AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Halpern, Philip M.	United States District Court - Southern District of New York	4/27/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
United States District Court, Southern District of New York 300 Quarropas Street, Chambers Room 530 White Plains, New York, 10601		

IMPORTANT NOTES: ***The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.***

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board of Visitor	Elisabeth Haub School of Law at Pace University
2.	Director	Metropolitan Golf Association
3.	Director	Foundation No. I
4.	Trustee	Revocable Trust No. I(no reportable assets)
5.	Trustee	Irrevocable Trust No. I(no reportable assets0

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2019	Buyout Agreement with Collier,Newberg,LLP
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	American BarAssn/Book Royalties	$596.00
2.	2021	Collier Newberg LLP/Buyout	$911,102.00
3.			
4.			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE
1.	2021	Self-Employed Recovery Coach
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Halpern, Philip M.	4/27/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ABBVIE INC COM	A	Dividend	K	T					
2. ADIENT PLC COM		None	J	T					
3. ALIBABA GROUP HLDG LTD		None			Buy	08/27/21	K		
4.					Buy	09/15/21	J		
5.					Sold	12/30/21	K		
6. ALLY FINANCIAL INC	A	Dividend	K	T	Buy	01/27/21	J		
7.					Buy	03/19/21	J		
8.					Buy	03/23/21	J		
9.					Buy	04/13/21	J		
10. ALPHABET INC CL A		None	L	T	Buy	04/13/21	K		
11. AMAZON COM INC		None	N	T	Buy	03/19/21	J		
12. AMBASE CORP		None	J	T					
13. AMER CENT EMERG MKTS I	A	Dividend	K	T	Sold (part)	03/19/21	J	A	
14. APPLE INC	D	Dividend	O	T					
15. BANK OF AMERICA CORP	A	Dividend	K	T	Sold (part)	09/15/21	J	B	
16. BERKSHIRE HATHAWAY CL-B NEW		None	L	T					
17. BOEING CO		None	J	T	Sold (part)	09/14/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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18. BLACKSTONE GROUP INC CL A	C	Dividend	M	T					
19. BNY MELLON GLB REAL RETURN I	A	Dividend	J	T	Sold (part)	03/18/21	J	A	
20. BNY MELLON INTL STK I	A	Dividend	L	T	Buy	04/13/21	K		
21.					Sold (part)	09/15/21	J	A	
22. BNY MELLON SM/MD CAP GW I		None			Buy	03/22/21	J		
23.					Buy	04/13/21	J		
24.					Sold (part)	09/14/21	J	A	
25.					Sold	09/20/21	J	A	
26. BNY MELLON MUN BD INFRASTRUCTU	B	Dividend	K	T					
27. CAPITAL ONE FINANCIAL CORP	C	Dividend	M	T					
28. CHEVRON CORP	B	Dividend	K	T					
29. CITIZENS FINANCIAL GROUP	A	Dividend			Buy	01/27/21	J		
30.					Buy	03/19/21	J		
31.					Buy	03/23/21	J		
32.					Buy	04/13/21	J		
33.					Sold	08/27/21	K	C	
34. COMM SERV. SELECT SECTOR SDRR	A	Dividend	L	T	Sold (part)	09/14/21	J	A	

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2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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35. COCA COLA CO		None			Buy	03/22/21	J		
36.					Buy	03/30/21	J		
37.					Buy	04/13/21	J		
38.					Sold	06/09/21	K	A	
39. CONOCOPHILLIPS	B	Dividend	L	T					
40. CONS DISCRET SEL SECT SPDR FD	A	Dividend	L	T	Buy	03/19/21	J		
41.					Buy	04/13/21	J		
42.					Sold (part)	06/25/21	J	A	
43.					Sold (part)	09/15/21	J	A	
44. CONS STAPLES SEL SECT SPDR FD	B	Dividend	L	T	Sold (part)	03/18/21	J	A	
45.					Sold (part)	03/19/21	J	A	
46. DBX ETF TR XTRACK MSCI EURP		None			Sold	01/27/21	J	A	
47. DELAWARE SMID CAP GROWTH INST	D	Distribution	L	T	Sold (part)	04/13/21	K	D	
48.					Sold (part)	10/08/21	J	C	
49. DELTA AIR LINES INC NEW		None	L	T	Buy	01/27/21	J		
50.					Buy	03/19/21	J		
51.					Buy	03/22/21	J		

