

Financial Disclosures

Annual Report for Calendar 2019

The Honorable Rick Scott (Scott, Rick)

Filed 08/13/2020 @ 5:06 PM

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
 I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **No**

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	Personal Residence - Naples <i>Description:</i> Florida Parcel: 09380240002 (Naples, FL) <i>Filer comment:</i> Included for purposes of completeness.	Real Estate Residential	Joint	\$5,000,001 - \$25,000,000	None,	None (or less than \$201)
2	Boathouse - Naples	Real Estate	Joint	\$100,001 -	None,	None (or less than \$201)

	Description: Florida Parcel: Asset 13420001922 (Naples, FL) Filer comment: Included for purposes of completeness.	Residential Asset Type	Owner	\$250,000 Value	Income Type	Income
3	Refundable Club Deposit 1 Company: Royal Poinciana (Naples, FL) Filer comment: Included for purposes of completeness.	Accounts Receivable From a Business	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
4	Refundable Club Deposit 2 Company: Red Sky (Wolcott, CO) Filer comment: Included for purposes of completeness.	Accounts Receivable From a Business	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
5	Richard L. Scott Trust Filer comment: Managed as a "blind trust" while Governor of Florida	Trust General Trust	Self			
5.1	Morgan Stanley (Los Angeles, CA) Type: Brokerage Sweep Account, Money Market Account,	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
5.2	Metropolitan Washington DC Airports Auth Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2019 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Self	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
5.3	Texas A&M University Perm Univ Fd Bond Rate/Coupon: 5.0% Matures: 07/01/2025 Filer comment: No longer held (sold)	Government Securities Municipal Security	Self	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
5.4	Massachusetts Water Res Auth Revenue Bond Rate/Coupon: 5.0% Matures: 08/01/2028	Government Securities Municipal Security	Self	\$100,001 - \$250,000	Interest,	\$5,001 - \$15,000

Asset	Asset Type	Owner	Value	Income Type	Income
5.5 New York City NY Transition Fin Auth Bldg Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/15/2023</i> <i>Filer comment: No longer held (sold)</i>	Government Securities Municipal Security	Self	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
5.6 Canadian River Texas Muni Water Auth Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 02/15/2025</i>	Government Securities Municipal Security	Self	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
5.7 Massachusetts State Dev Fin Agency Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2026</i>	Government Securities Municipal Security	Self	\$100,001 - \$250,000	Interest,	\$5,001 - \$15,000
5.8 Las Vegas Valley Nevada Water District Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/01/2027</i>	Government Securities Municipal Security	Self	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
5.9 Washington State Motor Vehicle Fuel Tax G.O. Bond <i>Rate/Coupon: 5.25%</i> <i>Matures: 06/01/2027</i> <i>Filer comment: No longer held (sold)</i>	Government Securities Municipal Security	Self	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
5.10 Lower Alabama Gas Project Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 09/01/2028</i>	Government Securities Municipal Security	Self	\$100,001 - \$250,000	Interest,	\$2,501 - \$5,000
5.11 Salt River Proj Agric Power District Ariz Elec System Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 12/01/2029</i>	Government Securities Municipal Security	Self	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000
5.12 Connecticut State Green Tax	Government	Self	\$100,001	Interest	\$2,501 - \$5,000

5.12	Connecticut State Spec Tax Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 09/01/2030</i>	Government Securities Municipal Security	Self Owner	\$100,001 - \$250,000	Interest, Income Type	\$2,501 - \$5,000 Income
5.13	Chicago Illinois Met Water Reclamation District Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 12/01/2030</i>	Government Securities Municipal Security	Self	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000
5.14	WTT - Wireless Telecom Group, Inc.	Corporate Securities Stock	Self	\$500,001 - \$1,000,000	None,	None (or less than \$201)
5.15	AG Energy Partners II, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.16	AG Super Fund, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Self	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
5.17	CAI Partners and Company IV L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.18	Canyon Laurel Fund L.P. <i>Description: Private Investment Partnership (Los Angeles, CA)</i>	Investment Fund Private Equity Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.19	Fortress Secured Lending Fund I (A) LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Self	\$500,001 - \$1,000,000	Excepted Investment Fund,	\$50,001 - \$100,000
5.20	OVO Fund II, LLC <i>Description: Private Investment Partnership (Los Altos, CA)</i>	Investment Fund Private Equity Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	\$201 - \$1,000
5.21	Vestar Executive V, LP / Vestar Executives IV, LP / Vestar - AIV Holdings B, LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$15,001 - \$50,000
5.22	Briarwood Capital Partners	Investment Fund	Self	\$1,000,001 -	Excepted	\$100,001 - \$1,000,000

5.22	Brinwood Capital Partners LP <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Hedge Fund Asset Type	Self Owner	\$1,000,001 - \$5,000,000 Value	Excepted Investment Fund, Income Type	\$100,001 - \$1,000,000 Income
5.23	Canyon Balanced Fund, L.P. <i>Description: Private Investment Partnership (Los Angeles, CA)</i>	Investment Fund Hedge Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.24	Elliott Associates, L.P. <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Hedge Fund	Self	\$5,000,001 - \$25,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.25	Engine Capital, LP <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Hedge Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.26	Moab Partners, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Hedge Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$50,001 - \$100,000
5.27	Nokomis Capital Partners, L.P. <i>Description: Private Investment Vehicle (Dallas, TX)</i>	Investment Fund Hedge Fund	Self	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
5.28	Overlook 3G Investments, L.P. <i>Description: Private Investment Vehicle (Hong Kong, N/A) Filer comment: No longer held</i>	Investment Fund Hedge Fund	Self	None (or less than \$1,001)	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.29	Rimrock High Income Plus (QP) Fund, L.P. <i>Description: Private Investment Vehicle (Irvine, CA)</i>	Investment Fund Hedge Fund	Self	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
5.30	Pershing Advisor Solutions - BNY Mellon (New York, NY) <i>Type: Brokerage Sweep Account, Money Market Account,</i>	Bank Deposit	Self	\$1,000,001 - \$5,000,000	Interest,	\$50,001 - \$100,000
5.31	Promissory Note <i>Company: Pharmaca</i>	Accounts Receivable	Self	\$100,001 - \$250,000	None,	None (or less than \$201)

	Investments, LLC (Rowayton, CT) Asset	From a Business Asset Type	Owner	Value	Income Type	Income
5.32	Account Receivable from Canyon Balanced Fund, L.P. <i>Company:</i> Canyon Balanced Fund, L.P. (Los Angeles, CA) <i>Filer comment:</i> Income includes amount due received during period	Accounts Receivable From a Business	Self	None (or less than \$1,001)	Excepted Investment Fund,	\$1,000,001 - \$5,000,000
5.33	Account Receivable from AG Super Fund, L.P. <i>Company:</i> AG Super Fund, L.P. (New York, NY) <i>Filer comment:</i> Income includes amount due received during period	Accounts Receivable From a Business	Self	\$500,001 - \$1,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.34	Account Receivable from Nokomis Capital Partners, L.P. <i>Company:</i> Nokomis Capital Partners, L.P. (Dallas, TX) <i>Filer comment:</i> Income includes amount due received during period	Accounts Receivable From a Business	Self	None (or less than \$1,001)	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.35	AJ 2 Elliott LLC <i>Description:</i> Private Investment Vehicle (New York, NY)	Investment Fund Private Equity Fund	Self			
5.35.1	Ancora Catalyst SPV I L.P. <i>Description:</i> Private Investment Partnership (Cleveland, OH)	Investment Fund Private Equity Fund	Self	None (or less than \$1,001)	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.36	G. Scott Capital Partners <i>Description:</i> Private Investment Vehicle (Rowayton, CT)	Investment Fund Private Equity Fund	Self			
5.36.1	Valterra Products Holdings, LLC <i>Company:</i> Valterra Products Holdings, LLC (Mission Hills,	Business Entity Limited Liability Company (LLC)	Self	\$5,000,001 - \$25,000,000	Dividends, Interest,	\$100,001 - \$1,000,000

	CA) Description: Manufacturing and products supplier	Asset Type	Owner	Value	Income Type	Income
5.36.2	VCA TCG Holdings, LLC <i>Company:</i> VCA TCG Holdings, LLC (Wilmington, DE) <i>Description:</i> Professional engineering and consulting services	Business Entity Limited Liability Company (LLC)	Self	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
5.36.3	Account receivable from Mosquito Control Services, LLC <i>Company:</i> Mosquito Control Services, LLC (Metairie, LA) <i>Filer comment:</i> Income includes amount due received during period	Accounts Receivable From a Business	Self	\$250,001 - \$500,000	Dividends, Interest,	\$50,001 - \$100,000
5.36.4	Pershing Advisor Solutions (New York, NY) <i>Type:</i> Money Market Account,	Bank Deposit	Self	\$100,001 - \$250,000	Interest,	None (or less than \$201)
5.37	VSS Structured Capital III, L.P. <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$15,001 - \$50,000
5.38	S&S Equity Partners I LLC <i>Company:</i> S&S Equity Partners I LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Self			
5.38.1	Promissory Note <i>Company:</i> L&S Family Entertainment LLC (Hendersonville, TN)	Accounts Receivable From a Business	Self	\$500,001 - \$1,000,000	Dividends, Interest,	\$50,001 - \$100,000
5.39	S&S Sports, LLC <i>Company:</i> S&S Sports, LLC (Rowayton, CT) <i>Description:</i> Investment	Business Entity Limited Liability Company (LLC)	Self			

	Asset	Asset Type	Owner	Value	Income Type	Income
5.39.1	holding company Promissory Note <i>Company:</i> L&S Family Entertainment LLC (Hendersonville, TN)	Accounts Receivable From a Business	Self	\$500,001 - \$1,000,000	Dividends, Interest,	\$100,001 - \$1,000,000
5.40	Fulton Chain Acquisition LLC <i>Company:</i> Fulton Chain Acquisition LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Self			
5.40.1	Pershing Advisor Solutions (New York, NY) <i>Type:</i> Money Market Account,	Bank Deposit	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
5.41	AJ I Gainline LLC <i>Company:</i> AJ I Gainline LLC (New York, NY) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Self			
5.41.1	Gainline Equity Fund LP <i>Description:</i> Private Investment Partnership (Stamford, CT)	Investment Fund Private Equity Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.42	RLSI-CSP Capital Partners, LLC <i>Company:</i> RLSI-CSP Capital Partners, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Self			
5.42.1	Bank of America NA (New York, NY) <i>Type:</i> Brokerage Sweep Account,	Bank Deposit	Self	\$100,001 - \$250,000	Interest,	\$1,001 - \$2,500
5.43	Pharmaca Investments, LLC <i>Company:</i> Pharmaca Investments, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Self			
5.43.1	Pharmaca Integrative Pharmacy, Inc. <i>Company:</i> Pharmaca	Corporate Securities Non-Public	Self	\$250,001 - \$500,000	None,	None (or less than \$201)

Asset	Company Name	Asset Type	Owner	Value	Income Type	Income
	Integrative Pharmacy, Inc. (Boulder, CO) <i>Description:</i> Retail and pharmacy					
5.44	RLSI-EMIDA Capital Partners, LLC <i>Company:</i> RLSI-EMIDA Capital Partners, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Self			
5.44.1	Emida Corporation <i>Company:</i> Emida Corporation (Foothill Ranch, CA) <i>Description:</i> Financial technology	Corporate Securities Non-Public Stock	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
5.45	Columbia Collier Management, LLC <i>Company:</i> Columbia Collier Management, LLC (Naples, FL) <i>Description:</i> Company set up for purpose of ownership of airplane <i>Filer comment:</i> Ownership interest of company holding one airplane	Business Entity Limited Liability Company (LLC)	Self			
5.45.1	Airplane <i>Description:</i> Airplane	Personal Property Other	Self	\$5,000,001 - \$25,000,000	None,	None (or less than \$201)
5.46	U.S. Treasury Bill 12/3/19 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> No longer held	Government Securities US Treasury/Agency Security	Self	None (or less than \$1,001)	Interest,	\$201 - \$1,000
5.47	U.S. Treasury Bill 1/21/20 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 1/21/20	Government Securities US Treasury/Agency Security	Self	\$100,001 - \$250,000	Interest,	\$201 - \$1,000
5.48	U.S. Treasury Bill 7/31/24 <i>Rate/Coupon:</i> None	Government Securities	Self	None (or less than \$1,001)	Interest,	\$201 - \$1,000

	Matures: None Filer comment: Zero Coupon, 7/31/24	US Treasury/Agency Security	Owner	Value	Income Type	Income
5.49	Tarrant County Texas Cultural Ed Facs Fin Corp Revenue Bond Rate/Coupon: 6.375% Matures: 11/15/2044 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Self	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
5.50	Broward County Fla Airport System Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2034	Government Securities Municipal Security	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.51	Metropolitan Nashville Airport Auth Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2036	Government Securities Municipal Security	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.52	King County Washington Sch Dist G.O. Bond Rate/Coupon: 4.0% Matures: 12/01/2036	Government Securities Municipal Security	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.53	City of Atlanta Georgia Airport General Obligation Bond Rate/Coupon: 4.0% Matures: 07/01/2038	Government Securities Municipal Security	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.54	Franklin County Ohio Revenue Bond Rate/Coupon: 4.0% Matures: 12/01/2038	Government Securities Municipal Security	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.55	SHV - iShares Short Treasury Bond ETF	Mutual Funds Exchange Traded Fund/Note	Self	\$5,000,001 - \$25,000,000	Excepted Investment Fund,	\$50,001 - \$100,000
5.56	LUBYX - Lord Abbett Ultra Short Bond Fund Class I	Mutual Funds Mutual Fund	Self	\$5,000,001 - \$25,000,000	Excepted Investment	\$50,001 - \$100,000

