AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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	05/01/2023
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	01/01/2022 **to** 12/31/2022
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.	Board of Director	Metropolitan Golf Association Foundation
3.	Director	Foundation No. I
4.	Trustee	Revocable Trust No. I(no reportable assets)
5.	Trustee	Irrevocable Trust No. I(no reportable assets)
6.	Adjunct Professor	Elisabeth Haub School of Law at Pace University

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.	2022	American BarAssn/Book Royalties	$737.00
2.	2022	Collier Newberg LLP/Buyout	$1,072,763.00
3.	2022	Elisabeth Haub School of Law at Pace University teaching income	$5,000.00
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.	2022	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.	Vincent Briccetti	Member-Guest Golf Tournament	$600.00
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.	05/01/2023

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. ADOBE INC		None	L	T	Buy	09/16/22	J		
4.					Buy (add'l)	09/16/22	L		
5.					Buy (add'l)	09/16/22	J		
6. ALLY FINANCIAL INC	A	Dividend			Sold (part)	06/30/22	J		
7.					Sold (part)	06/30/22	J		
8.					Sold	06/30/22	J		
9. ALPHABET INC CL A		None	L	T	Buy (add'l)	09/20/22	J		
10.					Buy (add'l)	09/20/22	J		
11.					Buy (add'l)	09/20/22	J		
12. AMAZON COM INC		None	L	T	Buy (add'l)	06/30/22	J		
13.					Sold (part)	06/30/22	J		
14.					Sold (part)	06/30/22	K	B	
15.					Sold (part)	12/16/22	J		
16.					Sold (part)	12/16/22	J		
17.					Sold (part)	12/16/22	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; 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.					Sold (part)	12/29/22	J		
19.					Sold (part)	12/29/22	J		
20.					Sold (part)	12/29/22	J		
21. AMBASE CORP		None	J	T					
22. AMER CENT EMERG MKTS I		None			Sold (part)	06/30/22	J		
23.					Sold	06/30/22	K		
24. AMERICAN EXPRESS CO	A	Dividend	L	T	Buy	06/13/22	J		
25.					Buy (add'l)	06/30/22	J		
26.					Buy (add'l)	06/30/22	J		
27.					Buy (add'l)	06/30/22	K		
28. APPLE INC	D	Dividend	O	T	Sold (part)	06/30/22	J	A	
29.					Sold (part)	06/30/22	J	D	
30.					Buy (add'l)	06/30/22	J		
31. BANK OF AMERICA CORP	A	Dividend	K	T	Sold (part)	06/30/22	J	A	
32.					Buy (add'l)	06/30/22	J		
33.					Buy (add'l)	06/30/22	J		
34. BERKSHIRE HATHAWAY CL-B NEW		None	L	T	Sold (part)	06/30/22	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.						Buy (add'l)	06/30/22	J		
36.						Buy (add'l)	06/30/22	J		
37.	BOEING CO		None			Sold (part)	06/30/22	J	A	
38.						Sold	06/30/22	J	A	
39.	BLACKSTONE GROUP INC CL A	C	Dividend	L	T					
40.	BNY MELLON GLB REAL RETURN I		None			Sold	06/30/22	J	A	
41.	BNY MELLON INTL STK I	B	Dividend	L	T	Buy (add'l)	06/30/22	J		
42.						Sold (part)	06/30/22	J		
43.						Buy (add'l)	06/30/22	J		
44.	BNY MELLON MUN BD INFRASTRUCTU	B	Dividend	K	T					
45.	BROADCOM INC	A	Dividend	K	T	Buy	06/14/22	J		
46.						Buy (add'l)	06/14/22	K		
47.						Sold (part)	06/30/22	J		
48.						Buy (add'l)	06/30/22	J		
49.	CAPITAL ONE FINANCIAL CORP	B	Dividend	L	T					
50.	CHEVRON CORP	B	Dividend	K	T					
51.	COMM SERV. SELECT SECTOR SDRR	A	Dividend	K	T	Buy (add'l)	06/30/22	J		

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52.					Buy (add'l)	06/30/22	J		
53.					Buy (add'l)	06/30/22	J		
54.					Sold (part)	12/16/22	J	A	
55.					Sold (part)	12/16/22	K	A	
56.					Sold (part)	12/16/22	J		
57. CONOCOPHILLIPS	D	Dividend	M	T					
58. CONS DISCRET SEL SECT SPDR FD	A	Dividend	L	T	Sold (part)	06/30/22	J	A	
59.					Sold (part)	06/30/22	J		
60.					Buy (add'l)	06/30/22	J		
61. CONS STAPLES SEL SECT SPDR FD	B	Dividend	M	T	Buy (add'l)	06/30/22	J		
62.					Buy (add'l)	06/30/22	K		
63.					Buy (add'l)	06/30/22	J		
64.					Buy (add'l)	12/30/22	J		
65.					Buy (add'l)	12/30/22	K		
66.					Buy (add'l)	12/30/22	J		
67. DELAWARE SMID CAP GROWTH INST		None			Sold (part)	06/30/22	J		
68.					Sold	06/30/22	K		