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52.					Buy	03/23/21	J		
53.					Buy	04/09/21	J		
54.					Sold (part)	10/08/21	J		
55. DOUBLELINE INCOME SOLUTIONS FD	D	Dividend	K	T	Sold (part)	03/23/21	J		
56. DRAFTKINGS INC CLASS A		None			Buy	01/27/21	J		
57.					Buy	03/19/21	J		
58.					Buy	03/22/21	J		
59.					Buy	03/26/21	J		
60.					Buy	04/13/21	J		
61.					Sold (part)	05/07/21	J		
62.					Sold	06/09/21	K		
63. ENERGY SEL SECT SPDR FD	B	Dividend	K	T					
64. EXXON MOBIL CORP	E	Dividend	N	T	Sold (part)	01/15/21	K	D	
65. FEDEX CORP	A	Dividend	K	T					
66. FIRST TR HIGH YL LG/SHT ETF	C	Dividend	L	T					
67. FIRST TRST HLTH CARE ALPHA ETF		None	L	T	Sold (part)	10/08/21	J	B	
68. FIRST TRUST AMEX BIOTECH		None	L	T					

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69.	FIRST TRUST LOW DURATION OPP	A	Dividend	K	T	Buy	09/15/21	J		
70.	FIRST TRUST SENIOR LOAN FUND	A	Dividend	K	T	Buy	04/13/21	J		
71.	FT ENHANCED SHORT MURITY ETF	A	Dividend	K	T	Buy	09/14/21	J		
72.						Buy	10/08/21	J		
73.	FT NORTH AMERICAN ENERGY INFRA	A	Dividend	K	T	Sold (part)	01/27/21	K		
74.						Sold (part)	03/19/21	J		
75.						Buy	04/13/21	J		
76.	FT-PREFERRED SECUR & INC ETF	B	Dividend	K	T	Buy	03/19/21	J		
77.	GENERAL ELECTRIC CO	A	Dividend	K	T	Sold (part)	08/02/21	J	A	
78.	HARTFORD SCHRODER EM MKT EQ I	A	Dividend	L	T	Sold (part)	10/08/21	K	D	
79.	HEALTH CARE SEL SECT SPDR FD	B	Dividend	M	T	Sold (part)	03/19/21	J	C	
80.						Sold (part)	04/13/21	K	C	
81.	INDUSTRIAL SEL SEC SPDR FD	B	Dividend	M	T	Buy	01/13/21	K		
82.						Buy	01/27/21	K		
83.						Buy	03/19/21	J		
84.						Buy	03/23/21	J		
85.						Sold (part)	05/27/21	J	A	

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86. INTL BUSINESS MACHINES CORP	A	Dividend			Sold	03/22/21	J	A	
87. INVESCO MUNI INCOME A	A	Dividend	J	T					
88. ISHARES JP MORGAN EM BOND ETF	A	Dividend			Sold	03/19/21	J	A	
89. ISHARES MSCI EAFE ETF	A	Dividend	K	T					
90. ISHARES MSCI EAFE GRWTH ETF	B	Dividend	L	T					
91. ISHARES MSCI EMERGING MKTS ETF	A	Dividend	J	T	Sold (part)	10/08/21	J	A	
92. ISHARES MSCI EMU ETF	A	Dividend	J	T					
93. ISHARES MSCI GERMANY ETF	A	Dividend	K	T					
94. ISHARES MSCI ITALY ETF	A	Dividend	K	T					
95. ISHARES MSCI UNITED KINGDOM ETF	B	Dividend	K	T	Sold (part)	03/19/21	J	A	
96. ISHARES PREFERRED & INCOME S	A	Dividend			Sold	03/19/21	J	A	
97. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	K	T	Sold (part)	03/22/21	J	A	
98. ISHARES SP SMALLCAP 600 INDEX	A	Dividend	K	T	Sold (part)	03/22/21	J	A	
99. JOHN HANCOCK MULTI FACT MID	A	Dividend	K	T					
100. JETBLUE AWYS CORP COM		None			Buy	03/19/21	J		
101.					Buy	03/22/21	J		
102.					Buy	04/09/21	J		