	Short Bond Fund Class I Asset	Mutual Fund Asset Type	Owner	\$25,000,000 Value	Investment Fund Income Type	Income
5.57	GLDM - SPDR Gold MiniShares	Mutual Funds Exchange Traded Fund/Note	Self	\$1,000,001 - \$5,000,000	None, Excepted Investment Fund,	None (or less than \$201)
5.58	GDX - VanEck Vectors Gold Miners ETF	Mutual Funds Exchange Traded Fund/Note	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$5,001 - \$15,000
5.59	U.S. Treasury Bill 2/19/21 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 2/19/21</i>	Government Securities US Treasury/Agency Security	Self	None (or less than \$1,001)	Interest,	\$1,001 - \$2,500
5.60	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon: 2.41% - Floating</i> <i>Matures: 05/15/2034</i>	Government Securities Municipal Security	Self	\$100,001 - \$250,000	Interest,	\$2,501 - \$5,000
5.61	Metropolitan Transportation Auth NY Revenue BANS Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 09/01/2020</i>	Government Securities Municipal Security	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.62	Port Authority of NY & NJ Bonds 218 Series <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2030</i>	Government Securities Municipal Security	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.63	AG Energy Credit Opportunities Fund IV, LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	\$1,001 - \$2,500
5.64	Casdin Partners, LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Self	\$500,001 - \$1,000,000	None,	None (or less than \$201)
5.65	Stonepine Capital, L.P. <i>Description: Private Investment Partnership (Bend, Oregon)</i>	Investment Fund Private Equity Fund	Self	\$1,000,001 - \$5,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
5.66	Legion Partners Special Opportunities, L.P. XII	Investment Fund Private Equity Fund	Self	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)

	<i>Description:</i> Private Investment Partnership (Los Angeles, California)	Fund Asset Type	Owner	Value	Income Type	Income
5.67	Third Prime Alpha Fund II, LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
5.68	Ancora Catalyst SPV I LP Series B <i>Description:</i> Private Investment Partnership (Cleveland, OH)	Investment Fund Private Equity Fund	Self	\$500,001 - \$1,000,000	Excepted Investment Fund,	\$5,001 - \$15,000
6	F. Annette Scott 2015 GRAT Trust	Trust General Trust	Spouse			
6.1	Morgan Stanley (Los Angeles, CA) <i>Type:</i> Brokerage Sweep Account,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	\$5,001 - \$15,000
6.2	BNY Mellon (New York, NY) <i>Type:</i> Brokerage Sweep Account,	Bank Deposit	Spouse	\$50,001 - \$100,000	Interest,	\$5,001 - \$15,000
6.3	WTT - Wireless Telecom Group, Inc.	Corporate Securities Stock	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.4	Pershing Advisor Solutions - BNY Mellon (New York, NY) <i>Type:</i> Brokerage Sweep Account, Money Market Account,	Bank Deposit	Spouse	\$50,001 - \$100,000	Interest,	\$2,501 - \$5,000
6.5	AAPL - Apple Inc. <i>Filer comment:</i> No longer held	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$50,001 - \$100,000
6.6	ABT - Alpha Mutual Services	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$15,001 - \$50,000

6.6	ABI - Abbott Laboratories <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse Owner	None (or less than \$1,001)	Capital Gains, Income Type	\$15,001 - \$50,000 Income
6.7	AEM - Agnico Eagle Mines Limited <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$5,001 - \$15,000
6.8	BAC - Bank of America Corporation <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$15,001 - \$50,000
6.9	CCI - Crown Castle International Corp. (REIT) <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$5,001 - \$15,000
6.10	DVY - iShares Select Dividend ETF <i>Filer comment: No longer held</i>	Mutual Funds Exchange Traded Fund/Note	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	\$2,501 - \$5,000
6.11	EPD - Enterprise Products Partners L.P. <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$50,001 - \$100,000
6.12	FUN - Cedar Fair, L.P. <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$15,001 - \$50,000
6.13	GILD - Gilead Sciences, Inc. <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$50,001 - \$100,000
6.14	GOOGL - Alphabet Inc. <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$15,001 - \$50,000
6.15	JNJ - Johnson & Johnson <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$15,001 - \$50,000
6.16	KBWB - Invesco KBW Bank ETF <i>Filer comment: No longer held</i>	Mutual Funds Exchange Traded Fund/Note	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	\$15,001 - \$50,000
6.17	MSFT - Microsoft Corporation <i>Filer comment: No longer held</i>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Capital Gains,	\$50,001 - \$100,000
6.18	RPA - Invesco Aerospace &	Mutual Funds	Spouse	None (or less	Excepted	\$15,001 - \$50,000

6.18	PPA - INVESCO AEROSPACE & Defense ETF <i>Filer comment: No longer held</i>	Mutual Funds Exchange Asset Type Traded Fund/Note	Spouse Owner	None (or less than \$1,001) Value	Excepted Investment Income Type Fund,	\$10,001 - \$50,000 Income
6.19	VICI - VICI Properties Inc.	Corporate Securities Stock	Spouse	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
6.20	AG Energy Partners II, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.21	AG Super Fund, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	None (or less than \$201)
6.22	AJ 2 Elliott LLC <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse			
6.22.1	Ancora Catalyst SPV I L.P. <i>Description: Private Investment Partnership (Cleveland, OH)</i>	Investment Fund Private Equity Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	Over \$1,000,000 and held independently by spouse or dependent child
6.23	Canyon Laurel Fund L.P. <i>Description: Private Investment Partnership (Los Angeles, CA)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.24	Fortress Secured Lending Fund I (A) LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or	Excepted Investment Fund,	\$100,001 - \$1,000,000

	Asset	Asset Type	Owner	By spouse or dependent child Value	Income Type	Income
6.25	OVO Fund II, LLC <i>Description:</i> Private Investment Partnership (Los Altos, CA)	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$201 - \$1,000
6.26	VSS Structured Capital III, L.P. <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$50,001 - \$100,000
6.27	Briarwood Capital Partners LP <i>Description:</i> Private Investment Vehicle (New York, NY)	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.28	Canyon Balanced Fund, L.P. <i>Description:</i> Private Investment Vehicle (Los Angeles, CA)	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.29	Engine Capital, LP <i>Description:</i> Private Investment Vehicle (New York, NY)	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.30	Moab Partners, L.P. <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000

Asset	Asset Type	Owner	Value	Income Type	Income
6.31 Nokomis Capital Partners, L.P. <i>Description: Private Investment Vehicle (Dallas, TX)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.32 Overlook Partners Fund, L.P. <i>Description: Private Investment Vehicle (Hong Kong, N/A) Filer comment: No longer held</i>	Investment Fund Hedge Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.33 Rimrock High Income Plus (QP) Fund, L.P. <i>Description: Private Investment Vehicle (Irvine, CA)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.34 GQETX - GMO Quality Fund Class III	Mutual Funds Mutual Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.35 Pershing Advisor Solutions - BNY Mellon (New York, NY) <i>Type: Money Market Account,</i>	Bank Deposit	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$50,001 - \$100,000
6.36 U.S. Treasury Note 02/28/2019 <i>Rate/Coupon: None</i>	Government Securities US	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$5,001 - \$15,000

	Matures: None Asset Rate comment: 1.5%, 02/28/2019; no longer held	Treasury/Agency Security	Owner	Value	Income Type	Income
6.37	U.S. Treasury Note 03/31/2019 Rate/Coupon: None Matures: None Filer comment: 1.25%, 03/31/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$5,001 - \$15,000
6.38	U.S. Treasury Note 06/30/2019 Rate/Coupon: None Matures: None Filer comment: 1.25%, 06/30/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
6.39	U.S. Treasury Note 07/31/2019 Rate/Coupon: None Matures: None Filer comment: 1.625%, 07/31/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
6.40	U.S. Treasury Note 08/15/2019 Rate/Coupon: None Matures: None Filer comment: 3.625%, 08/15/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.41	U.S. Treasury Note 09/30/2019 Rate/Coupon: None Matures: None Filer comment: 1.75%, 09/30/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
6.42	U.S. Treasury Note 10/15/2019 Rate/Coupon: None Matures: None Filer comment: 0.875%	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000

	<i>Filer comment: 0.875%, 10/15/2019; no longer held</i>	Security Asset Type	Owner	Value	Income Type	Income
6.43	U.S. Treasury Note 11/15/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1%, 11/15/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
6.44	U.S. Treasury Note 11/30/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 11/30/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$50,001 - \$100,000
6.45	U.S. Treasury Note 12/15/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.375%, 12/15/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$50,001 - \$100,000
6.46	U.S. Treasury Note 12/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.875%, 12/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
6.47	U.S. Treasury Note 01/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 1.375%, 01/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	Interest, Capital Gains,	\$50,001 - \$100,000
6.48	U.S. Treasury Note 01/31/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.0%</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or	Interest, Capital Gains,	\$15,001 - \$50,000

	<i>Filer comment: 2.07%, 11/31/2020</i>	Security Asset Type	Owner	by spouse or dependent child	Income Type	Income
6.49	U.S. Treasury Note 02/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 3.625%, 02/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.50	U.S. Treasury Note 02/29/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.125%, 02/29/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.51	U.S. Treasury Note 03/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 1.625%, 03/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.52	U.S. Treasury Note 03/31/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.25%, 03/31/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.53	U.S. Treasury Note 04/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 04/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000

Asset	Asset Type	Owner	Value	Income Type	Income
6.54 U.S. Treasury Note 04/30/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.375%, 04/30/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest, Capital Gains,	\$15,001 - \$50,000
6.55 U.S. Treasury Note 05/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 05/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.56 U.S. Treasury Note 05/31/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.5%, 05/31/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.57 U.S. Treasury Note 06/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 06/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.58 U.S. Treasury Note 06/30/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.5%, 06/30/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000

Asset	Asset Type	Owner	Value	Income Type	Income	
6.59	U.S. Treasury Note 07/15/2020 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.5%, 07/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
6.60	U.S. Treasury Note 07/31/2020 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.625%, 07/31/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.61	AJ I Gainline LLC <i>Company: AJ I Gainline LLC</i> <i>(New York, NY)</i> <i>Description: Investment</i> <i>holding company</i>	Business Entity Limited Liability Company (LLC)	Spouse			
6.61.1	Gainline Equity Fund LP <i>Description: Private Investment</i> <i>Partnership (Stamford, CT)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.62	RLSI-CSP Capital Partners, LLC <i>Company: RLSI-CSP Capital</i> <i>Partners, LLC (Rowayton, CT)</i> <i>Description: Investment</i> <i>holding company</i>	Business Entity Limited Liability Company (LLC)	Spouse			
6.62.1	Bank of America NA <i>(New York, NY)</i> <i>Type: Brokerage Sweep</i>	Bank Deposit	Spouse	\$100,001 - \$250,000	Interest,	\$1,001 - \$2,500

Account, Asset	Asset Type	Owner	Value	Income Type	Income
6.63 U.S. Treasury Note 4/30/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.625%, 4/30/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$5,001 - \$15,000
6.64 U.S. Treasury Note 8/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.625%, 8/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
6.65 U.S. Treasury Note 10/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 10/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
6.66 U.S. Treasury Note 5/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 5/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$5,001 - \$15,000
6.67 U.S. Treasury Note 6/30/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.625%, 6/30/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$2,501 - \$5,000
6.68 U.S. Treasury Note 8/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.625%</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or	Interest,	\$15,001 - \$50,000

	<i>Filer comment: 2.625%, 8/31/2020</i> Asset	Security Asset Type	Owner	Value by spouse or dependent child	Income Type	Income
6.69	U.S. Treasury Note 8/31/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.625%, 8/31/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.70	U.S. Treasury Note 9/30/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.75%, 9/30/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.71	U.S. Treasury Note 10/31/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.875%, 10/31/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.72	U.S. Treasury Note 11/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.625%, 11/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
6.73	U.S. Treasury Note 12/31/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.375%, 12/31/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000

Asset	Asset Type	Owner	Value	Income Type	Income
6.74 U.S. Treasury Note 1/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.125%, 1/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
6.75 U.S. Treasury Note 3/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.25%, 3/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
6.76 U.S. Treasury Note 4/30/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.25%, 4/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
6.77 U.S. Treasury Note 5/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.0%, 5/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
6.78 U.S. Treasury Note 6/30/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.625%, 6/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000

Asset	Asset Type	Owner	Value	Income Type	Income	
6.79	U.S. Treasury Note 7/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.75%, 7/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.80	U.S. Treasury Note 8/15/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.125%, 8/15/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.81	U.S. Treasury Note 8/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.5%, 8/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.82	U.S. Treasury Note 9/15/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.75%, 9/15/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.83	U.S. Treasury Note 9/30/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.125%, 9/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)

Asset	Asset Type	Owner	Value	Income Type	Income
6.84 U.S. Treasury Note 10/31/2021 <i>Rate/Coupon: None Matures: None Filer comment: 1.3%, 10/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.85 U.S. Treasury Note 11/15/2021 <i>Rate/Coupon: None Matures: None Filer comment: 2.875%, 11/15/2021</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.86 U.S. Treasury Note 11/30/2021 <i>Rate/Coupon: None Matures: None Filer comment: 1.75%, 11/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.87 U.S. Treasury Note 12/15/2021 <i>Rate/Coupon: None Matures: None Filer comment: 2.625%, 12/15/2021</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.88 U.S. Treasury Note 4/9/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 4/9/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.89 U.S. Treasury Note 2/14/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000

	<i>Filer comment: Zero Coupon, 2/14/2019; no longer held</i> Asset	Security Asset Type	Owner	Value	Income Type	Income
6.90	U.S. Treasury Note 2/21/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 2/21/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.91	U.S. Treasury Note 2/28/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 2/28/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.92	U.S. Treasury Note 3/12/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 3/12/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.93	U.S. Treasury Note 3/19/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 3/19/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.94	U.S. Treasury Note 4/16/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 4/16/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.95	U.S. Treasury Note 4/18/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 4/18/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000

6.96	U.S. Treasury Note 5/14/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 5/14/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse Owner	None (or less than \$1,001)	Interest, Income Type	\$2,501 - \$5,000 Income
6.97	U.S. Treasury Note 5/28/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 5/28/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
6.98	U.S. Treasury Note 6/18/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 6/18/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.99	U.S. Treasury Note 7/16/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 7/16/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
6.100	U.S. Treasury Note 9/5/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 9/5/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.101	U.S. Treasury Note 9/10/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 9/10/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
6.102	U.S. Treasury Note 10/15/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 10/15/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000

