



PERIODIC TRANSACTION REPORT

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

FILER INFORMATION

Name: Hon. Tom Malinowski**Status:** Member**State/District:** NJ07

TRANSACTIONS

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|---|------------------|------------|-------------------|---------------------|-------------------------------------|
| | 8x8 Inc (EGHT) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 03/10/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Amber Road, Inc. (AMBR) [ST] FILING STATUS: New | S | 05/15/2019 | 06/01/2019 | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| | Ameresco, Inc. Class A (AMRC) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 01/06/2021 | 02/01/2021 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Ameresco, Inc. Class A (AMRC) [ST] FILING STATUS: New | S | 03/30/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | Ameresco, Inc. Class A (AMRC) [ST] FILING STATUS: New | S | 04/09/2020 | 05/01/2020 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | Anika Therapeutics Inc. (ANIK) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 03/02/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Anika Therapeutics Inc. (ANIK) | P | 02/26/2020 | 03/01/2020 | \$15,001 - | <input type="checkbox"/> |

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|--|------------------|------------|-------------------|---------------------|-------------------------------------|
| | [ST] FILING STATUS: New DESCRIPTION: short cover | | | | \$50,000 | |
| | Apollo Endosurgery, Inc. (APEN) [ST] FILING STATUS: New | P | 10/02/2020 | 11/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Apollo Endosurgery, Inc. (APEN) [ST] FILING STATUS: New | S | 07/25/2020 | 08/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | BioLife Solutions, Inc. (BLFS) [ST] FILING STATUS: New | P | 07/07/2020 | 08/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | BioLife Solutions, Inc. (BLFS) [ST] FILING STATUS: New | P | 06/17/2020 | 07/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | BlackLine, Inc. (BL) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 01/11/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | BlackLine, Inc. (BL) [ST] FILING STATUS: New | P | 07/04/2019 | 08/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | C3.ai, Inc. Class A (AI) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 01/26/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | CareDx, Inc. (CDNA) [ST] FILING STATUS: New | S | 06/17/2019 | 07/01/2019 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | CareDx, Inc. (CDNA) [ST] FILING STATUS: New | S | 06/19/2019 | 07/01/2019 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | CareDx, Inc. (CDNA) [ST] FILING STATUS: New | S | 03/11/2019 | 04/01/2019 | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| | CareDx, Inc. (CDNA) [ST] | P | 04/01/2019 | 05/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|---|------------------|------------|-------------------|---------------------|--------------------------|
| | FILING STATUS: New | | | | | |
| | Castlight Health, Inc. Class B (CSLT) [ST] | P | 01/15/2019 | 02/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Castlight Health, Inc. Class B (CSLT) [ST] | P | 11/12/2020 | 12/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Castlight Health, Inc. Class B (CSLT) [ST] | S | 11/27/2019 | 12/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Castlight Health, Inc. Class B (CSLT) [ST] | P | 10/16/2019 | 11/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Castlight Health, Inc. Class B (CSLT) [ST] | P | 10/24/2019 | 11/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Castlight Health, Inc. Class B (CSLT) [ST] | S | 07/24/2020 | 08/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Castlight Health, Inc. Class B (CSLT) [ST] | P | 01/13/2020 | 02/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | CC Neuberger Principal Holdings I Class A Ordinary Shares (PCPL) [ST] | P | 10/16/2020 | 11/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | CC Neuberger Principal Holdings I Class A Ordinary Shares (PCPL) [ST] | P | 01/14/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Celcuity Inc. (CELC) [ST] | P | 06/18/2020 | 07/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | ChemBio Diagnostics, Inc. (CEMI) [ST] | S | 03/19/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|--|------------------|------------|-------------------|---------------------|-------------------------------------|
| | FILING STATUS: New | | | | | |
| | CM Life Sciences, Inc. - Class A (CMLF) [ST] | P | 10/13/2020 | 11/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | CM Life Sciences, Inc. - Class A (CMLF) [ST] | P | 09/04/2020 | 10/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | CNFinance Holdings Limited American Depository Shares, each representing twenty (CNF) [ST] | P | 01/05/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | CNFinance Holdings Limited American Depository Shares, each representing twenty (CNF) [ST] | P | 12/05/2020 | 01/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Colgate-Palmolive Company (CL) [ST] | P | 03/10/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: covered short | | | | | |
| | DermTech, Inc. (DMTK) [ST] | S | 01/27/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DermTech, Inc. (DMTK) [ST] | P | 01/11/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DoorDash, Inc. Class A (DASH) [ST] | P | 01/15/2021 | 02/01/2021 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: short cover | | | | | |
| | DoorDash, Inc. Class A (DASH) [ST] | S | 01/11/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: short sale | | | | | |
| | DoorDash, Inc. Class A (DASH) [ST] | S | 12/16/2020 | 12/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |

