AO 10
Rev. 1/2021

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
Moody, Jr., James S.	U.S. District Court, Middle District of Florida	08/12/2022
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 Court Judge - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
U.S. District Court 801 North Florida Avenue Tampa, FL 33602		

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.	Trustee	Trust #1 (reportable assets are included in Part VII)
2.		
3.		
4.		
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
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.			
2.			
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.		
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.	Merrill Lynch	Margin Loan	O
2.			
3.			
4.			
5.			

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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. Individual Assets (H)									
2. Suntrust (cash)	A	Interest	J	T					
3. Moody Investments Family Limited Partnership	G	Int./Div.	P1	U					
4. Missouri Midway		None	K	U					
5. Investment Property #1, Longboat Key, FL	D	Rent	N	W					
6. Investment Property #2, Celo, NC		None	O	W					
7. Investment Property #3, Highlands, NC		None			Sold	01/04/21	M	D	Yamada Family Holdings, LLLP
8. Investment Property #4, Highlands, NC	E	Rent	O	W					
9. Investment Property #5, Plant City, FL	E	Rent	O	W					
10. Investment Property #6, Tampa, FL	E	Rent	M	W					
11. Investment Property #7, Tampa FL	E	Rent	M	W					
12. Investment Property #8, Tampa FL	E	Rent	M	W					
13. Investment Property #9, Tampa FL	E	Rent	O	W					
14. Investment Property #10, Tampa FL	E	Rent	N	W					
15. Investment Property #11, Tampa FL	E	Rent	M	W					
16. Investment Property #12, Treasure Island, FL (50% interest)	F	Rent	M	W					
17. Investment Property #13, Treasure Island, FL (50% interest)	F	Rent	M	W					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Moody, Jr., James S.	08/12/2022

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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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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18. Investment Property #14, Gainesville, FL		None	N	W					
19. Investment Property #15, Highlands, NC		None	P1	W					
20. Gulf to Bay Partners, LLC (real estate, Clearwater, FL)		None	N	W					
21. Account #1 (H)									
22. ML Bank Deposit Program (cash)	A	Interest	M	T					
23. Ace Convergence Acquisition Corp (ACEV)		None	J	T	Buy	02/17/21	J		
24. Akoustis Technologies (AKTS)		None	K	T	Sold (part)	02/11/21	K	E	
25.					Sold (part)	02/22/21	J	D	
26.					Buy (add'l)	02/24/21	K		
27. Aphria Inc SHS (APHQF)		None			Sold	02/22/21	K	C	
28. Arcturus Therapeutics Holdings (ARCT)		None			Buy	01/11/21	L		
29.					Buy (add'l)	01/25/21	L		
30.					Sold (part)	06/21/21	K		
31.					Buy (add'l)	07/27/21	L		
32.					Sold (part)	08/23/21	K		
33.					Sold	09/20/21	L	E	
34. Ardelyx Inc SH A (ARDX)		None			Sold	04/20/21	K	D	

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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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35. Aurora Innovation Inc (AUR)		None	J	T	Buy	04/15/21	J		
36. Calyxt Inc Reg SHS (CLXT)		None	J	T					
37. Cloudera Inc (CLDR)		None			Sold (part)	02/18/21	K		
38.					Sold (part)	02/22/21	J	D	
39.					Buy (add'l)	02/24/21	L		
40.					Sold (part)	06/21/21	J		
41.					Sold	07/01/21	K		
42. Crucible Acquisition Corp (CRUU)		None	K	T	Buy	02/08/21	K		
43. Editas Medicine Inc Shs (EDIT)		None	M	T	Sold (part)	01/19/21	M	F	
44.					Buy (add'l)	01/21/21	M		
45.					Sold (part)	06/21/21	L	D	
46.					Buy (add'l)	07/27/21	L		
47.					Sold (part)	08/23/21	L		
48. Eventbrite Inc Reg Shs Cl A (EB)		None	L	T	Sold (part)	03/22/21	L	D	
49.					Buy (add'l)	03/25/21	L		
50. Everspin Technologies (MRAM)		None	K	T					
51. Intellia Therapeutics (NTLA)		None			Sold (part)	01/07/21	J	B	

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52.					Sold (part)	01/15/21	K	D	
53.					Sold	01/19/21	J	B	
54. Fathom Digital MFG Corp (FATH)		None	J	T	Buy	03/29/21	J		
55. Founder Spac Reg Shs Cl A (FOUN)		None	K	T	Buy	12/06/21	K		
56. Kaleido Biosciences Inc (KLDO)		None	J	T	Buy (add'l)	03/25/21	J		
57. Liberty Media Acquisition Corp (LMACU)		None	J	T	Buy	02/17/21	J		
58. Lumentum Holdings Inc (LITE)		None			Sold	11/22/21	L	D	
59. OKTA Inc Reg SHS (OKTA)		None	M	T	Sold (part)	01/19/21	N	E	
60.					Buy (add'l)	01/21/21	N		
61.					Sold (part)	02/22/21	N	E	
62.					Buy (add'l)	02/24/21	N		
63. On SemiConductor Crp Com		None			Sold (part)	01/15/21	K	C	
64.					Buy (add'l)	01/21/21	K		
65.					Sold (part)	02/22/21	K	B	
66.					Buy (add'l)	02/24/21	K		
67.					Sold	08/23/21	K		
68. Pliant Therapeutics Inc (PLRX)		None	J	T	Buy	02/17/21	K		

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69. Shapeways Holdings Inc (SHPW)		None	J	T	Buy	05/26/21	J		
70. Sorrento Therapeutics (SRNE)		None	J	T	Buy (add'l)	01/21/21	J		
71. Spero Therapeutics Inc (SPRO)		None	K	T	Sold (part)	08/23/21	J	B	
72.					Buy (add'l)	08/25/21	K		
73.					Sold (part)	09/20/21	K	D	
74.					Buy (add'l)	09/22/21	K		
75. Vicarious Surgical Inc (RBOT)		None	K	T	Buy	06/25/21	K		
76. Yext Inc (YEXT)		None	K	T					
77. Zuora Inc Cl A (ZUO)		None			Sold (part)	03/22/21	K	A	
78.					Buy (add'l)	03/25/21	K		
79.					Sold (part)	06/21/21	K	C	
80.					Buy (add'l)	06/23/21	K		
81.					Sold	11/22/21	K	C	
82. Calamos Strat Tot Return (CSQ)	B	Dividend	K	T					
83. CALL SPRO EXP 3/19/2021		None			Buy	02/05/21	J		
84.					Expired	03/19/21	J		
85. CALL SPRO EXP 5/21/2021		None			Buy	03/24/21	J		

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86.					Expired	05/21/21	J		
87. CALL SPRO EXP 6/18/2021		None			Buy	05/25/21	J		
88.					Expired	06/18/21	J		
89. CALL SPRO EXP 7/16/2021		None			Buy	06/22/21	J		
90.					Expired	07/16/21	J		
91. CALL SPRO EXP 8/20/2021		None			Buy	07/20/21	J		
92.					Sold	08/20/21	J		
93. CALL SPRO EXP 9/17/2021		None			Buy	07/20/21	J		
94.					Sold	09/17/21	J		
95. CALL SPRO EXP 10/15/2021		None			Buy	09/21/21	J		
96.					Expired	10/15/21	J		
97. CALL SPRO EXP 12/17/2021		None			Buy	10/20/21	J		
98.					Expired	12/17/21	J		
99. CALL SPRO EXP 1/21/2022		None	J	T	Buy	12/21/21	J		
100. CALL OKTA EXP 2/19/2021		None			Sold	01/20/21	J		
101. CALL OKTA EXP 3/19/2021		None			Buy	02/23/21	J		
102.					Expired	03/19/21	J		