6.103	U.S. Treasury Note 12/3/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 12/3/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse Owner	None (or less than \$1,001)	Interest, Income Type	\$5,001 - \$15,000 Income
6.104	U.S. Treasury Note 1/21/2020 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 1/21/2020	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$201 - \$1,000
6.105	U.S. Treasury Note 2/13/2020 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon; 2/13/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.106	U.S. Treasury Note 7/31/2024 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 7/31/2024	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.107	Elliott Associates, L.P. <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.108	AG Energy Credit Opportunities Fund IV, LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$2,501 - \$5,000
6.109	Casdin Partners, LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent	None,	None (or less than \$201)

Asset	Asset Type	Owner	child Value	Income Type	Income	
6.110	Stonepine Capital, L.P. <i>Description:</i> Private Investment Partnership (Bend, Oregon)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
6.111	Legion Partners Special Opportunities, L.P. XII <i>Description:</i> Private Investment Partnership (Los Angeles, California)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.112	Third Prime Alpha Fund II, LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
6.113	Carroll County Kentucky Pollution Control Revenue Bond <i>Rate/Coupon:</i> 1.05% <i>Matures:</i> 09/01/2042 <i>Filer comment:</i> No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
6.114	Charlotte NC Airport Revenue Bond <i>Rate/Coupon:</i> 5.25% <i>Matures:</i> 07/01/2019 <i>Filer comment:</i> No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.115	Chester County Pennsylvania General Obligation Bond <i>Rate/Coupon:</i> 5.0% <i>Matures:</i> 07/15/2029 <i>Filer comment:</i> No longer held	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000

	Filer comment: No longer held (redeemed) Asset	Asset Type	Owner	Value	Income Type	Income
6.116	Dallas Fort Worth Texas International Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2026</i>	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
6.117	Dallas Fort Worth Texas Intl Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2037</i>	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
6.118	City of Detroit Michigan Sewage Disp Revenue Bond <i>Rate/Coupon: 7.0%</i> <i>Matures: 07/01/2027</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.119	Georgia State General Obligation Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2019</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.120	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon: 2.41% - Floating</i> <i>Matures: 05/15/2034</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$5,001 - \$15,000
6.121	Illinois Financial Auth - Revenue Bond <i>Rate/Coupon: 7.75%</i> <i>Matures: 08/15/2034</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.122	Iowa State Special Obligation Revenue Bond <i>Rate/Coupon: 5.0%</i>	Government Securities Municipal	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000

	Asset	Security Asset Type	Owner	Value	Income Type	Income
	<i>Matures: 06/01/2024</i> <i>Filer comment: No longer held (redeemed)</i>					
6.123	King County Washington General Obligation Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/01/2029</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.124	Kentucky Economic Development Fin Auth Hospital Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 03/01/2040</i>	Government Securities Municipal Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$50,001 - \$100,000
6.125	Long Island Power Authority Elec Sys Revenue Bond <i>Rate/Coupon: 6.0%</i> <i>Matures: 05/01/2033</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.126	Massachusetts State General Obligation Bond <i>Rate/Coupon: 4.5%</i> <i>Matures: 08/01/2043</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000
6.127	Metropolitan Washington DC Airports Authority Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 10/01/2019</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.128	New York City Mun Water Finance Authority Water & Sewer Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/15/2022</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000

Matures: 06/15/2033

Asset	Asset Type	Owner	Value	Income Type	Income
6.129 Niles Ohio City School District Bond <i>Rate/Coupon: 4.35%</i> <i>Matures: 12/01/2024</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
6.130 Tarrant County Texas Cultural Ed Facs Fin Corp Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 11/15/2044</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$50,001 - \$100,000
6.131 University Medical Center Corporation - Tucson Arizona Revenue Bond <i>Rate/Coupon: 6.5%</i> <i>Matures: 07/01/2039</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.132 University of Michigan Revenue Bond <i>Rate/Coupon: 1.7% - Floating</i> <i>Matures: 04/01/2033</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$5,001 - \$15,000
6.133 University of North Carolina Chapel Hill General Revenue Bond <i>Rate/Coupon: 2.017% - Floating</i> <i>Matures: 12/01/2034</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$5,001 - \$15,000
6.134 Washington State Health Care Facilities Auth Revenue Bond - Multicare Health Sys <i>Rate/Coupon: 6.0%</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000

	<i>Matures: 08/15/2039</i> <i>Filer comment: No longer held (redeemed)</i>	Asset Type	Owner	Value	Income Type	Income
6.135	Washington State Health Care Facilities Auth Revenue Bond - Providence Health & Services <i>Rate/Coupon: 5.25%</i> <i>Matures: 10/01/2039</i>	Government Securities Municipal Security	Spouse	\$100,001 - \$250,000	Interest,	\$2,501 - \$5,000
6.136	Washington State Healthcare Facilities Auth Revenue Bond <i>Rate/Coupon: 7.0%</i> <i>Matures: 07/01/2039</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
6.137	Metropolitan Transportation Auth NY Revenue BANS Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 09/01/2020</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.138	Port Portland Oregon Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2030</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.139	Port Authority of NY & NJ Bonds 218 Series <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2032</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.140	Broward County Fla Airport System Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 10/01/2034</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.141	San Antonio Texas Electric & Gas Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 02/01/2035</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.142	Metropolitan Nashville	Government Securities	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)

	Airport Auth Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2036</i>	Securities Municipal Security	Owner	\$1,000,000 Value	Income Type	Income
6.143	King County Washington Sch Dist G.O. Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 12/01/2037</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.144	City of Atlanta Georgia Airport General Obligation Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 07/01/2038</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.145	South Carolina ST Ports Authority Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2038</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.146	Greater Orlando Aviation Authority Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 10/01/2038</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.147	Franklin County Ohio Revenue Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 12/01/2038</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6.148	SHV - iShares Short Treasury Bond ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$15,001 - \$50,000
6.149	LUBYX - Lord Abbett Ultra Short Bond Fund Class I	Mutual Funds Mutual Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent	Excepted Investment Fund,	\$50,001 - \$100,000

Asset	Asset Type	Owner	child Value	Income Type	Income	
6.150	GLDM - SPDR Gold MiniShares	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$201 - \$1,000
6.151	GDX - VanEck Vectors Gold Miners ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$15,001 - \$50,000
6.152	Account Receivable from AG Super Fund, L.P. <i>Company: AG Super Fund, L.P. (New York, NY)</i>	Accounts Receivable From a Business	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
6.153	AJ 3 LLC <i>Company: AJ 3 LLC (New York, NY) Description: Investment holding company</i>	Business Entity Limited Liability Company (LLC)	Spouse			
6.153.1	Elliott Associates, L.P. <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Hedge Fund	Spouse	\$100,001 - \$250,000	None,	None (or less than \$201)
6.154	Ancora Catalyst SPV I LP Series B <i>Description: Private Investment Partnership (Cleveland, OH)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$15,001 - \$50,000

7	Richard L. Scott GRAT Continuing Trust	Trust Asset Type General Trust	Spouse Owner	Value	Income Type	Income
7.1	Morgan Stanley (New York, NY) <i>Type: Money Market Account,</i>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	\$2,501 - \$5,000
7.2	Pershing Advisor Solutions - BNY Mellon (New York, NY) <i>Type: Money Market Account,</i>	Bank Deposit	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$100,001 - \$1,000,000
7.3	BNY Mellon (New York, NY) <i>Type: Brokerage Sweep Account,</i>	Bank Deposit	Spouse	\$50,001 - \$100,000	Interest,	\$5,001 - \$15,000
7.4	AG Energy Partners II, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.5	AG Super Fund, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	None (or less than \$201)
7.6	Canyon Laurel Fund L.P. <i>Description: Private Investment Partnership (Los Angeles, CA)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.7	Fortress Secured Lending Fund I (A) LP <i>Description: Private Investment</i>	Investment Fund Private Equity Fund	Spouse	\$500,001 - \$1,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000

	Asset	Asset Type	Owner	Value	Income Type	Income
7.8	Partnership (New York, NY) OVO Fund II, LLC <i>Description: Private Investment Partnership (Los Altos, CA)</i>	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$201 - \$1,000
7.9	VSS Structured Capital III, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	\$500,001 - \$1,000,000	Excepted Investment Fund,	\$50,001 - \$100,000
7.10	Briarwood Capital Partners LP <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.11	Canyon Balanced Fund, L.P. <i>Description: Private Investment Vehicle (Los Angeles, CA)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.12	Engine Capital, LP <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.13	Moab Partners, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.14	Nokomis Capital Partners, L.P. <i>Description: Private Investment</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held	None,	None (or less than \$201)

	Vehicle (Dallas, TX) Asset	Asset Type	Owner	Value independently by spouse or dependent child	Income Type	Income
7.15	Overlook Partners Fund, L.P. <i>Description:</i> Private Investment Vehicle (Hong Kong, N/A) <i>Filer comment:</i> No longer held	Investment Fund Hedge Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.16	Overlook 3G Investments, L.P. <i>Description:</i> Private Investment Vehicle (Hong Kong, N/A) <i>Filer comment:</i> No longer held	Investment Fund Hedge Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	\$50,001 - \$100,000
7.17	AJ 2 Elliott LLC <i>Description:</i> Private Investment Vehicle (New York, NY)	Investment Fund Private Equity Fund	Spouse			
7.17.1	Ancora Catalyst SPV I L.P. <i>Description:</i> Private Investment Partnership (Cleveland, OH)	Investment Fund Private Equity Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	Over \$1,000,000 and held independently by spouse or dependent child
7.18	Richard L. and F. Annette Scott Family Partnership <i>Description:</i> Private Investment Partnership (Naples, FL) <i>Filer comment:</i> Assets disclosed elsewhere in this report	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Dividends, Capital Gains,	Over \$1,000,000 and held independently by spouse or dependent child
7.19	U.S. Treasury Bill 02/28/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 1.5%, 02/28/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$2,501 - \$5,000
7.20	U.S. Treasury Bill 03/31/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 1.25%, 03/31/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$5,001 - \$15,000
7.21	U.S. Treasury Bill 06/30/2019	Government Securities	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000

	Asset	Asset Type	Owner	Value	Income Type	Income
	<i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 1.25%, 06/30/2019; no longer held	US Treasury/Agency Security				
7.22	U.S. Treasury Bill 07/31/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 1.625%, 7/31/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.23	U.S. Treasury Bill 08/15/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 3.625%, 08/15/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
7.24	U.S. Treasury Bill 09/30/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 1.75%, 09/30/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.25	U.S. Treasury Bill 10/15/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 0.875%, 10/15/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.26	U.S. Treasury Bill 11/15/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 1.0%, 11/15/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.27	U.S. Treasury Bill 11/30/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 1.5%, 11/30/2019; no longer held	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.28	U.S. Treasury Bill 12/15/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$50,001 - \$100,000

	<i>Filer comment: 1.375%, 12/31/2019; no longer held</i>	Treasury/Agency Security	Owner	Value	Income Type	Income
7.29	U.S. Treasury Bill 12/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.875%, 12/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.30	U.S. Treasury Note 01/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 1.375%, 01/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	\$100,001 - \$250,000	Interest, Capital Gains,	\$15,001 - \$50,000
7.31	U.S. Treasury Note 01/31/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.0%, 01/31/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest, Capital Gains,	\$15,001 - \$50,000
7.32	U.S. Treasury Note 02/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 3.625%, 02/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest, Capital Gains,	\$15,001 - \$50,000
7.33	U.S. Treasury Note 02/29/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.125%, 02/29/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest, Capital Gains,	\$15,001 - \$50,000
7.34	U.S. Treasury Note 03/15/2020 <i>Rate/Coupon: None</i>	Government Securities US	Spouse	Over \$1,000,000 and held	None,	\$15,001 - \$50,000

	Matures: None Asset Filer comment: 1.625%, 03/15/2020	Treasury/Agency Asset Type Security	Owner	Value independently by spouse or dependent child	Income Type	Income
7.35	U.S. Treasury Note 03/31/2020 Rate/Coupon: None Matures: None Filer comment: 2.25%, 03/31/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.36	U.S. Treasury Note 04/15/2020 Rate/Coupon: None Matures: None Filer comment: 1.5%, 04/15/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.37	U.S. Treasury Note 04/30/2020 Rate/Coupon: None Matures: None Filer comment: 2.375%, 04/30/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.38	U.S. Treasury Note 05/15/2020 Rate/Coupon: None Matures: None Filer comment: 1.5%, 05/15/2020	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$5,001 - \$15,000
7.39	U.S. Treasury Note 05/31/2020 Rate/Coupon: None Matures: None Filer comment: 2.5%, 05/31/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.40	U.S. Treasury Note	Government	Spouse	\$500,001 -	Interest,	\$5,001 - \$15,000

	06/15/2020 Rate/Coupon: None Matures: None Filer comment: 1.5%, 06/15/2020	Securities Asset Type US Treasury/Agency Security	Owner	\$1,000,000 Value	Income Type	Income
7.41	U.S. Treasury Note 06/30/2020 Rate/Coupon: None Matures: None Filer comment: 2.5%, 06/30/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.42	U.S. Treasury Note 07/15/2020 Rate/Coupon: None Matures: None Filer comment: 1.5%, 07/15/2020	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$5,001 - \$15,000
7.43	U.S. Treasury Note 07/31/2020 Rate/Coupon: None Matures: None Filer comment: 2.625%, 07/31/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.44	AJ I Gainline LLC Company: AJ I Gainline LLC (New York, NY) Description: Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
7.44.1	Gainline Equity Fund LP Description: Private Investment Partnership (Stamford, CT)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.45	Rimrock High Income Plus (QP) Fund, L.P. Description: Private Investment	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held	None,	None (or less than \$201)