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69. DELTA AIR LINES INC NEW		None	K	T	Sold (part)	01/25/22	J		
70.					Sold (part)	01/25/22	K		
71.					Sold (part)	04/06/22	J		
72. DOUBLELINE INCOME SOLUTIONS FD	A	Dividend			Sold (part)	04/06/22	J		
73.					Sold (part)	04/06/22	K		
74.					Sold	04/06/22	J		
75. EBAY INC	A	Dividend	K	T	Buy	04/14/22	K		
76. ENERGY SEL SECT SPDR FD	B	Dividend	K	T	Sold (part)	06/30/22	J	A	
77.					Sold (part)	06/30/22	J	D	
78.					Buy (add'l)	06/30/22	J		
79. EXXON MOBIL CORP	E	Dividend	O	T					
80. FEDEX CORP	A	Dividend	K	T	Buy (add'l)	06/30/22	J		
81. FERRARI NV		None	L	T	Buy	09/13/22	J		
82.					Buy (add'l)	09/13/22	J		
83.					Buy (add'l)	09/13/22	J		
84.					Buy (add'l)	09/20/22	J		
85.					Buy (add'l)	09/20/22	J		

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86.						Buy (add'l)	09/20/22	J		
87.						Buy (add'l)	09/22/22	J		
88.						Buy (add'l)	09/22/22	J		
89.						Buy (add'l)	09/22/22	J		
90.						Buy (add'l)	09/23/22	J		
91.						Buy (add'l)	09/23/22	J		
92.						Buy (add'l)	09/23/22	J		
93.	FIRST TR HIGH YL LG/SHT ETF	C	Dividend			Buy (add'l)	06/30/22	J		
94.						Buy (add'l)	06/30/22	J		
95.						Buy (add'l)	06/30/22	J		
96.						Sold (part)	12/15/22	J		
97.						Sold (part)	12/15/22	K		
98.						Sold	12/15/22	J		
99.	FIRST TRST HLTH CARE ALPHA ETF	A	Dividend	J	T	Sold (part)	06/30/22	J	A	
100.						Sold (part)	06/30/22	K	D	
101.						Sold (part)	06/30/22	J	A	
102.	FIRST TRUST INSTL PREFERRED SECS ETF	A	Dividend	L	T	Buy	11/17/22	J		

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103.					Buy (add'l)	11/17/22	J		
104.					Buy (add'l)	11/17/22	J		
105.					Buy (add'l)	12/30/22	J		
106.					Buy (add'l)	12/30/22	L		
107.					Buy (add'l)	12/30/22	J		
108. FIRST TRUST AMEX BIOTECH		None			Sold (part)	06/30/22	J	A	
109.					Sold (part)	06/30/22	K	A	
110.					Sold	06/30/22	J	A	
111. FIRST TRUST LOW DURATION OPP	A	Dividend			Sold (part)	06/30/22	J		
112.					Sold (part)	06/30/22	K		
113.					Sold	06/30/22	J		
114. FIRST TRUST SENIOR LOAN FUND	A	Dividend			Sold (part)	01/25/22	J		
115.					Sold	01/25/22	J	A	
116. FORD MOTOR CO	A	Dividend			Buy	06/14/22	J		
117.					Buy (add'l)	06/14/22	K		
118.					Sold (part)	06/30/22	J		
119.					Sold (part)	06/30/22	K		

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	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Halpern, Philip M.	05/01/2023

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 (add'l)	06/30/22	J		
121.					Sold (part)	09/08/22	J	A	
122.					Sold (part)	09/08/22	K	C	
123.					Sold (part)	09/08/22	J	A	
124.					Sold (part)	11/10/22	J	A	
125.					Sold (part)	11/10/22	J	B	
126.					Sold	11/10/22	J	A	
127. FT ENHANCED SHORT MURITY ETF	A	Dividend	M	T	Sold (part)	01/25/22	J		
128.					Buy (add'l)	06/30/22	J		
129.					Buy (add'l)	06/30/22	K		
130.					Sold (part)	06/30/22	J		
131.					Buy (add'l)	09/20/22	J		
132.					Buy (add'l)	12/15/22	J		
133.					Buy (add'l)	12/15/22	K		
134.					Buy (add'l)	12/15/22	J		
135.					Buy (add'l)	12/29/22	J		
136.					Buy (add'l)	12/29/22	K		

