

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Azar, Alex M

Secretary, Department of Health & Human Services

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Azar, Alex M [electronically signed on 05/02/2019 by Azar, Alex M in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Fischmann, Elizabeth, Certifying Official [electronically signed on 05/28/2019 by Fischmann, Elizabeth in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 05/06/2019 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/05/2019 by Granahan, Megan in Integrity.gov]

Data Revised 06/05/2019

Data Revised 05/06/2019

Comments of Reviewing Officials (public annotations):

| PART | # | REFERENCE | COMMENT |
|-------------|----------|------------------|---|
| N/A | N/A | General | (05/06/2019, Hall, Randall): Initial Review 5/3/2019. RJH |

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|-------------------------------|-------------|-----------------------|-------------------|----------------------------|---------|---------|
| 1 | American Council on Germany | | New York, New York | Non-Profit | Member, Board of Directors | 12/2010 | 1/2018 |
| 2 | Indianapolis Symphony Society | | Indianapolis, Indiana | Non-Profit | Member, Board of Directors | 11/2008 | 1/2018 |
| 3 | Seraphim Strategies, LLC | See Endnote | Indianapolis, Indiana | LLC | Chairman and Founder | 1/2017 | Present |
| 4 | Alex M. Azar II Trust | See Endnote | Indianapolis, Indiana | Trust | Trustee | 1/2009 | Present |

2. Filer's Employment Assets & Income and Retirement Accounts

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-------------|-----|-----------------------|-------------|---------------------------|
| 1 | IRA Roth | | No | | | |
| 1.1 | IShares Core S&P 500 ETF (IVV) | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 1.2 | IShares Core S&P Mid-Cap ETF (IJH) | | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.3 | American Funds Growth Fund of Amer F-1 (GFAFX) | | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 1.4 | Columbia Contrarian Core (SMGIX) | See Endnote | Yes | \$100,001 - \$250,000 | | \$1,001 - \$2,500 |
| 1.5 | Columbia Acorn Z (ACRNX) | | Yes | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-------------|-----|-----------------------------|-----------------------|---------------------------|
| 1.6 | Keeley Small Cap Value A (KSCVX) | | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 1.7 | Dodge & Cox International Stock (DODFX) | | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 1.8 | Goldman Sachs Strategic Income Instl (GSZIX) | | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 1.9 | Cash Account | | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2 | IRA Rollover | | No | | | |
| 2.1 | iShares Core S&P Mid-Cap ETF (IJH) | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 2.2 | iShares Core S&P Small-Cap ETF (IJR) | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 2.3 | iShares S&P 500 Value (IVE) | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.4 | Cash Account | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3 | Seraphim Strategies, LLC | See Endnote | N/A | | Business Distribution | \$3,976 |
| 4 | Eli Lilly and Company Defined Benefit Plan (Nonqualified) | | N/A | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 5 | Eli Lilly and Company Defined Benefit Plan (Qualified) (value not readily ascertainable); eligible for benefits at ages 55 and 65; estimated benefit for age 55 with 75% annuity for spouse is \$64,577/year | See Endnote | N/A | | | None (or less than \$201) |
| 6 | HMS Holdings Inc. Deferred Compensation Plan | | No | | | |
| 6.1 | HMS Holdings, Inc., stock options (vested) (7057 options) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT | |
|-----|---|-------------|-------|-----------------------------|---------------|-------------------------|
| 6.2 | HMS Holdings, Inc. restricted stock units (vested) (10,291 units) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000 |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|--------------------------------|-----------------------|--|---------|
| 1 | HMS Holdings, Inc. | Irving, Texas | I divested all of my HMS Holdings, Inc. vested stock options and restricted stock units by exercising them. I divested all of the resulting stock. I forfeited any stock options and restricted stock units that were unvested at the time of my resignation. | 10/2016 |
| 2 | Eli Lilly and Company | Indianapolis, Indiana | I retain the Eli Lilly and Company defined benefit plan, which has both qualified and unqualified components. The organization does not make any further contributions to my account. The distributions are set and defined. I am eligible to start receiving such payments at ages 55 and 65. | 6/2007 |
| 3 | Seraphim Strategies, LLC | Indianapolis, Indiana | This LLC is dormant and inactive during the period of my appointment. Any outstanding fees were received prior to my entering Government service. | 1/2017 |
| 4 | Eli Lilly and Company | Indianapolis, Indiana | I received, as a former employee of Lilly, Departing Executive Outplacement services which expired in February 2018. Since my appointment in January 2018, I did not accept this service. | 1/2017 |
| 5 | Indianapolis Airport Authority | Indianapolis, Indiana | As a former member of the Board of Directors of the Indianapolis Airport Authority, I have two parking passes for the Indianapolis Airport. | 12/2012 |

