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

Filer's Information

Panchanathan, Sethuraman

Director, National Science Foundation, National Science Foundation

Other Federal Government Positions Held During the Preceding 12 Months:

Member of National Science Board, NSF (8/2014 - Present)

Member, Advanced Technology Advisory Board, NIST (1/2018 - Present)

Names of Congressional Committees Considering Nomination:

- **Committee on Health, Education, Labor, and Pensions**

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/ Panchanathan, Sethuraman [electronically signed on 09/13/2019 by Panchanathan, Sethuraman 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/ Santoro, Karen, Certifying Official [electronically signed on 01/10/2020 by Santoro, Karen in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 01/13/2020 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Arizona State University - ASU Knowledge Enterprise		Tempe, Arizona	University/College	Executive Vice President and Chief Research and Innovation Officer	1/2016	Present
2	ASU, Computing and Informatics		Tempe, Arizona	University/College	Foundation Chair Professor	1/2009	Present
3	ASU, Center for Cognitive Ubiquitous Computing		Tempe, Arizona	University/College	Founding Director	1/2001	Present
4	ASU, School of Computing, Informatics, and Decision Systems Engineering		Tempe, Arizona	University/College	Professor (tenured)	1/1997	Present
5	RehabDev LLC, (ASU start-up)	See Endnote	Tempe, Arizona	start-up company	Co-Founder	1/2014	12/2018
6	National Academy of Inventors		Tampa, Florida	Non-Profit	Vice President of Membership and Strategic Initiatives	1/2017	Present
7	Association of Public and Land-Grant Universities (APLU)		Washington, District of Columbia	Non-Profit	Chair, Council on Research	1/2016	12/2018
8	Oak Ridge Associated Universities		Oak Ridge, Tennessee	Non-Profit	Board of Directors	1/2017	Present
9	ASU Enterprise Partners, ASU Research Enterprise (ASURE)		Tempe, Arizona	Non-Profit	ASURE Board Member	1/2014	Present
10	ASU Enterprise Partners, SkySong Innovations		Tempe, Arizona	Non-Profit	Board Member	1/2010	Present
11	ASU Research Park		Tempe, Arizona	Non-Profit	Board Member	1/2001	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	APLU National Task Force on Managing University Intellectual Property	Washington, District of Columbia	Non-Profit	Co-Chair	1/2016	12/2018
13	Arizona Secretary of State; Technology, Transparency and Commerce Council	Phoenix, Arizona	State Government	Council Member	1/2010	12/2018
14	State of Arizona Governor	Phoenix, Arizona	State Governor	Senior Advisor to Governor for Science & Technology	1/2018	Present
15	ASU Knowledge Enterprise, Thunderbird School of Global Management	Tempe, Arizona	University/College	Member, Board of Trustees	1/2013	Present
16	ASU Foundation, Trustees Solutions Committee	Tempe, Arizona	Non-Profit	Committee Member	1/2013	Present
17	Arizona Alzheimer's Research Center	Phoenix, Arizona	Non-Profit	Board of Directors	1/2010	12/2017
18	U First Capital	Santa Clara, California	Corporation	Advisory Board Member	1/2016	Present
19	National Academy of Inventors	Tampa, Florida	Non-Profit	Member, Editorial Board	1/2014	Present
20	City of Gilbert, Arizona; Mayor's Advisory Council	Gilbert, Arizona	city government	Council Member	1/2018	Present