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.	05/01/2023

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)
137. FT NORTH AMERICAN ENERGY INFRA	A	Dividend			Sold (part)	01/25/22	J	A	
138.					Sold	06/30/22	J	A	
139. FT-PREFERRED SECUR & INC ETF	B	Dividend			Buy (add'l)	02/10/22	J		
140.					Buy (add'l)	03/07/22	J		
141.					Buy (add'l)	06/30/22	J		
142.					Buy (add'l)	06/30/22	J		
143.					Sold (part)	06/30/22	J		
144.					Sold (part)	11/17/22	J		
145.					Sold (part)	11/17/22	J		
146.					Sold (part)	11/17/22	J		
147.					Sold (part)	12/30/22	J		
148.					Sold (part)	12/30/22	J		
149.					Sold	12/30/22	J		
150. GENERAL ELECTRIC CO	A	Dividend	J	T	Sold (part)	06/30/22	J	A	
151.					Sold (part)	06/30/22	K	C	
152. GOLDMAN SACHS GROUP INC	A	Dividend			Buy	01/25/22	J		
153.					Buy (add'l)	01/25/22	L		

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
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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				
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)
154.					Sold (part)	06/30/22	J		
155.					Sold	06/30/22	K		
156. GRAYSCALE BITCOIN TRUST	A	Dividend	J	T	Buy	08/23/22	J		
157. GRAYSCALE ETHEREUM TRUST	A	Dividend	J	T	Buy	08/23/22	J		
158. HARTFORD SCHRODER EM MKT EQ I		None			Sold (part)	06/30/22	J	A	
159.					Sold (part)	06/30/22	K	B	
160.					Sold	06/30/22	J	A	
161. HEALTH CARE SEL SECT SPDR FD	B	Dividend	M	T	Sold (part)	06/30/22	J	A	
162.					Sold (part)	06/30/22	J	B	
163.					Buy (add'l)	06/30/22	J		
164. INDUSTRIAL SEL SEC SPDR FD	B	Dividend	L	T	Sold (part)	06/30/22	J		
165.					Sold (part)	06/30/22	K		
166.					Sold (part)	06/30/22	J		
167. INVESCO MUNI INCOME A	A	Dividend	J	T					
168. ISHARES MSCI EAFE ETF	A	Dividend	K	T					
169. ISHARES MSCI EAFE GRWTH ETF	B	Dividend	K	T	Sold (part)	06/30/22	J	A	
170.					Sold (part)	06/30/22	K	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
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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				
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)
171.					Sold (part)	06/30/22	J	A	
172. ISHARES MSCI EMERGING MKTS ETF	A	Dividend	J	T	Sold (part)	06/30/22	J	B	
173. ISHARES MSCI EMU ETF	A	Dividend			Sold	06/30/22	J	A	
174. ISHARES MSCI GERMANY ETF	A	Dividend			Sold (part)	06/30/22	J		
175.					Sold	06/30/22	K	B	
176. ISHARES MSCI ITALY ETF	A	Dividend			Sold (part)	06/30/22	J	A	
177.					Sold	06/30/22	K	C	
178. ISHARES MSCI UNITED KINGDOM ETF		None			Sold (part)	01/25/22	J	A	
179.					Sold	01/25/22	K	D	
180. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	K	T	Buy (add'l)	06/30/22	J		
181.					Buy (add'l)	06/30/22	J		
182. ISHARES SP SMALLCAP 600 INDEX	A	Dividend	K	T	Buy (add'l)	06/30/22	J		
183.					Buy (add'l)	06/30/22	J		
184.					Sold (part)	06/30/22	J	A	
185. ISHARES TIPS BOND ETF	C	Dividend			Buy	06/30/22	J		
186.					Buy (add'l)	06/30/22	M		
187.					Buy (add'l)	06/30/22	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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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)
188.					Sold (part)	12/29/22	J		
189.					Sold (part)	12/29/22	M		
190.					Sold	12/30/22	K		
191. JOHN HANCOCK MULTI FACT MID	A	Dividend	K	T	Sold (part)	06/30/22	J	A	
192.					Buy (add'l)	06/30/22	J		
193.					Buy (add'l)	06/30/22	J		
194. JOHNSON & JOHNSON	A	Dividend			Sold (part)	06/30/22	J	A	
195.					Sold (part)	06/30/22	K	D	
196.					Sold	06/30/22	J	A	
197. JOHNSON CTLS INTL PLC	B	Dividend	L	T					
198. JPMORGAN CHASE & CO	B	Dividend	L	T	Sold (part)	06/30/22	J	A	
199.					Sold (part)	06/30/22	K	C	
200.					Sold (part)	06/30/22	J	A	
201. JPMORGAN CORE BOND I	A	Dividend	M	T	Buy	06/30/22	J		
202.					Buy (add'l)	12/16/22	J		
203.					Buy (add'l)	12/16/22	K		
204.					Buy (add'l)	12/29/22	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; 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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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)
205.					Buy (add'l)	12/29/22	L		
206. JPMORGAN GLOBAL BD OPPORT I	A	Dividend	K	T	Buy (add'l)	06/30/22	J		
207.					Buy (add'l)	06/30/22	L		
208.					Sold (part)	06/30/22	J		
209.					Sold (part)	12/16/22	J	A	
210.					Sold (part)	12/16/22	K	A	
211.					Sold (part)	12/16/22	J		
212. JP MORGAN ULTRA-SHORT INC ETF	A	Dividend			Sold (part)	01/25/22	J	A	
213.					Sold (part)	01/25/22	J	A	
214.					Sold (part)	01/25/22	J		
215.					Sold	04/06/22	J		
216. KRANESH BOSERA MSCI CHINA A	D	Dividend			Buy (add'l)	06/30/22	J		
217.					Buy (add'l)	06/30/22	J		
218.					Sold (part)	11/17/22	J		
219.					Sold (part)	11/17/22	K		
220.					Sold (part)	11/17/22	J		
221.					Sold (part)	12/29/22	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
	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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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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222.					Sold (part)	12/29/22	K		
223.					Sold	12/30/22	J		
224. MATERIALS SEL SECT SPDR FD	B	Dividend	L	T	Sold (part)	04/06/22	J	A	
225.					Sold (part)	04/06/22	K	C	
226.					Sold (part)	06/30/22	J		
227.					Sold (part)	06/30/22	J		
228. META PLATFORMS INC CL A		None	K	T					
229. METLIFE INCORORATED	A	Dividend	J	T					
230. MICROSOFT CORP	A	Dividend	L	T	Sold (part)	06/30/22	J	A	
231.					Sold (part)	06/30/22	J	C	
232. MORGAN STANLEY	B	Dividend	K	T					
233. Morgan Stanley Bank Deposit	A	Interest	O	T					
234. NETFLIX INC		None			Buy	01/25/22	J		
235.					Buy (add'l)	01/25/22	L		
236.					Sold (part)	06/14/22	J		
237.					Sold	06/14/22	K		
238. NUV NEW YORK AMT-FREE MUNIC	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; 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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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				
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)
239. NUVEEN NEW YORK MUNI VALUE FD	A	Dividend	J	T					
240. PAYPAL HOLDINGS INC		None			Buy	01/25/22	J		
241.					Sold	06/13/22	J		
242. PENN NATIONAL GAMING INC		None			Buy	01/25/22	J		
243.					Sold	06/13/22	J		
244. PIMCO DYNAMIC INCOME FD	D	Dividend			Sold (part)	06/30/22	J		
245.					Sold (part)	06/30/22	J		
246.					Sold (part)	06/30/22	J		
247.					Sold (part)	12/29/22	J		
248.					Sold (part)	12/29/22	L		
249.					Sold	12/29/22	J		
250. REINHART GENESIS PMV ADV		None	L	T	Buy	12/30/22	J		
251.					Buy (add'l)	12/30/22	K		
252.					Buy (add'l)	12/30/22	J		
253. REINHART MIDCAP PMV ADV	C	Dividend			Buy	04/06/22	J		
254.					Buy (add'l)	04/06/22	L		
255.					Buy (add'l)	04/06/22	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
	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.	05/01/2023