	Partnership (Irvine, CA) Asset	Asset Type	Owner	Value independently by spouse or dependent child	Income Type	Income
7.46	U.S. Treasury Note 4/30/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.625%, 4/30/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$5,001 - \$15,000
7.47	U.S. Treasury Note 5/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 5/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$5,001 - \$15,000
7.48	U.S. Treasury Note 8/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.625%, 8/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.49	U.S. Treasury Note 10/31/2019 <i>Rate/Coupon: None Matures: None Filer comment: 1.5%, 10/31/2019; no longer held</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$15,001 - \$50,000
7.50	U.S. Treasury Note 8/15/2020 <i>Rate/Coupon: None Matures: None Filer comment: 2.625%, 8/15/2020</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.51	U.S. Treasury Note 8/31/2020 <i>Rate/Coupon: None Matures: None</i>	Government Securities US Treasury/Agency	Spouse	Over \$1,000,000 and held independently	Interest,	\$15,001 - \$50,000

	Maturities: None Filer comment: 2.625%, Asset 8/31/2020	Treasury/Agency Security Asset Type	Owner	Value held independently by spouse or dependent child	Income Type	Income
7.52	U.S. Treasury Note 9/30/2020 Rate/Coupon: None Matures: None Filer comment: 2.75%, 9/30/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest, Capital Gains,	\$15,001 - \$50,000
7.53	U.S. Treasury Note 10/31/2020 Rate/Coupon: None Matures: None Filer comment: 2.875%, 10/31/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest, Capital Gains,	\$15,001 - \$50,000
7.54	U.S. Treasury Note 11/15/2020 Rate/Coupon: None Matures: None Filer comment: 2.625%, 11/15/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.55	U.S. Treasury Note 12/31/2020 Rate/Coupon: None Matures: None Filer comment: 2.375%, 12/31/2020	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
7.56	U.S. Treasury Note 1/31/2021 Rate/Coupon: None Matures: None Filer comment: 2.125%, 1/31/2021	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000

Asset	Asset Type	Owner	Value	Income Type	Income	
7.57	U.S. Treasury Note 3/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.25%, 3/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
7.58	U.S. Treasury Note 4/30/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.25%, 4/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
7.59	U.S. Treasury Note 5/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.0%, 5/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
7.60	U.S. Treasury Note 6/30/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.625%, 6/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$5,001 - \$15,000
7.61	U.S. Treasury Note 7/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.75%, 7/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)

Asset	Asset Type	Owner	Value	Income Type	Income	
7.62	U.S. Treasury Note 8/15/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.125%, 8/15/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
7.63	U.S. Treasury Note 8/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.5%, 8/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.64	U.S. Treasury Note 9/15/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 2.75%, 9/15/2021</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.65	U.S. Treasury Note 9/30/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.125%, 9/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
7.66	U.S. Treasury Note 10/31/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: 1.3%, 10/31/2021</i>	Government Securities US Treasury/Agency Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
7.67	U.S. Treasury Note 11/15/2021 <i>Rate/Coupon: None</i> <i>Matures: None</i>	Government Securities US Treasury/Agency	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)

	<i>Filer comment: 2.875%, 11/15/2021</i>	Security Asset Type	Owner	Value	Income Type	Income
7.68	U.S. Treasury Note 11/30/2021 <i>Rate/Coupon: None Matures: None Filer comment: 1.25%, 11/30/2021</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.69	U.S. Treasury Note 12/15/2021 <i>Rate/Coupon: None Matures: None Filer comment: 2.625%, 12/15/2021</i>	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.70	U.S. Treasury Note 2/14/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 2/14/2019</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
7.71	U.S. Treasury Note 2/21/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 2/21/2019</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.72	U.S. Treasury Note 2/28/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 2/28/2019</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.73	U.S. Treasury Note 3/12/2019 <i>Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 3/12/2019</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000

7.74	U.S. Treasury Note 3/19/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 3/19/2019	Government Securities US Treasury/Agency Security	Spouse Owner	None (or less than \$1,001)	Interest, Income Type	\$2,501 - \$5,000 Income
7.75	U.S. Treasury Note 4/9/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 4/9/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.76	U.S. Treasury Note 4/16/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 4/16/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
7.77	U.S. Treasury Note 4/18/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 4/18/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.78	U.S. Treasury Note 5/14/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 5/14/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$1,001 - \$2,500
7.79	U.S. Treasury Note 5/28/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 5/28/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
7.80	U.S. Treasury Note 6/18/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 6/18/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000

01/10/2019

	Asset	Asset Type	Owner	Value (or less than \$1,001)	Income Type	Income
7.81	U.S. Treasury Note 7/16/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 7/16/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$1,001 - \$2,500
7.82	U.S. Treasury Note 9/5/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 9/5/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.83	U.S. Treasury Note 9/10/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 9/10/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.84	U.S. Treasury Note 9/26/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 9/26/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$1,001 - \$2,500
7.85	U.S. Treasury Note 10/15/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 10/15/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.86	U.S. Treasury Note 12/3/2019 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 12/3/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
7.87	U.S. Treasury Note 1/21/2020 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 1/21/2020	Government Securities US Treasury/Agency Security	Spouse	\$100,001 - \$250,000	Interest,	\$201 - \$1,000
7.88	U.S. Treasury Note	Government	Spouse	\$500,001 -	None,	None (or less than \$201)

	2/13/2020 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 2/13/2020	Securities Asset Type US Treasury/Agency Security	Owner	\$1,000,000 Value	Income Type	Income
7.89	U.S. Treasury Note 7/31/2024 Rate/Coupon: None Matures: None Filer comment: Zero Coupon, 7/31/2024	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.90	Carroll County Kentucky Pollution Control Revenue Bond Rate/Coupon: 1.05% Matures: 09/01/2042 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
7.91	Charlotte NC Airport Revenue Bond Rate/Coupon: 5.25% Matures: 07/01/2019 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.92	Chester County Pennsylvania General Obligation Bond Rate/Coupon: 5.0% Matures: 07/15/2029 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
7.93	Dallas Fort Worth Texas International Airport Revenue Bond Rate/Coupon: 5.0% Matures: 11/01/2026	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
7.94	City of Detroit Michigan Sewage Disp Revenue Bond Rate/Coupon: 7.0% Matures: 07/01/2027	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000

	<i>Filer comment: No longer held (redeemed)</i>	Asset Type	Owner	Value	Income Type	Income
7.95	Georgia State General Obligation Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2019</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.96	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon: 2.41% - Floating</i> <i>Matures: 05/15/2034</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$5,001 - \$15,000
7.97	Iowa State Special Obligation Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/01/2024</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.98	King County Washington General Obligation Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/01/2029</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.99	Kentucky Economic Development Fin Auth Hospital Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 03/01/2040</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000
7.100	Long Island Power Authority Elec Sys Revenue Bond <i>Rate/Coupon: 6.0%</i> <i>Matures: 05/01/2033</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
7.101	Massachusetts State General	Government	Spouse	\$500,001 -	Interest,	\$5,001 - \$15,000

	Obligation Bond Asset Rate/Coupon: 4.5% Matures: 08/01/2043	Securities Asset Type Municipal Security	Owner	\$1,000,000 Value	Income Type	Income
7.102	Metropolitan Washington DC Airports Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2019 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
7.103	New York City Mun Water Finance Authority Water & Sewer Revenue Bond Rate/Coupon: 5.0% Matures: 06/15/2033	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000
7.104	South Carolina Jobs - Economic Dev Auth Hospital Revenue Bond Rate/Coupon: 5.75% Matures: 08/01/2039 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.105	Tarrant County Texas Cultural Ed Facs Fin Corp Revenue Bond Rate/Coupon: 6.375% Matures: 11/15/2044 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$50,001 - \$100,000
7.106	University Medical Center Corporation - Tucson Arizona Revenue Bond Rate/Coupon: 6.5% Matures: 07/01/2039 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
7.107	University of Michigan	Government	Spouse	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000

	Revenue Bond Rate/Coupon: 1.7% - Floating Matures: 04/01/2033	Securities Municipal Security	Owner	\$500,000 Value	Income Type	Income
7.108	University of North Carolina Chapel Hill General Revenue Bond Rate/Coupon: 2.017% - Floating Matures: 12/01/2034	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$5,001 - \$15,000
7.109	Washington State Health Care Facilities Auth Revenue Bond - Multicare Health Sys Rate/Coupon: 6.0% Matures: 08/15/2039 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
7.110	Washington State Healthcare Facilities Auth Revenue Bond - Providence Health & Services Rate/Coupon: 5.25% Matures: 10/01/2039	Government Securities Municipal Security	Spouse	\$100,001 - \$250,000	Interest,	\$2,501 - \$5,000
7.111	Washington State Healthcare Facilities Auth Revenue Bond Rate/Coupon: 7.0% Matures: 07/01/2039 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
7.112	Metropolitan Transportation Auth NY Revenue BANS Bond Rate/Coupon: 4.0% Matures: 09/01/2020	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.113	Port Portland Oregon Airport Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2030	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.114	Port Authority of NY & NJ	Government	Spouse	\$500,001 -	None.	None (or less than \$201)

	Bonds 218 Series Asset Rate/Coupon: 5.0% Matures: 11/01/2030	Securities Asset Type Municipal Security	Owner	\$1,000,000 Value	Income Type	Income
7.115	Broward County Fla Airport System Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2034	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.116	San Antonio Texas Electric & Gas Revenue Bond Rate/Coupon: 5.0% Matures: 02/01/2035	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.117	Metropolitan Nashville Airport Auth Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2036	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.118	King County Washington Sch Dist G.O. Bond Rate/Coupon: 4.0% Matures: 12/01/2036	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.119	City of Atlanta Georgia Airport General Obligation Bond Rate/Coupon: 4.0% Matures: 07/01/2038	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.120	South Carolina ST Ports Authority Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2038	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.121	Greater Orlando Aviation Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2038	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.122	Franklin County Ohio Revenue Bond Rate/Coupon: 4.0% Matures: 12/01/2038	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)

7.123	Texas Water Dev Brd Revenue Bond <i>Asset</i> <i>Rate/Coupon: 5.0%</i> <i>Matures: 10/15/2040</i>	Government Securities Municipal Security	Spouse Owner	\$250,001 - \$500,000	None, Income Type	None (or less than \$201) Income
7.124	SHV - iShares Short Treasury Bond ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$50,001 - \$100,000
7.125	LUBYX - Lord Abbett Ultra Short Bond Fund Class I	Mutual Funds Mutual Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$50,001 - \$100,000
7.126	GLDM - SPDR Gold MiniShares	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	None (or less than \$201)
7.127	GDX - VanEck Vectors Gold Miners ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$15,001 - \$50,000
7.128	AG Energy Credit Opportunities Fund IV, LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$1,001 - \$2,500
7.129	Casdin Partners, LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held	None,	None (or less than \$201)

Asset	Asset Type	Owner	Value	independently by spouse or dependent child	Income Type	Income
7.130	Legion Partners Special Opportunities, L.P. XII <i>Description:</i> Private Investment Partnership (Los Angeles, California)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
7.131	Stonepine Capital, L.P. <i>Description:</i> Private Investment Partnership (Bend, Oregon)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
7.132	Third Prime Alpha Fund II, LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	\$100,001 - \$250,000	None,	None (or less than \$201)
7.133	Account Receivable from AG Super Fund, L.P. <i>Company:</i> AG Super Fund, L.P. (New York, NY)	Accounts Receivable From a Business	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
7.134	AJ 3 LLC <i>Company:</i> AJ 3 LLC (New York, NY) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
7.134.1	Elliott Associates, L.P. <i>Description:</i> Private Investment Vehicle (New York, NY)	Investment Fund Hedge Fund	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
7.135	Ancora Catalyst SPV I LP Series B <i>Description:</i> Private Investment Partnership (Cleveland, OH)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently	Excepted Investment Fund,	\$15,001 - \$50,000

	Partnership (Cleveland, OH) Asset	Asset Type	Owner	Independently by spouse or dependent child	Income Type	Income
8	F. Annette Scott Revocable Trust	Trust General Trust	Spouse			
8.1	Merrill Lynch (Bank of America) (New York, NY) Type: Brokerage Sweep Account,	Bank Deposit	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
8.2	Bay Area Toll at California Bridge Revenue Bond Rate/Coupon: 2.62% - Variable Matures: 04/01/2036 Filer comment: No longer held (sold)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest, Capital Gains,	\$50,001 - \$100,000
8.3	Bay Area Toll Auth California Revenue Bond Rate/Coupon: 2.3% - Variable Matures: 04/01/2045 Filer comment: No longer held (sold)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$1,001 - \$2,500
8.4	Morgan Stanley (Los Angeles, CA) Type: Brokerage Sweep Account,	Bank Deposit	Spouse	\$50,001 - \$100,000	Interest,	\$2,501 - \$5,000
8.5	Government National Mortgage Assn Pool Rate/Coupon: None Matures: None	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
8.6	Federal National Mortgage Assn Pool Rate/Coupon: None Matures: None	Government Securities US Treasury/Agency Security	Spouse	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500
8.7	Government National Mortgage Assn Pool Rate/Coupon: None	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	\$201 - \$1,000

	Matures: None Asset	Treasury/Agency Security	Owner	Value	Income Type	Income
8.8	Government National Mortgage Assn Pool <i>Rate/Coupon: None</i> <i>Matures: None</i>	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
8.9	Government National Mortgage Assn Pool <i>Rate/Coupon: None</i> <i>Matures: None</i>	Government Securities US Treasury/Agency Security	Spouse	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500
8.10	Government National Mortgage Assn Pool <i>Rate/Coupon: None</i> <i>Matures: None</i>	Government Securities US Treasury/Agency Security	Spouse	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500
8.11	Government National Mortgage Assn Pool <i>Rate/Coupon: None</i> <i>Matures: None</i>	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
8.12	Illinois Fin A Revenue Bond <i>Rate/Coupon: 5.375%</i> <i>Matures: 04/01/2044</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
8.13	Canadian River Texas Municipal Water Auth Contract Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 02/15/2025</i>	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
8.14	Texas A&M University Fd Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2025</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000