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

(N/A) - Not required for this type of report

5. Spouse's Employment Assets & Income and Retirement Accounts

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|-----------------------|-------------|---------------------------|
| 1 | IRA ROTH | No | | | |
| 1.1 | iShares Core S&P 500 ETF (IVV) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 1.2 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.3 | American Funds Growth Fund of Amer F-1 (GFAFX) | Yes | \$100,001 - \$250,000 | | \$15,001 - \$50,000 |
| 1.4 | Cash Account | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--------------------------------------|-----|-------------------------|-------------|--------------------|
| 1 | Brokerage Account #1 | No | | | |
| 1.1 | Schwab Municipal Money Fund (SWTXX) | Yes | \$250,001 - \$500,000 | | \$2,501 - \$5,000 |
| 1.2 | iShares Core S&P 500 ETF (IVV) | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 1.3 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 1.4 | iShares Core S&P Small-Cap ETF (IJR) | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 1.5 | iShares S&P 500 Value (IVE) | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 1.6 | iShares Core MSCI EAFE (IEFA) | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 1.7 | iShares Core MSCI Pacific (IPAC) | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 1.8 | iShares Currency Hedged MSCI EAFE (HEFA) | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 1.9 | Vanguard FTSE Emerging Markets ETF (VWO) | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 1.10 | Loomis Sayles Bond Retail (LSBRX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.11 | iShares S&P 500 Growth (IVW) | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 1.12 | Cash Account | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 1.13 | Schwab Municipal Money Fund (SWXXX) | Yes | None (or less than \$1,001) | | \$1,001 - \$2,500 |
| 2 | CHET 529 Plan #1 (FBO DC #1) | No | | | |
| 2.1 | Moderate Managed Allocation 18 & Over | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 3 | CHET 529 Plan #2 (FBO DC #2) | No | | | |
| 3.1 | Moderate Managed Allocation 15 | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 4 | IN College Choice 529 Plan #1 (FBO DC #1) | No | | | |
| 4.1 | College Portfolio | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 5 | IN College Choice 529 Plan #2 (FBO DC #2) | No | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 5.1 | 2021 Enrollment Portfolio | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 6 | Brokerage Account #2 | No | | | |
| 6.1 | American Mun Pwr Ohio Inc Rev (CUSIP: 02765UHH0) | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 6.2 | American Mun Pwr Ohio Inc Rev Energy Re (CUSIP: 02765UBB9) | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 6.3 | Bloomington Ind Redev Dist Tax (CUSIP: 094717BH7) | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 6.4 | Chicago Ill Brd Ed (CUSIP: 1675016D2) | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 6.5 | Concord Ind Cmnty Schs Bldg Co (CUSIP: 206256PV5) | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 6.6 | Delaware Mun Elec Corp Elec Re (CUSIP: 246154BU1) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.7 | Dover Del Elec Rev (CUSIP: 260039JC7) | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |
| 6.8 | Evansville Ind Loc Pub Impt Bd (CUSIP: 299348BV3) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.9 | Greater Clark Cnty Sch Bldg Co (CUSIP: 391673EG1) | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |
| 6.10 | Gulf Shores Ala Pub Edl Bldg A (CUSIP: 40252NAW0) | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 6.11 | Harris Cnty Tex Cultural Ed Fa (CUSIP: 414008BJ0) | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 6.12 | Humble Tex Indpt Sch Dist Sch Bldg (CUSIP: 4450425Q3) | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 6.13 | Illinois St Toll Hwy Auth Toll (CUSIP: 452252JV2) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------------|-------------|--------------------|
