



FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Hon. Harley E. Rouda Jr.
Status: Member
State/District: CA48

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2019
Filing Date: 08/13/2020

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Apex Sports Group [OL] LOCATION: Golden, CO, US DESCRIPTION: Ski boot systems		\$15,001 - \$50,000	None		<input type="checkbox"/>
Armchair Investments LLC ⇒ Commercial Buildings [RP] LOCATION: Columbus, OH, US		\$1,000,001 - \$5,000,000	Rent	\$100,001 - \$1,000,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Fidelity/Corient Capital Partners LLC Defined Benefit Plan [BA]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Armchair Investments LLC ⇒ TrueWest [OL] LOCATION: Location, CA, US DESCRIPTION: Pooled investment account (formerly known as SEAM II Fund)		\$100,001 - \$250,000	None		<input type="checkbox"/>
Armchair Investments LLC ⇒ Armchair Opportunity Zone Fund LLC ⇒ Cash Account [BA]		\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
Armchair Investments LLC ⇒ Armchair Opportunity Zone Fund LLC ⇒		\$500,001 - \$1,000,000	Rent	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Parcel 17 STE LLC [HE]					
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Angel Oak Multi Strategy Inc. Insti [EF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ CAA-MONTAUK TRIGUARD VIII ACCESS A FUND LP [HE]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA International Core Equity [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA U.S. Small Cap Growth Port Insti [EF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA U.S. Small Cap Value Prtf Insti [EF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Direxion SHS ETF TR Developed Mkts Bear [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves [MF]		\$250,001 - \$500,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Invesco Equally Weighted S&P 500 [EF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ JPMorgan Strategic Income Opps CI I [EF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Pioneer Multi-Asset Ultrashort Income Y [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Principal Spectrum Preferred and Capital Securities Income Fund Class Institutional (PPSIX) [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Proshares TR ULTPRO SHT 2017 [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Rivernorth/Double Line Strategic Inc. I [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ SPDR S&P Midcap 400 EFT Tr Utseri S&Pdcrp [EF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Vanguard Admiral FDS Inc S&P 500 Value Index Fund [EF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Vanguard S&P 500 Growth ETF [EF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Bank of America Accounts [BA]	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Bank of the West Accounts [BA]		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Carta, Inc. ⇒ Grayl, Inc. [OL]		\$50,001 - \$100,000	None		<input type="checkbox"/>
LOCATION: Seattle, WA, US					
DESCRIPTION: Water purification products. Shares granted for services provided as a director.					
Corient Brokerage Account ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JPMORGAN STRATEGIC INCOME OPPS - CL I (JSOSX) [MF]					
Corient Brokerage Account ⇒ MAINSTAY MACKAY HIGH YIELD MUNI BD CL I (MMHIX)" [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ MAINSTAY MACKAY TAX FREE BOND CLASS I (MTBIX) [MF]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ VANGUARD S&P 500 GROWTH ETF (VOOG) [EF]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ DFA International Core Equity Portfolio Institutional Class (DFIEX) [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ DFA U.S. Small Cap Growth Portfolio Institutional Class (DSCGX) [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ Fidelity Government Cash Reserves [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Corient Capital Partners LLC ⇒ Invesco Equally-Weighted S&P 500 Fund Class Y		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
(VADDX) [MF]					
Corient Capital Partners LLC ⇒ JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ MainStay MacKay High Yield Municipal Bond Fund Class I (MMHIX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ Pioneer Multi-Asset Ultrashort Income Fund Class Y (MYFRX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ Principal Spectrum Preferred and Capital Securities Income Fund Class Institutional (PPSIX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ Rocky Brands, Inc. (RCKY) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ UTG, Inc. (UTGN) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ VANGUARD S&P 500 GROWTH ETF (VOOG) [EF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient IRA ⇒ AAM/BAHL & GAYNOR INCOME GROWTH CL I (AFNIX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ AMG MANAGERS DOUBLE CORE PLUS BOND I (ADLIX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Corient IRA ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ ARISTOTLE VALUE EQUITY FUND CL I (ARSQX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ DFA EMERGING MRKTS CORE EQU PORTF (DFCEX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ DFA US CORE EQUITY I (DFEOX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ JPMORGAN STRATEGIC INCOME OPPS - CL I (JSOSX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ LORD ABBETT SHORT DURATION INCOME CL I (LLDYX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ NUVEEN WINSLOW LARGE - CAP GROWTH I SHRS (NVLIX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ PIMCO INCOME CL I2 (PONPX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Raen Optics, Inc. [OL] LOCATION: Encinitas, CA, US DESCRIPTION: Eyewear		\$50,001 - \$100,000	None		<input type="checkbox"/>
RealStir Inc. [OP] DESCRIPTION: 100,000 shares with a strike price of \$0.50. Granted 4/1/2016 and valid for 6 years.		\$15,001 - \$50,000	None		<input type="checkbox"/>
Rocky Brands, Inc. [OP] DESCRIPTION: 2,000 options with \$11.55 strike price 4,000 options with \$18.90 strike price Market Price on 12/31/18: \$25.75		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Rocky Brands, Inc. (RCKY) [ST]		None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Trident Holdings, Inc. ⇒ Cova, LLC [OL] LOCATION: San Clemente, CA, US DESCRIPTION: Water sports apparel		None	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Echo Labs Note [DO]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Grayl, Inc. [OL] LOCATION: Seattle, WA, US DESCRIPTION: Water purification products		\$100,001 - \$250,000	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Her Realtors, LLC [OL] LOCATION: Columbus, OH, US DESCRIPTION: Real estate		\$500,001 - \$1,000,000	Ownership Profits	\$100,001 - \$1,000,000	<input type="checkbox"/>
Trident Holdings, Inc. ⇒ HER Realty HomeGard [OL] LOCATION: Columbus, OH, US DESCRIPTION: Home warranty services		\$250,001 - \$500,000	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Her, Inc. [OL] LOCATION: Columbus, OH, US DESCRIPTION: Real estate		\$5,000,001 - \$25,000,000	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Realstir, Inc. [OL]		\$50,001 - \$100,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
LOCATION: San Diego, CA, US DESCRIPTION: Real estate technology					
Trident Holdings, Inc. ⇒ Relevium Labs, Inc. [OL]		\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: Oxford, OH, US DESCRIPTION: Medical devices					
Trident Holdings, Inc. ⇒ Sophistiplate LLC [OL]		\$50,001 - \$100,000	Ownership Profits	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: Laguna Beach, CA, US DESCRIPTION: Paper products					
Trident Holdings, Inc. ⇒ Stuffstr [OL]		\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: Seattle, WA, US DESCRIPTION: Item reuse/repair/resale/recycling services public benefit corporation					
Trident Holdings, Inc. ⇒ Trident Holdings, Inc. [OL]		\$5,000,001 - \$25,000,000	Dividends, Interest	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: Columbus, OH, US DESCRIPTION: Real estate services					
Trident Holdings, Inc. ⇒ Trident Title Agency Ltd. [OL]		\$1,000,001 - \$5,000,000	Ownership profits	\$50,001 - \$100,000	<input type="checkbox"/>
LOCATION: Columbus, OH, US DESCRIPTION: Real estate title services					
Wells Fargo Accounts [BA]		\$500,001 - \$1,000,000	Interest	\$1 - \$200	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ Proshares Ultra Bloomberg Crude Oil (UCO) [EF]		None	Capital Gains	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒ Rocky Brands, Inc. (RCKY) [ST]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒ Wells Fargo Standard Bank Deposit [BA]		\$1 - \$1,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Wells Fargo IRA ⇒ Cash [BA]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo IRA ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		\$500,001 - \$1,000,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo IRA (2) ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]		01/24/2019	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]		09/25/2019	P	\$50,001 - \$100,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]		11/6/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ CAA-MONTAUK TRIGUARD VIII ACCESS FUND LP [HE]		09/25/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]		06/27/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]		09/25/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]		11/5/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒		09/25/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DFA U.S. SMALL CAP GROWTH PORT INSTL (DSCGX) [MF]					