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)	06/30/22	J		
257.					Sold (part)	06/30/22	K		
258.					Sold (part)	06/30/22	J		
259.					Sold (part)	09/20/22	K		
260.					Buy (add'l)	12/15/22	J		
261.					Buy (add'l)	12/15/22	J		
262.					Sold (part)	12/30/22	J		
263.					Sold	12/30/22	J		
264. SALIENT MLP&ENERGY INFRASTRUCTURE FD	C	Dividend	L	T	Sold (part)	06/30/22	J	A	
265.					Sold (part)	06/30/22	K	D	
266.					Sold (part)	06/30/22	J	A	
267. SPDR BLOOMBERG 1-3 MONTH TBILL ETF		None	L	T	Buy	12/30/22	J		
268.					Buy (add'l)	12/30/22	L		
269.					Buy (add'l)	12/30/22	J		
270. SPDR GOLD TR GOLD SHS		None	K	T	Sold (part)	06/30/22	J	A	
271.					Sold (part)	06/30/22	K	B	
272.					Sold (part)	06/30/22	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.	05/01/2023

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. SPDR S&P 500 ETF TRUST	B	Dividend	M	T					
274. SNOWFLAKE INC CLASS A		None			Buy	01/25/22	J		
275.					Sold (part)	04/06/22	J		
276.					Sold (part)	04/06/22	K		
277.					Sold (part)	06/14/22	J		
278.					Sold	06/14/22	J		
279. SPOTIFY TECHNOLOGY SA		None			Buy	01/25/22	J		
280.					Sold (part)	04/06/22	J		
281.					Sold (part)	04/06/22	K		
282.					Sold (part)	06/14/22	J		
283.					Sold	06/14/22	K		
284. STARBUCKS CORP	A	Dividend	L	T	Buy	06/13/22	J		
285.					Buy (add'l)	06/30/22	J		
286.					Buy (add'l)	06/30/22	K		
287.					Sold (part)	06/30/22	J	A	
288. THE FINANCIAL SEL SECT SPDR FD	B	Dividend	M	T	Buy (add'l)	06/30/22	J		
289.					Buy (add'l)	06/30/22	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
	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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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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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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290.					Buy (add'l)	06/30/22	J		
291. TRI CONTINENTAL CORP	E	Dividend	O	T	Buy (add'l)	06/22/22	J		
292.					Buy (add'l)	12/20/22	J		
293. UNUMPROVIDENT CORP	A	Dividend	K	T					
294. UTILITIES SEL SECT SPDR FUND	B	Dividend	M	T	Buy (add'l)	06/30/22	J		
295.					Buy (add'l)	06/30/22	K		
296.					Buy (add'l)	06/30/22	J		
297.					Buy (add'l)	12/30/22	J		
298.					Buy (add'l)	12/30/22	K		
299.					Buy (add'l)	12/30/22	J		
300. VANGUARD INFO TECH ETF	B	Dividend	M	T	Sold (part)	06/30/22	J	C	
301.					Buy (add'l)	06/30/22	K		
302.					Buy (add'l)	06/30/22	J		
303. VANGUARD REAL ESTATE ETF	B	Dividend	K	T	Sold (part)	06/30/22	J	A	
304.					Sold (part)	06/30/22	J	C	
305.					Sold (part)	06/30/22	J	A	
306. VANGUARD SM CAP VALUE ETF	A	Dividend			Sold	06/30/22	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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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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307. VICTORY RS INTL A	A	Dividend	J	T					
308. VIRTUS INVESTMENT PARTNERS INC	A	Dividend	J	T					
309. VISA INC CLASS A	A	Dividend	K	T	Buy	01/25/22	J		
310.					Buy (add'l)	06/30/22	J		
311.					Buy (add'l)	06/30/22	K		
312.					Sold (part)	06/30/22	J		
313.					Buy (add'l)	09/20/22	J		
314. WABTEC CORP	A	Dividend	J	T					
315. WALT DISNEY CO HLDG CO		None			Sold (part)	06/30/22	J		
316.					Sold (part)	06/30/22	K		
317.					Sold	06/30/22	J		
318. WISDOMTREE TR INT RT HDG HIGH YIELD BOND	A	Dividend			Sold (part)	01/25/22	J		
319.					Sold	06/30/22	J		
320. WYNN RESORTS LTD		None			Buy	01/25/22	J		
321.					Sold	06/13/22	J		
322. ADOBE INC SHS		None			Buy (add'l)	05/05/22	J		
323.					Sold (part)	09/14/22	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
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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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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)