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103. CALL OKTA EXP 7/16/21		None			Buy	05/25/21	J		
104.					Expired	07/16/21	J		
105. CALL OKTA EXP 9/17/2021		None			Buy	07/20/21	J		
106.					Expired	09/17/21	J		
107. CALL OKTA EXP 11/19/21		None			Buy	09/21/21	J		
108.					Expired	11/19/21	J		
109. CALL OKTA EXP 1/21/2022		None	J	T	Buy	12/21/21	J		
110. CALL EDIT EXP 1/15/21		None			Sold	01/05/21	J		
111. CALL EDIT EXP 2/19/21		None			Buy	01/20/21	J		
112.					Expired	02/19/21	J		
113. CALL EDIT EXP 3/19/2021		None			Buy	01/20/21	J		
114.					Sold	02/23/21	J		
115. CALL EDIT EXP 4/16/2021		None			Buy	02/23/21	J		
116.					Sold	03/24/21	J		
117. CALL EDIT EXP 5/21/2021		None			Buy	03/24/21	J		
118.					Sold	03/24/21	J		
119. CALL EDIT EXP 6/18/2021		None			Buy	06/01/21	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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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.					Sold	06/21/21	J		
121. CALL EDIT EXP 09/17/21		None			Buy	07/26/21	J		
122.					Expired	09/17/21	J		
123. CALL EDIT EXP 10/15/21		None			Buy	09/08/21	J		
124.					Expired	10/15/21	J		
125. CALL EDIT EXP 11/19/2021		None			Buy	10/20/21	J		
126.					Expired	11/19/21	J		
127. CALL EDIT EXP 12/17/2021		None			Buy	10/20/21	J		
128.					Expired	12/17/21	J		
129. CALL EDIT EXP 1/21/2022		None	J	T	Buy	11/22/21	J		
130.					Buy (add'l)	12/20/21	J		
131. CALL ARCT EXP 3/19/2021		None			Buy	01/20/21	J		
132.					Sold	01/22/21	J		
133. CALL ARCT EXP 6/18/2021		None			Buy	04/29/21	J		
134.					Sold	06/01/21	J		
135. CALL ARCT EXP 9/17/2021		None			Buy	07/26/21	J		
136.					Sold	09/17/21	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
	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)
137. CALL LITE EXP 2/19/2021		None			Expired	02/19/21	J		
138. CALL LITE EXP 3/19/2021		None			Buy	02/23/21	J		
139.					Expired	03/19/21	J		
140. CALL LITE EXP 5/21/21		None			Buy	03/24/21	J		
141.					Expired	05/21/21	J		
142. CALL LITE EXP 8/20/2021		None			Buy	06/22/21	J		
143.					Expired	08/20/21	J		
144. CALL LITE EXP 9/17/2021		None			Buy	08/24/21	J		
145.					Expired	09/17/21	J		
146. CALL LITE EXP 11/19/2021		None			Buy	09/21/21	J		
147.					Sold	11/19/21	J		
148. CALL EB EXP 2/19/2021		None			Expired	02/19/21	J		
149. CALL EB EXP 3/19/2021		None			Buy	02/23/21	J		
150.					Sold	03/19/21	J		
151. CALL EB EXP 5/21/2021		None			Buy	03/24/21	J		
152.					Expired	05/21/21	J		
153. CALL EB EXP 7/16/2021		None			Buy	05/25/21	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
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)
154.					Expired	07/16/21	J		
155. CALL EB EXP 9/17/2021		None			Buy	07/20/21	J		
156.					Expired	09/17/21	J		
157. CALL EB EXP 11/19/2021		None			Buy	09/21/21	J		
158.					Expired	11/19/21	J		
159. CALL AKTS EXP 2/19/2021		None			Sold	02/11/21	J		
160. CALL AKTS EXP 3/19/2021		None			Buy	02/23/21	J		
161.					Expired	03/19/21	J		
162. CALL AKTS EXP 5/21/2021		None			Buy	03/24/21	J		
163.					Expired	05/21/21	J		
164. CALL CLDR EXP 2/19/21		None			Sold	02/18/21	J		
165. CALL CLDR EXP 3/19/2021		None			Buy	02/23/21	J		
166.					Expired	03/19/21	J		
167. CALL NTLA EXP 1/15/21		None			Sold (part)	01/06/21	J		
168.					Sold	01/14/21	K		
169. CALL ON EXP 2/19/2021		None			Buy	01/20/21	J		
170.					Sold	02/19/21	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
	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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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. CALL ON EXP 4/16/2021		None			Buy	02/23/21	J		
172.					Expired	04/16/21	J		
173. CALL ON EXP 5/21/2021		None			Buy	04/20/21	J		
174.					Expired	05/21/21	J		
175. CALL ARDX EXP 1/15/2021		None			Expired	01/15/21	J		
176. CALL SRNE EXP 3/19/2021		None			Buy	01/20/21	J		
177.					Expired	03/19/21	J		
178. CALL YEXT EXP 3/19/2021		None			Buy	01/22/21	J		
179.					Expired	03/19/21	J		
180. CALL ZUO EXP 3/19/2021		None			Buy	01/20/21	J		
181.					Sold	03/19/21	J		
182. CALL ZUO EXP 6/18/2021		None			Buy	05/25/21	J		
183.					Sold	06/21/21	J		
184. CALL ZUO EXP 11/19/2021		None			Buy	09/21/21	J		
185.					Sold	11/19/21	J		
186. Account #2 (H)									
187. ML Bank Deposit Program (cash)	A	Interest	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; 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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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. Alector Inc (ALEC)		None	K	T					
189. Annaly Cap Mgmnt (NLY)	C	Dividend	K	T					
190. Arcturus Therapeutics Holdings (ARCT)		None	L	T	Buy	11/23/21	K		
191.					Buy (add'l)	11/24/21	K		
192. Ares Capital Corp (ARCC)	B	Dividend	K	T					
193. Bank of America Corp (BAC)	D	Dividend	N	T					
194. Beam Therapeutics Inc (BEAM)		None	K	T					
195. BP PLC (BP)	B	Dividend	K	T					
196. Calyxt Inc Reg Shs (CLXT)		None	J	T					
197. Canopy Growth Corp (CGC)		None	J	T					
198. Hookipa Pharma Inc (HOOK)		None	J	T					
199. Tilray Inc Reg Shs-2 (TLRY)		None	J	T					
200. Vivendi SHS UNSP ADR (VIVHY)	D	Dividend	J	T					
201. Yiren Digital Ltd (YRD)		None	J	T					
202. Calamos Strat Tot Return (CSQ)	B	Dividend	K	T					
203. PUT ZUO EXP 1/21/2022		None	J	T	Buy	11/22/21	J		
204. PUT WYNN EXP 3/19/2021		None			Buy	02/23/21	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; 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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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.					Expired	03/19/21	J		
206. PUT WYNN EXP 01/21/2022		None	J	T	Buy	11/22/21	J		
207. PUT RCL EXP 1/21/2022		None	J	T	Buy	12/21/21	J		
208. PUT FSR EXP 1/21/2022		None	J	T	Buy	11/22/21	J		
209. PUT ANET EXP 9/17/2021		None			Buy	07/23/21	J		
210.					Expired	09/17/21	J		
211. PUT ANET EXP 10/15/21		None			Buy	09/20/21	J		
212.					Expired	10/15/21	J		
213. CALL ARCT EXP 1/21/2022		None	J	T	Buy	11/23/21	J		
214. PUT ARCT EXP 9/17/2021		None			Buy	08/23/21	J		
215.					Expired	09/17/21	J		
216. PUT ARCT EXP 10/15/21		None			Buy	09/20/21	J		
217.					Expired	10/15/21	J		
218. PUT ARCT EXP 11/19/21		None			Buy	10/19/21	J		
219.					Sold	11/19/21	J		
220. PUT BMRN EXP 1/21/2022		None	J	T	Buy	11/23/21	J		
221. PUT CRSP EXP 2/19/21		None			Buy	01/20/21	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; 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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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)
222.					Sold	02/19/21	J		
223. PUT EDIT EXP 9/17/2021		None			Buy	08/23/21	J		
224.					Expired	09/17/21	J		
225. PUT EDIT EXP 10/15/2021		None			Buy	09/20/21	J		
226.					Sold	10/15/21	J		
227. PUT OKTA EXP 1/15/2021		None			Expired	01/15/21	J		
228. PUT PI EXP 3/19/2021		None			Buy	02/25/21	J		
229.					Expired	03/19/21	J		
230. PUT PI EXP 4/16/2021		None			Buy	03/24/21	J		
231.					Expired	04/16/21	J		
232. Account #3 (H)									
233. ML Bank Deposit Program (cash)	A	Interest	K	T					
234. BP PLC (BP)	A	Dividend	J	T					
235. Exxon Mobil Corp (XOM)	A	Dividend	J	T					
236. Valero Energy Corp (VLO)	A	Dividend	K	T					
237. Wells Fargo & Co (WFC)	A	Dividend	J	T					
238. Account #4 (H)									

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.)*

☐ 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)
239. ML Bank Deposit Program (cash)	A	Interest	K	T					
240. BP PLC (BP)	A	Dividend	K	T					
241. Exxon Mobil Corp (XOM)	A	Dividend	J	T					
242. Truist Finl Corp (TFC)	A	Dividend	J	T					
243. Valero Energy Corp (VLO)	A	Dividend	K	T					
244. Wells Fargo & Co (WFC)	A	Dividend	K	T					
245. Account #5 (H)									
246. ML Bank Deposit Program (cash)	A	Interest	N	T					
247. Overstock.com Inc	A	Dividend	K	T					
248. Ace Convergence Acquisition Corp (ACEV)		None	J	T	Buy	02/17/21	J		
249. Akoustis Technologies (AKTS)		None	J	T	Sold (part)	02/11/21	L	E	
250. Applovin Corp Com (APP)		None			Buy	04/26/21	J		
251.					Buy (add'l)	04/27/21	K		
252.					Buy (add'l)	08/25/21	K		
253.					Sold	10/19/21	L		
254. Arcturus Therapeutics Holdings (ARCT)		None	M	T	Buy	01/11/21	L		
255.					Sold (part)	06/21/21	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; U =Book Value; V =Other; W =Estimated

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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)
256.					Buy (add'l)	07/27/21	K		
257.					Buy (add'l)	11/24/21	L		
258.					Buy (add'l)	12/22/21	K		
259. Ardelyx Inc Shs (ARDX)		None	J	T	Sold (part)	04/21/21	K	D	
260.					Buy (add'l)	04/21/21	K		
261. Aurora Innovation Inv (AUR)		None	J	T	Buy	04/15/21	J		
262. Aurora Cannabis Inc (ACB)		None			Sold	01/06/21	J		
263. Avidity Biosciences Inc (RNA)		None	K	T	Buy	02/25/21	K		
264. BP PLC (BP)	B	Dividend	K	T					
265. Cloudera Inc (CLDR)		None			Buy (add'l)	02/24/21	L		
266.					Sold (part)	02/22/21	L	D	
267.					Buy (add'l)	02/24/21	L		
268.					Sold (part)	06/21/21	K		
269.					Sold	07/01/21	K		
270. Codiak Biosciences Inc (CDAK)		None	K	T	Buy	04/26/21	K		
271. Colicity Inc Units (COLIU)		None	K	T	Buy	03/11/21	K		
272. Crucible Acquisition Corp (CRUU)		None	J	T	Buy	02/08/21	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; 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

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. Editas Medicine Inc Shs (EDIT)		None	L	T	Sold (part)	01/06/21	J		
274.					Buy (add'l)	01/06/21	L		
275.					Sold (part)	01/19/21	L		
276.					Buy (add'l)	01/21/21	M		
277.					Sold (part)	08/23/21	L	A	
278. Endo Intl PLC Shs (ENDP)		None	K	T	Sold (part)	02/22/21	K		
279.					Buy (add'l)	02/24/21	K		
280. Energous Corp Shs (WATT)		None			Sold (part)	03/22/21	J		
281.					Buy (add'l)	03/24/21	J		
282.					Sold	10/21/21	J		
283. Eventbrite Inc Reg Shs (EB)		None			Sold	01/19/21	L		
284. Everspin Technologies (MRAM)		None	L	T					
285. Fathom Digital MFG Corp (FATH)		None	K	T	Buy	03/29/21	K		
286. Heron Therapeutics Inc (HRTX)		None	J	T					
287. Intellia Therapeutics (NTLA)		None			Sold (part)	01/04/21	K		
288.					Sold	01/14/21	L	D	
289. Invitae Corp (NVTA)		None	K	T	Sold (part)	01/19/21	M	E	

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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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 (add'l)	01/21/21	M		
291.					Sold (part)	06/21/21	K		
292.					Buy (add'l)	07/27/21	J		
293. Kaleido Biosciences Inc (KLDO)		None	J	T					
294. Karyopharm Therapeutics (KPTI)		None	J	T					
295. Liberty Media Acquisition Corp (LMACU)		None	J	T	Buy	02/17/21	J		
296. Lumentum Holdings Inc (LITE)		None			Sold	11/22/21	M	D	
297. Microvision Inc (MVIS)		None			Sold	02/22/21	K	D	
298. New Relic Inc (NEWR)		None			Sold (part)	06/21/21	L		
299.					Buy (add'l)	06/23/21	L		
300.					Sold	11/22/21	L	D	
301. Nightdragon Acquisition Corp (NDACU)		None	K	T	Buy	03/22/21	K		
302. Nkarta Inc (NKTX)		None	J	T	Buy	07/01/21	K		
303. Okta Inc Reg Shs Cl A (OKTA)		None	N	T	Sold (part)	01/19/21	N	E	
304.					Buy (add'l)	01/21/21	N		
305.					Sold (part)	02/22/21	N	E	
306.					Buy (add'l)	02/24/21	N		