21	PLuS Alliance (educational alliance between ASU, UNSW (Sydney), and King's College London)	Tempe, Arizona	educational alliance	Executive Committee Member	1/2016	Present
22	Panchanathan Revocable Living Trust #1	Tempe, Arizona	Trust	Trustee	5/2015	Present
23	Panchanathan Revocable Living Trust #2	Tempe, Arizona	Trust	Trustee	5/2015	Present
24	Panchanathan Revocable Living Trust #3	Tempe, Arizona	Trust	Trustee	5/2015	Present
25	Panchanathan Revocable Living Trust #4	Tempe, Arizona	Trust	Trustee	5/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rollover IRA	No			
1.1	First Eagle Global I (SGIIX)	Yes	$15,001 - $50,000		None (or less than $201)
1.2	Fidelity Government Cash Reserves (FDRXX)	Yes	$1,001 - $15,000		None (or less than $201)
2	Arizona State 403(b)	No			
2.1	T Rowe Price Retirement I 2025 (TRPHX)	Yes	$500,001 - $1,000,000		None (or less than $201)
3	Arizona State 415(M) Deferred Compensation Plan	No			
3.1	Fidelity Contrafund K6 (FLCNX)	Yes	$100,001 - $250,000		None (or less than $201)
3.2	Goldman Sachs Small Cap Value R6 (GSSUX)	Yes	$100,001 - $250,000		None (or less than $201)
3.3	Metropolitan West Total Return Bond Plan (MWTSX)	Yes	$50,001 - $100,000		None (or less than $201)
3.4	T Rowe Price Retirement I 2025 (TRPHX)	Yes	$100,001 - $250,000		None (or less than $201)
4	Arizona State 401(a) #1	No			
4.1	Fidelity Contrafund K6 (FLCNX)	Yes	$500,001 - $1,000,000		None (or less than $201)
4.2	Fidelity Diversified International K6 Fund (FKIDX)	Yes	$100,001 - $250,000		None (or less than $201)
4.3	T Rowe Price Retirement I 2025 (TRPHX)	Yes	$250,001 - $500,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	MFS Value Fund R6 (MEIKX)	Yes	$500,001 - $1,000,000		None (or less than $201)
5	Arizona State 401(a) #2	No			
5.1	Fidelity Contrafund K6 (FLCNX)	Yes	$15,001 - $50,000		None (or less than $201)
5.2	T Rowe Price Retirement I 2025 (TRPHX)	Yes	$50,001 - $100,000		None (or less than $201)
5.3	Metropolitan West Total Return Bond Plan (MWTSX)	Yes	$15,001 - $50,000		None (or less than $201)
5.4	Goldman Sachs Small Cap Value R6 (GSSUX)	Yes	$15,001 - $50,000		None (or less than $201)
6	Arizona State Compensation (salary and bonuses)	N/A		Salary and Bonus	$1,400,486
7	Oklahoma State University Distinguished Lecture - 4/4/18	N/A		Honorarium	$500
8	Fordham University Distinguished Lecture - 3/29/19	N/A		Honorarium	$1,500
9	Patents				
9.1	Reconfigurable Processing - Issued: 10/2/2012 Patent #: US 8,281,297 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than $201)
9.2	Face Classification Using Curvature–Based Multi– Scale Morphology - Issued: 10/17/2006 Patent #: US 7,123,783 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than $201)
9.3	Systems and methods for tracking objects in video sequences - Issued: 05/31/2005 Patent #: US 6,901,110 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.4	Coherent Evanescent Wave Imaging - Issued: 12/27/2005 Patent #: US 6,980,716 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Arizona State University	Tempe, Arizona	I will continue to participate in the ASU defined contribution plans (403(b)/401(a)) and deferred compensation plan (415(M)). ASU will not contribute to these plans during my academic leave of absence	8/1997
2	Arizona State University	Tempe, Arizona	I will take an academic unpaid leave of absence (LOA) from my tenured professor position at ASU. ASU's LOA policy allows for the continuation of medical, dental, and vision insurance coverage.	10/2019