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103.					Sold	08/27/21	K	B	
104. JOHNSON & JOHNSON	A	Dividend	K	T	Sold (part)	03/22/21	J	A	
105.					Sold (part)	10/08/21	J	A	
106. JOHNSON CTLS INTL PLC	B	Dividend	L	T					
107. JPMORGAN CHASE & CO	B	Dividend	M	T	Buy	03/23/21	J		
108. JPMORGAN EQUITY INCOME I	A	Dividend	J	T	Sold (part)	03/19/21	J	A	
109.					Sold (part)	04/13/21	J	B	
110.					Sold (part)	09/20/21	K	C	
111. JPMORGAN GLOBAL BD OPPORT I	A	Dividend	K	T	Buy	10/08/21	J		
112. JP MORGAN ULTRA-SHORT INC ETF	A	Dividend	K	T	Sold (part)	03/18/21	J	A	
113.					Sold (part)	03/19/21	J	A	
114.					Sold (part)	03/23/21	J	A	
115.					Buy	09/14/21	J		
116.					Buy	10/08/21	J		
117. KRANESH BOSERA MSCI CHINA A	D	Dividend	L	T	Sold (part)	09/20/21	J	C	
118. MATERIALS SEL SECT SPDR FD	B	Dividend	L	T	Buy	01/13/21	K		
119.					Buy	01/27/21	K		

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	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Halpern, Philip M.	4/27/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Buy	03/19/21	J		
121.					Buy	03/23/21	J		
122. META PLATFORMS INC CL A		None	L	T					
123. METLIFE INCORORATED	A	Dividend	J	T					
124. MICROSOFT CORP	A	Dividend	M	T					
125. MORGAN STANLEY	B	Dividend	K	T					
126. Morgan Stanley Bank Deposit	A	Dividend	O	T					
127. NUV NEW YORK AMT-FREE MUNIC	A	Dividend	J	T					
128. NUVEEN NEW YORK MUNI VALUE FD	A	Dividend	J	T					
129. PIMCO DYNAMIC INCOME FD		None	M	T	Sold (part)	12/13/21	J	A	
130. PIMCO DYN CREDIT & MORT INC FD	D	Dividend	J	T	Sold (part)	04/13/21	J	A	
131. RAYTHEON TECHNOLOGIES CORP	A	Dividend			Buy	01/27/21	J		
132.					Buy	03/19/21	J		
133.					Sold	10/08/21	L	D	
134. SALIENT MLP&ENERGY INFRASTRUCTURE FD	C	Dividend	M	T	Buy	03/19/21	J		
135.					Buy	03/23/21	L		
136. SPDR GOLD TR GOLD SHS		None	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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Halpern, Philip M.	4/27/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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137. SPDR S&P 500 ETF TRUST	B	Dividend	M	T					
138. THE FINANCIAL SEL SECT SPDR FD	B	Dividend	M	T	Buy	01/14/21	K		
139.					Buy	04/13/21	J		
140. TRI CONTINENTAL CORP	F	Dividend	O	T	Buy	06/15/21	L		
141.					Sold (part)	06/25/21	J		
142.					Sold (part)	12/27/21	J	A	
143. UNIT IMIT MUNICIPAL INSURED NEW YORK 120 MPS	A	Interest			Redeemed	01/08/21	J		
144. UNUMPROVIDENT CORP	A	Dividend	J	T					
145. UTILITIES SEL SECT SPDR FUND	B	Dividend	K	T	Sold (part)	01/27/21	J	A	
146.					Sold (part)	03/19/21	J	A	
147. VANGUARD FTSE PACIFIC ETF	A	Dividend			Sold (part)	09/15/21	J	A	
148.					Sold	10/08/21	J	A	
149. VANGUARD INFO TECH ETF	B	Dividend	N	T	Sold (part)	03/19/21	J	C	
150.					Sold (part)	06/25/21	J	C	
151. VANGUARD REAL ESTATE ETF	B	Dividend	L	T	Sold (part)	03/18/21	J	A	
152. VANGUARD SM CAP VALUE ETF	A	Dividend	J	T	Sold (part)	03/19/21	J	A	
153. VICTORY RS INTL A	A	Dividend	J	T					

