

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

Filer's Information

Quarles, Randal Keith

Vice Chairman for Banking Supervision, Board of Governors of the Federal Reserve System

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/ Quarles, Randal Keith [electronically signed on 07/21/2019 by Quarles, Randal Keith in Integrity.gov] - Filer received a 68 day filing extension.

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/ Williams, Cary, Certifying Official [electronically signed on 07/24/2019 by Williams, Cary in Integrity.gov]

Other review conducted by

/s/ Williams, Cary, Ethics Official [electronically signed on 07/24/2019 by Williams, Cary in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/26/2019 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Bank Managed IRA Account	See Endnote	No		
1.1	U.S. investment account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
1.2	SPDR S&P 500 (SPY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.3	iShares MSCI EAFE Index (EFA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.4	iShares Russell 2000 Index (IWM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.5	iShares MSCI Emerging Markets Index (EEM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.6	iShares Dow Jones Select Dividend Index (DVI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	Avalon Advisors, LLC, carried interest (Americas - wealth advisory) (See Part 3, Item 1)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
3	GPS Hospitality Holding Company LLC, carried interest (Americas - Quick Service Restaurants) (See Part 3, Item 1)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
4	Savant Capital Management, LLC, carried interest (Americas - Wealth Advisory) (See Part 3, Item 1)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	EPIS Carried Interest (Americas - Business Software) (See Part 3, Item 1)	N/A	None (or less than \$1,001)	Capital Gains	\$1,000,001 - \$5,000,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Cynosure Management, LLC See Endnote	Salt Lake City, Utah	I have a fully vested carried interest in investment vehicles advised by Cynosure Management or affiliates of Cynosure Management that have made private investments in the companies identified in the endnote to this item. Proceeds of this carried interest are contractually obligated to be paid contemporaneously with their receipt by Cynosure.	1/2014

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	Marriner S. Eccles Foundation	N/A		salary, director fees	
2	U.S. retirement account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Brokerage IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Fidelity Advisor Series VIII Diversified Intl. Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse Revocable Trust				
1.1	General Electric Common Stock	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
1.2	Union Pacific Common Stock	N/A	\$500,001 - \$1,000,000	Dividends	\$50,001 - \$100,000
1.3	Anadarko Petroleum Corp Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.4	BK Co LLC	See Endnote	No		
1.4.1	GPS Hospitality Holding Company LLC Senior Preferred Units - Series A (Americas - Quick Service Restaurants)	See Endnote	N/A	Dividends Capital Gains	\$201 - \$1,000
1.5	HLKS BK II, LLC	No			
1.5.1	Cynosure GPS LLC	See Endnote	No	Dividends	
1.5.1.1	Cynosure BK II, LLC	No			
1.5.1.1 .1	GPS Hospitality Holding Company LLC Senior Preferred Units - Series B (Americas - Quick Service Restaurants)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
1.6	iShares MSCI EAFE ETF	Yes	Over \$1,000,000		\$201 - \$1,000
1.7	iShares Core S&P 500 ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	US Bank Account, Institution #1 (Cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
1.9	Supervalu Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	First Trust Dow Jones Global Select Dividend Index Fund	Yes	Over \$1,000,000		\$5,001 - \$15,000
1.11	First Trust Morningstar Dividend Index Leaders Fund	Yes	Over \$1,000,000		\$5,001 - \$15,000
1.12	WisdomTree U.S. Total Dividend Fund	Yes	Over \$1,000,000		\$5,001 - \$15,000