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.)*

☐ 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)
307.					Buy (add'l)	03/25/21	M		
308.					Sold (part)	09/20/21	N		
309.					Buy (add'l)	09/22/21	N		
310. Pagerduty Inc Reg Shs (PD)		None	L	T	Sold (part)	01/19/21	L	D	
311.					Buy (add'l)	01/21/21	L		
312.					Sold (part)	02/22/21	M	D	
313.					Buy (add'l)	02/24/21	L		
314. Pliant Therapeutics Inc (PLRX)		None	J	T	Buy	02/17/21	K		
315. Precision Biosciences (DTIL)		None	K	T	Sold (part)	02/22/21	K	B	
316.					Buy (add'l)	02/24/21	K		
317. Revolution Healthcare Acquisitions (REVHU)		None	K	T	Buy	04/27/21	K		
318. Shapeways Holdings Inc (SHPW)		None	J	T	Buy	05/26/21	K		
319. Sorrento Therapeutics (SRNE)		None	K	T	Sold (part)	02/22/21	K	D	
320.					Buy (add'l)	02/24/21	K		
321. Talend SA (TLND)		None			Sold	03/22/21	K	C	
322. Vicarious Surgical Inc (RBOT)		None	K	T	Buy	06/25/21	K		
323. Yext Inc (YEXT)		None	K	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		

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)
324. Zuora Inc Cl A (ZUO)		None			Sold (part)	03/22/21	K	A	
325.					Buy (add'l)	03/24/21	K		
326.					Sold (part)	06/21/21	K	C	
327.					Buy (add'l)	06/23/21	K		
328.					Sold (part)	11/09/21	J	A	
329.					Sold	11/22/21	K	B	
330. CALL PD EXP 1/15/2021		None			Sold	01/15/21	J		
331. CALL PD EXP 2/19/2021		None			Buy	01/20/21	J		
332.					Sold	02/19/21	J		
333. CALL PD EXP 3/19/2021		None			Buy	02/23/21	J		
334.					Expired	03/19/21	J		
335. CALL PD EXP 4/16/2021		None			Buy	03/23/21	J		
336.					Expired	04/16/21	J		
337. CALL PD EXP 6/18/2021		None			Buy	04/20/21	J		
338.					Expired	06/18/21	J		
339. CALL PD EXP 8/20/2021		None			Buy	06/22/21	J		
340.					Expired	08/20/21	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
	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)
341. CALL PD EXP 10/15/2021		None			Buy	08/24/21	J		
342.					Expired	10/15/21	J		
343. CALL PD EXP 12/17/21		None			Buy	10/19/21	J		
344.					Expired	12/17/21	J		
345. CALL OKTA EXP 1/15/2021		None			Sold	01/15/21	J		
346. CALL OKTA EXP 2/19/2021		None			Buy	01/20/21	J		
347.					Sold	02/19/21	J		
348. CALL OKTA EXP 3/19/2021		None			Buy	02/23/21	J		
349.					Expired	03/19/21	J		
350. CALL OKTA EXP 5/21/2021		None			Buy	03/24/21	J		
351.					Expired	05/21/21	J		
352. CALL OKTA EXP 6/18/2021		None			Buy	05/25/21	J		
353.					Expired	06/18/21	J		
354. CALL OKTA EXP 8/20/2021		None			Buy	06/22/21	J		
355.					Expired	08/20/21	J		
356. CALL OKTA EXP 9/17/2021		None			Buy	08/24/21	J		
357.					Sold	09/17/21	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; 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)
358. CALL OKTA EXP 10/15/2021		None			Buy	08/24/21	J		
359.					Expired	10/15/21	J		
360. CALL OKTA EXP 11/19/2021		None			Buy	10/19/21	J		
361.					Expired	11/19/21	J		
362. CALL OKTA EXP 12/17/2021		None			Buy	10/19/21	J		
363.					Expired	12/17/21	J		
364. CALL ARCT EXP 3/19/2021		None			Buy	01/20/21	J		
365.					Expired	03/19/21	J		
366. CALL ARCT EXP 5/21/2021		None			Buy	03/23/21	J		
367.					Expired	05/21/21	J		
368. CALL ARTC EXP 10/15/2021		None			Buy	08/24/21	J		
369.					Expired	10/15/21	J		
370. CALL ARCT EXP 12/17/2021		None			Buy	10/19/21	J		
371.					Expired	12/17/21	J		
372. CALL ARCT EXP 1/21/2022		None	J	T	Buy	11/22/21	J		
373. CALL EDIT EXP 1/15/2021		None			Sold	01/15/21	L		
374. CALL EDIT EXP 2/19/21		None			Buy	01/05/21	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; 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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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)
375.					Sold	01/20/21	J		
376. CALL EDIT EXP 3/19/2021		None			Buy	01/20/21	J		
377.					Sold	02/23/21	J		
378. CALL EDIT EXP 4/16/2021		None			Buy	02/23/21	J		
379.					Expired	04/16/21	J		
380. CALL EDIT EXP 5/21/2021		None			Buy	03/23/21	J		
381.					Expired	05/21/21	J		
382. CALL EDIT EXP 7/16/2021		None			Buy	05/25/21	J		
383.					Expired	07/16/21	J		
384. CALL EDIT EXP 8/20/2021		None			Buy	07/20/21	J		
385.					Sold	08/20/21	J		
386. CALL EDIT EXP 9/17/2021		None			Buy	08/24/21	J		
387.					Sold	09/08/21	J		
388. CALL EDIT EXP 10/15/2021		None			Buy	09/08/21	J		
389.					Expired	10/15/21	J		
390. CALL APP EXP 10/15/21		None			Buy	08/24/21	J		
391.					Sold	10/15/21	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; 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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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. CALL MVIS EXP 2/19/2021		None			Sold	02/19/21	J		
393. CALL NEWR EXP 2/19/2021		None			Expired	02/19/21	J		
394. CALL NEWR EXP 8/20/2021		None			Buy	06/22/21	J		
395.					Expired	08/20/21	J		
396. CALL NEWR EXP 9/17/2021		None			Buy	08/24/21	J		
397.					Expired	09/17/21	J		
398. CALL NEWR EXP 11/19/2021		None			Buy	09/21/21	J		
399.					Sold	11/19/21	J		
400. CALL LITE EXP 2/19/2021		None			Expired	02/19/21	J		
401. CALL LITE EXP 3/19/2021		None			Buy	02/23/21	J		
402.					Sold	03/19/21	J		
403. CALL LITE EXP 5/21/2021		None			Buy	03/23/21	J		
404.					Expired	05/21/21	J		
405. CALL LITE EXP 6/18/2021		None			Buy	05/25/21	J		
406.					Expired	06/18/21	J		
407. CALL LITE EXP 8/20/2021		None			Buy	06/22/21	J		
408.					Expired	08/20/21	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
	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
Moody, Jr., James S.	08/12/2022

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)
409. CALL LITE EXP 9/17/2021		None			Buy	08/24/21	J		
410.					Expired	09/17/21	J		
411. CALL LITE EXP 10/15/2021		None			Buy	09/21/21	J		
412.					Expired	10/15/21	J		
413. CALL LITE EXP 11/19/2021		None			Buy	09/21/21	J		
414.					Sold	11/19/21	J		
415. CALL DTIL EXP 2/19/21		None			Sold	02/19/21	J		
416. CALL DTIL EXP 5/21/2021		None			Buy	03/23/21	J		
417.					Expired	05/21/21	J		
418. CALL DTIL EXP 7/16/2021		None			Buy	05/25/21	J		
419.					Expired	07/16/21	J		
420. CALL DTIL EXP 12/17/2021		None			Buy	10/19/21	J		
421.					Expired	12/17/21	J		
422. CALL KPTI EXP 2/19/2021		None			Expired	02/19/21	J		
423. CALL AKRO EXP 2/19/2021		None			Buy	01/20/21	J		
424.					Expired	02/19/21	J		
425. CALL AKTS EXP 2/19/2021		None			Sold	02/11/21	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
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

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)
426. CALL CLDR EXP 2/19/2021		None			Sold	02/19/21	J		
427. CALL CLDR EXP 3/19/2021		None			Buy	02/23/21	J		
428.					Expired	03/19/21	J		
429. CALL NTLA EXP 1/15/2021		None			Sold (part)	01/04/21	K		
430.					Sold	01/14/21	L		
431. CALL EB EXP 1/15/2021		None			Sold	01/15/21	K		
432. CALL NVTA EXP 1/15/2021		None			Sold	01/15/21	J		
433. CALL NVTA EXP 2/19/2021		None			Buy	01/20/21	J		
434.					Expired	02/19/21	J		
435. CALL NVTA EXP 4/16/2021		None			Buy	02/23/21	J		
436.					Expired	04/16/21	J		
437. CALL ARDX EXP 1/15/2021		None			Expired	01/15/21	J		
438. CALL ARDX EXP 2/19/2021		None			Buy	01/20/21	J		
439.					Expired	02/19/21	J		
440. CALL ARDX EXP 4/16/2021		None			Buy	02/23/21	J		
441.					Expired	04/16/21	J		
442. CALL ARDX EXP 5/21/2021		None			Buy	04/20/21	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
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)
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Name of Person Reporting	Date of Report
Moody, Jr., James S.	08/12/2022

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)
443.					Expired	05/21/21	J		
444. CALL ACB EXP 1/15/2021		None			Sold	01/05/21	J		
445. CALL SRNE EXP 2/19/2021		None			Buy	01/20/21	J		
446.					Sold	01/20/21	J		
447. CALL SRNE EXP 3/19/2021		None			Buy	02/23/21	J		
448.					Expired	03/19/21	J		
449. CALL SRNE EXP 05/21/2021		None			Buy	03/23/21	J		
450.					Expired	05/21/21	J		
451. CALL ZUO EXP 3/19/21		None			Buy	01/20/21	J		
452.					Sold	03/19/21	J		
453. CALL ZUO EXP 5/21/2021		None			Buy	03/23/21	J		
454.					Expired	05/21/21	J		
455. CALL ZUO EXP 6/18/2021		None			Buy	05/25/21	J		
456.					Sold	06/18/21	J		
457. CALL ZUO EXP 9/17/2021		None			Buy	07/20/21	J		
458.					Expired	09/17/21	J		
459. CALL ZUO EXP 11/19/21		None			Buy	09/21/21	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
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
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P3 =$25,000,001 - $50,000,000
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3 Value Method Codes (See Column C2)
Q =Appraisal
R =Cost (Real Estate Only)
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Name of Person Reporting	Date of Report
Moody, Jr., James S.	08/12/2022