8.15	Black Belt Energy Gas Dist Auth Gas Revenue Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 08/01/2047</i>	Government Securities Municipal Security	Spouse Owner	\$250,001 - \$500,000	Interest, Income Type	\$15,001 - \$50,000 Income
8.16	Massachusetts Water Res Auth General Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 08/01/2028</i>	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	Interest,	\$15,001 - \$50,000
8.17	Municipal Electric Auth Georgia Revenue Bond <i>Rate/Coupon: 6.0%</i> <i>Matures: 01/01/2023</i> <i>Filer comment: No longer held (redeemed)</i>	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000
8.18	Seattle Washington Solid Waste Revenue Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 06/01/2032</i>	Government Securities Municipal Security	Spouse	\$100,001 - \$250,000	Interest,	\$5,001 - \$15,000
8.19	Hudson Yds Infrastructure Corp NY Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 02/15/2029</i>	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	Interest,	\$15,001 - \$50,000
8.20	California State Public Works Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 10/01/2030</i>	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	Interest,	\$15,001 - \$50,000
8.21	Pershing Advisor Solutions - BNY Mellon (New York, NY) <i>Type: Brokerage Sweep Account,</i>	Bank Deposit	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$100,001 - \$1,000,000
8.22	Pershing Advisors - F. Annette Scott IRA	Retirement Plans IRA	Spouse			
8.22.1	Pershing Money Market Account (New York, NY)	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)

	(NEW YORK, NY) Type: Money Market Account,	Asset Type	Owner	Value	Income Type	Income
8.22.2	0EF-iShares S&P 100 ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	\$100,001 - \$250,000	None,	None (or less than \$201)
8.23	Mutual of Omaha Bank (Naples, FL) Type: Checking,	Bank Deposit	Spouse	\$50,001 - \$100,000	Interest,	None (or less than \$201)
8.24	Loan to Cathy Gellatly Debtor: Cathy Gellatly	Accounts Receivable From an Individual	Spouse	None (or less than \$1,001)	Interest,	\$201 - \$1,000
8.25	Account Receivable from Pharmaca Investments, LLC Company: Pharmaca Investments, LLC (Rowayton, CT)	Accounts Receivable From a Business	Spouse	\$50,001 - \$100,000	None,	None (or less than \$201)
8.26	Account Receivable from S&S Equity Partners I LLC Company: S&S Equity Partners I LLC (Rowayton, CT)	Accounts Receivable From a Business	Spouse	None (or less than \$1,001)	None,	\$15,001 - \$50,000
8.27	AG Energy Partners II, L.P. Description: Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.28	AG Super Fund, L.P. Description: Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	None (or less than \$201)
8.29	CAI Partners and Company IV L.P. Description: Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$100,001 - \$1,000,000

8.30	Canyon Laurel Fund L.P. <i>Description: Private Investment Partnership (Los Angeles, CA)</i>	Investment Fund Private Equity Fund	Spouse Owner	\$500,001 - \$1,000,000	Excepted Income Type Investment Fund,	\$100,001 - \$1,000,000 Income
8.31	OVO Fund II, LLC <i>Description: Private Investment Partnership (Los Altos, CA)</i>	Investment Fund Private Equity Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$201 - \$1,000
8.32	VSS Structured Capital III, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Private Equity Fund	Spouse	\$500,001 - \$1,000,000	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.33	Briarwood Capital Partners LP <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.34	Canyon Balanced Fund, L.P. <i>Description: Private Investment Partnership (Los Angeles, CA)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.35	Elliott Associates, L.P. <i>Description: Private Investment Partnership (New York, NY)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.36	Engine Capital, LP <i>Description: Private Investment Vehicle (New York, NY)</i>	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$50,001 - \$100,000

	Asset	Asset Type	Owner	Value	Income Type	Income
8.37	Moab Partners, L.P. <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$50,001 - \$100,000
8.38	Nokomis Capital Partners, L.P. <i>Description:</i> Private Investment Partnership (Dallas, TX)	Investment Fund Hedge Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	None (or less than \$201)
8.39	Overlook 3G Investments, L.P. <i>Description:</i> Private Investment Vehicle (Hong Kong, N/A) <i>Filer comment:</i> No longer held	Investment Fund Hedge Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.40	Overlook Partners Fund, L.P. <i>Description:</i> Private Investment Vehicle (Hong Kong, N/A) <i>Filer comment:</i> No longer held	Investment Fund Hedge Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	Over \$1,000,000 and held independently by spouse or dependent child
8.41	Fortress Secured Lending Fund I (A) LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	Excepted Investment Fund,	\$50,001 - \$100,000
8.42	Los Angeles California Tax and Rev Antic Nts 2018 <i>Rate/Coupon:</i> 4.0% <i>Matures:</i> 06/27/2019 <i>Filer comment:</i> No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000
8.43	Redemption from Canyon	Accounts	Spouse	None (or less than \$1,001)	Excepted	Over \$1,000,000 and held independen-

	Balanced Fund,, L.P. <i>Company:</i> Canyon Balanced Fund,, L.P. (Los Angeles, CA)	Receivable Asset Type From a Business	Owner	than \$1,001) Value	Investment Fund Income Type	held Independently by spouse or dependent child
8.44	Redemption from AG Super Fund, L.P. <i>Company:</i> AG Super Fund, L.P. (New York, NY)	Accounts Receivable From a Business	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
8.45	Account Receivable from S&S Debt Partners I, LLC <i>Company:</i> S&S Debt Partners I, LLC (Rowayton, CT)	Accounts Receivable From a Business	Spouse	None (or less than \$1,001)	Dividends,	\$5,001 - \$15,000
8.46	AJ 2 Elliott LLC <i>Description:</i> Private Investment Vehicle (New York, NY)	Investment Fund Private Equity Fund	Spouse			
8.46.1	Ancora Catalyst SPV I L.P. <i>Description:</i> Private Investment Partnership (Cleveland, OH)	Investment Fund Private Equity Fund	Spouse	None (or less than \$1,001)	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.47	G. Scott Capital Partners <i>Description:</i> Private Investment Vehicle (Rowayton, CT)	Investment Fund Private Equity Fund	Spouse			
8.47.1	Valterra Products Holdings, LLC <i>Company:</i> Valterra Products Holdings, LLC (Mission Hills, CA) <i>Description:</i> Manufacturing and products supplier	Business Entity Limited Liability Company (LLC)	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Dividends, Interest,	Over \$1,000,000 and held independ- ently by spouse or dependent child
8.47.2	VCA TCG Holdings, LLC <i>Company:</i> VCA TCG Holdings, LLC (Wilmington, DE) <i>Description:</i> Professional engineering and consulting services	Business Entity Limited Liability Company (LLC)	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
8.47.3	Account receivable from Mosquito Control Services, LLC	Accounts Receivable From a Business	Spouse	\$500,001 - \$1,000,000	Dividends, Interest,	\$100,001 - \$1,000,000

Asset	Company: Mosquito Control Services, LLC (Metairie, LA) <i>Filer comment:</i> Income includes amount due received during period	Asset Type	Owner	Value	Income Type	Income
8.47.4	Pershing Advisor Solutions (New York, NY) <i>Type:</i> Money Market Account,	Bank Deposit	Spouse	\$250,001 - \$500,000	Interest,	None (or less than \$201)
8.48	Richard L. and F. Annette Scott Family Partnership <i>Description:</i> Private Investment Partnership (Naples, FL) <i>Filer comment:</i> Underlying assets disclosed elsewhere in this report	Investment Fund Private Equity Fund	Spouse	\$250,001 - \$500,000	Dividends, Capital Gains,	\$15,001 - \$50,000
8.49	DC Westlight LLC <i>Company:</i> DC Westlight LLC (Washington, DC) <i>Description:</i> LLC to hold residential real property	Business Entity Limited Liability Company (LLC)	Spouse			
8.49.1	Residential Property <i>Description:</i> Residential Property for Personal Use (Washington, DC)	Real Estate Residential	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
8.50	S&S Equity Partners I LLC <i>Company:</i> S&S Equity Partners I LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
8.50.1	Promissory Note <i>Company:</i> L&S Family Entertainment LLC (Hendersonville, TN)	Accounts Receivable From a Business	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Dividends, Interest,	\$100,001 - \$1,000,000
8.51	S&S Sports LLC	Business Entity	Spouse			

8.51	S&S Sports, LLC <i>Company:</i> S&S Sports, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse Owner	Value	Income Type	Income
8.51.1	Promissory Note <i>Company:</i> L&S Family Entertainment LLC (Hendersonville, TN)	Accounts Receivable From a Business	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Dividends, Interest,	\$100,001 - \$1,000,000
8.52	Fulton Chain Acquisition LLC <i>Company:</i> Fulton Chain Acquisition LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
8.52.1	Pershing Advisor Solutions (New York, NY) <i>Type:</i> Money Market Account,	Bank Deposit	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
8.53	AJ I Gainline LLC <i>Company:</i> AJ I Gainline LLC (New York, NY) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
8.53.1	Gainline Equity Fund LP <i>Description:</i> Private Investment Partnership (Stamford, CT)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.54	Pharmaca Investments, LLC <i>Company:</i> Pharmaca Investments, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
8.54.1	Pharmaca Integrative Pharmacy, Inc. <i>Company:</i> Pharmaca	Corporate Securities Non-Public	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)

	Company: Pnarmaca Integrative Pharmacy, Inc. (Boulder, CO) <i>Description:</i> Retail and pharmacy	NON-PUBLIC Stock Asset Type	Owner	Value	Income Type	Income
8.55	RLSI-EMIDA Capital Partners, LLC <i>Company:</i> RLSI-EMIDA Capital Partners, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
8.55.1	Emida Corporation <i>Company:</i> Emida Corporation (Foothill Ranch, CA) <i>Description:</i> Financial technology	Corporate Securities Non-Public Stock	Spouse	\$50,001 - \$100,000	None,	None (or less than \$201)
8.56	California General Obligation Bond <i>Rate/Coupon:</i> 5.0% <i>Matures:</i> 04/01/2049	Government Securities Municipal Security	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Interest,	\$15,001 - \$50,000
8.57	Dallas Fort Worth Texas Intl Airport Revenue Bond <i>Rate/Coupon:</i> 5.0% <i>Matures:</i> 11/01/2037	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
8.58	Georgia State General Obligation Bond <i>Rate/Coupon:</i> 5.0% <i>Matures:</i> 07/01/2019 <i>Filer comment:</i> No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
8.59	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon:</i> 2.41% - Floating <i>Matures:</i> 05/15/2034	Government Securities Municipal Security	Spouse	\$100,001 - \$250,000	Interest,	\$2,501 - \$5,000
8.60	Metropolitan Washington DC Airports Authority Revenue	Government Securities	Spouse	None (or less than \$1,001)	Interest,	\$5,001 - \$15,000

	Bond Asset Rate/Coupon: 5.0% Matures: 10/01/2019 Filer comment: No longer held (redeemed)	Security Municipal Security	Owner	Value	Income Type	Income
8.61	New York City Mun Water Finance Authority Water & Sewer Revenue Bond Rate/Coupon: 5.0% Matures: 06/15/2033	Government Securities Municipal Security	Spouse	\$100,001 - \$250,000	Interest,	\$5,001 - \$15,000
8.62	Wisconsin State Health & Educational Facilities Revenue Bond Rate/Coupon: 4.0% Matures: 11/15/2043 Filer comment: No longer held (redeemed)	Government Securities Municipal Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
8.63	Wisconsin State General Obligation Bond Rate/Coupon: 5.0% Matures: 05/01/2021	Government Securities Municipal Security	Spouse	\$100,001 - \$250,000	Interest,	\$5,001 - \$15,000
8.64	Metropolitan Transportation Auth NY Revenue BANS Bond Rate/Coupon: 4.0% Matures: 09/01/2020	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
8.65	Port Portland Oregon Airport Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2030	Government Securities Municipal Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
8.66	Port Authority of NY & NJ Bonds 218 Series Rate/Coupon: 5.0% Matures: 11/01/2030	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
8.67	Broward County Fla Airport System Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2034	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
8.68	San Antonio Texas Electric & ...	Government Securities	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)

	Gas Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 02/01/2035</i>	Securities Municipal Security	Owner	\$1,000,000 Value	Income Type	Income
8.69	King County Washington Sch Dist G.O. Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 12/01/2036</i>	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
8.70	Metropolitan Nashville Airport Auth Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2037</i>	Government Securities Municipal Security	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
8.71	Greater Orlando Aviation Authority Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 10/01/2038</i>	Government Securities Municipal Security	Spouse	\$100,001 - \$250,000	None,	None (or less than \$201)
8.72	U.S. Treasury Note 3/12/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 3/12/2019</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$1,001 - \$2,500
8.73	U.S. Treasury Note 4/18/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 4/18/2019</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$201 - \$1,000
8.74	U.S. Treasury Note 8/22/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon, 8/22/2019</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$1,001 - \$2,500
8.75	U.S. Treasury Note 9/19/2019 <i>Rate/Coupon: None</i> <i>Matures: None</i> <i>Filer comment: Zero Coupon,</i>	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$15,001 - \$50,000

	9/19/2019 Asset	Asset Type	Owner	Value	Income Type	Income
8.76	U.S. Treasury Note 10/22/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 10/22/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
8.77	U.S. Treasury Note 12/3/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 12/3/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$201 - \$1,000
8.78	U.S. Treasury Note 12/17/2019 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 12/17/2019	Government Securities US Treasury/Agency Security	Spouse	None (or less than \$1,001)	Interest,	\$2,501 - \$5,000
8.79	U.S. Treasury Note 2/18/2020 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> Zero Coupon, 2/18/2020	Government Securities US Treasury/Agency Security	Spouse	\$100,001 - \$250,000	None,	None (or less than \$201)
8.80	U.S. Treasury Note 7/31/2024 <i>Rate/Coupon:</i> None <i>Matures:</i> None <i>Filer comment:</i> 2.125%, 7/31/2024	Government Securities US Treasury/Agency Security	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
8.81	AG Energy Credit Opportunities Fund IV, LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$1,001 - \$2,500
8.82	Casdin Partners, LP	Investment Fund	Spouse	Over	None,	None (or less than \$201)