| 6.14 | Illinois St Toll Hwy Auth Toll (CUSIP: 452252KS7) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.15 | Indiana Fin Auth Hosp Rev (CUSIP: 45471AKA9) | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |
| 6.16 | Indiana Fin Auth Hosp Rev (CUSIP: 45471ANW8) | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 6.17 | Indiana Health Fac Fing Auth R (CUSIP: 454798TA7) | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 6.18 | Indiana St Fin Auth Rev (CUSIP: 45506DUL7) | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |
| 6.19 | Indiana St Fin Auth Rev (CUSIP: 455057F87) | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 6.20 | Indiana St Fin Auth Wastewater (CUSIP: 45505MAT3) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.21 | Indiana St Fin Auth Wastewater (CUSIP: 45505MBJ4) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.22 | Indiana St Fin Auth Wastewater (CUSIP: 45505MFD3) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.23 | Indianapolis Ind Loc Pub Impt (CUSIP: 45528UAT8) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.24 | Indianapolis Ind Loc Pub Impt (CUSIP: 45528UAV3) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.25 | Indianapolis Ind Loc Pub Impt (CUSIP: 45528UFU0) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.26 | Jackson Cnty Miss Util Auth Wt (CUSIP: 467319AV1) | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 6.27 | Lake Central Ind Multi-Dist Sc (CUSIP: 507686PP2) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-------------|--------------------|
| 6.28 | Laredo Tex Wtrwks Swr Sys Rev Rev Bds (CUSIP: 517039FZ1) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.29 | Las Vegas Valley Nev Wtr Dist (CUSIP: 5178405T7) | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 6.30 | Lee Cnty Fla Tourist Dev Tax R (CUSIP: 523520CK8) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.31 | Lower Colo Riv Auth Tex Rev (CUSIP: 54811GLU2) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.32 | Lower Colo Riv Auth Tex Transm (CUSIP: 54811BPX3) | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 6.33 | Maine Mun Bd Bk (CUSIP: 560459M97) | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |
| 6.34 | Metropolitan Govt Nashville & (CUSIP: 592090FH2) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.35 | Miami-Dade Cnty Fla Wtr & Swr (CUSIP: 59334DGU2) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.36 | Mt Vernon Ind Sch Bldg Corp (CUSIP: 623495BP2) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.37 | N Tx Twy Auth (CUSIP: 66285WPS9) | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 6.38 | N Tx Twy Auth (CUSIP: 66285WSW7) | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 6.39 | Noblesville Ind Redev Auth Eco (CUSIP: 65516QFW7) | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |
| 6.40 | Olmsted Falls Ohio City Sch Di (CUSIP: 681233DU3) | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 6.41 | Orlando & Orange Cnty Expwy Au (CUSIP: 686543UB3) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-------------|-----------------------------|-----------------------------|--------------------|
| 6.42 | Pennsylvania St Tpk Commn Tpk (CUSIP: 709223ZQ7) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.43 | Pennsylvania St Tpk Commn Tpk (CUSIP: 709224HN2) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.44 | Port Tacoma Wash (CUSIP: 735422LD7) | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 6.45 | Regional Transn Dist Colo Ctfs (CUSIP: 75913THV9) | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 6.46 | Riverside Ohio Loc Sch Dist (CUSIP: 769229BJ3) | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 6.47 | Rock Hill S C Util Sys Rev (CUSIP: 772249QC5) | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 6.48 | Sandusky Ohio City Sch Dist (CUSIP: 800205EP7) | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 