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA U.S. SMALL CAP GROWTH PORT INSTL (DSCGX) [MF]		11/4/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA US SMALL CAP VALUE PRTF INSTL (DFSVX) [MF]		09/25/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA US SMALL CAP VALUE PRTF INSTL (DFSVX) [MF]		11/4/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/20/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/25/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/24/2019	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/25/2019	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/26/2019	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/16/2019	P	\$250,001 - \$500,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/20/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		09/24/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	09/24/2019	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	09/25/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	10/1/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	10/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/4/2019	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/5/2019	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/5/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/5/2019	P	\$50,001 - \$100,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/6/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]	09/25/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]	11/4/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]	12/13/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ JPMORGAN STRATEGIC INCOME OPPS - CL I (JSOSX) [MF]	09/25/2019	P	\$50,001 - \$100,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ JPMORGAN STRATEGIC INCOME OPPS - CL I (JSOSX) [MF]	11/6/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	01/24/2019	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	09/25/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	11/6/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PRINCIPAL PREFERRED SECURITIES INSTL (PPSIX) [MF]	01/24/2019	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PRINCIPAL PREFERRED SECURITIES INSTL (PPSIX) [MF]	09/25/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PRINCIPAL PREFERRED SECURITIES INSTL (PPSIX) [MF]	11/6/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]	09/25/2019	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]		11/6/2019	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]		09/26/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]		11/5/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]		09/26/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]		11/5/2019	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Vanguard S&P 500 Growth ETF (VOOG) [EF]		09/26/2019	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Vanguard S&P 500 Growth ETF (VOOG) [EF]		11/5/2019	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ ABERDEEN ULTRA SHORT MUNICIPAL INC INSTL (ATOIX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]	SP	11/1/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]	SP	02/21/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Corient Brokerage Account ⇒ DFA INTERNATIONAL SMALL CAP VALUE (DISVX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ DFA U.S. SMALL CAP GROWTH PORT INSTL (DSCGX) [MF]	SP	02/21/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ DFA U.S. SMALL CAP GROWTH PORT INSTL (DSCGX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ DFA US SMALL CAP VALUE PRTF INSTL (DFSVX) [MF]	SP	02/21/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ DFA US SMALL CAP VALUE PRTF INSTLDFA US SMALL CAP VALUE PRTF INSTL (DFSVX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ FEDERATED MUNI ULTRA SHORT CL IS (FMUSX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	11/1/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	11/1/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	11/4/2019	P	\$15,001 - \$50,000	
Corient Brokerage Account ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]	SP	02/21/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ JPMORGAN STRATEGIC INCOME OPPTS - CL I (JSOSX) [MF]	SP	10/31/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ LORD ABBETT SHORT DURATION INCOME CL I (LLDYX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Corient Brokerage Account ⇒ MAINSTAY MACKAY HIGH YIELD MUNI BD CL I (MMHIX) [MF]	SP	10/31/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ MAINSTAY MACKAY TAX FREE BOND CLASS I (MTBIX) [MF]	SP	10/31/2019	P	\$15,001 - \$50,000	