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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154. VIRTUS INVESTMENT PARTNERS INC	A	Dividend	J	T					
155. WABTEC CORP	A	Dividend	J	T					
156. WALT DISNEY CO HLDG CO		None	K	T					
157. WISDOMTREE EMERG MKT EX-ST OW ENT FUND	A	Dividend			Buy	01/27/21	K		
158.					Buy	03/22/21	J		
159.					Sold	08/27/21	K		
160. WISDOMTREE TR INT RT HDG HIGH YIELD BOND	A	Dividend	J	T	Buy	09/14/21	J		
161.					Buy	09/15/21	J		
162. WISDOMTREE TR US MIDCAP FUND		None			Sold	03/19/21	J	C	
163. ADOBE INC SHS		None	J	T	Sold (part)	09/01/21	J	A	
164. ALPHABET INC SHS CL A		None	L	T	Sold (part)	10/15/21	J	C	
165. AMAZON COM INC		None	L	T					
166. AMERICAN TOWER REIT INC (HLDG CO) SHS	A	Dividend	J	T	Sold (part)	02/09/21	J	A	
167.					Sold (part)	02/10/21	J	A	
168. APPLE INC	B	Dividend	N	T	Sold (part)	01/08/21	J	C	
169.					Sold (part)	01/19/21	J	B	
170.					Buy	07/07/21	J		

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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171. APPLIED MATERIAL INC	A	Dividend	L	T	Buy	01/19/21	J		
172. AVALARA INC		None	J	T	Buy	02/09/21	J		
173.					Buy	02/10/21	J		
174.					Buy	02/11/21	J		
175.					Buy	04/01/21	J		
176.					Buy	04/05/21	J		
177.					Buy	09/01/21	J		
178.					Buy	09/02/21	J		
179. BANK OF AMERICA, NA RASP		None	J	T					
180. BECTON DICKINSON CO	A	Dividend			Sold	06/14/21	K	A	
181. CASH MERRILL LYNCH	A	Interest	J	T					
182. CATERPILLAR INC.	A	Dividend			Buy	08/11/21	J		
183.					Sold	12/20/21	J	A	
184. CHEVRON CORP	A	Dividend	L	T					
185. COSTCO WHOLESALE CRP DEL	A	Dividend	J	T					
186. D.R. HORTON INC	A	Dividend			Sold (part)	01/19/21	J	A	
187.					Sold (part)	01/20/21	J	A	

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2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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188.					Sold	04/01/21	J	A	
189. DISNEY (WALT) CO COM STK		None	L	T					
190. DOVER CORP	A	Dividend	J	T	Sold (part)	01/19/21	J	A	
191.					Sold (part)	01/20/21	J	A	
192.					Sold (part)	01/21/21	J	A	
193. EATON VANCE BALANCED FUND CL I	D	Dividend	L	T	Sold (part)	11/05/21	J	A	
194. ECOLAB INC	A	Dividend	J	T	Sold (part)	01/08/21	J	A	
195.					Sold (part)	01/11/21	J	A	
196. EDWARDS LIFESCIENCES CORP		None	L	T					
197. FIRST REP BK SAN FRNCISC CALIF NEW COM SHARES	A	Dividend	L	T	Buy	10/15/21	J		
198.					Buy	10/18/21	J		
199.					Buy	10/19/21	J		
200.					Buy	10/20/21	J		
201.					Buy	10/21/21	J		
202.					Buy	10/22/21	J		
203. FLOOR AND DECOR HLDGS INC		None	J	T	Buy	10/14/21	J		
204. FORTIVE CORP SHS	A	Dividend	J	T	Buy	01/19/21	J		

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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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205.					Buy	01/20/21	J		
206.					Buy	01/21/21	J		
207. GENERAC HLDGS INC		None	J	T	Buy	09/01/21	J		
208.					Buy	09/02/21	J		
209.					Buy	09/03/21	J		
210.					Buy	10/15/21	J		
211.					Buy	10/18/21	J		
212. GENERAL ELECTRIC	A	Dividend			Sold	09/08/21	J	A	
213. GENL DYNAMICS CORPORATION		None			Sold (part)	01/08/21	J	A	
214.					Sold	01/11/21	J	A	
215. HONEYWELL INTL INC DEL	A	Dividend	J	T	Sold (part)	01/19/21	J	A	
216.					Sold (part)	01/20/21	J	A	
217.					Buy	07/07/21	J		
218.					Buy	07/08/21	J		
219.					Buy	09/01/21	J		
220. IDEXX LAB INC DEL $0.10		None	J	T	Buy	02/09/21	J		
221.					Buy	02/10/21	J		