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Arizona State University	Tempe, Arizona	Executive Vice President and Chief Research Innovation Officer

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rollover IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	First Eagle Global I (SGIIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.2	Redwood-Kairos Real Estate Value Fund VI, LP	Yes	$50,001 - $100,000		None (or less than $201)
1.3	iBorrow Finance Loan Fund I, LP	Yes	$100,001 - $250,000		None (or less than $201)
1.4	Fidelity Government Cash Reserves (FDRXX)	Yes	$1,001 - $15,000		None (or less than $201)
2	MD Rollover IRA	No			
2.1	Altria Group Inc	N/A	$1,001 - $15,000		None (or less than $201)
2.2	Ares Capital Corp	N/A	$1,001 - $15,000		None (or less than $201)
2.3	AT&T	N/A	$1,001 - $15,000		None (or less than $201)
2.4	Chevron	N/A	$1,001 - $15,000		None (or less than $201)
2.5	Cisco Systems	N/A	$1,001 - $15,000		None (or less than $201)
2.6	Coca Cola	N/A	$1,001 - $15,000		None (or less than $201)
2.7	Crown Castle	N/A	$1,001 - $15,000		None (or less than $201)
2.8	Darden Restaurants	N/A	$1,001 - $15,000		None (or less than $201)
2.9	Digital Realty	N/A	$1,001 - $15,000		None (or less than $201)
2.10	Duke Energy	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	Emerson Electric	N/A	$1,001 - $15,000		None (or less than $201)
2.12	Exxon Mobil	N/A	$1,001 - $15,000		None (or less than $201)
2.13	Arthur J Gallagher & Co	N/A	$1,001 - $15,000		None (or less than $201)
2.14	General Mills	N/A	$1,001 - $15,000		None (or less than $201)
2.15	Hewlett-Packard	N/A	$1,001 - $15,000		None (or less than $201)
2.16	Johnson & Johnson	N/A	$1,001 - $15,000		None (or less than $201)
2.17	Kimberly Clark Group	N/A	$1,001 - $15,000		None (or less than $201)
2.18	Lockheed Martin	N/A	$1,001 - $15,000		None (or less than $201)
2.19	McDonalds	N/A	$1,001 - $15,000		None (or less than $201)
2.20	Merck	N/A	$1,001 - $15,000		None (or less than $201)
2.21	Paychex Inc	N/A	$1,001 - $15,000		None (or less than $201)
2.22	Pfizer Incorporated	N/A	$1,001 - $15,000		None (or less than $201)
2.23	Philip Morris International Inc	N/A	$1,001 - $15,000		None (or less than $201)
2.24	Procter & Gamble	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.25	Six Flags Entertainment Corp	N/A	$1,001 - $15,000		None (or less than $201)
2.26	Southern Company	N/A	$1,001 - $15,000		None (or less than $201)
2.27	Target	N/A	$1,001 - $15,000		None (or less than $201)
2.28	Verizon Communications	N/A	$1,001 - $15,000		None (or less than $201)
2.29	Waste Management Inc Del	N/A	$1,001 - $15,000		None (or less than $201)
2.30	WP Carey	N/A	$1,001 - $15,000		None (or less than $201)
2.31	Gilead Sciences Inc	N/A	$1,001 - $15,000		None (or less than $201)
2.32	Enbridge Inc	N/A	$1,001 - $15,000		None (or less than $201)
2.33	Royal Dutch Shell PLC	N/A	$1,001 - $15,000		None (or less than $201)
2.34	Fidelity Government Cash Reserves (FDRXX)	Yes	$15,001 - $50,000		None (or less than $201)
3	District Medical Group 401k	No			
3.1	DMG Balanced Fund-of-Funds	Yes	$250,001 - $500,000		None (or less than $201)
4	District Medical Group Salary	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity Personal Retirement Annuity (FPRA) - Variable	No			
1.1	Fidelity VIP Fundsmanager 70 (FMPCC)	Yes	$250,001 - $500,000		None (or less than $201)
1.2	Fidelity VIP Balanced (FJBAC)	Yes	$500,001 - $1,000,000		None (or less than $201)
2	Saratoga - Panchanathan Revocable Living Trust #1	No			
2.1	3M Company (MMM)	N/A	$1,001 - $15,000		None (or less than $201)
2.2	Alphabet Inc (GOOG)	N/A	$1,001 - $15,000		None (or less than $201)
2.3	Apple Inc (AAPL)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
2.4	Becton Dickinson & Co (BDX)	N/A	$1,001 - $15,000		None (or less than $201)
2.5	Berkshire Hathaway B (BRKB)	N/A	$1,001 - $15,000		None (or less than $201)
2.6	Biogen Idec Inc (BIIB)	N/A	$1,001 - $15,000		None (or less than $201)
2.7	CH Robinson Worldwide Inc (CHRW)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.8	Cisco Systems Inc (CSCO)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
2.9	Cognizant Tech Solutions Corp (CTSH)	N/A	$1,001 - $15,000		None (or less than $201)
2.10	Expeditors Intl of WA Inc (EXPD)	N/A	$1,001 - $15,000		None (or less than $201)
2.11	Intl Business Machines Corp (IBM)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.12	Medtronic Inc (MDT)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.13	Microsoft Corp (MSFT)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