6.49 | South Carolina St Pub Svcs Aut (CUSIP: 837151HW2) | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 6.50 | South Montgomery In (CUSIP: 84455RCC6) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.51 | Washington St Higher Ed Facs A (CUSIP: 939781Q60) | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 6.52 | Winton Woods City Sch Dist Ohi (CUSIP: 97650ECE6) | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 6.53 | Wppi Energy Wis Pwr Supply Sys (CUSIP: 92937NAQ7) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.54 | Wells Fargo Ult S/T Mun Inc A (SMAVX) | See Endnote | Yes | None (or less than \$1,001) | \$201 - \$1,000 |
| 6.55 | Washington St Higher Ed Facs A (CUSIP: 939781Q60) | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 6.56 | U.S. brokerage account (Cash) | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 6.57 | Atlanta, GA Water & Waste Rev Ref Bond (CUSIP: 047870NE6) | N/A | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 6.58 | El Paso, Texas (CUSIP: 283734F71) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 6.59 | Indiana Muni Power Agy Power Supply Rev Bond (CUSIP: 454898TX5) | N/A | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 6.60 | Indiana Fin Auth Edu Fac Rev Bond (CUSIP: 45506DJ71) | N/A | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 6.61 | Indiana Fin Auth Edu Fac Rev Bonds (CUSIP: 45506DT62) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 6.62 | Morgan Stanley Tax-Free Daily Income (DFRXX) | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 6.63 | Navasota TX School Dist Bldg Bond (CUSIP: 639319NF5) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 6.64 | New Braunfels, TX Utility Rev Bonds (CUSIP: 642577UU2) | N/A | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 6.65 | Upper St Clair Twp PA Sch Dist (CUSIP: 916507RA6) | N/A | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 6.66 | Ut St Tran Auth (CUSIP: 917567CP2) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.67 | Ut St Tran Auth (CUSIP: 917567CN7) | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 6.68 | Warsaw Ind Multi-Sch Bldg Corp (CUSIP: 93638RCK9) | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 6.69 | Morgan Stanley Bank Deposit money market | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-------------|-----|-----------------------------|--|---------------------------|
| 6.70 | Morgan Stanley money market | | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 7 | NBC Investors, LLC | | No | | | |
| 7.1 | NBC Industrial, LLC | | No | | | |
| 7.1.1 | Commercial Real Estate #1, Indianapolis Indiana | See Endnote | N/A | None (or less than \$1,001) | Rent or Royalties Capital Gains Interest | \$100,001 - \$1,000,000 |
| 8 | SQN Venture Income Fund, LP | See Endnote | N/A | None (or less than \$1,001) | business distribution | \$11,342 |
| 9 | Health Savings Account | | No | | | |
| 9.1 | U.S. bank account (Cash Account) | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.2 | PIMCO Investment Grade Corp BD | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 9.3 | Vanguard Total Stock Market Instl | | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 10 | Irrevocable Life Insurance Trust | See Endnote | No | | | |
| 10.1 | Northwestern Mutual Estate Complife Policy #1 (whole life and term hybrid product) | | N/A | \$50,001 - \$100,000 | Dividends | \$2,501 - \$5,000 |
| 10.2 | Northwestern Mutual Estate Complife #2 (whole life and term hybrid product) | | N/A | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 |
| 10.3 | Northwestern Mutual Life Insurance Adjustable Complife (whole life and term hybrid product) | | N/A | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 |
| 11 | SD College Choice Savings (FBO DC #1) | | No | | | |
| 11.1 | Age-Based 9 (Ages 17 and Over) Class A | | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-------------|-----------------------|-----------------------|---------------------------|