1 Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less B =$1,001 - $2,500 C =$2,501 - $5,000 D =$5,001 - $15,000 E =$15,001 - $50,000
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222.					Buy	02/11/21	J		
223.					Buy	02/12/21	J		
224.					Buy	02/16/21	J		
225.					Buy	02/17/21	J		
226.					Buy	02/18/21	J		
227.					Sold (part)	09/01/21	J	A	
228. INTERCONTINENTAL EXCHANGE INC	A	Dividend	J	T					
229. INTUIT INC COM	A	Dividend	J	T	Sold (part)	01/08/21	J	A	
230.					Sold (part)	09/01/21	J	B	
231. INTUITIVE SURGICAL INC NEW		None	J	T					
232. INVESCO QQQ TR SER 1	A	Dividend	J	T					
233. ISHARES CORE U.S. AGGREGATE BOND ETF	A	Dividend	J	T					
234. ISHARES NATIONAL MUNI BOND ETF	A	Dividend	L	T	Buy	09/08/21	J		
235. ISHARES RUSSELL 1000 GROWTH		None	J	T	Buy	12/20/21	J		
236. ISHARES TIPS BOND ETF	A	Dividend	L	T	Buy	09/08/21	K		
237. ISHARES U.S. REAL ESTATE	A	Dividend	J	T	Buy	09/08/21	J		
238. JPMORGAN CHASE & CO	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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239. LAUDER ESTEE COS INC A	A	Dividend	J	T	Sold (part)	07/07/21	J	A	
240.					Sold (part)	07/08/21	J	A	
241. LOWE'S COMPANIES INC	A	Dividend	J	T	Sold (part)	02/01/21	J	B	
242.					Buy	07/07/21	J		
243.					Buy	10/15/21	J		
244. MARVELL TECH INC	A	Dividend	L	T	Buy	08/11/21	J		
245. MASTERCARD INC	A	Dividend	J	T					
246. MCDONALDS CORP COM	A	Dividend	L	T					
247. META PLATFORMS INC CLASS A COMMON STOCK		None	L	T	Buy	01/19/21	J		
248.					Sold (part)	07/07/21	J	B	
249.					Sold (part)	09/03/21	J	A	
250.					Sold (part)	10/15/21	J	C	
251. MICROSOFT CORP	A	Dividend	M	T	Buy	07/07/21	J		
252.					Buy	07/08/21	J		
253. MODERNA INC		None			Buy	01/08/21	J		
254.					Sold	04/01/21	J	A	
255. NETFLIX COM INC		None	J	T	Sold (part)	01/19/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Halpern, Philip M.	4/27/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256.					Sold (part)	08/11/21	L	A	
257.					Sold (part)	09/03/21	J	E	
258. NVIDIA	A	Dividend	L	T	Buy	06/14/21	J		
259.					Sold (part)	07/07/21	J	B	
260. NY GO BD Mar 13		None	K	T					
261. O'REILLY AUTOMOTIVE INC		None	J	T					
262. PAYPAL HOLDINGS INC SHS		None	J	T	Sold (part)	07/07/21	J	B	
263.					Sold (part)	09/01/21	J	B	
264. PELOTON INTERACTIVE INC CL A		None			Buy	01/19/21	J		
265.					Buy	01/20/21	J		
266.					Buy	04/01/21	J		
267.					Sold	09/01/21	J	A	
268. ROKU INC		None			Buy	01/08/21	J		
269.					Buy	04/01/21	J		
270.					Buy	09/01/21	J		
271.					Buy	10/15/21	J		
272.					Sold	12/20/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Halpern, Philip M.	4/27/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. SALESFORCE.COM INC		None	J	T	Buy	01/08/21	J		
274.					Buy	01/11/21	J		
275.					Sold (part)	07/07/21	J	A	
276. SECTOR SPDR UTILITIES	A	Dividend	J	T	Buy	09/08/21	J		
277. SERVICENOW INC		None	J	T	Buy	01/08/21	J		
278.					Buy	01/11/21	J		
279.					Buy	09/01/21	J		
280. SPDR GOLD TRUST		None	J	T	Buy	09/08/21	J		
281. SPDR S&P 500 ETF TRUST	A	Dividend	L	T					
282. SPDR US FINANCIAL SECTOR ETF	A	Dividend	J	T					
283. SPOTIFY TECH S.A. REG SHS		None	L	T					
284. TESLA INC		None	J	T	Sold (part)	01/19/21	J	A	
285.					Buy	07/08/21	J		
286. TEXAS INSTRUMENTS	A	Dividend	J	T					
287. THERMO FISHER SCIENTIFIC INC	A	Dividend	J	T					
288. TJX COS INC NEW	A	Dividend	J	T	Sold (part)	02/09/21	J	A	