Corient Brokerage Account ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	10/31/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]	SP	10/31/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]	SP	11/1/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]	SP	02/22/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ TRANSAMERICA SHORT-TERM BOND CL I (TSTIX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]	SP	02/22/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ VANGUARD S&P 500 GROWTH ETF (VOOG) [EF]	SP	02/22/2019	P	\$1,001 - \$15,000	
Corient Brokerage Account ⇒ VANGUARD S&P 500 GROWTH ETF (VOOG) [EF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Corient Brokerage Account ⇒ VICTORY INCORE LOW DURATION BD CL Y (RSDYX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ VIRTUS SEIX US GOVT SEC ULTRA SHORT BD I (SIGVX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]		11/5/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]		03/21/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]		11/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC ⇒ DFA U.S. SMALL CAP GROWTH PORT INSTL (DSCGX) [MF]		03/21/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ DFA U.S. SMALL CAP GROWTH PORT INSTL (DSCGX) [MF]		11/4/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ DFA US SMALL CAP VALUE PRTF INSTL (DFSVX) [MF]		03/21/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ DFA US SMALL CAP VALUE PRTF INSTL (DFXVX) [MF]		11/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]		03/21/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]		11/4/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ JPMORGAN STRATEGIC INCOME OPPTS - CL I (JSOSX) [MF]		11/5/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ MAINSTAY MACKAY HIGH YIELD MUNI BD CL I		11/5/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
(MMHIX) [MF]					
Corient Capital Partners LLC ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]		11/5/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]		11/5/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]		11/5/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ Rocky Brands, Inc. (RCKY) [ST]		02/11/2019	P	\$50,001 - \$100,000	
Corient Capital Partners LLC ⇒ Rocky Brands, Inc. (RCKY) [ST]		03/5/2019	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]		03/22/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]		11/5/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ UTG, Inc. (UTGN) [ST]		03/20/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]		03/22/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]		11/5/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC ⇒ VANGUARD S&P 500 GROWTH ETF (VOOG) [EF]		03/22/2019	P	\$1,001 - \$15,000	
Corient Capital Partners LLC ⇒ VANGUARD S&P 500 GROWTH ETF (VOOG) [EF]		11/5/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Corient IRA ⇒ AAM/BAHL & GAYNOR INCOME GROWTH CL I +	SP	11/4/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
(AFNIX) [MF]					
Corient IRA ⇒ AMG MANAGERS DOUBLE CORE PLUS BOND I+ (ADLIX) [MF]	SP	11/4/2019	P	\$1,001 - \$15,000	
Corient IRA ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]	SP	01/24/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]	SP	11/1/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ ARISTOTLE VALUE EQUITY FUND CL I+ (ARSQX) [MF]	SP	11/4/2019	P	\$1,001 - \$15,000	
Corient IRA ⇒ DFA EMERGING MARKETS PORTFOLIO (DFEMX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ DFA EMERGING MARKETS SMALL CAP (DEMSX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ DFA EMERGING MRKTS CORE EQU PORTF + (DFCEX) [MF]	SP	11/4/2019	P	\$1,001 - \$15,000	
Corient IRA ⇒ DFA INTERNATIONAL CORE EQUITY+ (DFIEX) [MF]	SP	11/4/2019	P	\$15,001 - \$50,000	
Corient IRA ⇒ DFA International LR CAP GR PORT INSTL (DILRX) [MF]	SP	05/7/2019	P	\$1,001 - \$15,000	
Corient IRA ⇒ DFA International LR CAP GR PORT INSTL (DILRX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ DFA INTERNATIONAL SM CAP GROWTH PORT INSTL (DISMX) [MF]	SP	05/7/2019	P	\$1,001 - \$15,000	
Corient IRA ⇒ DFA INTERNATIONAL SM CAP GROWTH PORT INSTL (DISMX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒	SP	05/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DFA INTERNATIONAL SMALL CAP VALUE (DISVX) [MF]			(partial)		
Corient IRA ⇒ DFA INTERNATIONAL VALUE PRTF INSTL (DFIVX) [MF]	SP	05/7/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ DFA INTERNATIONAL VALUE PRTF INSTL (DFIVX) [MF]	SP	10/31/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Corient IRA ⇒ DFA U.S. SMALL CAP GROWTH PORT INSTL (DSCGX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ DFA US CORE EQUITY I + (DFEOX) [MF]	SP	11/4/2019	P	\$15,001 - \$50,000	
Corient IRA ⇒ DFA US MICRO CAP PRTF INSTL (DFSCX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ DFA US SMALL CAP VALUE PRTF INSTL (DFXVX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ DIMENSIONAL EMERGING MKTS VAL PRTF INSTL (DFEVX) [MF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	11/1/2019	P	\$100,001 - \$250,000	