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)
460.					Sold	11/09/21	J		
461. CALL ENDP EXP 2/19/2021		None			Buy	01/20/21	J		
462.					Sold	02/19/21	J		
463. CALL ENDP EXP 4/16/2021		None			Buy	02/23/21	J		
464.					Expired	04/16/21	J		
465. CALL VMW EXP 3/19/2021		None			Buy	01/20/21	J		
466.					Expired	03/19/21	J		
467. CALL VMW EXP 5/21/2021		None			Buy	03/23/21	J		
468.					Sold	05/21/21	J		
469. CALL VMW EXP 6/18/2021		None			Buy	05/25/21	J		
470.					Expired	06/18/21	J		
471. CALL VMW EXP 7/16/2021		None			Buy	06/22/21	J		
472.					Expired	07/16/21	J		
473. CALL VMW EXP 9/17/2021		None			Buy	07/20/21	J		
474.					Expired	09/17/21	J		
475. CALL VMW EXP 11/19/2021		None			Buy	09/21/21	J		
476.					Expired	11/19/21	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
	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
Moody, Jr., James S.	08/12/2022

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)
477. CALL TLND EXP 3/19/2021		None			Buy	01/20/21	J		
478.					Sold	03/22/21	J		
479. CALL WATT EXP 5/21/2021		None			Buy	03/23/21	J		
480.					Expired	05/21/21	J		
481. Account #6 (H)									
482. ML Bank Deposit Program (cash)	A	Interest	O	T					
483. Alector Inc (ALEC)		None	M	T					
484. Ares Capital Corp (ARCC)	D	Dividend	L	T					
485. Astellas Pharma Inc Shs (ALPMY)	B	Dividend	K	T					
486. BP PLC (BP)	B	Dividend	K	T					
487. Cabaletta Bio Inc Reg (CABA)		None	J	T					
488. Calyxt Inc Reg Shs (CLXT)		None	J	T					
489. Harpoon Therapeutics Inc (HARP)		None	J	T					
490. Heron Therapeutics (HRTX)		None	J	T					
491. Hookipa Pharma Inc (HOOK)		None	J	T					
492. Kinder Morgan Inc Del (KMI)	C	Dividend	L	T					
493. Passage Bio Inc (PASG)		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

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)
494. Revolution Medicines Inc (RVMD)		None	J	T					
495. Spero Therapeutics Inc (SPRO)		None	L	T					
496. Wells Fargo & Co New Del (WFC)	B	Dividend	M	T					
497. PUT ZUO EXP 1/21/2022		None	J	T	Buy	11/22/21	J		
498. PUT FSR EXP 1/21/2022		None	J	T	Buy	11/22/21	J		
499. PUT APP EXP 12/17/2021		None			Buy	10/19/21	J		
500.					Expired	12/17/21	J		
501. PUT ANET EXP 9/17/2021		None			Buy	07/26/21	J		
502.					Expired	09/17/21	J		
503. PUT ANET EXP 10/15/2021		None			Buy	09/21/21	J		
504.					Expired	10/15/21	J		
505. PUT ANET EXP 11/19/2021		None			Buy	10/19/21	J		
506.					Expired	11/19/21	J		
507. PUT ANET EXP 1/21/2022		None	J	T	Buy	11/22/21	J		
508. PUT EDIT EXP 9/17/2021		None			Buy	08/24/21	J		
509.					Expired	09/17/21	J		
510. PUT EDIT EXP 10/15/2021		None			Buy	09/21/21	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
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
Moody, Jr., James S.	08/12/2022

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)
511.					Sold	10/18/21	J		
512. PUT MVIS EXP 3/19/2021		None			Buy	02/23/21	J		
513.					Expired	03/19/21	J		
514. PUT EB EXP 2/19/2021		None			Buy	01/20/21	J		
515.					Expired	02/19/21	J		
516. PUT EB EXP 3/19/2021		None			Buy	02/23/21	J		
517.					Expired	03/19/21	J		
518. PUT CRSP EXP 1/15/2021		None			Expired	01/15/21	J		
519. PUT CRSP EXP 2/19/2021		None			Buy	01/20/21	J		
520.					Sold	02/19/21	J		
521. PUT OKTA EXP 1/15/2021		None			Expired	01/15/21	J		
522. Account #7 (H)									
523. ML Morgan Stanely Investment Managemet Growth Strategy Portfolio	A	Dividend	N	T					
524. Account #8 (H)									
525. Proctor & Gamble (PG)	A	Dividend	K	T					
526. Starbucks Corp (SBUX)	A	Dividend	K	T					
527. Travelers Cos Inc (TRV)	A	Dividend	K	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
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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)
528. Valero Energy Corp (VLO)	A	Dividend	J	T					
529. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
530. Account #9 (H)									
531. ML Bank Deposit Program	A	Interest	N	T					
532. Activision Blizzard Inc (ATVI)		None	K	T	Buy	07/09/21	K		
533.					Buy (add'l)	07/27/21	K		
534. ADC Therapeutics (ADCT)		None			Buy	03/19/21	L		
535.					Sold	12/14/21	K		
536. Advanced Micro Devices (AMD)		None			Buy	04/08/21	K		
537.					Buy (add'l)	05/26/21	K		
538.					Sold (part)	06/21/21	L	C	
539.					Buy (add'l)	06/23/21	L		
540.					Sold	08/23/21	L	C	
541. Akero Therapeutics Inc (AKRO)		None			Buy	01/21/21	L		
542.					Buy (add'l)	01/27/21	K		
543.					Sold	12/14/21	L		
544. Akouos Inc Reg Shs		None			Buy	02/26/21	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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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.					Sold	12/14/21	J		
546. Akoustis Technologies Inc (AKTS)		None			Buy	02/24/21	L		
547.					Sold	12/14/21	K		
548. Alector Inc (ALEC)		None	L	T	Buy	01/27/21	K		
549.					Buy (add'l)	02/24/21	K		
550.					Sold (part)	03/22/21	K	C	
551.					Buy (add'l)	03/24/21	K		
552.					Sold (part)	07/19/21	K	D	
553.					Buy (add'l)	08/04/21	K		
554. Apa Corp (APA)	A	Dividend			Buy	02/25/21	K		
555.					Sold	10/18/21	K		
556. Arista Networks Inc (ANET)		None			Sold (part)	01/19/21	M	D	
557.					Buy (add'l)	01/21/21	M		
558.					Sold (part)	05/24/21	M	D	
559.					Buy (add'l)	05/26/21	M		
560.					Sold	07/19/21	M	D	
561. Biomarin Pharmaceuticals (BMRN)		None			Buy (add'l)	06/23/21	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
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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)
562.					Sold (part)	06/21/21	L		
563.					Sold	11/22/21	M		
564. Canopy Growth Corp (CGC)		None			Sold (part)	01/19/21	L	E	
565.					Buy (add'l)	01/21/21	L		
566.					Sold (part)	02/22/21	M	D	
567.					Buy (add'l)	02/24/21	M		
568.					Sold	12/14/21	K		
569. Carnival Corp (CCL)		None	M	T	Sold (part)	02/22/21	K	D	
570.					Buy (add'l)	02/24/21	L		
571.					Buy (add'l)	02/25/21	K		
572.					Sold (part)	03/22/21	M	E	
573.					Buy (add'l)	03/24/21	M		
574. Cisco Systems (CSCO)	B	Dividend			Sold (part)	01/19/21	K	D	
575.					Buy (add'l)	01/21/21	K		
576.					Sold (part)	03/22/21	K	B	
577.					Buy (add'l)	03/24/21	K		
578.					Sold (part)	05/24/21	L	B	

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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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)
579.					Buy (add'l)	05/26/21	L		
580.					Sold	08/23/21	L	B	
581. Corning Inc (GLW)	A	Dividend			Sold (part)	03/22/21	K	C	
582.					Buy (add'l)	03/24/21	K		
583.					Sold	04/19/21	K	B	
584. Crispr Therapeutics AG (CRSP)		None	M	T	Buy	02/19/21	N		
585.					Buy (add'l)	03/29/21	L		
586.					Buy (add'l)	11/24/21	L		
587. Cyber-Ark Software Ltd (CYBR)		None	N	T	Buy	01/21/21	N		
588. Desktop Metal Inc (DM)		None			Sold (part)	01/19/21	K	D	
589.					Sold (part)	02/09/21	K	E	
590.					Sold (part)	02/22/21	K	D	
591.					Buy (add'l)	02/24/21	L		
592.					Sold	12/14/21	K		
593. Exxon Mobil Corp (XOM)		None			Sold (part)	01/19/21	K	C	
594.					Buy (add'l)	01/21/21	K		
595.					Sold	02/09/21	K	B	

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				
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596. Fiserv Inc (FISV)		None	M	T	Buy	01/21/21	M		
597.					Sold (part)	03/22/21	M	D	
598.					Buy (add'l)	03/24/21	M		
599. FireEye Inc (FEYE)		None			Sold	01/19/21	K		
600. Fisker Inc (FSR)		None			Buy	08/19/21	K		
601.					Sold	11/22/21	K	C	
602. Gossamer Bio Inc (GOSS)		None			Sold (part)	01/19/21	K	B	
603.					Buy (add'l)	01/21/21	K		
604.					Sold	12/14/21	K		
605. Homology Medicines Inc (FIXX)		None			Buy (add'l)	04/21/21	J		
606.					Sold	12/14/21	K		
607. II-VI Inc (IIVI)		None	N	T	Sold (part)	01/19/21	M	E	
608.					Buy (add'l)	01/21/21	N		
609.					Buy (add'l)	03/25/21	L		
610.					Buy (add'l)	09/22/21	K		
611. Mercadolibre Inc (MELI)		None	M	T	Buy	11/04/21	M		
612. Micron Technology (MU)	A	Dividend			Sold (part)	01/19/21	M	D	

