



# 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:** Former Member  
**State/District:** CA48

## FILING INFORMATION

**Filing Type:** Terminated Filer Report  
**Filing Year:** 2021  
**Filing Date:** 05/4/2021

## 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		None	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]		\$50,001 - \$100,000	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 type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
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]		None	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]		None	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]		None	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]		None	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]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		\$1,001 - \$15,000	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]		None	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]		None	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]		None	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]		None	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]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Rivernorth/Double Line Strategic Inc. I [MF]		None	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]		None	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]		None	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]		None	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]		\$50,001 - \$100,000	Interest	\$1 - \$200	<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	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ JPMORGAN STRATEGIC INCOME OPPS - CL I (JSOSX) [MF]	SP	None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ MAINSTAY MACKAY HIGH YIELD MUNI BD CL I (MMHIX) [MF]	SP	None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
Corient Brokerage Account ⇒ MAINSTAY MACKAY TAX FREE BOND CLASS I (MTBIX) [MF]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ PRINCIPAL SPECTRUM PEF CAPT SEC INC I (PPSIX) [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Axonic Strategic Income Fund Class I Shares (AXSIX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ CIM OPPORTUNITY ZONE FUND LP [HE]		\$1,000,001 - \$5,000,000	None		<input checked="" type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves [BA]		\$1 - \$1,000	Interest	\$1 - \$200	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		\$1 - \$1,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ 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 Brokerage ⇒ 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 Brokerage ⇒ Pioneer Multi-Asset Ultrashort Income Fund Class Y (MYFRX) [MF]		\$1 - \$1,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Principal Spectrum Preferred and Capital Securities		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Income Fund Class Institutional (PPSIX) [MF]					
Corient Capital Partners LLC Brokerage ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Corient IRA ⇒ AAM/BAHL & GAYNOR INCOME GROWTH CL I (AFNIX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Corient IRA ⇒ AMG MANAGERS DOUBLE CORE PLUS BOND I (ADLIX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Corient IRA ⇒ ANGEL OAK MULTI STRATEGY INC INSTL (ANGIX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Corient IRA ⇒ ARISTOTLE VALUE EQUITY FUND CL I (ARSQX) [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Corient IRA ⇒ DFA EMERGING MRKTS CORE EQU PORTF (DFCEX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Corient IRA ⇒ DFA INTERNATIONAL CORE EQUITY (DFIEX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Corient IRA ⇒ DFA US CORE EQUITY I (DFEOX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input 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 type="checkbox"/>
Corient IRA ⇒ Lazard US Equity Concentrated Portfolio Institutional Shares (LEVIX) [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 type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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 type="checkbox"/>
Corient IRA ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Corient IRA ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Corient IRA ⇒ RIVERNORTH/DOUBLE LINE STRATEGIC INC I (RNSIX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Raen Optics, Inc. [OL]  LOCATION: Encinitas, CA, US DESCRIPTION: Eyewear		\$50,001 - \$100,000	None		<input type="checkbox"/>
Raymond James Brokerage ⇒ ARK Genomic Revolution ETF (ARKG) [EF]	SP	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Raymond James Brokerage ⇒ ARK Innovation ETF (ARKK) [EF]	SP	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Raymond James Brokerage ⇒ Cash Account [BA]	SP	\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
Raymond James Brokerage ⇒ First Trust DJ Internet Index Fund (FDN) [EF]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Raymond James Brokerage ⇒ First Trust NASDAQ-100- Technology Index Fund (QTEC) [EF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Raymond James Brokerage ⇒ First Trust Technology AlphaDEX (FXL) [EF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Raymond James Brokerage ⇒ iShares Russell 1000 Growth ETF (IWF) [EF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Raymond James Brokerage ⇒ iShares Russell 2000 ETF (IWM) [EF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Raymond James IRA ⇒ Cash Account [BA]		\$1,000,001 - \$5,000,000	Interest	\$1 - \$200	<input type="checkbox"/>