324.					Sold	09/19/22	J	A	
325. ALPHABET INC SHS CL A		None	K	T	Buy (add'l)	02/09/22	J		
326.					Sold (part)	05/11/22	J		
327.					Sold (part)	09/14/22	J	A	
328. AMAZON COM INC		None	K	T	Buy (add'l)	05/05/22	J		
329.					Sold (part)	09/14/22	J	A	
330.					Buy (add'l)	12/16/22	J		
331. AMER EXPRESS COMPANY	A	Dividend	J	T	Buy	08/18/22	K		
332. AMERICAN TOWER REIT INC (HLDG CO) SHS	A	Dividend	J	T					
333. ANALOG DEVICES INC COM		None	J	T	Buy	12/16/22	J		
334.					Buy (add'l)	12/19/22	J		
335.					Buy (add'l)	12/20/22	J		
336. APPLE INC	B	Dividend	M	T	Sold (part)	03/28/22	J	A	
337.					Buy (add'l)	08/22/22	J		
338.					Buy (add'l)	08/23/22	J		
339.					Buy (add'l)	08/24/22	J		
340.					Buy (add'l)	08/25/22	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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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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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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341.					Buy (add'l)	08/26/22	J		
342. APPLIED MATERIAL INC	A	Dividend	J	T	Sold (part)	05/11/22	J		
343.					Buy (add'l)	08/22/22	J		
344.					Buy (add'l)	08/23/22	J		
345.					Buy (add'l)	08/24/22	J		
346.					Buy (add'l)	08/25/22	J		
347.					Buy (add'l)	11/22/22	J		
348. AVALARA INC		None			Buy (add'l)	02/22/22	J		
349.					Buy (add'l)	02/23/22	J		
350.					Sold (part)	05/05/22	J		
351.					Sold	05/06/22	J		
352. BECTON DICKINSON CO	A	Dividend	J	T	Buy	12/01/22	J		
353. BROADCOM INC	A	Dividend	J	T	Buy	05/05/22	J		
354.					Sold (part)	05/11/22	J		
355.					Buy (add'l)	11/22/22	J		
356. CASH MERRILL LYNCH	A	Interest	L	T					
357. CHENIERE ENERGY	A	Dividend	J	T	Buy	05/05/22	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
	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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	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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358.					Buy (add'l)	05/06/22	J		
359.					Buy (add'l)	08/22/22	J		
360.					Buy (add'l)	08/23/22	J		
361.					Buy (add'l)	08/24/22	J		
362.					Buy (add'l)	08/25/22	J		
363.					Buy (add'l)	08/26/22	J		
364. CHEVRON CORP	A	Dividend	K	T	Buy	12/01/22	J		
365. COSTCO WHOLESALE CRP DEL	A	Dividend	J	T	Sold (part)	03/28/22	J	B	
366.					Buy (add'l)	09/14/22	J		
367. CVS HEALTH CORP	A	Dividend	J	T	Buy	09/14/22	J		
368.					Buy (add'l)	09/15/22	J		
369.					Sold (part)	11/22/22	J		
370. D.R. HORTON INC	A	Dividend			Sold (part)	02/22/22	J	A	
371.					Sold	02/23/22	J	B	
372. DEVON ENERGY CORP NEW	A	Dividend	J	T	Buy	08/18/22	J		
373. DISNEY (WALT) CO COM STK		None	J	T	Buy (add'l)	12/01/22	J		
374. DOVER CORP	A	Dividend			Sold (part)	08/22/22	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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375.					Sold (part)	08/23/22	J	A	
376.					Sold (part)	08/24/22	J	A	
377.					Sold (part)	08/25/22	J	A	
378.					Sold	08/26/22	J	A	
379. EATON CORP PLC	A	Dividend	J	T	Buy	05/05/22	J		
380.					Buy (add'l)	05/06/22	J		
381.					Buy (add'l)	05/09/22	J		
382. EATON VANCE BALANCED FUND CL I	C	Dividend	K	T					
383. ECOLAB INC	A	Dividend			Sold	11/22/22	J		
384. EDWARDS LIFESCIENCES CORP		None	J	T	Sold (part)	05/05/22	J	A	
385.					Buy (add'l)	11/22/22	J		
386. ELI LILLY & CO	A	Dividend	J	T	Buy	05/05/22	J		
387.					Buy (add'l)	05/06/22	J		
388.					Buy (add'l)	05/09/22	J		
389.					Buy (add'l)	09/14/22	J		
390.					Sold (part)	11/22/22	J	A	
391. EPAM SYSTEMS INC SHS		None	J	T	Buy	11/22/22	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; 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.	05/01/2023