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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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)
613.					Buy (add'l)	01/21/21	M		
614.					Sold (part)	02/22/21	L	C	
615.					Buy (add'l)	02/24/21	L		
616.					Sold (part)	03/22/21	L	D	
617.					Buy (add'l)	03/24/21	L		
618.					Buy (add'l)	05/26/21	L		
619.					Sold	11/22/21	M		
620. Norwegian Cruise Line (NCLH)		None	M	T	Sold (part)	01/19/21	K	D	
621.					Buy (add'l)	01/21/21	L		
622.					Sold (part)	03/22/21	L	D	
623.					Buy (add'l)	03/24/21	L		
624. Nutanix Inc (NTNX)		None			Sold (part)	01/19/21	L		
625.					Buy (add'l)	01/21/21	L		
626.					Sold (part)	06/21/21	K		
627.					Sold	12/14/21	K		
628. Occidental Pete Corp (OXY)	A	Dividend			Buy	02/25/21	K		
629.					Sold (part)	03/22/21	K	B	

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.)*

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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)
630.					Buy (add'l)	03/24/21	K		
631.					Buy (add'l)	09/22/21	K		
632.					Sold (part)	09/20/21	K		
633.					Sold	10/18/21	K	A	
634. Palo Alto Networks (PALN)		None			Sold	01/07/21	M	D	
635. Ping Identity Hldg Corp (PING)		None			Buy (add'l)	01/27/21	K		
636.					Sold (part)	02/22/21	K	B	
637.					Buy (add'l)	02/24/21	L		
638.					Sold	12/14/21	L		
639. Skyworks Solutions Inc (SWKS)		None			Sold (part)	01/19/21	M	D	
640.					Buy (add'l)	01/21/21	M		
641.					Sold	02/12/21	M	D	
642. Southwest Airlines (LUV)		None			Sold (part)	02/22/21	L	E	
643.					Sold	03/22/21	L	D	
644. Surgery Partners Inc (SGRY)		None			Sold (part)	01/19/21	L	E	
645.					Buy (add'l)	01/21/21	L		
646.					Sold (part)	03/22/21	M	E	

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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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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647.					Buy (add'l)	03/24/21	M		
648.					Sold	05/24/21	M	E	
649. Teladoc Health Inc (TDOC)		None	L	T	Buy	06/10/21	L		
650.					Buy (add'l)	08/25/21	L		
651. United Airlines Hldgs (UAL)		None	K	T	Sold (part)	02/22/21	K	A	
652.					Buy (add'l)	02/24/21	L		
653.					Sold (part)	03/22/21	M	E	
654.					Sold (part)	04/19/21	L	D	
655.					Buy (add'l)	04/21/21	L		
656. Vmware Inc (VMW)	E	Dividend	M	T	Sold (part)	05/24/21	M		
657.					Buy (add'l)	05/26/21	M		
658. Wynn Resorts LTD (WYNN)		None	N	T	Sold (part)	01/19/21	M		
659.					Buy (add'l)	01/21/21	M		
660.					Buy (add'l)	01/28/21	M		
661.					Sold (part)	02/22/21	M	E	
662.					Buy (add'l)	02/24/21	M		
663.					Sold (part)	03/22/21	N	E	

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)
664.					Buy (add'l)	03/24/21	N		
665.					Buy (add'l)	08/25/21	L		
666.					Buy (add'l)	11/24/21	L		
667. CALL CYBR EXP 2/19/2021		None			Buy	01/20/21	J		
668.					Expired	02/19/21	J		
669. CALL CYBR EXP 3/19/2021		None			Buy	02/23/21	J		
670.					Expired	03/19/21	J		
671. CALL CYBR EXP 5/21/2021		None			Buy	03/24/21	J		
672.					Expired	05/21/21	J		
673. CALL CYBR EXP 1/21/2022		None	J	T	Buy	12/21/21	J		
674. CALL MU EXP 1/15/2021		None			Sold	01/15/21	J		
675. CALL MU EXP 2/19/2021		None			Buy	01/20/21	J		
676.					Sold	02/19/21	J		
677. CALL MU EXP 3/19/2021		None			Buy	01/20/21	J		
678.					Sold	03/19/21	J		
679. CALL MU EXP 4/16/2021		None			Buy	03/23/21	J		
680.					Expired	04/16/21	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; 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
Moody, Jr., James S.	08/12/2022

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)
681. CALL MU EXP 5/21/2021		None			Buy	04/20/21	J		
682.					Expired	05/24/21	J		
683. CALL MU EXP 6/18/2021		None			Buy	05/25/21	J		
684.					Expired	06/18/21	J		
685. CALL MU EXP 7/16/21		None			Buy	05/25/21	J		
686.					Expired	07/16/21	J		
687. CALL MU EXP 8/20/2021		None			Buy	06/22/21	J		
688.					Expired	08/20/21	J		
689. CALL MU EXP 10/15/2021		None			Buy	08/24/21	J		
690.					Expired	10/15/21	J		
691. CALL MU EXP 11/19/2021		None			Buy	10/19/21	J		
692.					Sold	11/19/21	J		
693. CALL WYNN EXP 1/15/21		None			Sold	01/15/21	K		
694. CALL WYNN EXP 2/19/2021		None			Buy	01/20/21	J		
695.					Sold	02/19/21	J		
696. CALL WYNN EXP 3/19/2021		None			Buy	01/20/21	J		
697.					Sold	03/19/21	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
	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		

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)
698. CALL WYNN EXP 4/16/21		None			Buy	03/23/21	J		
699.					Expired	04/16/21	J		
700. CALL WYNN EXP 5/21/2021		None			Buy	03/23/21	J		
701.					Expired	05/21/21	J		
702. CALL WYNN EXP 6/18/2021		None			Buy	04/20/21	J		
703.					Expired	06/18/21	J		
704. CALL WYNN EXP 7/16/2021		None			Buy	05/25/21	J		
705.					Expired	07/16/21	J		
706. CALL WYNN EXP 8/20/2021		None			Buy	06/22/21	J		
707.					Expired	08/20/21	J		
708. CALL WYNN EXP 9/17/2021		None			Buy	08/24/21	J		
709.					Expired	09/17/21	J		
710. CALL WYNN EXP 10/15/2021		None			Buy	08/24/21	J		
711.					Expired	10/15/21	J		
712. CALL NCLH EXP 2/19/21		None			Expired	02/19/21	J		
713. CALL NCLH EXP 3/19/21		None			Buy	02/23/21	J		
714.					Expired	03/19/21	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
	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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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)
715. CALL NCLH EXP 4/16/21		None			Buy	03/23/21	J		
716.					Expired	04/16/21	J		
717. CALL NCLH EXP 5/21/2021		None			Buy	03/23/21	J		
718.					Expired	05/21/21	J		
719. CALL NCLH EXP 7/16/2021		None			Buy	06/22/21	J		
720.					Expired	07/16/21	J		
721. CALL NCLH EXP 10/15/2021		None			Buy	08/24/21	J		
722.					Expired	10/15/21	J		
723. CALL NCLH EXP 11/19/2021		None			Buy	09/21/21	J		
724.					Expired	11/19/21	J		
725. CALL UAL EXP 2/19/2021		None			Sold	02/19/21	J		
726. CALL UAL EXP 3/19/2021		None			Buy	01/20/21	J		
727.					Sold	03/19/21	J		
728. CALL UAL EXP 4/16/2021		None			Buy	02/23/21	J		
729.					Sold	04/16/21	J		
730. CALL UAL EXP 5/21/2021		None			Buy	04/20/21	J		
731.					Expired	05/21/21	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
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

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)
732. CALL UAL EXP 7/16/2021		None			Buy	05/25/21	J		
733.					Expired	07/16/21	J		
734. CALL CCL EXP 1/15/2021		None			Expired	01/15/21	J		
735. CALL CCL EXP 2/19/2021		None			Buy	01/20/21	J		
736.					Sold	02/22/21	J		
737. CALL CCL EXP 3/19/21		None			Buy	01/20/21	J		
738.					Sold	03/19/21	J		
739. CALL CCL EXP 4/16/21		None			Buy	03/23/21	J		
740.					Expired	04/16/21	J		
741. CALL CCL EXP 5/21/2021		None			Buy	03/23/21	J		
742.					Expired	05/21/21	J		
743. CALL CCL EXP 6/18/2021		None			Buy	04/20/21	J		
744.					Expired	06/18/21	J		
745. CALL CCL EXP 7/16/2021		None			Buy	05/25/21	J		
746.					Expired	07/16/21	J		
747. CALL CCL EXP 10/15/2021		None			Buy	08/24/21	J		
748.					Expired	10/15/21	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
	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		

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)
749. CALL CCL EXP 11/19/2021		None			Buy	09/21/21	J		
750.					Expired	11/19/21	J		
751. CALL SGRY EXP 1/15/21		None			Sold	01/15/21	J		
752. CALL SGRY EXP 3/19/2021		None			Buy	01/20/21	J		
753.					Sold	03/19/21	J		
754. CALL SGRY EXP 5/21/2021		None			Buy	03/23/21	J		
755.					Sold	05/21/21	J		
756. CALL PANW EXP 1/15/2021		None			Sold	01/07/21	K		
757. CALL NTNX EXP 1/15/2021		None			Sold	01/15/21	J		
758. CALL NTNX EXP 3/19/21		None			Buy	01/20/21	J		
759.					Expired	03/19/21	J		
760. CALL NTNX EXP 6/18/2021		None			Buy	06/01/21	J		
761.					Sold	06/18/21	J		
762. CALL LUV EXP 2/19/2021		None			Sold	02/19/21	J		
763. CALL LUV EXP 3/19/2021		None			Buy	01/20/21	J		
764.					Sold	03/19/21	J		
765. CALL FEYE EXP 1/15/2021		None			Sold	01/15/21	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; 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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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)
766. CALL ANET EXP 1/15/2021		None			Sold	01/15/21	K		
767. CALL ANET EXP 2/19/2021		None			Buy	01/20/21	J		
768.					Expired	02/19/21	J		
769. CALL ANET EXP 5/21/2021		None			Buy	03/23/21	J		
770.					Sold	05/21/21	J		
771. CALL ANET EXP 7/16/2021		None			Buy	05/25/21	J		
772.					Sold	07/16/21	J		
773. CALL GOSS EXP 1/15/2021		None			Sold	01/15/21	J		
774. CALL DM EXP 2/19/2021		None			Sold	02/09/21	J		
775. CALL DM EXP 3/19/2021		None			Buy	02/23/21	J		
776.					Expired	03/19/21	J		
777. CALL IIVI EXP 1/15/2021		None			Sold	01/15/21	L		
778. CALL IIVI EXP 2/19/2021		None			Buy	01/20/21	J		
779.					Expired	02/19/21	J		
780. CALL IIVI EXP 3/19/2021		None			Buy	01/20/21	J		
781.					Expired	03/19/21	J		
782. CALL IIVI EXP 5/21/21		None			Buy	03/24/21	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
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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Moody, Jr., James S.	08/12/2022