	<i>Description:</i> Private Investment Partnership (New York, NY)	Private Equity Fund	Owner	\$1,000,000 and held independently by spouse or dependent child	Income Type	Income
8.83	Stonepine Capital, L.P. <i>Description:</i> Private Investment Partnership (Bend, Oregon)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.84	Legion Partners Special Opportunities, L.P. XII <i>Description:</i> Private Investment Partnership (Los Angeles, California)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
8.85	Rimrock High Income Plus (QP) Fund, L.P. <i>Description:</i> Private Investment Partnership (Irvine, California)	Investment Fund Private Equity Fund	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
8.86	Third Prime Alpha Fund II, LP <i>Description:</i> Private Investment Partnership (New York, NY)	Investment Fund Private Equity Fund	Spouse	\$100,001 - \$250,000	None,	None (or less than \$201)
8.87	SHV - iShares Short Treasury Bond ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$100,001 - \$1,000,000
8.88	LUBYX - Lord Abbett Ultra Short Bond Fund Class I	Mutual Funds Mutual Fund	Spouse	Over \$1,000,000 and held independently	Excepted Investment Fund,	\$100,001 - \$1,000,000

Asset	Asset Type	Owner	Value by spouse or dependent child	Income Type	Income	
8.89	GDX - VanEck Vectors Gold Miners ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Excepted Investment Fund,	\$5,001 - \$15,000
8.90	GLDM - SPDR Gold MiniShares	Mutual Funds Exchange Traded Fund/Note	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	None,	None (or less than \$201)
8.91	Account Receivable from AJ 1 Gainline LLC <i>Company: AJ 1 Gainline LLC (New York, NY)</i>	Accounts Receivable From a Business	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
8.92	Account Receivable from RLSI-EMIDA Capital Partners, LLC <i>Company: RLSI-EMIDA Capital Partners, LLC (Rowayton, CT)</i>	Accounts Receivable From a Business	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
8.93	Ancora Catalyst SPV I LP Series B <i>Description: Private Investment Partnership (Cleveland, OH)</i>	Investment Fund Private Equity Fund	Spouse	\$500,001 - \$1,000,000	Excepted Investment Fund,	\$5,001 - \$15,000
9	Richard L. And F. Annette Scott Family Partnership, Ltd. <i>Company: Richard L. And F. Annette Scott Family Partnership, Ltd. (Naples, FL) Description: Investment Limited Partnership</i>	Business Entity Limited Partnership (LP)	Spouse			

LIMITED PARTNERSHIP

9.1	Morgan Stanley (Los Angeles, CA) <i>Type:</i> Brokerage Sweep Account,	Bank Deposit	Spouse	\$1,001 - \$50,000	Interest,	None (or less than \$201)
9.2	Government National Mortgage Assn Pool <i>Rate/Coupon:</i> None <i>Matures:</i> None	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
9.3	Pershing Advisor Solutions - BNY Mellon (New York, NY) <i>Type:</i> Brokerage Sweep Account, Money Market Account,	Bank Deposit	Spouse	\$250,001 - \$500,000	Interest,	\$2,501 - \$5,000
9.4	WTT - Wireless Telecom Group, Inc.	Corporate Securities Stock	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
9.5	Account Receivable from Nokomis Capital Partners, L.P. <i>Company:</i> Nokomis Capital Partners, L.P. (Dallas, TX)	Accounts Receivable From a Business	Spouse	\$1,001 - \$15,000	Dividends, Interest,	\$15,001 - \$50,000
9.6	Account Receivable from AG Super Fund, L.P. <i>Company:</i> AG Super Fund, L.P. (New York, NY)	Accounts Receivable From a Business	Spouse	\$50,001 - \$100,000	Interest,	\$2,501 - \$5,000
9.7	G. Scott Capital Partners <i>Description:</i> Private Investment Vehicle (Rowayton, CT)	Investment Fund Private Equity Fund	Spouse			
9.7.1	Valterra Products Holdings, LLC <i>Company:</i> Valterra Products Holdings, LLC (Mission Hills, CA) <i>Description:</i> Manufacturing and products supplier	Business Entity Limited Liability Company (LLC)	Spouse	Over \$1,000,000 and held independently by spouse or dependent child	Dividends, Interest,	\$100,001 - \$1,000,000
9.7.2	VCA TCG Holdinas. LLC	Business Entity	Spouse	Over	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
	<i>Company:</i> VCA TCG Holdings, LLC (Wilmington, DE) <i>Description:</i> Professional engineering and consulting services	Limited Liability Company (LLC)	Owner	\$1,000,000 and held independently by spouse or dependent child		
9.7.3	Account receivable from Mosquito Control Services, LLC <i>Company:</i> Mosquito Control Services, LLC (Metairie, LA) <i>Filer comment:</i> Income includes amount due received during period	Accounts Receivable From a Business	Spouse	\$250,001 - \$500,000	Dividends, Interest,	\$50,001 - \$100,000
9.7.4	SHV - iShares Short Treasury Bond ETF	Mutual Funds Exchange Traded Fund/Note	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
9.8	S&S Equity Partners I LLC <i>Company:</i> S&S Equity Partners I LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
9.8.1	Promissory Note <i>Company:</i> L&S Family Entertainment LLC (Hendersonville, TN)	Accounts Receivable From a Business	Spouse	\$500,001 - \$1,000,000	Dividends, Interest,	\$100,001 - \$1,000,000
9.9	S&S Sports, LLC <i>Company:</i> S&S Sports, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
9.9.1	Promissory Note <i>Company:</i> L&S Family Entertainment LLC (Hendersonville, TN)	Accounts Receivable From a Business	Spouse	\$500,001 - \$1,000,000	Dividends, Interest,	\$100,001 - \$1,000,000
9.10	RLSI-CSP Capital Partners, LLC <i>Company:</i> RLSI-CSP Capital Partners, LLC (Rowayton,	Business Entity Limited Liability Company (LLC)	Spouse			

	CT) <i>Description:</i> Investment holding company	Asset Type	Owner	Value	Income Type	Income
9.10.1	Bank of America NA (New York, NY) <i>Type:</i> Brokerage Sweep Account,	Bank Deposit	Spouse	\$100,001 - \$250,000	Interest,	\$1,001 - \$2,500
9.11	Pharmaca Investments, LLC <i>Company:</i> Pharmaca Investments, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
9.11.1	Pharmaca Integrative Pharmacy, Inc. <i>Company:</i> Pharmaca Integrative Pharmacy, Inc. (Boulder, CO) <i>Description:</i> Retail and pharmacy	Corporate Securities Non-Public Stock	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)
9.12	RLSI-EMIDA Capital Partners, LLC <i>Company:</i> RLSI-EMIDA Capital Partners, LLC (Rowayton, CT) <i>Description:</i> Investment holding company	Business Entity Limited Liability Company (LLC)	Spouse			
9.12.1	Emida Corporation <i>Company:</i> Emida Corporation (Foothill Ranch, CA) <i>Description:</i> Financial technology	Corporate Securities Non-Public Stock	Spouse	\$15,001 - \$50,000	None,	None (or less than \$201)
9.13	Pershing Advisor Solutions (New York, NY) <i>Type:</i> Money Market Account,	Bank Deposit	Spouse	\$100,001 - \$250,000	Interest,	None (or less than \$201)
10	Wells Fargo Bank, N.A. (Tallahassee, FL) <i>Type:</i> Checking,	Bank Deposit	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
11	Pershing Advisor Solutions	Retirement Plans	Self			

	Asset	Asset Type	Owner	Value	Income Type	Income
11.1	Pershing Advisor Solutions - BNY Mellon (New York, NY) <i>Type:</i> Brokerage Sweep Account, Money Market Account,	Bank Deposit	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
11.2	GQPSX - GMO Quality Series Fund Class PS	Mutual Funds Mutual Fund	Self	\$500,001 - \$1,000,000	None,	None (or less than \$201)
12	DC Westlight LLC <i>Company:</i> DC Westlight LLC (Washington, DC) <i>Description:</i> LLC to hold residential real property	Business Entity Limited Liability Company (LLC)	Self			
12.1	Residential Property <i>Description:</i> Residential Property for Personal Use (Washington, DC)	Real Estate Residential	Self	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
13	218 Maryland LLC <i>Company:</i> 218 Maryland LLC (Washington, DC) <i>Description:</i> Holding company	Business Entity Limited Liability Company (LLC)	Self			
13.1	Washington Townhouse <i>Description:</i> Washington Townhouse (Washington, DC)	Real Estate Commercial	Self	\$1,000,001 - \$5,000,000	Rent/Royalties,	\$5,001 - \$15,000

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Transac-

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	01/23/2019	Spouse	--	Bay Area Toll Auth California Revenue Bond <i>Rate/Coupon: 2.41% - Variable</i> <i>Matures: 11/01/2022</i>	Sale (Full)	\$500,001 - \$1,000,000	--
2	01/23/2019	Spouse	--	Bay Area Toll at California Bridge Revenue Bond <i>Rate/Coupon: 2.76% - Variable</i> <i>Matures: 04/01/2036</i>	Sale (Full)	\$1,000,001 - \$5,000,000	--
3	01/30/2019	Spouse	--	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon: 2.41% - Floating</i> <i>Matures: 05/15/2034</i>	Purchase	\$100,001 - \$250,000	--
4	01/30/2019	Spouse	--	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon: 2.41% - Floating</i> <i>Matures: 05/15/2034</i>	Purchase	\$500,001 - \$1,000,000	--
5	01/30/2019	Spouse	--	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon: 2.41% - Floating</i> <i>Matures: 05/15/2034</i>	Purchase	\$500,001 - \$1,000,000	--
6	01/30/2019	Self	--	Houston Tex Util Sys Revenue Bond <i>Rate/Coupon: 2.41% - Floating</i> <i>Matures: 05/15/2034</i>	Purchase	\$100,001 - \$250,000	--
7	02/01/2019	Spouse	--	University of Michigan Revenue Bond <i>Rate/Coupon: 1.7% - Floating</i>	Purchase	\$250,001 - \$500,000	--

Matures: 04/01/2033

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
8	02/01/2019	Spouse	--	University of Michigan Revenue Bond <i>Rate/Coupon: 1.7% - Floating</i> <i>Matures: 04/01/2033</i>	Purchase	\$500,001 - \$1,000,000	--
9	02/13/2019	Spouse	--	University of North Carolina Chapel Hill General Revenue Bond <i>Rate/Coupon: 2.017% - Floating</i> <i>Matures: 12/01/2034</i>	Purchase	\$500,001 - \$1,000,000	--
10	02/13/2019	Spouse	--	University of North Carolina Chapel Hill General Revenue Bond <i>Rate/Coupon: 2.017% - Floating</i> <i>Matures: 12/01/2034</i>	Purchase	\$250,001 - \$500,000	--
11	02/22/2019	Spouse	--	Iowa State Special Obligation Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/01/2024</i>	Purchase	\$250,001 - \$500,000	--
12	02/22/2019	Self	--	Tarrant County Texas Cultural Ed Facs Fin Corp Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 11/15/2044</i>	Purchase	\$250,001 - \$500,000	--
13	02/22/2019	Spouse	--	Tarrant County Texas Cultural Ed Facs Fin Corp Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 11/15/2044</i>	Purchase	\$1,000,001 - \$5,000,000	--
14	02/22/2019	Spouse	--	Iowa State Special Obligation Revenue Bond <i>Rate/Coupon: 5.0%</i>	Purchase	\$250,001 - \$500,000	--

Rate/Coupon: 6.375%
Matures: 06/01/2024

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
15	02/22/2019	Spouse	--	Tarrant County Texas Cultural Ed Facs Fin Corp Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 11/15/2044</i>	Purchase	\$1,000,001 - -\$5,000,000	--
16	02/27/2019	Spouse	--	New York City Mun Water Finance Authority Water & Sewer Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/15/2033</i>	Purchase	\$500,001 - \$1,000,000	--
17	02/27/2019	Spouse	--	New York City Mun Water Finance Authority Water & Sewer Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/15/2033</i>	Purchase	\$100,001 - \$250,000	--
18	02/27/2019	Spouse	--	New York City Mun Water Finance Authority Water & Sewer Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 06/15/2033</i>	Purchase	\$500,001 - \$1,000,000	--
19	03/07/2019	Spouse	--	California General Obligation Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 04/01/2049</i>	Purchase	\$1,000,001 - -\$5,000,000	--
20	03/22/2019	Spouse	--	Charlotte NC Airport Revenue Bond <i>Rate/Coupon: 5.25%</i> <i>Matures: 07/01/2019</i>	Purchase	\$250,001 - \$500,000	--
21	03/22/2019	Spouse	--	Charlotte NC Airport Revenue Bond <i>Rate/Coupon: 5.25%</i> <i>Matures: 07/01/2019</i>	Purchase	\$500,001 - \$1,000,000	--
22	03/22/2019	Spouse	--	Metropolitan Washington DC Airport Authority Revenue Bond <i>Rate/Coupon: 5.25%</i> <i>Matures: 07/01/2019</i>	Purchase	\$100,001 - \$250,000	--

#	Transaction Date	Owner	Ticker	Airports Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2019	Type	\$250,000 Amount	Comment
23	03/22/2019	Spouse	--	Metropolitan Washington DC Airports Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2019	Purchase	\$500,001 - \$1,000,000	--
24	03/22/2019	Spouse	--	Metropolitan Washington DC Airports Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2019	Purchase	\$500,001 - \$1,000,000	--
25	04/09/2019	Spouse	--	Wisconsin State General Obligation Bond Rate/Coupon: 5.0% Matures: 05/01/2021	Purchase	\$100,001 - \$250,000	--
26	04/10/2019	Spouse	--	University Medical Center Corporation - Tucson Arizona Revenue Bond Rate/Coupon: 6.5% Matures: 07/01/2039	Purchase	\$500,001 - \$1,000,000	--
27	04/10/2019	Spouse	--	University Medical Center Corporation - Tucson Arizona Revenue Bond Rate/Coupon: 6.5% Matures: 07/01/2039	Purchase	\$500,001 - \$1,000,000	--
28	04/10/2019	Spouse	--	Niles Ohio City School District Bond Rate/Coupon: 4.35% Matures: 12/01/2024	Purchase	\$100,001 - \$250,000	--
29	04/11/2019	Spouse	--	City of Detroit Michigan Sewage Disp Revenue Bond Rate/Coupon: 7.0% Matures: 07/01/2027	Purchase	\$250,001 - \$500,000	--
30	04/11/2019	Spouse	--	City of Detroit Michigan	Purchase	\$500,001 - \$1,000,000	--