1.13	iShares Select Dividend Index Fund	Yes	Over \$1,000,000		\$5,001 - \$15,000
1.14	iShares MSCI Emerging Markets ETF	Yes	Over \$1,000,000		\$5,001 - \$15,000
1.15	iShares Russell 2000	Yes	Over \$1,000,000		\$5,001 - \$15,000
1.16	SPDR S&P 500 ETF T	Yes	Over \$1,000,000		\$5,001 - \$15,000
1.17	WisdomTree U.S. High Dividend Fund	Yes	Over \$1,000,000		\$5,001 - \$15,000
2	Family Trust #1				
2.1	General Electric Common Stock	N/A	Over \$1,000,000	Dividends	\$50,001 - \$100,000
2.2	U.S. Bank Account - Institution #1 (Cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.3	Union Pacific Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.4	Caterpillar Inc	See Endnote	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.5	iShares MSCI EAFE Index	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.6	iShares MSCI Emerging Markets Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	iShares Russell Midcap Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.8	iShares Russell 2000 Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.9	iShares S&P 500 Index	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
3	L.L. Peterson Land Company Partnership	No			
3.1	Undeveloped land in Fairview, Utah (former sheep ranch)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	GSL Artemia Worldwide (Global - Agricultural Production)	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
5	RHLKS, LLC	See Endnote			
5.1	NTR, Inc. (Americas - Oil and Gas)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Family Trust #2	See Endnote			
6.1	Cynosure Management, LLC (Americas - Asset Management)	N/A	Over \$1,000,000	Partnership Income	\$63,166
6.2	Cynosure Advisors, LLC (Americas - Wealth Advisory)	See Endnote	N/A		None (or less than \$201)
7	Fuzzy, LLC	No			
7.1	HLKS Investments, LLC	No			
7.1.1	Pelion Venture Partners V, LP	See Endnote	\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$50,001 - \$100,000
7.1.1.1	33 Across, Inc. (Americas - Marketing Software)	N/A			
7.1.1.2	Blyncsy, Inc (Americas - Traffic Management Software)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1.1.3	CloudFlare, Inc. (Americas - Online Security Software)	N/A			
7.1.1.4	Grow, Inc. (Americas - Business Analytics Software)	N/A			
7.1.1.5	MasteryConnect, Inc. (Americas - Education Software)	N/A			
7.1.1.6	Movement Ventures, Inc. (Americas - Publishing and Marketing Software)	N/A			
7.1.1.7	Neurala, Inc. (Americas - Network Software)	N/A			
7.1.1.8	ObservePoint, Inc. (Americas - Data Analytics Software)	N/A			
7.1.1.9	Rubicon Labs, Inc. (Americas - Internet Security Software)	N/A			
7.1.1.10	Deserve/SelfScore, Inc. (Americas - Credit Analytics Software)	N/A			
7.1.1.11	SimpleCitizen, Inc. (Americas - Legal Software)	N/A			
7.1.1.12	Arcadia Data, Inc. (Americas - Data Analytics Software)	N/A			
7.1.1.13	Canopy Tax, Inc. (Americas - Tax Accounting Software)	N/A			
7.1.1.14	Conversion Logic, Inc. (Americas - Marketing Analytics S)	N/A			
7.1.1.15	Okta, Inc. (Americas - Business Software)	N/A			
7.1.2	CompleteXRM Plan Plus Online Common Stock (Americas - Customer Relationship Management Software)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1.3	ExpertVoice, Inc. Common Stock (Americas - Business Software)	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	Cynosure Management, LLC	See Endnote	N/A	\$250,001 - \$500,000	Partnership Income	\$13,975
9	Cynosure Advisors, LLC	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	Brownie, LLC - B Units		No			
11	Eccles Investment, LLC		No			
11.1	A hotel and restaurant in the Deer Valley Ski Resort, Utah		N/A	Over \$1,000,000		None (or less than \$201)
11.2	A condominium in Sun Valley, Idaho		N/A	\$50,001 - \$100,000		None (or less than \$201)
11.3	A condominium in Park City, Utah		N/A	\$50,001 - \$100,000		None (or less than \$201)
11.4	A condominium in Sun Valley, Idaho		N/A	\$100,001 - \$250,000	Rent or Royalties	\$2,501 - \$5,000
11.5	Sorenson Capital Partners	See Endnote	No	None (or less than \$1,001)		\$2,501 - \$5,000
11.6	West Rim Capital Partners II, L.P.	See Endnote	No	\$500,001 - \$1,000,000	Dividends Capital Gains	\$100,001 - \$1,000,000
11.6.1	InMoment, Inc. (Americas - Data Analytics Software)		N/A			