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)
392.					Buy (add'l)	11/23/22	J		
393.					Buy (add'l)	11/25/22	J		
394.					Buy (add'l)	11/28/22	J		
395.					Buy (add'l)	11/29/22	J		
396. FIRST REP BK SAN FRNCISC CALIF NEW COM SHARES	A	Dividend			Sold (part)	05/05/22	J		
397.					Sold (part)	05/06/22	J		
398.					Sold	12/09/22	J		
399. FLOOR AND DECOR HLDGS INC		None			Sold	02/14/22	J		
400. FORTIVE CORP SHS		None			Sold (part)	02/22/22	J		
401.					Sold	02/23/22	J		
402. GARTNER INC		None	J	T	Buy	12/16/22	J		
403.					Buy (add'l)	12/19/22	J		
404.					Buy (add'l)	12/20/22	J		
405.					Buy (add'l)	12/21/22	J		
406.					Buy (add'l)	12/22/22	J		
407. GENERAC HLDGS INC		None			Buy (add'l)	02/22/22	J		
408.					Sold (part)	05/11/22	J		

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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	
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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.)*

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

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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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409.					Buy (add'l)	06/13/22	J		
410.					Sold	10/07/22	J		
411. GENL DYNAMICS CORPORATION	A	Dividend	J	T	Buy	02/22/22	J		
412.					Buy (add'l)	02/23/22	J		
413.					Buy (add'l)	05/05/22	J		
414.					Buy (add'l)	05/06/22	J		
415.					Sold (part)	11/10/22	J	A	
416. HESS CORP	A	Dividend	J	T	Buy	03/28/22	J		
417.					Buy (add'l)	03/29/22	J		
418.					Buy (add'l)	03/30/22	J		
419.					Sold (part)	11/10/22	J	A	
420. HEWLETT PACKARD ENTERPRISE CO	A	Dividend	J	T	Buy	05/05/22	J		
421.					Buy (add'l)	05/06/22	J		
422.					Buy (add'l)	05/09/22	J		
423.					Buy (add'l)	05/10/22	J		
424. HONEYWELL INTL INC DEL	A	Dividend	J	T	Sold (part)	12/16/22	J	A	
425.					Sold (part)	12/22/22	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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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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426. IDEXX LAB INC DEL $0.10		None			Sold (part)	05/05/22	J		
427.					Sold	05/06/22	J		
428. INTERACTIVE BROKERS GROU INC	A	Dividend	J	T	Buy	10/18/22	J		
429.					Buy (add'l)	10/19/22	J		
430.					Buy (add'l)	10/20/22	J		
431.					Buy (add'l)	10/21/22	J		
432. INTERCONTINENTAL EXCHANCE INC	A	Dividend	J	T					
433. INTUIT INC COM	A	Dividend	J	T	Sold (part)	03/28/22	J	A	
434. INTUITIVE SURGICAL INC NEW		None	J	T	Sold (part)	05/05/22	J	A	
435.					Sold (part)	12/16/22	J	A	
436. INVESCO QQQ TR SER 1	A	Dividend			Sold	08/18/22	J	B	
437. ISHARES CORE U.S. AGGREGATE BOND ETF	A	Dividend			Sold	02/14/22	J		
438. ISHARES NATIONAL MUNI BOND ETF	A	Dividend	K	T					
439. ISHARES RUSSELL 1000 GROWTH		None			Sold	01/20/22	J		
440. ISHARES SILVER TR		None	J	T	Buy	02/14/22	J		
441. ISHARES TIPS BOND ETF	B	Dividend	K	T					
442. ISHARES U.S. REAL ESTATE	A	Dividend			Sold	08/18/22	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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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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443. JPMORGAN CHASE & CO	A	Dividend	J	T					
444. LAUDER ESTEE COS INC A	A	Dividend			Sold (part)	05/05/22	J	A	
445.					Sold	05/06/22	J	A	
446. LOWE'S COMPANIES INC	A	Dividend			Sold (part)	02/22/22	J		
447.					Sold	03/28/22	J	C	
448. LULULEMON ATHLETICA INC		None	J	T	Buy	11/10/22	J		
449.					Buy (add'l)	11/11/22	J		
450. MARVELL TECH INC	A	Dividend			Sold (part)	01/24/22	J	A	
451.					Sold	05/02/22	J		
452. MASTERCARD INC	A	Dividend	J	T	Sold (part)	05/11/22	J	A	
453. MCDONALDS CORP COM	A	Dividend	K	T					
454. MERCK AND CO INC SHS	A	Dividend	J	T	Buy	08/18/22	J		
455.					Buy (add'l)	12/09/22	J		