#	Transaction Date	Owner	Ticker	Sewage Disp Revenue Bond Rate/Coupon: 7.0% Matures: 07/01/2027	Type	\$1,000,000 Amount	Comment
31	04/15/2019	Spouse	--	Wisconsin State Health & Educational Facilities Revenue Bond Rate/Coupon: 4.0% Matures: 11/15/2043	Purchase	\$100,001 - \$250,000	--
32	04/15/2019	Spouse	--	King County Washington General Obligation Bond Rate/Coupon: 5.0% Matures: 06/01/2029	Purchase	\$500,001 - \$1,000,000	--
33	04/15/2019	Spouse	--	King County Washington General Obligation Bond Rate/Coupon: 5.0% Matures: 06/01/2029	Purchase	\$500,001 - \$1,000,000	--
34	04/16/2019	Spouse	--	Long Island Power Authority Elec Sys Revenue Bond Rate/Coupon: 6.0% Matures: 05/01/2033	Purchase	\$1,000,001 - \$5,000,000	--
35	04/16/2019	Spouse	--	Long Island Power Authority Elec Sys Revenue Bond Rate/Coupon: 6.0% Matures: 05/01/2033	Purchase	\$1,000,001 - \$5,000,000	--
36	04/25/2019	Spouse	--	Chester County Pennsylvania General Obligation Bond Rate/Coupon: 5.0% Matures: 07/15/2029	Purchase	\$1,000,001 - \$5,000,000	--
37	04/25/2019	Spouse	--	Chester County Pennsylvania General Obligation Bond Rate/Coupon: 5.0% Matures: 07/15/2029	Purchase	\$1,000,001 - \$5,000,000	--
38	04/26/2019	Spouse	--	Georgia State General Obligation Bond Rate/Coupon: 5.0%	Purchase	\$500,001 - \$1,000,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
39	04/26/2019	Spouse	--	Georgia State General Obligation Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2019</i>	Purchase	\$500,001 - \$1,000,000	--
40	04/26/2019	Spouse	--	Georgia State General Obligation Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2019</i>	Purchase	\$100,001 - \$250,000	--
41	04/29/2019	Spouse	--	Carroll County Kentucky Pollution Control Revenue Bond <i>Rate/Coupon: 1.05%</i> <i>Matures: 09/01/2042</i>	Purchase	\$500,001 - \$1,000,000	--
42	04/29/2019	Spouse	--	Carroll County Kentucky Pollution Control Revenue Bond <i>Rate/Coupon: 1.05%</i> <i>Matures: 09/01/2042</i>	Purchase	\$250,001 - \$500,000	--
43	04/30/2019	Spouse	--	Illinois Financial Auth - Revenue Bond <i>Rate/Coupon: 7.75%</i> <i>Matures: 08/15/2034</i>	Purchase	\$250,001 - \$500,000	--
44	04/30/2019	Spouse	--	Washington State Healthcare Facilities Auth Revenue Bond - Multicare Health Sys <i>Rate/Coupon: 6.0%</i> <i>Matures: 08/15/2039</i>	Purchase	\$500,001 - \$1,000,000	--
45	04/30/2019	Spouse	--	Washington State Health Care Facilities Auth Revenue Bond - Providence Health & Services <i>Rate/Coupon: 5.25%</i> <i>Matures: 10/01/2039</i>	Purchase	\$100,001 - \$250,000	--
46	04/30/2019	Spouse	--	Washington State Health Care Facilities Auth Revenue Bond - Multicare Health Sys <i>Rate/Coupon: 6.0%</i>	Purchase	\$500,001 - \$1,000,000	--

Rate/Coupon: 5.75%
Matures: 08/15/2039

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
47	04/30/2019	Spouse	--	South Carolina Jobs - Economic Dev Auth Hospital Revenue Bond <i>Rate/Coupon: 5.75%</i> <i>Matures: 08/01/2039</i>	Purchase	\$250,001 - \$500,000	--
48	04/30/2019	Spouse	--	Washington State Healthcare Facilities Auth Revenue Bond - Providence Health & Services <i>Rate/Coupon: 5.25%</i> <i>Matures: 10/01/2039</i>	Purchase	\$100,001 - \$250,000	--
49	05/14/2019	Spouse	--	Washington State Healthcare Facilities Auth Revenue Bond <i>Rate/Coupon: 7.0%</i> <i>Matures: 07/01/2039</i>	Purchase	\$1,000,001 - \$5,000,000	--
50	05/14/2019	Spouse	--	Washington State Healthcare Facilities Auth Revenue Bond <i>Rate/Coupon: 7.0%</i> <i>Matures: 07/01/2039</i>	Purchase	\$500,001 - \$1,000,000	--
51	05/23/2019	Spouse	--	Kentucky Economic Development Fin Auth Hospital Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 03/01/2040</i>	Purchase	\$1,000,001 - \$5,000,000	--
52	05/23/2019	Spouse	--	Kentucky Economic Development Fin Auth Hospital Revenue Bond <i>Rate/Coupon: 6.375%</i> <i>Matures: 03/01/2040</i>	Purchase	\$500,001 - \$1,000,000	--
53	06/26/2019	Spouse	--	Massachusetts State General Obligation Bond <i>Rate/Coupon: 4.5%</i>	Purchase	\$500,001 - \$1,000,000	--

#	Transac- Date	Spouse	Ticker	Description	Type	Amount	Comment
				<i>Matures: 08/01/2043</i>			
54	06/20/2019	Spouse	Ficker	Massachusetts State General Obligation Bond <i>Rate/Coupon: 4.5%</i> <i>Matures: 08/01/2043</i>	Purchase	\$500,001 - \$1,000,000	
55	07/09/2019	Spouse	--	Dallas Fort Worth Texas Intl Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2037</i>	Purchase	\$250,001 - \$500,000	--
56	07/09/2019	Spouse	--	Dallas Forth Worth Texas Intl Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2037</i>	Purchase	\$250,001 - \$500,000	--
57	09/09/2019	Spouse	--	Dallas Fort Worth Texas International Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2026</i>	Purchase	\$250,001 - \$500,000	--
58	09/09/2019	Spouse	--	Dallas Fort Worth Texas International Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 11/01/2026</i>	Purchase	\$250,001 - \$500,000	--
59	09/17/2019	Spouse	--	Port Portland Oregon Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2030</i>	Purchase	\$500,001 - \$1,000,000	--
60	09/17/2019	Spouse	--	Port Portland Oregon Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2030</i>	Purchase	\$500,001 - \$1,000,000	--
61	09/17/2019	Spouse	--	Port Portland Oregon Airport Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2030</i>	Purchase	\$500,001 - \$1,000,000	--
62	10/11/2019	Spouse	--	Metropolitan Transportation Auth NY Revenue BANS Bond <i>Rate/Coupon: 4.0%</i>	Purchase	\$500,001 - \$1,000,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
				<i>Rate/Coupon: 4.0%</i> <i>Matures: 09/01/2020</i>			
63	10/11/2019	Spouse	--	Metropolitan Transportation Auth NY Revenue BANS Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 09/01/2020</i>	Purchase	\$500,001 - \$1,000,000	--
64	10/11/2019	Spouse	--	Metropolitan Transportation Auth NY Revenue BANS Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 09/01/2020</i>	Purchase	\$500,001 - \$1,000,000	--
65	10/11/2019	Self	--	Metropolitan Transportation Auth NY Revenue BANS Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 09/01/2020</i>	Purchase	\$100,001 - \$250,000	--
66	10/16/2019	Spouse	--	Texas Water Dev Brd Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 10/15/2040</i>	Purchase	\$250,001 - \$500,000	--
67	10/16/2019	Spouse	--	City of Atlanta Georgia Airport General Obligation Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 07/01/2038</i>	Purchase	\$500,001 - \$1,000,000	--
68	10/16/2019	Spouse	--	South Carolina ST Ports Authority Revenue Bond <i>Rate/Coupon: 5.0%</i> <i>Matures: 07/01/2038</i>	Purchase	\$500,001 - \$1,000,000	--
69	10/16/2019	Self	--	City of Atlanta Georgia Airport General Obligation Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 07/01/2038</i>	Purchase	\$100,001 - \$250,000	--
70	10/16/2019	Self	--	City of Atlanta Georgia Airport General Obligation Bond <i>Rate/Coupon: 4.0%</i> <i>Matures: 07/01/2038</i>	Purchase	\$100,001 - \$250,000	--

#	Transaction Date	Owner	Ticker	Asset Name Bond Name Rate/Coupon: 4.0% Matures: 07/01/2038	Type	Amount	Comment
70	10/16/2019	Spouse	--	City of Atlanta Georgia Airport General Obligation Bond Name Rate/Coupon: 4.0% Matures: 07/01/2038	Purchase	\$500,001 - \$1,000,000	--
71	10/16/2019	Spouse	--	South Carolina ST Ports Authority Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2038	Purchase	\$500,001 - \$1,000,000	--
72	10/18/2019	Spouse	--	Greater Orlando Aviation Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2038	Purchase	\$100,001 - \$250,000	--
73	10/18/2019	Spouse	--	Greater Orlando Aviation Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2038	Purchase	\$500,001 - \$1,000,000	--
74	10/18/2019	Spouse	--	Greater Orlando Aviation Authority Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2038	Purchase	\$500,001 - \$1,000,000	--
75	10/23/2019	Spouse	--	San Antonio Texas Electric & Gas Revenue Bond Rate/Coupon: 5.0% Matures: 02/01/2035	Purchase	\$500,001 - \$1,000,000	--
76	10/23/2019	Spouse	--	San Antonio Texas Electric & Gas Revenue Bond Rate/Coupon: 5.0% Matures: 02/01/2035	Purchase	\$500,001 - \$1,000,000	--
77	10/24/2019	Spouse	--	San Antonio Texas Electric & Gas Revenue Bond Rate/Coupon: 5.0% Matures: 02/01/2035	Purchase	\$500,001 - \$1,000,000	--
78	11/06/2019	Self	--	New York City NY Transition Fin Auth Bldg Revenue Bond Rate/Coupon: 5.0% Matures: 07/15/2023	Sale (Full)	\$250,001 - \$500,000	--
79	11/06/2019	Self	--	Texas A&M University Perm	Sale	\$250,001 -	--

#	Transaction Date	Owner	Ticker	Asset Name Univ Fd Bond Rate/Coupon: 5.0% Matures: 07/01/2025	Type (Full)	Amount \$500,000	Comment
80	11/20/2019	Self	--	Washington State Motor Vehicle Fuel Tax G.O. Bond Rate/Coupon: 5.25% Matures: 06/01/2027	Sale (Full)	\$100,001 - \$250,000	--
81	11/22/2019	Spouse	--	King County Washington Sch Dist G.O. Bond Rate/Coupon: 4.0% Matures: 12/01/2036	Purchase	\$250,001 - \$500,000	--
82	11/22/2019	Spouse	--	King County Washington Sch Dist G.O. Bond Rate/Coupon: 4.0% Matures: 12/01/2036	Purchase	\$500,001 - \$1,000,000	--
83	11/22/2019	Spouse	--	King County Washington Sch Dist G.O. Bond Rate/Coupon: 4.0% Matures: 12/01/2037	Purchase	\$500,001 - \$1,000,000	--
84	11/22/2019	Self	--	King County Washington Sch Dist G.O. Bond Rate/Coupon: 4.0% Matures: 12/01/2036	Purchase	\$100,001 - \$250,000	--
85	12/05/2019	Spouse	--	Franklin County Ohio Revenue Bond Rate/Coupon: 4.0% Matures: 12/01/2038	Purchase	\$250,001 - \$500,000	--
86	12/05/2019	Spouse	--	Franklin County Ohio Revenue Bond Rate/Coupon: 4.0% Matures: 12/01/2038	Purchase	\$500,001 - \$1,000,000	--
87	12/05/2019	Self	--	Franklin County Ohio Revenue Bond Rate/Coupon: 4.0% Matures: 12/01/2038	Purchase	\$100,001 - \$250,000	--
88	12/06/2019	Spouse	--	Metropolitan Nashville	Purchase	\$250,001 -	--

#	Transaction Date	Owner	Ticker	Asset Name Rate/Coupon: 5.0% Matures: 07/01/2037	Type	Amount	Comment
				Airport Auth Revenue Bond		\$500,000	
89	12/06/2019	Spouse	--	Metropolitan Nashville Airport Auth Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2036	Purchase	\$500,001 - \$1,000,000	--
90	12/06/2019	Spouse	--	Metropolitan Nashville Airport Auth Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2036	Purchase	\$500,001 - \$1,000,000	--
91	12/06/2019	Self	--	Metropolitan Nashville Airport Auth Revenue Bond Rate/Coupon: 5.0% Matures: 07/01/2036	Purchase	\$100,001 - \$250,000	--
92	12/17/2019	Spouse	--	Broward County Fla Airport System Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2034	Purchase	\$250,001 - \$500,000	--
93	12/17/2019	Spouse	--	Broward County Fla Airport System Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2034	Purchase	\$500,001 - \$1,000,000	--
94	12/17/2019	Spouse	--	Broward County Fla Airport System Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2034	Purchase	\$500,001 - \$1,000,000	--
95	12/17/2019	Self	--	Broward County Fla Airport System Revenue Bond Rate/Coupon: 5.0% Matures: 10/01/2034	Purchase	\$100,001 - \$250,000	--
96	12/19/2019	Spouse	--	Port Authority of NY & NJ Bonds 218 Series Rate/Coupon: 5.0% Matures: 11/01/2030	Purchase	\$250,001 - \$500,000	--
97	12/19/2019	Spouse	--	Port Authority of NY & NJ	Purchase	\$500,001 -	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
				Bonds 218 Series Rate/Coupon: 5.0% Matures: 11/01/2030		\$1,000,000	
98	12/19/2019	Self	--	Port Authority of NY & NJ Bonds 218 Series Rate/Coupon: 5.0% Matures: 11/01/2030	Purchase	\$100,001 - \$250,000	--
99	12/19/2019	Spouse	--	Port Authority of NY & NJ Bonds 218 Series Rate/Coupon: 5.0% Matures: 11/01/2032	Purchase	\$500,001 - \$1,000,000	--