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| | DESCRIPTION: short sale | | | | | |
| | Enterprise Products Partners L.P. (EPD) [ST] | P | 01/07/2019 | 02/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Enterprise Products Partners L.P. (EPD) [ST] | P | 03/19/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Enterprise Products Partners L.P. (EPD) [ST] | P | 10/13/2020 | 11/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Enterprise Products Partners L.P. (EPD) [ST] | S | 11/17/2020 | 12/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Equinix, Inc. (EQIX) [ST] | S | 04/01/2020 | 05/01/2020 | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Equinix, Inc. (EQIX) [ST] | P | 01/30/2019 | 02/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Equinix, Inc. (EQIX) [ST] | P | 03/01/2019 | 04/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Equinix, Inc. (EQIX) [ST] | S | 02/20/2020 | 03/01/2020 | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Everbridge, Inc. (EVBG) [ST] | S | 04/18/2019 | 05/01/2019 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Everbridge, Inc. (EVBG) [ST] | S | 03/14/2019 | 05/01/2019 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Everbridge, Inc. (EVBG) [ST] | S | 06/17/2019 | 07/01/2019 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Everbridge, Inc. (EVBG) [ST] | S | 04/01/2020 | 05/01/2020 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |

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| | FILING STATUS: New | | | | | |
| | Everbridge, Inc. (EVBG) [ST] | S | 03/11/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Fastly, Inc. Class A (FSLY) [ST] | S | 11/19/2020 | 12/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: short sale | | | | | |
| | Fastly, Inc. Class A (FSLY) [ST] | S | 10/27/2020 | 11/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: short sale | | | | | |
| | Fastly, Inc. Class A (FSLY) [ST] | S | 01/25/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: short sale | | | | | |
| | Federal Realty Investment Trust (FRT) [ST] | P | 03/25/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: covered short | | | | | |
| | Ferrari N.V. Common Shares (RACE) [ST] | S | 06/03/2020 | 07/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: short sale | | | | | |
| | Ferrari N.V. Common Shares (RACE) [ST] | P | 10/20/2020 | 11/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: covered short | | | | | |
| | Five9, Inc. (FIVN) [ST] | S | 04/01/2020 | 05/01/2020 | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Five9, Inc. (FIVN) [ST] | S | 01/06/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New DESCRIPTION: short sale | | | | | |
| | Five9, Inc. (FIVN) [ST] | P | 07/18/2019 | 08/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |

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| | FILING STATUS: New | | | | | |
| | Five9, Inc. (FIVN) [ST] | P | 05/06/2019 | 06/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Flexion Therapeutics, Inc. (FLXN) [ST] | P | 07/17/2019 | 08/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Flexion Therapeutics, Inc. (FLXN) [ST] | P | 03/25/2019 | 04/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Flexion Therapeutics, Inc. (FLXN) [ST] | P | 01/31/2019 | 02/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Flexion Therapeutics, Inc. (FLXN) [ST] | S | 05/01/2020 | 06/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Flexion Therapeutics, Inc. (FLXN) [ST] | S | 04/29/2020 | 05/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | General Finance Corporation (GFN) [ST] | S | 11/13/2020 | 11/01/2020 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | General Finance Corporation (GFN) [ST] | S | 12/01/2020 | 01/01/2021 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | General Mills, Inc. (GIS) [ST] | P | 03/11/2020 | 04/01/2020 | \$50,001 - \$100,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DESCRIPTION: covered short | | | | | |
| | Heron Therapeutics, Inc. (APPAD) [ST] | S | 12/11/2020 | 01/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DESCRIPTION: short sale | | | | | |
| | Instructure, Inc. (INST) [ST] | S | 04/18/2019 | 05/01/2019 | \$15,001 - | <input checked="" type="checkbox"/> |