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)
783.					Expired	05/21/21	J		
784. CALL IIVI EXP 7/16/2021		None			Buy	05/25/21	J		
785.					Expired	07/16/21	J		
786. CALL IIVI EXP 8/20/2021		None			Buy	07/20/21	J		
787.					Expired	08/20/21	J		
788. CALL IIVI EXP 9/17/2021		None			Buy	08/24/21	J		
789.					Expired	09/17/21	J		
790. CALL IIVI EXP 10/15/21		None			Buy	08/24/21	J		
791.					Expired	10/15/21	J		
792. CALL IIVI EXP 11/19/2021		None			Buy	09/21/21	J		
793.					Expired	11/19/21	J		
794. CALL BMRN EXP 1/15/2021		None			Expired	01/15/21	K		
795. CALL BMRN EXP 2/19/2021		None			Buy	01/20/21	J		
796.					Expired	02/19/21	J		
797. CALL BMRN EXP 3/19/21		None			Buy	01/20/21	J		
798.					Expired	03/19/21	J		
799. CALL BMRN EXP 5/21/2021		None			Buy	03/23/21	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
	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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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)
800.					Expired	05/21/21	J		
801. CALL BMRN EXP 6/18/2021		None			Buy	05/25/21	J		
802.					Sold	06/18/21	J		
803. CALL BMRN EXP 7/16/2021		None			Buy	05/25/21	J		
804.					Expired	07/16/21	J		
805. CALL BMRN EXP 8/20/2021		None			Buy	06/22/21	J		
806.					Expired	08/20/21	J		
807. CALL BMRN EXP 10/15/2021		None			Buy	08/24/21	J		
808.					Expired	10/15/21	J		
809. CALL BMRN EXP 11/19/21		None			Buy	09/21/21	J		
810.					Sold	11/19/21	J		
811. CALL SWKS EXP 1/15/2021		None			Sold	01/15/21	J		
812. CALL SWKS EXP 2/19/2021		None			Buy	01/20/21	J		
813.					Sold	02/12/21	J		
814. CALL XOM EXP 2/19/2021		None			Buy	01/20/21	J		
815.					Sold	02/09/21	J		
816. CALL FIXX EXP 2/19/2021		None			Buy	01/20/21	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
	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		

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)
817.					Expired	02/19/21	J		
818. CALL FIXX EXP 4/16/2021		None			Buy	02/23/21	J		
819.					Expired	04/16/21	J		
820. CALL CGC EXP 2/19/2021		None			Buy	01/20/21	J		
821.					Sold	02/19/21	J		
822. CALL CGC EXP 3/19/2021		None			Buy	02/23/21	J		
823.					Expired	03/19/21	J		
824. CALL CGC EXP 5/21/2021		None			Buy	03/23/21	J		
825.					Expired	05/21/21	J		
826. CALL CGC EXP 6/18/2021		None			Buy	06/01/21	J		
827.					Expired	06/18/21	J		
828. CALL FISV EXP 3/19/2021		None			Buy	01/20/21	J		
829.					Sold	03/19/21	J		
830. CALL FISV EXP 5/21/2021		None			Buy	03/23/21	J		
831.					Expired	05/21/21	J		
832. CALL ALEC EXP 2/19/2021		None			Buy	01/26/21	J		
833.					Expired	02/19/21	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
	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
Moody, Jr., James S.	08/12/2022

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)
834. CALL ALEC EXP 3/19/2021		None			Buy	01/26/21	J		
835.					Sold	03/19/21	J		
836. CALL ALEC EXP 4/16/2021		None			Buy	03/23/21	J		
837.					Expired	04/16/21	J		
838. CALL ALEC EXP 5/21/2021		None			Buy	03/23/21	J		
839.					Expired	05/21/21	J		
840. CALL ALEC EXP 6/18/2021		None			Buy	04/20/21	J		
841.					Expired	06/18/21	J		
842. CALL ALEC EXP 8/20/2021		None			Buy	06/22/21	J		
843.					Expired	08/20/21	J		
844. CALL ALEC EXP 9/17/2021		None			Buy	08/03/21	J		
845.					Expired	09/17/21	J		
846. CALL ALEC EXP 10/15/2021		None			Buy	08/24/21	J		
847.					Expired	10/15/21	J		
848. CALL ALEC EXP 11/19/2021		None			Buy	09/21/21	J		
849.					Expired	11/19/21	J		
850. CALL ALEC EXP 1/21/2022		None	J	T	Buy	11/22/21	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; 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
Moody, Jr., James S.	08/12/2022

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)
851. CALL PING EXP 3/19/2021		None			Buy	01/26/21	J		
852.					Expired	03/19/21	J		
853. CALL AKRO EXP 2/19/2021		None			Buy	01/26/21	J		
854.					Expired	02/19/21	J		
855. CALL AKRO EXP 4/16/2021		None			Buy	02/26/21	J		
856.					Expired	04/16/21	J		
857. CALL CRSP EXP 4/16/2021		None			Buy	02/24/21	J		
858.					Expired	04/16/21	J		
859. CALL CRSP EXP 5/21/2021		None			Buy	03/26/21	J		
860.					Expired	05/21/21	J		
861. CALL CRSP EXP 6/18/2021		None			Buy	04/20/21	J		
862.					Expired	06/18/21	J		
863. CALL CRSP EXP 7/16/2021		None			Buy	05/25/21	J		
864.					Expired	07/16/21	J		
865. CALL CRSP EXP 8/20/2021		None			Buy	07/20/21	J		
866.					Expired	08/20/21	J		
867. CALL CRSP EXP 9/17/2021		None			Buy	08/24/21	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; 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
Moody, Jr., James S.	08/12/2022

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)
868.					Expired	09/17/21	J		
869. CALL CRSP EXP 11/19/2021		None			Buy	09/21/21	J		
870.					Expired	11/19/21	J		
871. CALL CRSP EXP 1/21/2022		None	J	T	Buy	11/23/21	J		
872. CALL APA EXP 3/19/2021		None			Buy	02/26/21	J		
873.					Expired	03/22/21	J		
874. CALL APA EXP 5/21/2021		None			Buy	03/23/21	J		
875.					Expired	05/21/21	J		
876. CALL APA EXP 7/16/2021		None			Buy	06/22/21	J		
877.					Expired	07/16/21	J		
878. CALL OXY EXP 3/19/2021		None			Buy	02/26/21	J		
879.					Sold	03/19/21	J		
880. CALL OXY EXP 5/21/2021		None			Buy	03/23/21	J		
881.					Expired	05/21/21	J		
882. CALL OXY EXP 7/16/2021		None			Buy	05/25/21	J		
883.					Expired	07/16/21	J		
884. CALL AKTS EXP 4/16/2021		None			Buy	03/04/21	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
	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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Moody, Jr., James S.	08/12/2022

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)
885.					Expired	04/16/21	J		
886. CALL ADCT EXP 4/16/2021		None			Buy	03/18/21	J		
887.					Expired	04/16/21	J		
888. CALL CSCO EXP 5/21/2021		None			Buy	03/23/21	J		
889.					Sold	05/21/21	J		
890. CALL CSCO EXP 8/20/2021		None			Buy	06/22/21	J		
891.					Sold	08/20/21	J		
892. CALL AMD EXP 5/21/2021		None			Buy	04/07/21	J		
893.					Expired	05/24/21	J		
894. CALL AMD EXP 8/20/2021		None			Buy	06/22/21	J		
895.					Sold	08/20/21	J		
896. CALL TDOC EXP 7/16/2021		None			Buy	06/09/21	J		
897.					Expired	07/16/21	J		
898. CALL TDOC EXP 8/20/2021		None			Buy	07/20/21	J		
899.					Expired	08/20/21	J		
900. CALL TDOC EXP 9/17/2021		None			Buy	08/24/21	J		
901.					Expired	09/17/21	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; 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
Moody, Jr., James S.	08/12/2022

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)
902. CALL TDOC EXP 11/19/2021		None			Buy	09/21/21	J		
903.					Expired	11/19/21	J		
904. CALL FSR EXP 11/19/2021		None			Buy	09/21/21	J		
905.					Sold	11/19/21	J		
906. Account #10 (H)									
907. ML Bank Deposit Program (cash)	A	Interest	O	T					
908. Activision Blizzard (ATVI)		None	K	T	Buy	07/09/21	K		
909.					Buy (add'l)	07/27/21	K		
910. Akero Therapeutics Inc (AKRO)		None			Buy	01/27/21	L		
911.					Sold	12/14/21	K		
912. Alector Inc (ALEC)		None	K	T	Buy	01/27/21	K		
913.					Buy (add'l)	02/24/21	K		
914.					Sold (part)	03/22/21	K	D	
915.					Buy (add'l)	03/25/21	K		
916.					Sold (part)	07/19/21	K	D	
917.					Buy (add'l)	08/04/21	K		
918. Arista Networks Inc (ANET)		None			Sold (part)	01/19/21	L	B	

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.)*

☐ 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)
919.					Buy (add'l)	01/21/21	L		
920.					Buy (add'l)	02/24/21	M		
921.					Sold (part)	05/24/21	M	E	
922.					Buy (add'l)	05/26/21	M		
923.					Sold	07/19/21	N	E	
924. BioMarin Pharmaceutical Inc (BMRN)		None			Sold	11/22/21	L		
925. Canopy Growth Corp (CGC)		None			Sold (part)	01/19/21	L	E	
926.					Buy (add'l)	01/21/21	L		
927.					Sold (part)	02/11/21	J	A	
928.					Sold (part)	02/22/21	M	B	
929.					Buy (add'l)	02/24/21	M		
930.					Sold	12/14/21	K		
931. Carnival Corp (CCL)		None	M	T	Buy (add'l)	02/24/21	K		
932.					Sold (part)	03/22/21	L	E	
933.					Buy (add'l)	03/25/21	L		
934. Corning Inc (GLW)	A	Dividend			Sold (part)	03/22/21	K	C	
935.					Buy (add'l)	03/25/21	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	
	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)
936.					Sold	05/24/21	K	B	
937. Crispr Therapeutics AG (CRSP)		None	M	T	Buy (add'l)	02/19/21	M		
938.					Buy (add'l)	03/29/21	K		
939.					Buy (add'l)	08/25/21	M		
940. Cyber Ark Software Ltd (CYBR)		None	M	T	Buy	01/21/21	M		
941. C3 AI Inc Cl A (AI)		None	K	T	Buy	09/22/21	K		
942. Editas Medicine Inc (EDIT)		None			Buy	01/29/21	M		
943.					Sold	08/23/21	M		
944. FireEye Inc (FEYE)		None			Sold	01/19/21	K	A	
945. Fisker Inc (FSR)		None			Buy	08/19/21	K		
946.					Sold	11/22/21	K	C	
947. Gossamer Bio Inc (GOSS)		None			Sold (part)	01/19/21	K		
948.					Buy (add'l)	01/21/21	K		
949.					Sold	12/14/21	L		
950. Homology Medicines Inc (FIXX)		None			Sold	12/14/21	J		
951. II-VI Inc (IIVI)		None	M	T	Sold (part)	01/19/21	L		
952.					Buy (add'l)	01/27/21	M		

