$201)
23	Intentionally Defective Grantor Trust #6:	No			
23.1	U.S. bank #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
24	Intentionally Defective Grantor Trust #7:	No			
24.1	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
24.2	U.S. bank #3 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
25	Intentionally Defective Grantor Trust #8:	No			
25.1	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
25.2	U.S. bank #3 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
26	Intentionally Defective Grantor Trust #9:	No			
26.1	U.S. bank #3 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
27	Intentionally Defective Grantor Trust #10:	No			
27.1	U.S. bank #3 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
28	Intentionally Defective Grantor Trust #11:	No			
28.1	U.S. bank #3 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
29	Intentionally Defective Grantor Trust #12:	No			
29.1	U.S. bank #3 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	Intentionally Defective Grantor Trust #13:	No			
30.1	U.S. bank #3 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
31	Intentionally Defective Grantor Trust #14:	No			
31.1	U.S. bank #3 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
32	Intentionally Defective Grantor Trust #15 - Closed 9/2020:	No			
32.1	U.S. bank #3 (cash)	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
32.2	Carlyle Realty Partners IV (NY Multi-Family Real Estate)-In Liquidation	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
32.3	Mapleton Waterloo, LLC (Portland, OR - Multi-Family, Office Real Estate)	N/A	None (or less than \$1,001)	LLC Distributions	\$81,575
32.4	5058 West Colorado, LLC (Pasadena, CA - Commercial Retail Real Estate)	N/A	None (or less than \$1,001)	LLC Distributions	\$427,542
32.5	MAPLETON HOLDINGS, LLC:	No			
32.5.1	3300 Coffey Lane, LLC (Santa Rosa, CA-Industrial Real Estate)	N/A	None (or less than \$1,001)	LLC Distributions	\$121,019
32.5.2	Spencer Street Investors, LLC (Las Vegas, NV-Industrial Real Estate)	N/A	None (or less than \$1,001)	LLC Distributions	\$10,683
32.5.3	Riverside Investment Partners, LLC:	No			
32.5.3.1	REA Riverside General, LLC (Riverside, CA-Commercial Retail Real Estate)	N/A	None (or less than \$1,001)	LLC Distributions	\$13,314
32.5.3.1.1	REA Magnolia Harrison, LLC (Riverside, CA - Commercial Retail Real Estate)	N/A	None (or less than \$1,001)	LLC Distributions	\$6,795
32.5.4	Winnetka Avenue Investors, LLC (Chatsworth, CA-Industrial Real Estate)	N/A	None (or less than \$1,001)	LLC Distributions	\$11,072



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32.6	6780 Caballo Street, LLC (Las Vegas, NV-Industrial Real Estate)		N/A	None (or less than \$1,001)	LLC Distributions	\$23,453
32.7	Falcon Waterfree Technologies, LLC (See End Note Part 6, 6.11)		N/A	None (or less than \$1,001)	Dividends	\$100,001 - \$1,000,000
33	Intentionally Defective Grantor Trust #16:		No			
33.1	KKR PARTNERS IV - (See End Note Part 6, 6.7)		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
34	Intentionally Defective Grantor Trust #17:		No			
34.1	MAPLETON EVENTS, LLC:		No			
34.1.1	VIAGOGO (STUBHUB) - SECONDARY TICKETING PLATFORM	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
34.2	MAPLETON ANGEL CITY, LLC:		No			
34.2.1	WFC LA, INC (NATIONAL WOMENS SOCCER LEAGUE - LOS ANGELES)		N/A	\$100,001 - \$250,000		None (or less than \$201)
34.3	The Cypress Partners L.P. - Public Equities		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
34.4	KKR Redwood Co-Invest LP	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Goldman Sachs		Exercised Line of Credit	\$1,000,001 - \$5,000,000	2013	LIBOR + 1%	Revolving
2	Goldman Sachs - STRATH		Mortgage (Children's Home)	\$500,001 - \$1,000,000	2013	2.85%	30 YRS
3	JP Morgan - PKWD		Mortgage (Children's Home)	\$1,000,001 - \$5,000,000	2020	2.75%	30 YRS
4	East West Bank		Exercised Line of Credit	\$5,000,001 - \$25,000,000	2015	2.5%	Revolving
5	East West Bank		Exercised Line of Credit	\$5,000,001 - \$25,000,000	2021	2.75%	Revolving
6	JP Morgan - JMAR		Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2019	2.75%	30 YRS
7	UBS - Montecito		Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2021	2.875%	30 YRS
8	Mack Real Estate Group Qualified Opportunity Zone		Capital Commitment	\$250,001 - \$500,000	2021	N/A	On demand with advance notice
9	SHAMROCK CAPITAL GROWTH FUND V	See Endnote	Capital Commitment	\$500,001 - \$1,000,000	2021	N/A	On demand with advance notice