2.14	NIKE Inc (NKE)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.15	Oracle Corp (ORCL)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.16	PepsiCo Inc (PEP)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.17	Polaris Industries Inc (PII)	N/A	$1,001 - $15,000		None (or less than $201)
2.18	Procter & Gamble (PG)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.19	Starbucks Corp (SBUX)	N/A	$1,001 - $15,000		None (or less than $201)
2.20	United Technologies Corp (UTX)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.21	Varian Medical Systems Inc (VAR)	N/A	$1,001 - $15,000		None (or less than $201)
2.22	Wal-Mart Stores (WMT)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.23	Walt Disney Co (DIS)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.24	Accenture Ltd (ACN)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.25	Novo Nordisk A/S ADR (NVO)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.26	Reckitt Benckiser Group PLC (RBGLY)	N/A	$1,001 - $15,000		None (or less than $201)
2.27	Fidelity Government Cash Reserves (FDRXX)	Yes	$100,001 - $250,000		$2,501 - $5,000
3	Investment Account	No			
3.1	Fidelity Balanced Fund (FBALX)	Yes	$100,001 - $250,000		$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	American Balanced Class F1(BALFX)	Yes	$100,001 - $250,000		$5,001 - $15,000
3.3	Janus Henderson Balanced T (JABAX)	Yes	$100,001 - $250,000		$5,001 - $15,000
4	Bank of America (cash)	N/A	$15,001 - $50,000		None (or less than $201)
5	TD Canada Trust (cash)	N/A	$1,001 - $15,000		None (or less than $201)
6	Canara Bank, India (cash)	N/A	$1,001 - $15,000		None (or less than $201)
7	Chennai, India (undeveloped land)	N/A	$100,001 - $250,000		None (or less than $201)
8	Alpine - Panchanathan Revocable Living Trust #2	No			
8.1	Berkshire Hathaway (BRKB)	N/A	$15,001 - $50,000		None (or less than $201)
8.2	Centurytel Inc (CTL)	N/A	$15,001 - $50,000	Dividends	$2,501 - $5,000
8.3	Citigroup Inc (C)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
8.4	Flow International Corp (FLOW)	N/A	$15,001 - $50,000		None (or less than $201)
8.5	General Motors Corporation (GM)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
8.6	Johnson & Johnson (JNJ)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
8.7	JP Morgan Chase & Co (JPM)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.8	Microsoft Corp (MSFT)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
8.9	Resolute Forest Products (RFP)	N/A	$1,001 - $15,000	Dividends	$1,001 - $2,500
8.10	SPX Corp (SPXC)	N/A	$1,001 - $15,000		None (or less than $201)
8.11	Danone SA (DANOY)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
8.12	Fairfax Financial Holdings Ltd (FRFHF)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
8.13	Liberty Global Inc Ser C (LBTYK)	N/A	$15,001 - $50,000		None (or less than $201)
8.14	Magna International Inc (MGA)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
8.15	Power Corporation of Canada (PWCDF)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
8.16	Vodafone Group PLC (VOD)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
8.17	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Yes	$100,001 - $250,000		$2,501 - $5,000
8.18	Fidelity Government Cash Reserves (FDRXX)	Yes	$15,001 - $50,000		$1,001 - $2,500
8.19	Schwab Money Market Fund	Yes	None (or less than $1,001)		$201 - $1,000
9	Funding - Panchanathan Revocable Living Trust #3	No			
9.1	First Eagle Global I (SGIIX)	Yes	$100,001 - $250,000		$5,001 - $15,000
9.2	Swan Defined Risk Fund I (SDRIX)	Yes	$250,001 - $500,000		$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3	Fidelity Government Cash Reserves (FDRXX)	Yes	None (or less than $1,001)		$201 - $1,000
10	Belle Haven - Panchanathan Revocable Living Trust #4	No			
10.1	Arizona Indl Dev Auth Student Hsg REV 05 06/01/2029 5.000%	N/A	$15,001 - $50,000		None (or less than $201)
10.2	Az Sch Fac Brd Cop 09/01/2023 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.3	Bismarck Nd Sd 05/01/2020 3.000%	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.4	Brazoria Cnty Tex Mun Util Dist No 18 02 09/01/2027 2.000% Call 09/01/2024 100.00	N/A	$1,001 - $15,000		None (or less than $201)
10.5	Buckeye Az Exc Tax 07/01/2026 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.6	Cinco Southwest Tex Mun Util Dist No 10 12/01/2031 3.000% Call 12/01/2025 100.00	N/A	$1,001 - $15,000		None (or less than $201)