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
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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)
953.					Buy (add'l)	09/22/21	K		
954. Impinj Inc (PI)		None			Sold	02/22/21	J	B	
955. Invitae Corp (NVTA)		None			Sold	12/14/21	K		
956. Micron Technology (MU)	A	Dividend			Sold (part)	01/19/21	K	C	
957.					Buy (add'l)	01/21/21	K		
958.					Buy (add'l)	01/29/21	L		
959.					Sold (part)	02/22/21	M	D	
960.					Buy (add'l)	02/24/21	L		
961.					Sold	11/22/21	L		
962. New Relic Inc (NEWR)		None			Sold (part)	06/21/21	M		
963.					Buy (add'l)	06/23/21	M		
964.					Sold	11/22/21	M		
965. Norwegian Cruise Line (NCHL)		None	L	T					
966. Nutanix Inc (NTNX)		None	K	T	Sold (part)	01/19/21	K	D	
967.					Buy (add'l)	01/21/21	K		
968. Occidental Pete Corp Cal (OXY)		None			Sold	02/22/21	L	D	
969. On Semiconductor Com (ON)		None			Buy	08/26/21	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
Moody, Jr., James S.	08/12/2022

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)
970.					Sold (part)	09/20/21	K	B	
971.					Buy (add'l)	09/22/21	K		
972.					Sold	11/22/21	L	D	
973. Palo Alto Networks Inc (PANW)		None			Sold	01/19/21	M	E	
974. Ping Identity Hldg Corp (PING)		None			Buy (add'l)	01/27/21	K		
975.					Sold (part)	02/22/21	L	D	
976.					Buy (add'l)	02/24/21	M		
977.					Sold	12/14/21	L		
978. Regions Finl Corp (RF)	A	Dividend	J	T					
979. Sana Biotech Inc (SANA)		None	K	T	Buy	12/13/21	K		
980. Sorrento Therapeutics Inc (SRNE)		None			Buy (add'l)	01/21/21	K		
981.					Sold (part)	02/18/21	K	D	
982.					Sold (part)	02/22/21	J	C	
983.					Buy (add'l)	02/24/21	K		
984.					Buy (add'l)	03/25/21	K		
985.					Sold	12/14/21	K		
986. Teladoc Health Inc (TDOC)		None	L	T	Buy	07/21/21	M		

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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Moody, Jr., James S.	08/12/2022

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)
987. Truist Finl Corp (TFC)		None			Sold	01/19/21	K	D	
988. United Airlines Hldgs (UAL)		None			Sold	03/22/21	L	C	
989. Wells Fargo & Co (WFC)	A	Dividend	L	T					
990. Wynn Resorts Ltd (WYNN)		None	M	T	Buy (add'l)	01/28/21	M		
991.					Sold (part)	02/22/21	M		
992.					Sold (part)	03/22/21	M	D	
993.					Buy (add'l)	03/25/21	M		
994.					Buy (add'l)	11/24/21	L		
995. CALL NVTA EXP 2/19/2021		None			Buy	01/20/21	J		
996.					Expired	02/19/21	J		
997. CALL NVTA EXP 4/16/21		None			Buy	02/23/21	J		
998.					Expired	04/16/21	J		
999. CALL ANET EXP 1/15/2021		None			Sold	01/15/21	J		
1000. CALL ANET EXP 2/19/2021		None			Buy	01/20/21	J		
1001.					Expired	02/19/21	J		
1002. CALL ANET EXP 4/16/21		None			Buy	02/23/21	J		
1003.					Expired	04/16/21	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; 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				
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1004. CALL ANET EXP 5/21/2021		None			Buy	04/20/21	J		
1005.					Sold	05/21/21	J		
1006. CALL ANET EXP 7/16/2021		None			Buy	05/25/21	J		
1007.					Sold	07/19/21	J		
1008. CALL NCLH EXP 2/19/2021		None			Expired	02/19/21	J		
1009. CALL NCLH EXP 3/19/2021		None			Buy	02/23/21	J		
1010.					Expired	03/19/21	J		
1011. CALL NCLH EXP 05/21/2021		None			Buy	03/24/21	J		
1012.					Expired	05/21/21	J		
1013. CALL NCLH EXP 6/18/2021		None			Buy	05/25/21	J		
1014.					Expired	06/18/21	J		
1015. CALL NCLH EXP 07/16/2021		None			Buy	05/25/21	J		
1016.					Expired	07/16/21	J		
1017. CALL NCLH EXP 10/15/2021		None			Buy	08/24/21	J		
1018.					Expired	10/15/21	J		
1019. CALL NCLH EXP 11/19/21		None			Buy	09/21/21	J		
1020.					Expired	11/19/21	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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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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1021. CALL SRNE EXP 02/19/21		None			Sold	02/19/21	J		
1022. CALL SRNE EXP 3/19/2021		None			Buy	02/23/21	J		
1023.					Expired	03/19/21	J		
1024. CALL SRNE EXP 4/16/2021		None			Buy	02/23/21	J		
1025.					Expired	04/16/21	J		
1026. CALL SRNE EXP 5/21/2021		None			Buy	03/24/21	J		
1027.					Expired	05/21/21	J		
1028. CALL NEWR EXP 02/19/21		None			Expired	02/19/21	J		
1029. CALL NEWR EXP 4/16/2021		None			Buy	02/23/21	J		
1030.					Expired	04/16/21	J		
1031. CALL NEWR EXP 5/21/2021		None			Buy	04/20/21	J		
1032.					Expired	05/21/21	J		
1033. CALL NEWR EXP 6/18/2021		None			Buy	05/25/21	J		
1034.					Sold	06/21/21	J		
1035. CALL NEWR EXP 8/20/2021		None			Buy	06/22/21	J		
1036.					Expired	08/20/21	J		
1037. CALL NEWR EXP 9/17/2021		None			Buy	08/24/21	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; 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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1038.					Expired	09/17/21	J		
1039. CALL NEWR EXP 11/19/2021		None			Buy	09/21/21	J		
1040.					Sold	11/19/21	J		
1041. CALL WYNN EXP 1/15/2021		None			Expired	01/15/21	J		
1042. CALL WYNN EXP 2/19/2021		None			Buy	01/27/21	J		
1043.					Sold	02/19/21	J		
1044. CALL WYNN EXP 3/19/2021		None			Buy	01/20/21	J		
1045.					Sold	03/19/21	J		
1046. CALL WYNN EXP 5/21/2021		None			Buy	03/24/21	J		
1047.					Expired	05/21/21	J		
1048. CALL WYNN EXP 7/16/2021		None			Buy	05/25/21	J		
1049.					Expired	07/16/21	J		
1050. CALL PANW EXP 1/15/2021		None			Sold	01/15/21	L		
1051. CALL NTNX EXP 1/15/2021		None			Sold	01/15/21	J		
1052. CALL NTNX EXP 3/19/2021		None			Buy	01/20/21	J		
1053.					Expired	03/19/21	J		
1054. CALL NTNX EXP 12/17/2021		None			Buy	10/20/21	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
	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				
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)
1055.					Expired	12/17/21	J		
1056. CALL NTNX EXP 1/21/2022		None	J	T					
1057. CALL MU EXP 1/15/2021		None			Sold	01/15/21	J		
1058. CALL MU EXP 2/19/2021		None			Buy	01/20/21	J		
1059.					Sold	02/19/21	J		
1060. CALL MU EXP 4/16/2021		None			Buy	02/23/21	J		
1061.					Expired	04/16/21	J		
1062. CALL MU EXP 5/21/2021		None			Buy	04/20/21	J		
1063.					Expired	05/21/21	J		
1064. CALL MU EXP 7/16/2021		None			Buy	05/25/21	J		
1065.					Expired	07/16/21	J		
1066. CALL MU EXP 10/15/2021		None			Buy	08/24/21	J		
1067.					Expired	10/15/21	J		
1068. CALL FEYE EXP 1/15/2021		None			Sold	01/15/21	J		
1069. CALL GOSS EXP 1/15/2021		None			Sold	01/15/21	J		
1070. CALL CRSP EXP 1/15/2021		None			Sold	01/15/21	K		
1071. CALL CRSP EXP 4/16/2021		None			Buy	02/24/21	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
	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
Moody, Jr., James S.	08/12/2022

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)
1072.					Expired	04/16/21	J		
1073. CALL CRSP EXP 5/21/2021		None			Buy	03/26/21	J		
1074.					Expired	05/21/21	J		
1075. CALL CRSP EXP 6/18/2021		None			Buy	04/20/21	J		
1076.					Expired	06/18/21	J		
1077. CALL CRSP EXP 07/16/2021		None			Buy	05/25/21	J		
1078.					Expired	07/16/21	J		
1079. CALL CRSP EXP 8/20/21		None			Buy	07/20/21	J		
1080.					Expired	08/20/21	J		
1081. CALL CRSP EXP 9/17/2021		None			Buy	08/24/21	J		
1082.					Expired	09/17/21	J		
1083. CALL CRSP EXP 10/15/2021		None			Buy	08/24/21	J		
1084.					Expired	10/15/21	J		
1085. CALL CRSP EXP 11/19/2021		None			Buy	09/21/21	J		
1086.					Expired	11/19/21	J		
1087. CALL IIVI EXP 1/15/2021		None			Sold	01/15/21	K		
1088. CALL IIVI EXP 2/19/2021		None			Buy	01/26/21	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
	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
Moody, Jr., James S.	08/12/2022