Corient IRA ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	11/4/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Corient IRA ⇒ INVESCO EQUALLY WEIGHTED S&P 500 Y (VADDX) [MF]	SP	10/31/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Corient IRA ⇒ JPMORGAN STRATEGIC INCOME OPPTS - CL I (JSOSX) [MF]	SP	10/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ LORD ABBETT SHORT DURATION INCOME CL (LLDYX) [MF]	SP	11/4/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Corient IRA ⇒ NUVEEN WINSLOW LARGE - CAP GROWTH I SHRS+ (NVLIX) [MF]	SP	11/4/2019	P	\$1,001 - \$15,000	
Corient IRA ⇒ PIMCO INCOME CL I2 + (PONPX) [MF]	SP	11/4/2019	P	\$15,001 - \$50,000	
Corient IRA ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	01/24/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	10/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]	SP	01/24/2019	P	\$1,001 - \$15,000	
Corient IRA ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]	SP	10/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]	SP	11/4/2019	P	\$15,001 - \$50,000	
Corient IRA ⇒ SPDR S&P MIDCAP 400 ETF TR UTSER1 (MDY) [EF]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ VANGUARD ADMIRAL FDS INC S&P 500 VALUE (VOOV) [EF]	SP	10/31/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Corient IRA ⇒ VANGUARD S&P 500 GROWTH E (VOOG) [EF]	SP	10/31/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Rocky Brands, Inc. (RCKY) [ST]		09/10/2019	S	\$100,001 - \$250,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ PROSHARES TR II ETF ULTA BLOOMBERG CRUDE OIL 2017 (UCO) [EF]		01/4/2019	S	\$1,000,001 - \$5,000,000	<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒		05/31/2019	P	\$250,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
PROSHARES TR II ETF ULTA BLOOMBERG CRUDE OIL 2017 (UCO) [EF]				\$500,000	
Wells Fargo Brokerage ⇒ PROSHARES TR II ETF ULTA BLOOMBERG CRUDE OIL 2017 (UCO) [EF]		06/5/2019	P	\$250,001 - \$500,000	
Wells Fargo Brokerage ⇒ PROSHARES TR II ETF ULTA BLOOMBERG CRUDE OIL 2017 (UCO) [EF]		06/20/2019	S (partial)	\$500,001 - \$1,000,000	<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒ PROSHARES TR II ETF ULTA BLOOMBERG CRUDE OIL 2017 (UCO) [EF]		06/21/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		01/4/2019	P	\$1,000,001 - \$5,000,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		01/9/2019	P	\$250,001 - \$500,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		01/25/2019	P	\$50,001 - \$100,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		02/12/2019	P	\$250,001 - \$500,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		02/22/2019	P	\$50,001 - \$100,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		03/19/2019	P	\$50,001 - \$100,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		05/1/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]		05/10/2019	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	05/13/2019	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	06/20/2019	P	\$500,001 - \$1,000,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	06/21/2019	P	\$500,001 - \$1,000,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	06/25/2019	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	07/2/2019	P	\$15,001 - \$50,000	
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	09/3/2019	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	04/5/2019	P	\$100,001 - \$250,000	
Wells Fargo Brokerage ⇒ Rocky Brands, Inc. (RCKY) [ST]	04/5/2019	S	\$100,001 - \$250,000	<input type="checkbox"/>
Wells Fargo IRA ⇒ PROSHARES TR II ETF ULTA BLOOMBERG CRUDE OIL 2017 (UCO) [EF]	01/4/2019	S	\$250,001 - \$500,000	<input type="checkbox"/>
Wells Fargo IRA ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	01/4/2019	P	\$250,001 - \$500,000	
Wells Fargo IRA ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	04/5/2019	P	\$15,001 - \$50,000	
Wells Fargo IRA ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	03/1/2019	P	\$100,001 - \$250,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo IRA ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	08/5/2019	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Wells Fargo IRA ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	10/11/2019	P	\$250,001 - \$500,000	
Wells Fargo IRA ⇒ Rocky Brands, Inc. (RCKY) [ST]	02/28/2019	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Wells Fargo IRA (2) ⇒ PROSHARES TR II ETF ULTA BLOOMBERG CRUDE OIL 2017 (UCO) [EF]	04/5/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo IRA (2) ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	04/5/2019	P	\$15,001 - \$50,000	
Wells Fargo IRA (2) ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	05/13/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo IRA (2) ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	06/19/2019	P	\$15,001 - \$50,000	
Wells Fargo IRA (2) ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	07/2/2019	P	\$1,001 - \$15,000	