10.7	Erie Pa City Sch Dist Go Ltd Tax Bds 05. 04/01/2030 5.000% Call 04/01/2029 100.00	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.8	Fresno Calif JT Pwrs Fing Auth Lease REV 04/01/2027 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.9	Hillsboro Cnty Fl S 10/01/2023 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.10	ILLINOIS ST TOLL HWY AUTH REV BDS 12/01/2019 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.11	Long Beach NY Pub Impt Bds Ser. 2018 03 09/15/2027 3.000% Call 09/15/2025 100.00	N/A	$1,001 - $15,000	Interest	$201 - $1,000
10.12	Manteca Ca Usd Splt 09/01/2025 5.000%	N/A	$1,001 - $15,000	Interest	$201 - $1,000
10.13	Michigan St Hsg Dev Auth Single Family 0 12/01/2029 3.600% Call 12/01/2027 100.00	N/A	$1,001 - $15,000	Interest	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.14	Mn St Hsg Fin Agy 07/01/2021 2.100%	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.15	Nevada Hsg Div Single Family Mtg 02.2000 10/01/2028 2.200%	N/A	$15,001 - $50,000		None (or less than $201)
10.16	New York NY City Hsg Dev Corp 11/01/2026 2.550%	N/A	$15,001 - $50,000		None (or less than $201)
10.17	New York State H 05/01/2022 2.350% Call 12/01/2020 100.00	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.18	NJ St Educational Fac Auth 07/01/2025 5.000%	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.19	NORTH DAKOTA ST HSG FIN AGY REV BDS CALLABLE 07/01/2028 2.700% Call 07/01/2026 100.00	N/A	$1,001 - $15,000	Interest	$1,001 - $2,500
10.20	Oxnard CA School District 08/01/2026 5.250% Call 08/01/2025 100.00	N/A	$1,001 - $15,000	Interest	$1,001 - $2,500
10.21	PIMA CNTY ARIZ STR & HWY REV BDS 07/01/2021 3.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.22	Rochester Mich Cmnty Sch Dist Go Ultd 05/01/2030 5.000% Call 05/01/2026 100.00	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.23	San Bernardino County CA 09/01/2020 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.24	San Luis Obispo County Ca Im 09/01/2024 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.25	Texas St Pub Fin Auth REV Ref Bds 05.000 11/01/2020 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.26	VERMONT MUN BD BK REV BDS CALLABLE 12/01/2028 5.000% Call 12/01/2027 100.00	N/A	$1,001 - $15,000	Interest	$201 - $1,000
10.27	Westfield Ind Hi 07/15/2027 3.250% Call 01/15/2026 100.00	N/A	$1,001 - $15,000	Interest	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.28	WI St Hlth Ed Fa 08/15/2021 5.000%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.29	Will Cnty Ill Sch Dist No 086 Joliet 04. 03/01/2023 4.500%	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
10.30	Wisconsin St Health 08/15/2054 5.000% Call 01/31/2024 100.00	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.31	Wyoming Community 12/01/2025 2.650%	N/A	$15,001 - $50,000	Interest	$201 - $1,000
10.32	Fidelity Government Cash Reserves (FDRXX)	Yes	$1,001 - $15,000		$201 - $1,000
10.33	CASA GRANDE ARIZ EXCISE TAX REV REF BDS 04/01/2022 4.500%	N/A	None (or less than $1,001)	Interest	$201 - $1,000
10.34	Des Moines Io 06/01/2019 3.000%	N/A	None (or less than $1,001)	Interest	$201 - $1,000
10.35	Metropolitan Washington District Of Columbia Airports Series B 10/01/2018 5.000%	N/A	None (or less than $1,001)	Interest	$201 - $1,000
10.36	Phoenix Az Cvc Arpt 07/01/2019 4.000%	N/A	None (or less than $1,001)	Interest	$1,001 - $2,500
10.37	South Carolina St Hsg Fin & Dev Auth 03. 07/01/2029 3.150% Call 07/01/2027 100.00	N/A	None (or less than $1,001)	Interest	$201 - $1,000
10.38	Freehold Nj Regl Sd 03/01/2018 5.000%	N/A	None (or less than $1,001)	Interest	$201 - $1,000
10.39	Maricopa Az Ccd 07/01/2018 4.000%	N/A	None (or less than $1,001)	Interest	$201 - $1,000
10.40	Mntgry Cn Va Ida Pu 02/01/2018 5.000%	N/A	None (or less than $1,001)	Interest	$201 - $1,000
10.41	Monroe La Spl Sd 03/01/2024 5.000%	N/A	None (or less than $1,001)	Interest	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.42	Poughkeepsie N Y City Sch Dist Ref 02.00 05/01/2022 2.000%	N/A	None (or less than $1,001)	Interest	None (or less than $201)
11	Lancaster 20 Development LLC (holds undeveloped land in Dallas, TX)	N/A	$100,001 - $250,000		None (or less than $201)

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	5	This partnership was dissolved 10/9/19

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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