11.6.2	AccessData Group, LLC (Americas - Digital Forensics)		N/A			
11.6.3	Workfront, Inc. (Americas - Project Management Software)		N/A			
11.6.4	Health Catalyst, LLC (Americas - Health Care Software and Data Analytics)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.6.5	Bamboo HR, LLC (Americas - Human Resources Software)		N/A			
11.6.6	ExpertVoice, Inc. (Americas - Business Software)	See Endnote	N/A			
11.6.7	Pluralsight, LLC (Americas - Training Software)		N/A			
11.6.8	RTC Aerospace, LLC (Americas - Aerospace)	See Endnote	N/A			
11.6.9	Wilson Electronics, Inc. (Americas - Communications Technology)		N/A			
11.6.10	Solan, LLC (Americas - Manufacturing)		N/A			
11.6.11	Home Brands Group (Americas - Franchising)		N/A			
11.7	Keystone Private Equity Opportunities II, L.P.	See Endnote	No	\$100,001 - \$250,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
11.7.1	Fortress Investment Fund III		No			
11.7.1.1	Fortezza Parent S.a.r.l. (Europe - Real Estate Credit)		N/A			
11.7.1.2	Fortezza Sistereo S.a.r.l. (Europe - Real Estate Credit)		N/A			
11.7.1.3	Fortezza Re S.a.r.l. (Europe - Real Estate Credit)		N/A			
11.7.1.4	FIFHE Holdings, LLC	See Endnote	N/A			
11.7.1.5	FIF III Liberty Holdings	See Endnote	N/A			
11.7.1.6	Seacastle, Inc. (Global - Intermodal Equipment)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.7.1.7	Eurocastle Investment Ltd. (Europe - Real Estate)	Yes			
11.7.2	Fortress Life Settlements Fund	No			
11.7.2.1	Lima LS plc - ABS Notes (Americas - Insurance)	N/A			
11.7.3	Merrill Lynch Carlyle Strategic Partners II	No			
11.7.3.1	Carlyle Strategic Partners II, L.P.	No			
11.7.3.1.1	Dynamic Precision Group, Inc. Common Stock (Americas - Aerospace / Defense)	N/A			
11.7.4	Monroe Capital Partners Fund	No			
11.7.4.1	AdTheorent, Inc. - Term Loan (Americas - Data Analytics)	N/A			
11.7.4.2	AdTheorent, Inc. - Revolving Loan (Americas - Data Analytics)	N/A			
11.7.4.3	Ascent Aviation Services, LLC - Term Loan (Americas - Aircraft Maintenance and Repair)	N/A			
11.7.4.4	Ascent Aviation Services, LLC - Mezzanine Loan (Americas - Aircraft Maintenance and Repair)	N/A			
11.7.4.5	Ascent Aviation Services, LLC - Revolving Loan (Americas - Aircraft Aviation and Repair)	N/A			
11.7.4.6	Benton-Georgia, LLC - Term Loan (Americas - Energy Services)	N/A			
11.7.4.7	Benton-Georgia, LLC - Revolving Loan (Americas - Energy Services)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.7.4.8	Benton-Georgia, LLC - Common Membership Units (Americas - Energy Services)	N/A			
11.7.4.9	Benton-Georgia, LLC - Warrants (Americas - Energy Services)	N/A			
11.7.4.10	Cali Bamboo, LLC - Term Loan (Americas - Retail)	N/A			
11.7.4.11	Cali Bamboo, LLC - Revolving Loan (Americas - Retail)	N/A			
11.7.4.12	Collaborative Neuroscience Network, LLC - Term Loan (Americas - Medical Research)	N/A			
11.7.4.13	Collaborative Neuroscience Network, LLC - Promissory Note Loan (Americas - Medical Research)	N/A			
11.7.4.14	Collaborative Neuroscience Network, LLC - Warrants (Americas - Medical Research)	N/A			
11.7.4.15	Education Corporation of America - Second Lien Term Loan (Americas - Educational Services)	N/A			
11.7.4.16	Education Corporation of America - Preferred Stock (Americas - Educational Services)	N/A			
11.7.4.17	LAI International, Inc. - Common Stock (Americas - Manufacturing)	N/A			
11.7.4.18	Little River Healthcare Holdings, LLC - Term Loan (Americas - Health Services)	N/A			
11.7.4.19	Little River Healthcare Holdings, LLC - CapEx Loan (Americas - Health Services)	N/A			
11.7.4.20	Little River Healthcare Holdings, LLC - Revolving Loan (Americas - Health Services)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.7.4.21	Luxury Optical Holdings Co. - Term Loan (Americas - Retailing)	N/A			
11.7.4.22	Luxury Optical Holdings Co. - Revolving Loan (Americas - Retailing)	N/A			
11.7.4.23	Madison Logic, Inc. - Term Loans (Americas - Business Software)	N/A			
11.7.4.24	Madison Logic, Inc. - Revolver (Americas - Business Software)	N/A			
11.7.4.25	Marana Aerospace Solutions - Term Loan (Americas - Aircraft Maintenance and Repair)	N/A			