RealStir Inc. [OP]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: 100,000 shares with a strike price of \$0.50. Granted 4/1/2016 and valid for 6 years.					
Residential Rental Property [RP]	JT	\$1,000,001 - \$5,000,000	Rent	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: Washington, DC, US					
Robinhood Brokerage Account ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Trident Holdings, Inc. ⇒ Cova, LLC [OL]		None	None		<input type="checkbox"/>
LOCATION: San Clemente, CA, US					
DESCRIPTION: Water sports apparel					
Trident Holdings, Inc. ⇒ Echo Labs Note [DO]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Grayl, Inc. [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Seattle, WA, US					
DESCRIPTION: Water purification products					
Trident Holdings, Inc. ⇒ Her Realtors, LLC [OL]		\$500,001 - \$1,000,000	Ownership Profits	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: Columbus, OH, US					
DESCRIPTION: Real estate					
Trident Holdings, Inc. ⇒ HER Realty HomeGard [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Columbus, OH, US					
DESCRIPTION: Home warranty services					
Trident Holdings, Inc. ⇒ Her, Inc. [OL]		\$5,000,001 - \$25,000,000	None		<input type="checkbox"/>
LOCATION: Columbus, OH, US					
DESCRIPTION: Real estate					
Trident Holdings, Inc. ⇒		\$50,001 -	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Realstir, Inc. [OL] LOCATION: San Diego, CA, US DESCRIPTION: Real estate technology		\$100,000			
Trident Holdings, Inc. ⇒ Relevium Labs, Inc. [OL] LOCATION: Oxford, OH, US DESCRIPTION: Medical devices		\$15,001 - \$50,000	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Sophistiplate LLC [OL] LOCATION: Laguna Beach, CA, US DESCRIPTION: Paper products		\$50,001 - \$100,000	Ownership Profits	\$5,001 - \$15,000	<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Stuffstr [OL] LOCATION: Seattle, WA, US DESCRIPTION: Item reuse/repair/resale/recycling services public benefit corporation		None	None		<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Trident Holdings, Inc. [OL] LOCATION: Columbus, OH, US DESCRIPTION: Real estate services		\$5,000,001 - \$25,000,000	Dividends, Interest	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Trident Title Agency Ltd. [OL] LOCATION: Columbus, OH, US DESCRIPTION: Real estate title services		\$1,000,001 - \$5,000,000	Ownership profits	\$50,001 - \$100,000	<input type="checkbox"/>
Trident Holdings, Inc. ⇒ Trident Residential, LLC ⇒ Residential Rental Property [RP] LOCATION: Lake Elsinore, CA, US		\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
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]		\$100,001 - \$250,000	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
Wells Fargo Brokerage ⇒ Wells Fargo Standard Bank Deposit [BA]		\$1 - \$1,000	Interest	\$1 - \$200	<input type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo IRA ⇒ Cash [BA]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Wells Fargo IRA ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		\$250,001 - \$500,000	Tax-Deferred		<input checked="" type="checkbox"/>
Wells Fargo IRA (2) ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		\$15,001 - \$50,000	Tax-Deferred		<input 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 Income Fund Institutional Shares (ANGIX) [MF]		05/18/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]		11/3/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Axonic Strategic Income Fund Class I Shares (AXSIX) [MF]		05/18/2020	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Axonic Strategic Income Fund Class I Shares (AXSIX) [MF]		11/3/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ CAA-Montauk Triguard VIII Access Fund LP [HE]		04/16/2020	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA International Core Equity Portfolio Institutional Class (DFIEX) [MF]		11/3/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA U.S. Small Cap Growth Portfolio Institutional Class		11/3/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
(DSCGX) [MF]				
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ DFA U.S. Small Cap Value Portfolio Institutional Class (DFSVX) [MF]	11/3/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Direxion SHS ETF TR Developed Markets Bear [EF]	04/6/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Liquidation				
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	01/23/2020	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]	01/10/2020	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	01/3/2020	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	01/7/2020	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	01/3/2020	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]	01/23/2020	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]	03/20/2020	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]	04/3/2020	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	04/6/2020	P	\$15,001 - \$50,000	