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Trident Holdings, Inc.	Spouse Board Fees	N/A
Trident Title Agency Ltd.	Spouse Board Fees	N/A
Harlequin	Spouse Royalties	N/A
Spark Press	Spouse Royalties	N/A
Donald Maass Literary Agency	Spouse Royalties	N/A

Source	Type	Amount
Jane Rotrosen Agency LLC	Spouse Royalties	N/A
Amazon	Spouse Royalties	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	American Express	December 2019	Credit Card	\$100,001 - \$250,000
	COMMENTS: Paid in full.			
JT	Wells Fargo	December 2013	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000
JT	Wells Fargo	December 2013	Home Equity Line of Credit	\$1,000,001 - \$5,000,000
JT	Wells Fargo	January 2017	Co-signor on mortgage on personal residence	\$250,001 - \$500,000
	Wells Fargo	January 2019	Margin Account	\$100,001 - \$250,000
	COMMENTS: \$0 balance as of 12/31/19.			

SCHEDULE E: POSITIONS

Position	Name of Organization
Director	Rocky Brands, Inc.
COMMENTS: Resigned 2019	
Chief Executive Officer, Boardmember	HomeGard
COMMENTS: Resigned 2019	
Member	Partners United Financial, LLC
COMMENTS: Resigned 2019	
President, Board of Managers Member, Board of Advisors Member	Homeco LLC
COMMENTS: Resigned 2019	
Chief Executive Officer, President, Director	Trident Holdings, Inc.
COMMENTS: Resigned 2019	

Position	Name of Organization
President, Director COMMENTS: Resigned 2019	HER, Inc.
Chief Executive Officer, Director COMMENTS: Resigned 2019	HER Realtors, LLC
Managing Member COMMENTS: Resigned 2019	Armchair Investments, LLC
Boardmember COMMENTS: Resigned 2019	Grayl, Inc.
Boardmember COMMENTS: Resigned 2019	Cova, LLC
Boardmember COMMENTS: Resigned 2019	Relevium Labs, Inc.
Boardmember COMMENTS: Resigned 2019	Realstir

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2019	Grayl, Inc. and Harley Rouda	Rep. Rouda is entitled to deferred compensation to be received in 2020 for his service on the Grayl, Inc. Board of Directors in 2019 prior to being sworn in. Compensation will be issued as shares of stock .

SCHEDULE G: GIFTS

Source	Description	Value
Susan and Cory Thabit (Newport Beach, CA, US)	Travel from Santa Ana, CA to Baltimore, MD	\$28,960.00
COMMENTS: Per House Ethics pre-approval and direction, full value reported.		

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
American Israel Education Foundation	08/5/2019	08/12/2019	Vienna, Austria - Tel Aviv, Israel - Jerusalem, Israel - Tiberias, Israel - Santa Ana, CA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- o Armchair Investments LLC
LOCATION: US
- o Armchair Investments LLC ⇒ Armchair Opportunity Zone Fund LLC
LOCATION: US
- o Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan
LOCATION: US
- o Carta, Inc.
LOCATION: US
- o Corient Brokerage Account (Owner: SP)
LOCATION: US
- o Corient Capital Partners LLC
LOCATION: US
- o Corient IRA (Owner: SP)
- o Trident Holdings, Inc.
LOCATION: US
- o Wells Fargo Brokerage
LOCATION: US
- o Wells Fargo IRA
- o Wells Fargo IRA (2)

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

Yes No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

Yes No

Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Harley E. Rouda Jr., 08/13/2020