11.7.4.26	Marana Aerospace Solutions - Line of Credit (Americas - Aircraft Maintenance and Repair)	N/A			
11.7.4.27	Marana Aerospace Solutions - Common Stock (Americas - Aircraft Maintenance and Repair)	N/A			
11.7.4.28	Playtime, LLC - Term Loan (Americas - Playground Equipment)	N/A			
11.7.4.29	Playtime, LLC - Preferred Units (Americas - Playground Equipment)	N/A			
11.7.4.30	SHI Holdings, Inc. - Term Loan (Americas - Manufacturing)	N/A			
11.7.4.31	SHI Holdings, Inc. - Revolving Loan (Americas - Manufacturing)	N/A			
11.7.4.32	SHI Holdings, Inc. - Common Stock (Americas - Manufacturing)	N/A			
11.7.4.33	Soft Landing Interventions, LLC (Americas - Health Services)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.7.4.34	Soft Landing Interventions, LLC - Convertible Loan (Americas - Health Services)	N/A			
11.7.4.35	Soft Landing Interventions, LLC - Revolving Loan	N/A			
11.7.4.36	Soft Landing Interventions, LLC - Preferred Units (Americas - Health Services)	N/A			
11.7.4.37	Summit Container Corporation - Term Loan (Americas - Design and Manufacturing)	N/A			
11.7.4.38	Summit Container Corporation - Warrants (Americas - Design and Manufacturing)	N/A			
11.7.4.39	The O'Gara Group, Inc. - Term Loan (Global - Security Services)	N/A			
11.7.4.40	The O'Gara Group, Inc. - PIK Loan - 3rd Lien (Global - Security Services)	N/A			
11.7.4.41	The O'Gara Group, Inc. - Preferred and Common Stock (Global - Security Services)	N/A			
11.7.4.42	The Tie Bar Operating Company, LLC - Class A and B Preferred Units (Americas - Retailing)	N/A			
11.7.4.43	The Worth Collection, Ltd. - Term Loan (Americas - Retailing)	N/A			
11.7.4.44	Trident University International, LLC - Term Loan (Americas - Educational Services)	N/A			
11.7.4.45	Trident University International, LLC (Americas - Educational Services)	N/A			
11.7.4.46	Complete Nutrition Acquisition, LLC (Americas - Health Supplement Distributor)	N/A			
11.7.5	StepStone Capital Partners II	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.7.5.1	Universal Hospital Services Inc. (Americas - Health Services)	See Endnote	N/A			
11.7.5.2	First Data Corporation (Global - Payments Processing)	See Endnote	N/A			
11.7.5.3	Univision Communications, Inc. (Global - Communications Services)	See Endnote	N/A			
11.7.6	White Deer Energy		No			
11.7.6.1	Acteon Group Ltd - Limited Liability interests (Europe - Engineering Services)		N/A			
11.7.6.2	Epic Midstream LLC (Americas - Oil and Gas Storage Services)		N/A			
11.7.6.3	Select Energy Services, Inc. (Americas - Energy Support Services)		N/A			
11.8	HILD, LLC		No			
11.8.1	Reverse Mortgage Loans Eastern European countries (underlying assets below reporting thresholds)		N/A	\$1,001 - \$15,000		None (or less than \$201)
12	DVP LLC		No			
12.1	Developable Real Estate at Deer Valley Ski Resort (Utah)		N/A	Over \$1,000,000		None (or less than \$201)
12.2	U.S. Bank Account - Institution #1 (Cash)		N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
13	Cynosure Avalon Holdings I, LLC	See Endnote	No			
13.1	Avalon Advisors, LLC (Americas - Wealth Advisory)		N/A	\$1,000,001 - \$5,000,000	Partnership Income	\$56,082
14	Cynosure EPIS I, LLC	See Endnote	No			
14.1	EPIS, LLC (Americas - Business Software)		N/A	None (or less than \$1,001)	Partnership Income	\$536,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Cynosure SRAC I, LLC	See Endnote	No		
15.1	GPS Hospitality Holding Company, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
16	Family Trust #3	No			
16.1	General Electric Common Stock	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
16.2	Fuzzy, LLC - B Units	No			
16.3	Brownie, LLC	No			
16.4	Anadarko Petroleum Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.5	Fuzzy, LLC - C Units	No			
16.5.1	Cynosure Avalon Holdings I, LLC	No			
16.5.1.1	Avalon Advisors, LLC (Americas - Wealth Advisory)	N/A	\$50,001 - \$100,000	Partnership Income	\$2,900
16.6	SPDR S&P 500	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
16.7	iShares Russell 2000 Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.8	iShares Select Dividend Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