289.					Sold (part)	02/10/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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Name of Person Reporting	Date of Report
Halpern, Philip M.	4/27/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Buy	07/07/21	J		
291.					Buy	07/08/21	J		
292. UBER TECHNOLOGIES INC		None	J	T	Buy	01/08/21	J		
293.					Buy	01/11/21	J		
294.					Buy	07/07/21	J		
295.					Buy	07/08/21	J		
296.					Buy	09/01/21	J		
297.					Sold (part)	10/15/21	J	A	
298. UNITEDHEALTH GROUP INC	A	Dividend	L	T	Buy	02/01/21	J		
299.					Sold (part)	04/01/21	J	A	
300. VANGUARD FTSE DEVELOPED MARKETS ETF	A	Dividend	J	T	Buy	02/01/21	J		
301. VANGUARD GROWTH ETF	A	Dividend	L	T					
302. VANGUARD INDEX FDS MID-CAP GROWTH INDEX	A	Dividend	L	T	Sold (part)	02/01/21	J	B	
303. VANGUARD TOTAL BOND MKT	A	Dividend	J	T	Buy	02/01/21	J		
304. VANGUARD VALUE ETF	A	Dividend	L	T					
305. VISA INC CL A SHRS	A	Dividend	L	T	Sold (part)	07/07/21	J	A	
306.					Sold (part)	09/01/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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307. VMWARE INC		None			Sold (part)	01/08/21	J	A	
308.					Sold	01/11/21	J	A	
309. ZOETIS INC	A	Dividend	J	T	Sold (part)	02/09/21	J	A	
310.					Sold (part)	02/10/21	J	A	
311.					Sold (part)	02/11/21	J	A	
312. Guardian Global Utilities VIP Fund		None	J	T					
313. Guardian Integrated Research VIP Fund		None	J	T					
314. Guardian Large Cap Disciplined Growth VIP Fund		None	K	T					
315. Guardian Large Cap Disciplined Value VIP		None	K	T					
316. Guardian Large Cap Fundamental Growth VIP Fund		None	J	T					
317. Guardian Mid Cap Relative Value VIP Fund		None	J	T					
318. Guardian Mid Cap Traditional Growth VIP Fund		None	J	T					
319. Guardian Small Cap Core VIP Fund		None	J	T					
320. Guardian Small-Mid Cap Core VIP Fund		None	J	T					
321. Guardian Strategic Large Cap Core VIP Fund		None	J	T					
322. MFS VIT New Discovery Series SC		None	J	T					
323. MFS VIT Technology Portfolio SC		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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324. Putnam VT Large Cap Value Fund IB		None	J	T					
325. Guardian International Growth VIP Fund		None	J	T					
326. Guardian International Value VIP Fund		None	J	T					
327. Guardian Core Plus Fixed Income VIP Fund		None	J	T					
328. Guardian Multi-Sector Bond VIP Fund		None	J	T					
329. Guardian U.S. Government Securities VIP Fund		None	J	T					
330. Victory Incore Investment Quality Bond VIP Series		None	J	T					
331. Victory Incore Low Duration Bond VIP Series		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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Name of Person Reporting	Date of Report
Halpern, Philip M.	4/27/2022

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

I Positions: Filer has no beneficial interests in the two Trusts listed in items 4 and 5 in Part I.
VII Investments and Trusts: The assets listed on lines 312 through
331 do not show actual income earned; and only show a unit value. Therfore, no information has been included in column B for those line items.

Name of Person Reporting	Date of Report
Halpern, Philip M.	4/27/2022

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: S/ Philip M. Halpern

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544