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
1.	5	The start date listed is an approximation.
1.	6	The start date listed is an approximation.
1.	8	The start date listed is an approximation.
1.	24	The start date listed is an approximation.
1.	25	The start/end dates listed are an approximation.
2.	4	Special purpose acquisition vehicle (SPAC). 25,000 shares of common stock provided for being Independent Board of Director.
3.	1	Terminated in December 2020.
6.	4	Data research firm for Democratic Candidates
6.	5.4	Real Estate asset type: mixed use and multi-family. Target cities include Miami, Scottsdale, Hackensack, Phoenix, Knoxville, etc.
6.	5.5	Monthly subscription model curated to the customer for home and lifestyle products
6.	6.7	Epic Games
6.	6.11	Mapleton Investments, LLC is partners with Capricorn Investment Group in this water conservation company, through technology innovations with a focus on restroom urinals and faucets.
6.	6.12	Mapleton Investments, LLC owns various percentages of the individual Investments in the Private Equity funds purchased through Mapleton Associates. All of the funds are maturing and/or are in liquidation, due to vintage of funds
6.	6.12.6	Fund in liquidation effective March 31, 2020 (infrastructure investments)
6.	6.12.8	Invests directly in Multi-Media platforms online and wireless, including Mobiluem
6.	6.12.8.3	Mobileum is based in Santa Clara, CA and provides software infrastructure platform and applications, that enable mobile operators to drive new revenue streams such as virtual home environment via a suite of voice and data roaming services, that can all be done remotely through your mobile device
6.	6.13	Mapleton Investments and Falcon Cable trust are partners with various percentages in the Mapleton Holdings Series.

PART	#	ENDNOTE
6.	6.13.2	Premier skill-based gaming platform to compete in tournaments and for cash prizes includes popular games such as Wheel of Fortune, Scrabble Cubes, Trivial Pursuit, Angry Birds.
6.	6.13.3	Los Angeles home investments in children's homes
6.	6.14	Home in Granada Hills, CA that is rented for lease income
6.	6.15.1	Mapleton Investments, LLC owns Mapleton Property Management, LLC which pays distributions as it actively manages the real estate portfolio.
6.	8	Los Angeles home investment in children's home.
6.	8.4	Santa Barbara home investment in children's home.
6.	18.11.1	Helios Towers is the leading telecom tower infrastructure company in Africa
6.	18.11.2	Helios Towers is the leading telecom tower infrastructure company in Africa
6.	18.16	NY based company that utilizes artificial intelligence to provide real-time information alerts to clients
6.	18.17	Investment in the Ultimate Fighting Championship (UFC), and has sold its position in the company. No other investments in MSD Sports.
6.	18.18.1	Special purpose vehicle with investment in Bird Scooters
6.	18.19.1	National Hockey League (NHL) investment in the Seattle "Kraken"
6.	18.20.1	Major League Soccer (MLS) investment in the Seattle "Sounders"
6.	18.21.1	Investment in event ticket agency, Stubhub
6.	18.22.1	See endnote 6.6.13.2
6.	22.10.1	Investment in event ticket agency, Stubhub
6.	22.12.1	See endnote 6.6.13.2
6.	34.1.1	Investment in event ticket agency, Stubhub
6.	34.4	Investment in Jio, Indian Telecom Company-Largest mobile network operator in India
8.	9	This capital commitment is related to Intentionally Defective Grantor Trust #1

# 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).

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