16.9	iShares MSCI EAFE Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.10	iShares MSCI Emerging Markets Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.11	Fuzzy LLC - D Units	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.11.1	Cynosure SRAC I LLC	No			
16.11.1.1	GPS Hospitality Holding Company, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants)	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
17	Family Trust #4	No			
17.1	General Electric Common Stock	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
17.2	Fuzzy, LLC - B Units	No			
17.3	Brownie, LLC - B Units	No			
17.4	Anadarko Petroleum Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17.5	Fuzzy, LLC - C Units	No			
17.5.1	Cynosure Avalon Holdings I, LLC	No			
17.5.1.1	Avalon Advisors, LLC (Americas - Wealth Advisory)	N/A	\$50,001 - \$100,000	Partnership Income	\$2,900
17.6	SPDR S&P 500	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
17.7	iShares Russell 2000 Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17.8	iShares Select Dividend Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
17.9	iShares MSCI EAFE Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17.10	iShares MSCI Emerging Markets Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17.11	Fuzzy LLC - D Units	See Endnote			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.11.1	Cynosure SRAC I LLC	No		Interest	
17.11.1.1	GPS Hospitality Holding Company, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
18	Family Trust #5	No			
18.1	General Electric Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
18.2	Fuzzy, LLC - B Units	No			
18.3	Brownie, LLC - B Units	No			
18.4	Fuzzy, LLC - C Units	No			
18.4.1	Cynosure Avalon Holdings I, LLC	No			
18.4.1.1	Avalon Advisors, LLC (Americas - Wealth Advisory)	N/A	\$50,001 - \$100,000	Partnership Income	\$2,900
18.5	Anadarko Petroleum Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.6	SPDR S&P 500	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.7	iShares Russell 2000 Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18.8	iShares Select Dividend Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
18.9	iShares MSCI EAFE Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18.10	iShares MSCI Emerging Markets Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18.11	Fuzzy LLC - D Units	See Endnote			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.11.1	Cynosure SRAC I LLC	No			
18.11.1.1	GSP Hospitality Holding Comany, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants)	N/A	\$15,001 - \$50,000		\$2,501 - \$5,000
19	Family Trust #6	No			
19.1	Ranch near Hailey, Idaho	N/A	Over \$1,000,000		None (or less than \$201)
19.2	Union Pacific Common Stock	N/A	Over \$1,000,000	Dividends	\$50,001 - \$100,000
19.3	U.S. Bank Account - Institution #1 (Cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
20	US Bank Account, Institution #1 (Cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
21	Revolving Credit Note from Cynosure Investments, LLC	N/A	\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000
22	Revolving Credit Note from Goldener Hirsch Inn	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
23	US Bank Account, Institution #1 (Cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
24	iShares MSCI EAFE	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
25	First Trust Dow Jones Global Select Dividend Index Fund	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
26	First Trust Morningstar Dividend Index Leaders Fund	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
27	WisdomTree U.S. Total Dividend Fund	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	iShares Select Dividend Index Fund	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
29	iShares MSCI Emerging Markets ETF	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
30	iShares Russell 2000 ETF	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
31	SPDR S&P 500	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
32	WisdomTree U.S. High Dividend Fund	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
33	Cynosure GPS LLC	See Endnote	No		
33.1	Cynosure BK III, LLC	See Endnote	No		