456. META PLATFORMS INC CLASS A COMMON STOCK		None			Buy (add'l)	03/28/22	J		
457.					Sold (part)	05/05/22	J		
458.					Buy (add'l)	08/22/22	J		
459.					Buy (add'l)	08/23/22	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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460.					Buy (add'l)	08/24/22	J		
461.					Buy (add'l)	08/25/22	J		
462.					Buy (add'l)	08/26/22	J		
463.					Sold	09/14/22	J		
464. MICROSOFT CORP	A	Dividend	L	T	Buy (add'l)	02/09/22	J		
465.					Sold (part)	05/05/22	J		
466.					Sold (part)	12/22/22	J	B	
467. NETFLIX COM INC		None			Sold	01/24/22	J	A	
468. NVIDIA	A	Dividend	K	T	Sold (part)	09/01/22	J	D	
469.					Buy (add'l)	11/22/22	J		
470.					Sold (part)	12/30/22	J		
471. NY GO BD Mar 13	A	Interest	K	T					
472. O'REILLY AUTOMOTIVE INC		None	J	T	Sold (part)	02/22/22	J	B	
473.					Sold (part)	08/22/22	J	A	
474.					Sold (part)	11/22/22	J	B	
475. PAYPAL HOLDINGS INC SHS		None			Sold	02/22/22	J		
476. PEPSICO INC		None	J	T	Buy	09/14/22	J		

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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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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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477.					Buy (add'l)	10/18/22	J		
478. PROCTER & GAMBLE CO		None	J	T	Buy	12/22/22	J		
479. PROGRESSIVE CRP OHIO	A	Dividend	J	T	Buy	09/14/22	J		
480. ROKU INC		None			Buy	01/20/22	J		
481.					Sold	01/24/22	J		
482. SALESFORCE.COM INC		None			Sold (part)	02/09/22	J	A	
483.					Sold (part)	03/28/22	J	A	
484.					Sold	05/05/22	J	A	
485. SECTOR SPDR UTILITIES	A	Dividend	J	T					
486. SERVICENOW INC		None	J	T	Buy (add'l)	11/22/22	J		
487. SIGNATURE BANK	A	Dividend			Buy	02/22/22	J		
488.					Buy (add'l)	02/23/22	J		
489.					Sold (part)	05/05/22	J		
490.					Sold	05/06/22	J		
491. SPDR GOLD TRUST		None			Sold	05/02/22	J	A	
492. SPDR S&P 500 ETF TRUST	A	Dividend	K	T					
493. SPDR US FINANCIAL SECTOR ETF	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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494. SPOTIFY TECH S.A. REG SHS		None	J	T					
495. TARGET CORP	A	Dividend			Buy	05/05/22	J		
496.					Buy (add'l)	05/06/22	J		
497.					Buy (add'l)	05/09/22	J		
498.					Buy (add'l)	08/22/22	J		
499.					Buy (add'l)	08/23/22	J		
500.					Buy (add'l)	08/24/22	J		
501.					Buy (add'l)	08/25/22	J		
502.					Buy (add'l)	08/26/22	J		
503.					Sold	11/22/22	J		
504. TESLA INC		None			Buy (add'l)	02/22/22	J		
505.					Sold (part)	05/05/22	J	A	
506.					Buy (add'l)	09/14/22	J		
507.					Buy (add'l)	09/19/22	J		
508.					Sold (part)	11/10/22	J		
509.					Sold (part)	12/22/22	J		
510.					Sold	12/23/22	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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	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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511. TEXAS INSTRUMENTS	A	Dividend	J	T					
512. THERMO FISHER SCIENTIFIC INC	A	Dividend	J	T	Sold (part)	12/16/22	J	B	
513. TJX COS INC NEW	A	Dividend	J	T	Sold (part)	09/14/22	J	A	
514.					Sold (part)	12/16/22	J	A	
515.					Sold (part)	12/22/22	J	A	
516. T-MOBILE US INC SHS		None	J	T	Buy	09/14/22	J		
517. TORONTO DOMINION BANK	A	Dividend			Buy	05/05/22	J		
518.					Buy (add'l)	05/06/22	J		
519.					Sold (part)	08/22/22	J		
520.					Sold	08/23/22	J		
521. UBER TECHNOLOGIES INC		None			Sold (part)	01/24/22	J		
522.					Buy (add'l)	02/22/22	J		
523.					Sold	05/05/22	J		
524. U.S. TREASURY BILL ZERO% FEB 16 2023		None	K	T	Buy	08/18/22	K		
525. U.S. TREASURY BILL ZERO% MAR 07 2023		None	K	T	Buy	12/30/22	K		
526. UNITEDHEALTH GROUP INC	A	Dividend	J	T	Sold (part)	05/05/22	J	B	
527.					Sold (part)	08/22/22	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.	05/01/2023