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		04/13/2020	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]		04/21/2020	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]		04/13/2020	P	\$15,001 - \$50,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		04/16/2020	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]		04/21/2020	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]		05/18/2020	P	\$50,001 - \$100,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		05/18/2020	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]		11/4/2020	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		11/6/2020	P	\$1,000,001 - \$5,000,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		11/12/2020	S (partial)	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		11/13/2020	P	\$1,000,001 - \$5,000,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC		11/16/2020	S	\$1,000,001 -	<input type="checkbox"/>

<b>Asset</b>	<b>Owner Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		(partial)	\$5,000,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	12/21/2020	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	07/24/2020	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]	10/26/2020	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]	11/3/2020	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/4/2020	P	\$100,001 - \$250,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/6/2020	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	07/24/2020	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]	10/26/2020	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]	11/3/2020	P	\$250,001 - \$500,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/3/2020	P	\$500,001 - \$1,000,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	11/6/2020	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>

<b>Asset</b>	<b>Owner Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Invesco Equally-Weighted S&P 500 Fund Class Y (VADDX) [MF]	11/3/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX) [MF]	05/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX) [MF]	11/3/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	05/18/2020	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]	11/3/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PRINCIPAL SPECTRUM PEF CAPT SEC INC I (PPSIX) [MF]	11/3/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [MF]	01/7/2020	P	\$250,001 - \$500,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ PROSHARES TRUST ETF ULTRASHORT FTSE CHINA 50 NEW LEVERAGE -2X (FXP) [EF]	11/4/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ ProShares UltraPro Short Russell2000 (SRTY) [EF]	11/4/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]	05/18/2020	S (partial)	\$1,001 - \$15,000	<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 ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]		06/29/2020	P	\$1,001 - \$15,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]		11/3/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ SPDR S&P MidCap 400 ETF (MDY) [EF]		11/4/2020	S	\$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 Index Fund ETF (VOOG) [EF]		11/4/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ Vanguard S&P 500 Value Index Fund ETF (VOOV) [EF]		11/4/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ VelocityShares 3x Long Crude Oil ETNs linked to the S&P GSCI Crude Oil Index ER (UWT) [ET]		03/20/2020	P	\$50,001 - \$100,000	
Armchair Investments LLC ⇒ Corient Capital Partners LLC Armchair Investments LLC Defined Benefit Plan ⇒ VelocityShares 3x Long Crude Oil ETNs linked to the S&P GSCI Crude Oil Index ER (UWT) [ET]		04/3/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Liquidation					
Corient Brokerage Account ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]	SP	01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	01/8/2020	P	\$15,001 - \$50,000	
Corient Brokerage Account ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	01/22/2020	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX) [MF]	SP	01/8/2020	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	01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ MAINSTAY MACKAY TAX FREE BOND CLASS I (MTBIX) [MF]	SP	01/8/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Corient Brokerage Account ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	SP	01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]	SP	01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Brokerage Account ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]	SP	01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]		03/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]		03/16/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]		03/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Angel Oak Multi-Strategy Income Fund Institutional Shares (ANGIX) [MF]		05/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Axonic Strategic Income Fund Class I Shares (AXSIX) [MF]		05/19/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		03/30/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]		04/21/2020	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	04/23/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	10/28/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	10/29/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	07/22/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	07/24/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX) [MF]	03/16/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX) [MF]	03/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ MAINSTAY MACKAY HIGH YIELD MUNI BD CL I (MMHIX) [MF]	03/16/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ MAINSTAY MACKAY HIGH YIELD MUNI BD CL I (MMHIX) [MF]	03/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	03/16/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	03/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ PIONEER MULTI-ASSET ULTRASHORT INCOME Y (MYFRX) [MF]	05/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ PRINCIPAL SPECTRUM PEF CAPT SEC INC I (PPSIX) [MF]	03/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Corient Capital Partners LLC Brokerage ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]		03/16/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]		03/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]		04/20/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]		07/21/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ PRINCIPAL SPECTRUM PREF CAPT SEC INC I (PPSIX) [MF]		10/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient Capital Partners LLC Brokerage ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]		03/16/2020	P	\$1,001 - \$15,000	