33.1.1	GPS Hospitality Holding Company LLC Senior Preferred Units - Series C (Americas - Quick Service Restaurants)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
33.2	Cynosure Pop I, LLC	See Endnote	No		
33.2.1	GPS Hospitality Holding Company, LLC Senior Preferred Units - Series D (Americas - Quick Service Restaurants)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
33.3	Cynosure Pop II, LLC	See Endnote	No		
33.3.1	GPS Hospitality Holding Company, LLC Senior Preferred Units - Series E (Americas - Quick Service Restaurants)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
34	Cynosure Savant Holdings LLC	See Endnote	No		
34.1	Cynosure Savant Holdings I, LLC	See Endnote	No		
34.1.1	Savant Capital Management, LLC (Americas - Wealth Advisory)	N/A	\$1,000,001 - \$5,000,000	Partnership Income	\$71,973
34.2	Cynosure Prumentum LLC	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34.2.1	Prumentum Group (Americas - Wealth Management)	N/A	\$250,001 - \$500,000		None (or less than \$201)
35	Family Trust #7				
35.1	General Electric Common Stock	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
35.2	Union Pacific Common Stock	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
35.3	Caterpillar Inc	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
35.4	iShares MSCI EAFE Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
35.5	iShares MSCI Emerging Markets Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
35.6	iShares Russell Midcap Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
35.7	iShares Russell 2000 Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
35.8	iShares S&P 500 Index	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
36	Cynosure Avalon BuildGroup, LLC (Americas - Technology)	No	\$50,001 - \$100,000		None (or less than \$201)
36.1	CSDC Holdco Inc. Preferred Stock, Series A (Americas - Government Operations Software)	N/A			
36.2	Anaconda Inc. (Americas - Data Science)	N/A			
36.3	Flix Corp. Preferred Stock Series A (Americas - Management Software)	N/A			
36.4	Valkyrie Labs Preferred Stock Series A (Americas - Data Management)	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37	Cynosure Investment Partners Class 2018 Anglo		No	\$100,001 - \$250,000		None (or less than \$201)
37.1	Anglo International Shipping (U.K. - Maritime Shipping)	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
38	General Electric Common Stock	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Health Care REIT Inc	Sale	01/19/18	\$1,001 - \$15,000
2	Waste Management Inc	Sale	01/19/18	\$1,001 - \$15,000
3	Verizon Communications Inc	Sale	01/19/18	\$1,001 - \$15,000
4	United Parcel Service Inc B	Sale	01/19/18	\$1,001 - \$15,000
5	Walgreens Boots Alliance	Sale	01/19/18	\$1,001 - \$15,000
6	Target Corp	Sale	01/19/18	\$1,001 - \$15,000
7	Southern Co	Sale	01/19/18	\$1,001 - \$15,000
8	Phillips 66	Sale	01/19/18	\$1,001 - \$15,000
9	Procter & Gamble	Sale	01/19/18	\$1,001 - \$15,000
10	Pfizer Inc	Sale	01/19/18	\$1,001 - \$15,000
11	PepsiCo Inc	Sale	01/19/18	\$1,001 - \$15,000
12	Nucor Corp	Sale	01/19/18	\$1,001 - \$15,000
13	NextEra Energy Inc	Sale	01/19/18	\$1,001 - \$15,000
14	Microchip Technology Inc	Sale	01/91/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	Microsoft Corp	Sale	01/19/18	\$1,001 - \$15,000
16	McDonald's Corp	Sale	01/19/18	\$1,001 - \$15,000
17	Maxim Integrated Products, Inc. - Common Stock	Sale	01/19/18	\$1,001 - \$15,000
18	Lockheed Martin	Sale	01/19/18	\$1,001 - \$15,000
19	Kimberly-Clark	Sale	01/19/18	\$1,001 - \$15,000
20	Johnson & Johnson	Sale	01/19/18	\$1,001 - \$15,000
21	Intel Corp	Sale	01/19/18	\$1,001 - \$15,000
22	Intl Paper Co	Sale	01/19/18	\$1,001 - \$15,000
23	Illinois Tool Works Inc	Sale	01/19/18	\$1,001 - \$15,000
24	Hasbro Inc	Sale	01/19/18	\$1,001 - \$15,000
25	Home Depot Inc	Sale	01/19/18	\$15,001 - \$50,000
26	Genuine Parts Co	Sale	01/19/18	\$1,001 - \$15,000
27	General Dynamics	Sale	01/19/18	\$1,001 - \$15,000
28	Exxon Mobil Corp	Sale	01/19/18	\$1,001 - \$15,000
29	DowDupont	Sale	01/19/18	\$1,001 - \$15,000
30	Dover Corp	Sale	01/19/18	\$1,001 - \$15,000
31	Dominion Energy	Sale	01/19/18	\$1,001 - \$15,000
32	Diageo PLC ADR	Sale	01/19/18	\$1,001 - \$15,000
33	Cisco Systems Inc	Sale	01/19/18	\$1,001 - \$15,000