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)
528. VANGUARD FTSE DEVELOPED MARKETS ETF	A	Dividend			Sold	05/02/22	J		
529. VANGUARD GROWTH ETF	A	Dividend	J	T	Sold (part)	01/24/22	K	D	
530.					Sold (part)	12/08/22	J	A	
531. VANGUARD INDEX FDS MID-CAP GROWTH INDEX	A	Dividend	J	T	Sold (part)	12/08/22	J	A	
532. VANGUARD TOTAL BOND MKT	A	Dividend			Sold	05/02/22	J		
533. VANGUARD VALUE ETF	A	Dividend	K	T	Sold (part)	12/08/22	J	A	
534. VISA INC CL A SHRS	A	Dividend	K	T	Buy (add'l)	02/22/22	J		
535. WELLTOWER INC	A	Dividend			Buy	05/05/22	J		
536.					Buy (add'l)	05/06/22	J		
537.					Buy (add'l)	05/09/22	J		
538.					Buy (add'l)	05/10/22	J		
539.					Sold (part)	12/16/22	J		
540.					Sold (part)	12/19/22	J		
541.					Sold	12/20/22	J		
542. WESTLAKE CORP	A	Dividend	J	T	Buy	05/05/22	J		
543.					Buy (add'l)	05/06/22	J		
544.					Buy (add'l)	05/09/22	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
	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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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.	05/01/2023

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)
545.					Buy (add'l)	08/22/22	J		
546.					Buy (add'l)	08/23/22	J		
547.					Buy (add'l)	08/24/22	J		
548.					Buy (add'l)	08/25/22	J		
549.					Buy (add'l)	08/26/22	J		
550.					Sold (part)	12/16/22	J		
551.					Sold (part)	12/29/22	J		
552.					Sold (part)	12/30/22	J		
553. ZOETIS INC	A	Dividend	J	T					
554. Guardian Global Utilities VIP Fund		None	J	T					
555. Guardian Integrated Research VIP Fund		None	J	T					
556. Guardian Large Cap Disciplined Growth VIP Fund		None	J	T					
557. Guardian Large Cap Disciplined Value VIP		None	J	T					
558. Guardian Large Cap Fundamental Growth VIP Fund		None	J	T					
559. Guardian Mid Cap Relative Value VIP Fund		None	J	T					
560. Guardian Mid Cap Traditional Growth VIP Fund		None	J	T					
561. Guardian Small Cap Core VIP Fund		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; 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.	05/01/2023

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)
562. Guardian Small-Mid Cap Core VIP Fund		None	J	T					
563. Guardian Strategic Large Cap Core VIP Fund		None	J	T					
564. MFS VIT New Discovery Series SC		None	J	T					
565. MFS VIT Technology Portfolio SC		None	J	T					
566. Putnam VT Large Cap Value Fund IB		None	J	T					
567. Guardian International Equity VIP Fund		None	J	T					
568. Guardian International Growth VIP Fund		None	J	T					
569. Guardian Core Fixed Income VIP Fund		None	J	T					
570. Guardian Core Plus Fixed Income VIP Fund		None	J	T					
571. Guardian Multi-Sector Bond VIP Fund		None	J	T					
572. Guardian Short Duration Bond VIP Fund		None	J	T					
573. Guardian U.S. Government Securities VIP Fund		None	J	T					
574. Victory Incore Investment Quality Bond VIP Series		None	J	T					
575. 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.	05/01/2023

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 554 through 575 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.	05/01/2023

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
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