| 12 | US bank account #3 - Premier Now Account (cash) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 13 | Irrevocable Trust | See Endnote | No | | |
| 13.1 | ML Bank Deposit Program | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 13.2 | Residential Property, Salisbury, Maryland | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 13.3 | Undeveloped Land, Salisbury, Maryland | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 14 | Receivable from L. Kramer | See Endnote | N/A | \$50,001 - \$100,000 | None (or less than \$201) |
| 15 | Receivable from L. and D. Nestor | See Endnote | N/A | \$100,001 - \$250,000 | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT | |
|---|--|-------------|------------|-----------------------|-----------------------|
| 1 | New Braunfels, TX Utility Rev Bonds (CUSIP: 642577UU2) | Purchase | 03/27/2018 | \$100,001 - \$250,000 | |
| 2 | Indiana Fin Auth Hosp Rev (CUSIP: 45471AKA9) | Sale | 02/07/2018 | \$100,001 - \$250,000 | |
| 3 | Indiana Fin Auth Hosp Rev (CUSIP: 45471ANW8) | Sale | 02/07/2018 | \$50,001 - \$100,000 | |
| 4 | Harris Cnty Tex Cultural Ed Fa (CUSIP: 414008BJ0) | Sale | 02/07/2018 | \$50,001 - \$100,000 | |
| 5 | SQN Venture Income Fund, LP | See Endnote | Sale | 1/26/2018 | \$250,001 - \$500,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|------------|-----------------------|
| 6 | Indiana Health Fac Fing Auth R (CUSIP: 454798TA7) | | Sale | 02/07/2018 | \$50,001 - \$100,000 |
| 7 | Indiana St Fin Auth Rev (CUSIP: 455057F87) | | Sale | 02/07/2018 | \$15,001 - \$50,000 |
| 8 | Indiana St Fin Auth Rev (CUSIP: 45506DUL7) | | Sale | 02/07/2018 | \$100,001 - \$250,000 |
| 9 | Navasota TX School Dist Bldg Bond (CUSIP 639319NF5) | | Purchase | 03/08/2018 | \$100,001 - \$250,000 |
| 10 | Indiana Muni Power Agy Power Supply Rev Bond (CUSIP: 454898TX5) | | Purchase | 03/01/2018 | \$100,001 - \$250,000 |
| 11 | Indiana Fin Auth Edu Fac Rev Bond (CUSIP: 45506DJ71) | | Purchase | 03/01/2018 | \$100,001 - \$250,000 |
| 12 | NBC Investors, LLC | See Endnote | Sale | 08/07/18 | \$250,001 - \$500,000 |
| 13 | Upper St Clair Twp PA Sch Dist (CUSIP: 916507RA6) | | Purchase | 08/22/18 | \$100,001 - \$250,000 |
| 14 | Indiana Fin Auth Edu Fac Rev Bonds (CUSIP: 45506DT62) | | Purchase | 12/13/2018 | \$50,001 - \$100,000 |
| 15 | El Paso, Texas (CUSIP: 283734F71) | | Purchase | 09/11/2018 | \$50,001 - \$100,000 |
| 16 | Atlanta, GA Water & Waste Rev Ref Bond (CUSIP: 047870NE6) | | Purchase | 10/01/2018 | \$100,001 - \$250,000 |
| 17 | iShares Core S&P 500 ETF (IVV) | | Purchase | 08/22/2018 | \$1,001 - \$15,000 |
| 18 | iShares Core S&P 500 ETF (IVV) | | Purchase | 08/22/2018 | \$1,001 - \$15,000 |
| 19 | iShares Currency Hedged MSCI EAFE (HEFA) | | Purchase | 01/05/2018 | \$1,001 - \$15,000 |
| 20 | IN 529 #2 - US Equity Index Portfolio | | Sale | 08/14/2018 | \$1,001 - \$15,000 |
| 21 | IN 529 #2 - US Equity Index Portfolio | | Purchase | 08/22/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|-----------------------|
| 22 | IN 529 #2 - US Equity Index Portfolio | Sale | 08/24/2018 | \$250,001 - \$500,000 |
| 23 | IN 529 #2 - 2021 Enrollment Portfolio | Purchase | 08/24/2018 | \$250,001 - \$500,000 |
| 24 | IN 529 #1 - US Equity Index Portfolio | Sale | 08/24/2018 | \$15,001 - \$50,000 |
| 25 | IN 529 #1 - College Portfolio | Purchase | 08/24/2018 | \$15,001 - \$50,000 |
| 26 | CHET #2 - High Equity Balanced Option (1955) | Sale | 08/24/2018 | \$100,001 - \$250,000 |
| 27 | CHET #2 - Moderate Managed Allocation 15 (2476) | Purchase | 08/24/2018 | \$100,001 - \$250,000 |
| 28 | CHET #1 - Moderate Managed Allocation 17 (2478) | Sale | 03/20/2018 | \$250,001 - \$500,000 |
| 29 | CHET #1 - Moderate Managed Allocation 18 & over (2479) | Purchase | 03/20/2018 | \$250,001 - \$500,000 |
| 30 | CHET #1 - Moderate Managed Allocation 18 & over (2479) | Sale | 08/21/2018 | \$15,001 - \$50,000 |
| 31 | CHET #1 - Moderate Managed Allocation 18 & over (2479) | Sale | 11/27/2018 | \$15,001 - \$50,000 |