34	American Electric Power	Sale	01/19/18	\$1,001 - \$15,000
35	Altria Group Inc	Sale	01/19/18	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
36	AbbVie Inc.		Sale	01/19/18	\$1,001 - \$15,000
37	AT&T Inc		Sale	01/19/18	\$1,001 - \$15,000
38	Target Corp		Purchase	01/11/18	\$1,001 - \$15,000
39	Intl Business Machines Corp		Sale	01/19/18	\$1,001 - \$15,000
40	Cynosure Investment Partners 2018 Anglo (UK - Maritime Shipping)	See Endnote	Purchase	08/18/18	\$100,001 - \$250,000
41	Cynosure Avalon BuildGroup, LLC (Americas - Technology)	See Endnote	Purchase	06/21/18	\$15,001 - \$50,000
42	Welltower, Inc.		Sale	01/19/2018	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage (investment/rental property)	\$100,001 - \$250,000	2016	3.38%	Revolving (Home Equity)
2	Wells Fargo	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2016	3.15%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	This IRA was converted to an EIF during 2018
3.	1	Cynosure-advised investment vehicles in which I have a carried interest have invested in the following portfolio companies: Avalon Advisors (a wealth advisory firm in Houston, TX), GPS Hospitality (a fast food franchisee in Atlanta, GA), Savant Capital (a wealth advisory firm in Rockford, IL), EPIS, LLC (a software company in Salt Lake City, UT) (this entity was sold and the carried interest paid out during 2018)
6.	1.4	Partnership liquidated and cash proceeds distributed
6.	1.4.1	Remaining interest liquidated and cash proceeds distributed through BK Co, LLC
6.	1.5.1	In 2018, Cynosure reorganized and consolidated the investment structure through which their clients' holdings of various investment tranches of GPS Holdings (representing interests in fast food restaurant franchises) were organized, placing a number of different investment vehicles under a single pass-through holding company called Cynosure GPS LLC and issuing different series of interests in Cynosure GPS LLC to represent the different underlying investment vehicles. The purpose of this was to minimize accounting and administrative costs; the underlying economics remained unchanged.
6.	2.4	The Caterpillar common stock held by this trust was inadvertently omitted in previous filings. It has been held since before the date of my original filing.
6.	5	RHLKS, LLC is a single-asset vehicle.
6.	6	This trust is for the sole benefit of the filer's wife, children, and grandchildren; the filer retains no interest in either the trust or the underlying assets.
6.	6.2	In 2018, Cynosure Management and Cynosure Advisors combined operations. All holders of interests in Cynosure Advisors, including Family Trust #2, received interests in Cynosure Management in return for all their interest in Cynosure Advisors. Family Trust #2 no longer holds any interest in Cynosure Advisors, which continues to exist as a subsidiary of Cynosure Management but does not conduct separate operations.
6.	7.1.1	Sub-assets of Pelion Venture Partners V determined as of 12/31/18, reflecting acquisitions and divestitures of partnership since last SF 278 reporting date.
6.	7.1.3	This firm changed its name to ExpertVoice from its prior name of Experticity.

PART	#	ENDNOTE
6.	8	Filer's spouse owns this interest in Cynosure Management directly, in addition to her beneficial interest in Cynosure Management through Family Trust #2, of which she and the filer's children are life beneficiaries, and the filer's grandchildren are residual beneficiaries.
6.	9	Filer's spouse owned this interest in Cynosure Advisors directly, in addition to her beneficial interest in Cynosure Advisors through Family Trust #2 of which she and the filer's children are life beneficiaries, and the filer's grandchildren are residual beneficiaries. In 2018, Cynosure Management and Cynosure Advisors combined operations. All holders of interests in Cynosure Advisors, including filer's spouse, received interests in Cynosure Management in return for all their interest in Cynosure Advisors. Filer's spouse no longer holds any interest in Cynosure Advisors, which continues to exist as a subsidiary of Cynosure Management but does not conduct separate operations.