Corient Capital Partners LLC Brokerage ⇒ RiverNorth Doubleline Strategic Income Fund Class I (RNSIX) [MF]		03/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ Aristotle Value Equity Fund Class I (ARSQX) [MF]	SP	05/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Corient IRA ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	01/9/2020	P	\$1,001 - \$15,000	
Corient IRA ⇒ Fidelity Government Cash Reserves (FDRXX) [MF]	SP	05/28/2020	P	\$1,001 - \$15,000	
Corient IRA ⇒ Lazard US Equity Concentrated Portfolio Institutional Shares (LEVIX) [MF]	SP	05/28/2020	P	\$1,001 - \$15,000	
Corient IRA ⇒ Nuveen Winslow Large-Cap Growth ESG Fund Class I (NVLIX) [MF]	SP	05/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Raymond James Brokerage ⇒ ARK Genomic Revolution ETF (ARKG) [EF]	SP	06/4/2020	P	\$1,001 - \$15,000	
Raymond James Brokerage ⇒ ARK GENOMIC REVOLUTION ETF (ARKG) [EF]	SP	09/10/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Raymond James Brokerage ⇒ Ark Innovation ETF (ARKK) [EF]	SP	06/4/2020	P	\$1,001 - \$15,000	
Raymond James Brokerage ⇒ Ark Innovation ETF (ARKK) [EF]	SP	09/17/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Raymond James Brokerage ⇒ FIRST TRUST DOW JONES INTERNET INDEX FUND (FDN) [EF]	SP	06/4/2020	P	\$1,001 - \$15,000	
Raymond James Brokerage ⇒ FIRST TRUST NASDAQ-100 TECHNOLOGY INDEX FUND (QTEC) [EF]	SP	06/4/2020	P	\$1,001 - \$15,000	
Raymond James Brokerage ⇒ FIRST TRUST TECHNOLOGY ALPHADDEX FUND (FXL) [EF]	SP	06/4/2020	P	\$1,001 - \$15,000	
Raymond James Brokerage ⇒ ISHARES TR RUS 1000 GRW ETF (IWF) [EF]	SP	06/4/2020	P	\$1,001 - \$15,000	
Raymond James Brokerage ⇒ ISHARES TR RUSSELL 2000 ETF (IWM) [EF]	SP	06/4/2020	P	\$1,001 - \$15,000	
Residential Rental Property [RP]  LOCATION: Washington, DC, US	JT	01/9/2020	P	\$1,000,001 - \$5,000,000	
Robinhood Brokerage Account ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	02/20/2020	P	\$1,001 - \$15,000	
Robinhood Brokerage Account ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	05/26/2020	P	\$1,001 - \$15,000	
Robinhood Brokerage Account ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	06/2/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Robinhood Brokerage Account ⇒ Tesla, Inc. (TSLA) [ST]	SP	02/20/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Robinhood Brokerage Account ⇒ Tesla, Inc. (TSLA) [ST]	SP	06/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		01/3/2020	P	\$1,001 - \$15,000	
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		01/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		03/12/2020	P	\$1,001 - \$15,000	
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		03/30/2020	P	\$15,001 - \$50,000	
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		04/17/2020	P	\$1,001 - \$15,000	
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		04/20/2020	P	\$1,001 - \$15,000	
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		04/21/2020	P	\$1,001 - \$15,000	
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		05/22/2020	P	\$15,001 - \$50,000	
Wells Fargo Brokerage ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]		06/22/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		01/6/2020	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		03/26/2020	P	\$15,001 - \$50,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		03/27/2020	P	\$50,001 - \$100,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]		03/30/2020	P	\$50,001 - \$100,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	04/6/2020	P	\$15,001 - \$50,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	04/20/2020	P	\$15,001 - \$50,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	05/20/2020	P	\$100,001 - \$250,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	05/22/2020	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	05/26/2020	P	\$100,001 - \$250,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	05/29/2020	P	\$100,001 - \$250,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	06/1/2020	P	\$15,001 - \$50,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	06/10/2020	P	\$50,001 - \$100,000	
Wells Fargo Brokerage ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	07/2/2020	P	\$15,001 - \$50,000	
Wells Fargo IRA ⇒ ProShares Ultra Bloomberg Crude Oil (UCO) [EF]	01/3/2020	P	\$1,001 - \$15,000	
Wells Fargo IRA ⇒ ProShares Ultrashort FTSE China 50 (FXP) [EF]	05/29/2020	S (partial)	\$100,001 - \$250,000	<input 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 C: EARNED INCOME

Source	Type	Amount
Harlequin	Spouse Royalties	N/A
Spark Press	Spouse Royalties	N/A
Jane Rotrosen Agency LLC	Spouse Royalties	N/A

Source	Type	Amount
Wells Fargo IRA	Retirement Distribution	\$100,000.00
Trident Holdings, Inc.	Spouse Board Fees	N/A
Trident Title Agency Ltd.	Spouse Board Fees	N/A

#### **SCHEDULE D: LIABILITIES**

Owner	Creditor	Date Incurred	Type	Amount of Liability
	American Express	December 2020	Credit Card	\$100,001 - \$250,000
	COMMENTS: Paid in full.			
JT	Cenlar	December 2013	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000
JT	Bank of the West	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 12/31/20.			
JT	Cenlar	January 2020	Mortgage on D.C. Rental Property	\$1,000,001 - \$5,000,000
JT	Cenlar	September 2020	Mortgage on Paso Robles Property	\$1,000,001 - \$5,000,000

#### **SCHEDULE E: POSITIONS**

None disclosed.

#### **SCHEDULE F: AGREEMENTS**

None disclosed.

#### **SCHEDULE G: GIFTS**

None disclosed.

#### **SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS**

None disclosed.

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

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

## **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, 05/4/2021