8. Liabilities

| # | CREDITOR NAME | | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|--------------------|-------------|--------------------------------|---------------------------|---------------|----------------------|------------|
| 1 | Elements Financial | See Endnote | Mortgage on Personal Residence | \$500,001 - \$1,000,000 | 2009 | prime + 1 | 300 months |
| 2 | Morgan Stanley | See Endnote | Exercised Line of Credit | \$1,000,001 - \$5,000,000 | 2018 | 30 day LIBOR + 2.50% | revolving |

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|---------------|--------------------------------|---------------------------|---------------|-------|----------|
| 3 | CIBC Bank | Mortgage on Personal Residence | \$1,000,001 - \$5,000,000 | 2018 | 3.875 | 30 years |

9. Gifts and Travel Reimbursements

| # | SOURCE NAME | CITY, STATE | BRIEF DESCRIPTION | VALUE |
|---|------------------------|----------------------------------|---|-------|
| 1 | Ford's Theatre Society | Washington, District of Columbia | Performance of A Christmas Carol and reception. | \$600 |

Endnotes

| PART | # | ENDNOTE |
|------|-------|--|
| 1. | 3 | Pursuant to my Ethics Agreement, this entity has been dormant and inactive since January 2018. |
| 1. | 4 | This trust has not been funded and holds no assets. |
| 2. | 1.4 | Symbol changed but name remained the same |
| 2. | 3 | The LLC functions as a vehicle to perform consulting work and receive payment for speaking engagements. The LLC has been dormant and inactive since my appointment. Business distribution received in January 2018 to close LLC checking account, leaving no remaining accounts. |
| 2. | 5 | Yearly disbursement is a good faith estimate based on assumption of retirement at age 55 with annuity after death for my spouse. |
| 2. | 6.1 | All options were forfeited, or exercised and then sold, prior to entering my HHS position. |
| 2. | 6.2 | All restricted stock units and stock were sold or forfeited prior to entering my HHS position. |
| 6. | 6.54 | Inadvertently reported as Wells Fargo Advantage Ult S/T Mun Inc A in Nominee Report. |
| 6. | 7.1.1 | Property no longer held |

| PART | # | ENDNOTE |
|------|----|--|
| 6. | 8 | Fully divested of asset by 1/29/18 |
| 6. | 10 | This is a life insurance trust established by the filer's father. The filer is a co-beneficiary with his sister; reported values and income represent his 50% interest. |
| 6. | 13 | This trust was established by the filer's step-mother. It had not gone through probate at the time of the filer's Nominee Report. The trust is for the filer's father's benefit during his lifetime, filer is one of four equal residual beneficiaries; reported values and income represent his 25% interest. |
| 6. | 14 | Horse sale #1; remaining balance due. Received 5/2/19. |
| 6. | 15 | Horse sale #2; exclusive option to buy. |
| 7. | 5 | Sale included the underlying assets. |
| 7. | 12 | Sale included the underlying assets - NBC Industrials, LLC and Commercial Real Estate #1, Indianapolis, Indiana |
| 8. | 1 | paid in full July 2018. |
| 8. | 2 | paid off in full October 1, 2018. |

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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