6.	11.5	This partnership completed its investment program and was liquidated during 2018.
6.	11.6	Sub-assets of West Rim Capital Partners determined as of 12/31/18, reflecting acquisitions and divestitures by the partnership since the last SF 278 report.
6.	11.6.6	This company changed its name to ExpertVoice from its prior name of Experticity.
6.	11.6.8	This company changed its name to RTC Aerospace from its prior name of Roberts Tool Company.
6.	11.7	Sub assets of Keystone Private Equity Opportunities II, LP determined as of 12/31/18 reflecting acquisitions and divestitures since last SF 278 report.
6.	11.7.1.4	Fortress Investment Fund III does not provide information about the industry or geography of this holding.
6.	11.7.1.5	The Fund does not provide information about the industry or geography of this holding.
6.	11.7.5.1	StepStone owns a 3.98% interest in PIC/UHS Co-investment Partners, L.P. which indirectly owns approximately 24.2% of Universal Hospital Services, Inc.
6.	11.7.5.2	StepStone owns 351,043 Class B Common Shares of First Data directly and additional shares indirectly through a 0.37% interest in the Class A Units and a 0.03% interest in the Class B Units of New Omaha Holdings Co-Invest III, L.P.
6.	11.7.5.3	StepStone owns its interest in Univision Communications, Inc. through a 2.03% interest in MDCP Foreign Co-investors (Umbrella), L.P., a 1.32% interest in THL Fund VI Intermediate Investors (Univision), L.P., and warrants representing a 0.44% interest in Providence Co-Investors (Univision) L.P.
6.	13	Cynosure Avalon Holdings I, LLC is a single-asset vehicle.

PART	#	ENDNOTE
6.	14	Cynosure EPIS I, LLC was a single asset vehicle that owned its interest in EPIS, LLC through Cynosure EPIS, LLC, which was also a single-asset vehicle. Cynosure sold the underlying investment in EPIS, liquidated the investment vehicle, and distributed the proceeds.
6.	15	Cynosure SRAC I, LLC is a single-asset vehicle that owns its interest in GPS Hospitality Holding Company through Cynosure SRAC, LLC, which is also a single-asset vehicle.
6.	16.11	Gift from Parents
6.	17.11	Gift from parents
6.	18.11	Gift from parents.
6.	33	In 2018, Cynosure reorganized and consolidated the investment structure through which their clients' holdings of various investment tranches of GPS Holdings (representing interests in fast food restaurant franchises) were organized, placing a number of different investment vehicles under a single pass-through holding company called Cynosure GPS LLC and issuing different series of interests in Cynosure GPS LLC to represent the different underlying investment vehicles. The purpose of this was to minimize accounting and administrative costs; the underlying economics remained unchanged.
6.	33.1	Cynosure BK III, LLC is a single-asset vehicle.
6.	33.2	Cynosure Pop I, LLC is a single-asset vehicle.
6.	33.3	Cynosure Pop II, LLC is a single-asset vehicle.
6.	34	In 2018, Cynosure reorganized and consolidated the investment structure through which their clients' holdings of Savant Capital Management and Prumentum Group (each a wealth advisory firm) were organized, placing a number of investment vehicles under a single pass-through holding company called Cynosure Savant Holdings LLC. The purpose of this was to minimize accounting and administrative costs.
6.	34.1	Cynosure Savant Holdings I, LLC is a single-asset vehicle that owns its interest in Savant Capital Management, LLC through Cynosure Savant, LLC, which is also a single-asset vehicle.
6.	37.1	Anglo is a UK-based owner and international operator of second-hand vessels focused on the dry bulk shipping market.
6.	38	This asset originally reported in Section 2, but it was not acquired in connection with employment and has therefore been moved to this section. There has been no change in the holding.
7.	40	This represents an interest in Anglo International Shipping, a UK-based owner and international operator of second-hand vessels focused on the dry bulk shipping market.

PART	#	ENDNOTE
7.	41	Cynosure Avalon BuildGroup is a partnership that will make investments in early and mid-stage technology firms.

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.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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