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)
1089.					Expired	02/19/21	J		
1090. CALL IIVI EXP 4/16/2021		None			Buy	02/23/21	J		
1091.					Expired	04/16/21	J		
1092. CALL IIVI EXP 5/21/2021		None			Buy	04/20/21	J		
1093.					Expired	05/21/21	J		
1094. CALL IIVI EXP 8/20/21		None			Buy	07/20/21	J		
1095.					Expired	08/20/21	J		
1096. CALL IIVI EXP 9/17/2021		None			Buy	08/24/21	J		
1097.					Expired	09/17/21	J		
1098. CALL IIVI EXP 11/19/21		None			Buy	09/21/21	J		
1099.					Expired	11/19/21	J		
1100. CALL IIVI EXP 1/21/2022		None	J	T	Buy	11/23/21	J		
1101. CALL BMRN EXP 1/15/2021		None			Expired	01/15/21	J		
1102. CALL BMRN EXP 2/19/2021		None			Buy	01/20/21	J		
1103.					Expired	02/19/21	J		
1104. CALL BMRN EXP 4/16/2021		None			Buy	02/23/21	J		
1105.					Expired	04/16/21	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
	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)
1106. CALL BMRN EXP 7/16/2021		None			Buy	05/25/21	J		
1107.					Expired	07/16/21	J		
1108. CALL UAL EXP 3/19/2021		None			Buy	01/20/21	J		
1109.					Sold	03/22/21	J		
1110. CALL OXY EXP 2/19/2021		None			Buy	01/20/21	J		
1111.					Sold	02/19/21	J		
1112. CALL CGC EXP 2/19/2021		None			Buy	01/20/21	J		
1113.					Sold	02/11/21	J		
1114. CALL CGC EXP 3/19/2021		None			Buy	02/23/21	J		
1115.					Expired	03/19/21	J		
1116. CALL CGC EXP 5/21/2021		None			Buy	03/24/21	J		
1117.					Expired	05/21/21	J		
1118. CALL FIXX EXP 3/19/2021		None			Buy	01/20/21	J		
1119.					Expired	03/19/21	J		
1120. CALL CCL EXP 3/19/2021		None			Buy	01/20/21	J		
1121.					Expired	03/19/21	J		
1122. CALL CCL EXP 4/16/2021		None			Buy	03/24/21	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; 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
Moody, Jr., James S.	08/12/2022

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)
1123.					Expired	04/16/21	J		
1124. CALL CCL EXP 5/21/2021		None			Buy	03/24/21	J		
1125.					Expired	05/21/21	J		
1126. CALL CCL EXP 6/18/2021		None			Buy	05/25/21	J		
1127.					Expired	06/18/21	J		
1128. CALL CCL EXP 7/16/2021		None			Buy	05/25/21	J		
1129.					Expired	07/16/21	J		
1130. CALL CCL EXP 10/15/2021		None			Buy	08/24/21	J		
1131.					Expired	10/15/21	J		
1132. CALL CCL CORP 11/19/2021		None			Buy	09/21/21	J		
1133.					Expired	11/19/21	J		
1134. CALL CYBR EXP 2/19/2021		None			Buy	01/20/21	J		
1135.					Expired	02/19/21	J		
1136. CALL CYBR EXP 3/19/2021		None			Buy	02/23/21	J		
1137.					Expired	03/19/21	J		
1138. CALL CYBR EXP 5/21/2021		None			Buy	03/24/21	J		
1139.					Expired	05/21/21	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; 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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Moody, Jr., James S.	08/12/2022

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)
1140. CALL CYBR EXP 01/21/2022		None	J	T	Buy	12/21/21	J		
1141. CALL ALEC EXP 3/19/2021		None			Buy	01/26/21	J		
1142.					Sold	03/19/21	J		
1143. CALL ALEC EXP 4/16/2021		None			Buy	03/24/21	J		
1144.					Expired	04/16/21	J		
1145. CALL ALEC EXP 6/18/2021		None			Buy	04/20/21	J		
1146.					Expired	06/18/21	J		
1147. CALL ALEC EXP 7/16/2021		None			Buy	05/25/21	J		
1148.					Sold	07/16/21	J		
1149. CALL ALEC EXP 8/20/2021		None			Buy	06/22/21	J		
1150.					Expired	08/20/21	J		
1151. CALL ALEC EXP 9/17/2021		None			Buy	08/03/21	J		
1152.					Expired	09/17/21	J		
1153. CALL ALEC EXP 10/15/2021		None			Buy	08/24/21	J		
1154.					Expired	10/15/21	J		
1155. CALL ALEC EXP 11/19/2021		None			Buy	09/21/21	J		
1156.					Expired	11/19/21	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; 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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Moody, Jr., James S.	08/12/2022

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)
1157. CALL AKRO EXP 2/19/2021		None			Buy	01/27/21	J		
1158.					Expired	02/19/21	J		
1159. CALL AKRO EXP 4/16/21		None			Buy	02/23/21	J		
1160.					Expired	04/16/21	J		
1161. CALL EDIT EXP 3/19/2021		None			Buy	01/29/21	J		
1162.					Expired	03/19/21	J		
1163. CALL EDIT EXP 5/21/2021		None			Buy	03/24/21	J		
1164.					Expired	05/21/21	J		
1165. CALL EDIT EXP 7/16/2021		None			Buy	05/25/21	J		
1166.					Expired	07/16/21	J		
1167. CALL EDIT EXP 8/20/2021		None			Buy	07/20/21	J		
1168.					Sold	08/20/21	J		
1169. CALL PING EXP 3/19/2021		None			Buy	02/23/21	J		
1170.					Expired	03/19/21	J		
1171. CALL TDOC EXP 8/20/2021		None			Buy	07/20/21	J		
1172.					Expired	08/20/21	J		
1173. CALL TDOC EXP 9/17/2021		None			Buy	08/24/21	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
	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)
1174.					Expired	09/17/21	J		
1175. CALL TDOC EXP 11/19/21		None			Buy	09/21/21	J		
1176.					Expired	11/19/21	J		
1177. CALL ON EXP 11/19/21		None			Buy	09/21/21	J		
1178.					Sold	11/19/21	J		
1179. CALL AI EXP 11/19/2021		None			Buy	09/21/21	J		
1180.					Expired	11/19/21	J		
1181. CALL FSR EXP 11/19/2021		None			Buy	09/21/21	J		
1182.					Sold	11/21/21	J		
1183. Account #11 (H)									
1184. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
1185. BP PLC (BP)	A	Dividend	J	T					
1186. Carnival Corp Paired Shs (CCL)		None	J	T					
1187. II-VI Inc (IIVI)		None	J	T					
1188. Norweigan Crusie Line (NCLH)		None	J	T					
1189. Starbucks Corp (SBUX)	A	Dividend	K	T					
1190. Vivendi SHS UNSP ADR (VIVHY)	C	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		
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)
1191. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
1192. Account #12 (H)									
1193. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
1194. BP PLC (BP)	A	Dividend	J	T					
1195. Carnival Corp Paired Shs (CCL)		None	J	T					
1196. II-VI Inc (IIVI)		None	J	T					
1197. Norweigan Crusie Line (NCLH)		None	J	T					
1198. Starbucks Corp (SBUX)	A	Dividend	K	T					
1199. Vivendi SHS UNSP ADR (VIVHY)	C	Dividend	J	T					
1200. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
1201. Account #13 (H)									
1202. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
1203. BP PLC (BP)	A	Dividend	J	T					
1204. Carnival Corp Paired Shs (CCL)		None	J	T					
1205. II-VI Inc (IIVI)		None	J	T					
1206. Norweigan Crusie Line (NCLH)		None	J	T					
1207. Starbucks Corp (SBUX)	A	Dividend	K	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

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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)
1208. Vivendi SHS UNSP ADR (VIVHY)	C	Dividend	J	T					
1209. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
1210. Account #14 (H)									
1211. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
1212. BP PLC (BP)	A	Dividend	J	T					
1213. Carnival Corp Paired Shs (CCL)		None	J	T					
1214. II-VI Inc (IIVI)		None	J	T					
1215. Norweigan Crusie Line (NCLH)		None	J	T					
1216. Starbucks Corp (SBUX)	A	Dividend	K	T					
1217. Vivendi SHS UNSP ADR (VIVHY)	C	Dividend	J	T					
1218. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
1219. Account #15 (H)									
1220. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
1221. BP PLC (BP)	A	Dividend	J	T					
1222. Carnival Corp Paired Shs (CCL)		None	J	T					
1223. II-VI Inc (IIVI)		None	J	T					
1224. Norweigan Crusie Line (NCLH)		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

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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)
1225. Starbucks Corp (SBUX)	A	Dividend	K	T					
1226. Vivendi SHS UNSP ADR (VIVHY)	C	Dividend	J	T					
1227. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
1228. Account #16 (H)									
1229. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
1230. BP PLC (BP)	A	Dividend	J	T					
1231. Carnival Corp Paired Shs (CCL)		None	J	T					
1232. II-VI Inc (IIVI)		None	J	T					
1233. Norweigan Crusie Line (NCLH)		None	J	T					
1234. Starbucks Corp (SBUX)	A	Dividend	K	T					
1235. Vivendi SHS UNSP ADR (VIVHY)	C	Dividend	J	T					
1236. Calamos Strat Tot Return (CSQ)	A	Dividend	J	T					
1237. Account #17 (H)									
1238. Anheuser-Busch Inbev ADR (BUD)	A	Dividend	J	T					
1239. BP PLC (BP)	A	Dividend	J	T					
1240. Carnival Corp Paired Shs (CCL)		None	J	T					
1241. II-VI Inc (IIVI)		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	
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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)
1242. Norweigan Crusie Line (NCLH)		None	J	T					
1243. Starbucks Corp (SBUX)	A	Dividend	J	T					
1244. Valero Energy Corp (VLO)	A	Dividend	J	T					
1245. Account #18 (H)									
1246. Carnival Corp (CCL)		None	J	T					
1247. Exxon Mobil (XOM)	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		
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, line 3: This entry represents a limited partnership interest. The entity was duly registered in the state of Florida. Its business offices and operations are located in another state and run by an individual whose information is not subject to this disclosure. As a limited partner, the filer has no knowledge of, and no control over, the specific assets or activities of the limited partnership; his interest is reported per page 24 of the Alphabetical Reference. All holdings in which the filer, or any other individual subject to this disclosure, has a personal ownership share are separately identified in Part VII.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Each put or call transaction is an independent contract creating the right, but not the obligation, to make future sales or purchases of specific assets. They are not fixed assets, therefore either purchases or sales of individual puts and calls can be used to either open or close contracts; they do not generate income. Options devalue based upon market conditions and expiration dates, therefore they routinely do not have value at the end of a reporting period; this occurs without any type of reportable transaction. Those options which have value at the end of the reporting period are reflected accordingly in Column C. Purchases and sales of any optioned holdings are reported separately from these contracts.

Part VII, Tilray Inc Reg Shs-2 (TLRY) was Aphria Inc SHS (APHQF).

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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/ James S. Moody, Jr.

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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