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Self	--	Mendon Capital QP LP	Sale (Full)	06/30/2019	\$1,000,001 - \$5,000,000	--
2	Self	--	Overlook 3G Investments, L.P.	Sale (Full)	09/30/2019	\$250,001 - \$500,000	--
3	Self	--	Overlook Partners Fund, L.P.	Sale (Full)	09/30/2019	\$1,000,001 - \$5,000,000	--
4	Self	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	03/13/2019	\$1,000,001 - \$5,000,000	--
5	Self	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	06/07/2019	\$1,000,001 - \$5,000,000	--

7 #	Owner	SHV Ticker	Asset Name	Sale Type (Partial)	Transac-tion Date	\$250,001 - \$500,000 Amount	Comment
6	Self	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	10/16/2019	\$500,001 - \$1,000,000	--
7	Self	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	04/03/2019	\$250,001 - \$500,000	--
8	Self	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	11/27/2019	\$500,001 - \$1,000,000	--
9	Self	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	03/13/2019	\$1,000,001 - \$5,000,000	--
10	Self	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	06/07/2019	\$1,000,001 - \$5,000,000	--
11	Self	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	10/18/2019	\$1,000,001 - \$5,000,000	--
12	Self	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	04/03/2019	\$1,000,001 - \$5,000,000	--
13	Self	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	11/27/2019	\$500,001 - \$1,000,000	--
14	Self	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/01/2019	\$250,001 - \$500,000	--
15	Self	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/27/2019	\$250,001 - \$500,000	--
16	Self	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	06/24/2019	\$500,001 - \$1,000,000	--
17	Self	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	11/20/2019	\$250,001 - \$500,000	--
18	Self	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Purchase	06/24/2019	\$1,000,001 - \$5,000,000	--
19	Self	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Purchase	11/20/2019	\$500,001 - \$1,000,000	--
20	Self	--	AG Energy Credit Opportunities Fund IV, LP	Purchase	12/30/2019	\$100,001 - \$250,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
21	Self	--	Casdin Partners, LP	Purchase	08/01/2019	\$500,001 - \$1,000,000	--
22	Self	--	Stonepine Capital, L.P.	Purchase	08/01/2019	\$1,000,001 - \$5,000,000	--
23	Self	--	Legion Partners Special Opportunities, L.P. XII	Purchase	03/19/2019	\$1,000,001 - \$5,000,000	--
24	Self	--	Third Prime Alpha Fund II, LP	Purchase	05/01/2019	\$100,001 - \$250,000	--
25	Spouse	--	Mendon Capital QP LP	Sale (Full)	06/30/2019	\$1,000,001 - \$5,000,000	--
26	Spouse	--	Overlook Partners Fund, L.P.	Sale (Full)	09/30/2019	\$1,000,001 - \$5,000,000	--
27	Spouse	--	AG Energy Credit Opportunities Fund IV, LP	Purchase	12/30/2019	\$250,001 - \$500,000	--
28	Spouse	--	Casdin Partners, LP	Purchase	08/01/2019	\$1,000,001 - \$5,000,000	--
29	Spouse	--	Stonepine Capital, L.P.	Purchase	08/01/2019	\$1,000,001 - \$5,000,000	--
30	Spouse	--	Legion Partners Special Opportunities, L.P. XII	Purchase	03/19/2019	\$1,000,001 - \$5,000,000	--
31	Spouse	--	Third Prime Alpha Fund II, LP	Purchase	05/01/2019	\$250,001 - \$500,000	--
32	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	03/13/2019	\$1,000,001 - \$5,000,000	--
33	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	10/16/2019	\$500,001 - \$1,000,000	--

#	Owner	Ticker	Asset Name	Type	Transaction Date	Amount	Comment
34	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Trade- (Partial)	03/21/2019	\$250,001 - \$500,000	--
35	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	04/03/2019	\$1,000,001 - -\$5,000,000	--
36	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	09/12/2019	\$1,000,001 - -\$5,000,000	--
37	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	11/27/2019	\$500,001 - \$1,000,000	--
38	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	03/13/2019	\$1,000,001 - -\$5,000,000	--
39	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	10/18/2019	\$500,001 - \$1,000,000	--
40	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	03/21/2019	\$250,001 - \$500,000	--
41	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	04/03/2019	\$1,000,001 - -\$5,000,000	--
42	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	09/12/2019	\$1,000,001 - -\$5,000,000	--
43	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	11/27/2019	\$500,001 - \$1,000,000	--
44	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/01/2019	\$500,001 - \$1,000,000	--
45	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/28/2019	\$500,001 - \$1,000,000	--
46	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	06/24/2019	\$1,000,001 - -\$5,000,000	--
47	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	11/20/2019	\$250,001 -	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
						\$500,000	
48	Spouse	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Trans- Purchase	06/24/2019	\$1,000,001	--
						\$5,000,000	
49	Spouse	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Purchase	11/20/2019	\$500,001 - \$1,000,000	--
50	Spouse	--	Overlook Partners Fund, L.P.	Sale (Full)	09/30/2019	\$1,000,001 - \$5,000,000	--
51	Spouse	--	Overlook 3G Investments, L.P.	Sale (Full)	09/30/2019	\$250,001 - \$500,000	--
52	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	03/13/2019	\$1,000,001 - \$5,000,000	--
53	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	06/07/2019	\$1,000,001 - \$5,000,000	--
54	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	11/27/2019	\$1,000,001 - \$5,000,000	--
55	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	03/21/2019	\$100,001 - \$250,000	--
56	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	04/03/2019	\$1,000,001 - \$5,000,000	--
57	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	08/16/2019	\$500,001 - \$1,000,000	--
58	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	09/12/2019	\$1,000,001 - \$5,000,000	--
59	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	03/13/2019	\$1,000,001 - \$5,000,000	--
60	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	06/07/2019	\$1,000,001 - \$5,000,000	--

\$5,000,000

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
61	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	10/10/2019	\$15,001 - \$50,000	--
62	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	03/21/2019	\$100,001 - \$250,000	--
63	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	04/03/2019	\$1,000,001 - \$5,000,000	--
64	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	08/16/2019	\$1,000,001 - \$5,000,000	--
65	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	09/11/2019	\$1,000,001 - \$5,000,000	--
66	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	12/05/2019	\$1,000,001 - \$5,000,000	--
67	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/01/2019	\$500,001 - \$1,000,000	--
68	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/27/2019	\$500,001 - \$1,000,000	--
69	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	06/24/2019	\$1,000,001 - \$5,000,000	--
70	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	11/20/2019	\$500,001 - \$1,000,000	--
71	Spouse	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Purchase	06/24/2019	\$1,000,001 - \$5,000,000	--
72	Spouse	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Purchase	11/20/2019	\$1,000,001 - \$5,000,000	--
73	Spouse	--	AG Energy Credit Opportunities Fund IV, LP	Purchase	12/30/2019	\$250,001 - \$500,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
74	Spouse	--	Casdin Partners, LP	Purchase	08/01/2019	\$1,000,001 -	--
						\$5,000,000	
75	Spouse	--	Legion Partners Special Opportunities, L.P. XII	Purchase	03/19/2019	\$1,000,001 -	--
						\$5,000,000	
76	Spouse	--	Stonepine Capital, L.P.	Purchase	08/01/2019	\$1,000,001 -	--
						\$5,000,000	
77	Spouse	--	Third Prime Alpha Fund II, LP	Purchase	05/01/2019	\$100,001 -	--
						\$250,000	
78	Spouse	--	OEF-iShares S&P 100 ETF	Purchase	07/08/2019	\$1,001 -	--
						\$15,000	
79	Spouse	--	Mendon Capital QP LP	Sale (Full)	06/30/2019	\$1,000,001 -	--
						\$5,000,000	
80	Spouse	--	Overlook 3G Investments, L.P.	Sale (Full)	09/30/2019	\$1,000,001 -	--
						\$5,000,000	
81	Spouse	--	Overlook Partners Fund, L.P.	Sale (Full)	09/30/2019	\$1,000,001 -	--
						\$5,000,000	
82	Spouse	--	AG Energy Credit Opportunities Fund IV, LP	Purchase	12/30/2019	\$100,001 -	--
						\$250,000	
83	Spouse	--	Casdin Partners, LP	Purchase	08/01/2019	\$1,000,001 -	--
						\$5,000,000	
84	Spouse	--	Stonepine Capital, L.P.	Purchase	08/01/2019	\$1,000,001 -	--
						\$5,000,000	
85	Spouse	--	Legion Partners Special Opportunities, L.P. XII	Purchase	03/19/2019	\$1,000,001 -	--
						\$5,000,000	
86	Spouse	--	Rimrock High Income Plus (OP) Fund, L.P.	Purchase	02/01/2019	\$1,000,001 -	--

87	Spouse	--	Third Prime Alpha Fund II, Asset Name	Trans- action Type	05/01/2019 Transaction Date	\$100,001 - \$250,000	-- Comment
						\$5,000,000	
88	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	03/13/2019	\$1,000,001 - -\$5,000,000	--
89	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	06/07/2019	\$1,000,001 - -\$5,000,000	--
90	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	09/26/2019	\$1,000,001 - -\$5,000,000	--
91	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Purchase	10/15/2019	\$1,000,001 - -\$5,000,000	--
92	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	03/25/2019	\$500,001 - \$1,000,000	--
93	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	04/03/2019	\$1,000,001 - -\$5,000,000	--
94	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	11/27/2019	\$500,001 - \$1,000,000	--
95	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	03/13/2019	\$1,000,001 - -\$5,000,000	--
96	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	06/07/2019	\$500,001 - \$1,000,000	--
97	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	09/26/2019	\$1,000,001 - -\$5,000,000	--
98	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Purchase	10/18/2019	\$1,000,001 - -\$5,000,000	--
99	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	03/25/2019	\$1,000,001 - -	--

100 #	Spouse Owner	<u>LUBYX</u> Ticker	Lord Abbett Ultra Short Bond Fund Class I	(Partial) Trans- action (Partial)	04/03/2019 Transaction Date	\$1,000,001 Amount \$5,000,000	-- Comment
101	Spouse	<u>LUBYX</u>	Lord Abbett Ultra Short Bond Fund Class I	Sale (Partial)	06/24/2019	\$1,000,001 - \$5,000,000	--
102	Spouse	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Purchase	06/24/2019	\$1,000,001 - \$5,000,000	--
103	Spouse	<u>GDX</u>	VanEck Vectors Gold Miners ETF	Purchase	11/20/2019	\$100,001 - \$250,000	--
104	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/01/2019	\$250,001 - \$500,000	--
105	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	02/27/2019	\$250,001 - \$500,000	--
106	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	03/25/2019	\$250,001 - \$500,000	--
107	Spouse	<u>GLDM</u>	SPDR Gold MiniShares	Purchase	06/24/2019	\$1,000,001 - \$5,000,000	--
108	Spouse	<u>SHV</u>	iShares Short Treasury Bond ETF	Sale (Partial)	03/13/2019	\$100,001 - \$250,000	--
109	Spouse	--	Mendon Capital QP, LP	Sale (Full)	06/30/2019	\$1,000,001 - \$5,000,000	--
110	Spouse	--	G. Scott Holding, LLC	Sale (Full)	08/15/2019	\$500,001 - \$1,000,000	Redeemed holding
111	Spouse	--	Elliott Associates, L.P.	Purchase	01/01/2019	\$1,000,001 - \$5,000,000	--
112	Spouse	--	Elliott Associates, L.P.	Purchase	12/06/2019	\$100,001 - \$250,000	--
113	Spouse	--	Elliott Associates, L.P.	Purchase	12/06/2019	\$500,001 - \$1,000,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
114	Self	--	Ancora Catalyst SPV I L.P.	Sale (Full)	06/21/2019	\$500,001 - \$1,000,000	--
115	Spouse	--	Ancora Catalyst SPV I L.P.	Sale (Full)	06/21/2019	\$1,000,001 - \$5,000,000	--
116	Spouse	--	Ancora Catalyst SPV I L.P.	Sale (Full)	06/21/2019	\$1,000,001 - \$5,000,000	--
117	Spouse	--	Ancora Catalyst SPV I L.P.	Sale (Full)	06/21/2019	\$500,001 - \$1,000,000	--
118	Self	--	Ancora Catalyst SPV I LP Series B	Purchase	09/18/2019	\$500,001 - \$1,000,000	--
119	Spouse	--	Ancora Catalyst SPV I LP Series B	Purchase	09/18/2019	\$500,001 - \$1,000,000	--
120	Spouse	--	Ancora Catalyst SPV I LP Series B	Purchase	09/18/2019	\$1,000,001 - \$5,000,000	--
121	Spouse	--	Ancora Catalyst SPV I LP Series B	Purchase	09/18/2019	\$1,000,001 - \$5,000,000	--

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any **reportable travel**? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable liability worth more than \$10,000 at any time? **No**

Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jan 2011 to Jan 2019	Other (Governor)	State of Florida Tallahassee, FL	Other (State Government)	None

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

Attachments

Document Title	Date/Time Added
Scott PFD Attachment 8-13-20.pdf	08/13/2020 @ 4:06 PM

No comments added.