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|----|---|------------------|------------|-------------------|---------------------|--------------------------|
| | | | | | \$50,000 | |
| | FILING STATUS: New | | | | | |
| | iRobot Corporation (IRBT) [ST] | P | 02/01/2019 | 03/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | iRobot Corporation (IRBT) [ST] | S | 09/26/2019 | 10/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | iShares 20+ Year Treasury Bond ETF (TLT) [ST] | S | 06/01/2020 | 07/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DESCRIPTION: short sale | | | | | |
| | J.M. Smucker Company (SJM) [ST] | P | 03/20/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DESCRIPTION: covered short | | | | | |
| | Kellogg Company (K) [ST] | P | 03/03/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DESCRIPTION: covered short | | | | | |
| | Kimco Realty Corporation (KIM) [ST] | P | 03/16/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DESCRIPTION: covered short | | | | | |
| | Kimco Realty Corporation (KIM) [ST] | S | 02/07/2020 | 03/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | DESCRIPTION: short sale | | | | | |
| | Lumber Liquidators Holdings, Inc (LL) [ST] | S | 12/18/2019 | 01/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Lumber Liquidators Holdings, Inc (LL) [ST] | P | 08/07/2020 | 09/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Lumber Liquidators Holdings, Inc | S | 10/11/2019 | 11/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |

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|----|---|------------------|------------|-------------------|---------------------|--------------------------|
| | (LL) [ST] FILING STATUS: New | | | | | |
| | Lumber Liquidators Holdings, Inc (LL) [ST] FILING STATUS: New | P | 11/15/2019 | 12/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Merck & Company, Inc. Common Stock (MRK) [ST] FILING STATUS: New | S | 11/06/2020 | 12/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Meridian Bioscience Inc. (VIVO) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 11/13/2020 | 12/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Meridian Bioscience Inc. (VIVO) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 09/15/2020 | 10/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Meridian Bioscience Inc. (VIVO) [ST] FILING STATUS: New | S | 08/31/2020 | 09/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST] FILING STATUS: New | P | 06/02/2020 | 07/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST] FILING STATUS: New | P | 12/14/2020 | 01/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST] FILING STATUS: New | P | 11/17/2020 | 12/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST] FILING STATUS: New | P | 01/03/2019 | 02/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST] FILING STATUS: New | P | 07/02/2019 | 08/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |

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|----|---|------------------|------------|-------------------|---------------------|-------------------------------------|
| | New Relic, Inc. (NEWR) [ST] FILING STATUS: New | P | 02/07/2020 | 03/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | New Relic, Inc. (NEWR) [ST] FILING STATUS: New | P | 03/02/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | New Relic, Inc. (NEWR) [ST] FILING STATUS: New | P | 12/19/2019 | 01/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Onto Innovation Inc. (ONTO) [ST] FILING STATUS: New | S | 04/21/2020 | 05/01/2020 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | Onto Innovation Inc. (ONTO) [ST] FILING STATUS: New | S | 05/01/2020 | 06/01/2020 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | OraSure Technologies, Inc. (OSUR) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 10/07/2020 | 11/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | OraSure Technologies, Inc. (OSUR) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 12/09/2020 | 01/01/2021 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | OraSure Technologies, Inc. (OSUR) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 01/11/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Pacira BioSciences, Inc. (PCRX) [ST] FILING STATUS: New | P | 11/02/2020 | 12/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Pacira BioSciences, Inc. (PCRX) [ST] FILING STATUS: New | P | 05/31/2019 | 06/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Pacira BioSciences, Inc. (PCRX) [ST] FILING STATUS: New | P | 08/23/2019 | 09/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |

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| | Pacira BioSciences, Inc. (PCRX) [ST] FILING STATUS: New | P | 09/26/2019 | 10/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Pacira BioSciences, Inc. (PCRX) [ST] FILING STATUS: New | P | 01/15/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Pacira BioSciences, Inc. (PCRX) [ST] FILING STATUS: New | P | 05/30/2019 | 06/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Pan Orient Energy Corp Ordinary Shares (POEFF) [ST] FILING STATUS: New | S | 04/22/2020 | 05/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Peloton Interactive, Inc. (PTON) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 06/05/2020 | 07/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Peloton Interactive, Inc. (PTON) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 07/14/2020 | 08/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Pepsico, Inc. (PEP) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 03/03/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Planet Fitness, Inc. (PLNT) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 08/10/2020 | 09/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Planet Fitness, Inc. (PLNT) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 10/20/2020 | 11/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Post Holdings, Inc. (POST) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 03/10/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|--|------------------|------------|-------------------|----------------------|-------------------------------------|
| | Power Solutions International, Inc. (PSIX) [ST] FILING STATUS: New | P | 05/07/2020 | 06/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Power Solutions International, Inc. (PSIX) [ST] FILING STATUS: New | S | 09/24/2020 | 10/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Power Solutions International, Inc. (PSIX) [ST] FILING STATUS: New | P | 08/25/2020 | 09/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Power Solutions International, Inc. (PSIX) [ST] FILING STATUS: New | P | 05/15/2019 | 06/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Power Solutions International, Inc. (PSIX) [ST] FILING STATUS: New | P | 11/20/2020 | 12/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Power Solutions International, Inc. (PSIX) [ST] FILING STATUS: New | P | 01/02/2020 | 02/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Profound Medical Corp. - common stock (PROF) [ST] FILING STATUS: New | P | 12/20/2019 | 01/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Profound Medical Corp. - common stock (PROF) [ST] FILING STATUS: New | P | 07/21/2020 | 08/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Qumu Corporation (QUMU) [ST] FILING STATUS: New | P | 01/29/2021 | 02/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Red Hat, Inc. (RHT) [ST] FILING STATUS: New | S | 01/04/2019 | 03/01/2019 | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| | Regency Centers Corporation (REG) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 03/19/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|---|------------------|------------|-------------------|---------------------|-------------------------------------|
| | Simon Property Group, Inc. (SPG) [ST] FILING STATUS: New DESCRIPTION: covered short | P | 03/25/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Suncor Energy Inc. (SU) [ST] FILING STATUS: New | S | 03/19/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Suncor Energy Inc. (SU) [ST] FILING STATUS: New | P | 02/08/2019 | 03/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Talend S.A. - American Depositary Shares (TLND) [ST] FILING STATUS: New | S | 02/20/2019 | 03/01/2019 | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| | Talend S.A. - American Depositary Shares (TLND) [ST] FILING STATUS: New | S | 03/19/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Talend S.A. - American Depositary Shares (TLND) [ST] FILING STATUS: New | S | 03/18/2020 | 04/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Tapestry, Inc. (TPR) [ST] FILING STATUS: New DESCRIPTION: short cover | P | 02/27/2020 | 03/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Taubman Centers, Inc. (TCO) [ST] FILING STATUS: New DESCRIPTION: short cover | P | 02/07/2020 | 03/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Teradata Corporation (TDC) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 06/24/2020 | 07/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Teradata Corporation (TDC) [ST] FILING STATUS: New DESCRIPTION: short sale | S | 07/17/2020 | 08/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Teradata Corporation (TDC) [ST] | S | 10/20/2020 | 11/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|---|------------------|------------|-------------------|---------------------|--------------------------|
| | FILING STATUS: New DESCRIPTION: short sale | | | | | |
| | TFF Pharmaceuticals, Inc. (TFFP) [ST] FILING STATUS: New | P | 06/01/2020 | 07/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | WPX Energy, Inc. (WPX) [ST] FILING STATUS: New | P | 07/31/2020 | 08/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | WPX Energy, Inc. (WPX) [ST] FILING STATUS: New | S | 09/30/2020 | 10/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 09/09/2020 | 10/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 10/06/2020 | 11/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 05/14/2019 | 06/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 05/31/2019 | 06/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 02/15/2019 | 03/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 03/21/2019 | 04/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 11/13/2019 | 12/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] FILING STATUS: New | P | 12/05/2020 | 01/01/2021 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Yext, Inc. (YEXT) [ST] | S | 12/17/2019 | 01/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|--------------------------------|------------------|------------|-------------------|---------------------|--------------------------|
| | FILING STATUS: New | | | | | |
| | Zuora, Inc. Class A (ZUO) [ST] | S | 12/17/2019 | 01/01/2020 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Zuora, Inc. Class A (ZUO) [ST] | P | 11/14/2019 | 12/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Zuora, Inc. Class A (ZUO) [ST] | P | 03/26/2019 | 04/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Zuora, Inc. Class A (ZUO) [ST] | P | 06/14/2019 | 07/01/2019 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Zuora, Inc. Class A (ZUO) [ST] | S | 07/29/2019 | 08/01/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |
| | Zuora, Inc. Class A (ZUO) [ST] | S | 03/18/2020 | 04/01/2020 | \$15,001 - \$50,000 | <input type="checkbox"/> |
| | FILING STATUS: New | | | | | |

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

INITIAL PUBLIC OFFERINGS

Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Periodic Transaction Report are true, complete, and correct to the best of my knowledge and belief. Further, I CERTIFY that I have disclosed all transactions as required by the STOCK Act.

Digitally Signed: Hon. Tom Malinowski , 03/05/2021