

Report Type: Nominee Report

Year (Annual Report only):

Date of Appointment:

Date of Termination:

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

Filer's Information

Isaacman, Jared Taylor

Administrator, National Aeronautics & Space Administration

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Commerce, Science, and Transportation
-

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/ Isaacman, Jared Taylor [electronically signed on 11/13/2025 by Isaacman, Jared Taylor 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/ Spear, Kathleen T, Certifying Official [electronically signed on 11/17/2025 by Spear, Kathleen T in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Bortot, Deborah, Certifying Official [electronically signed on 11/17/2025 by Bortot, Deborah in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Shift4 Payments, Inc.	Center Valley, Pennsylvania	Corporation	Executive Chairman and Director	6/2025	Present
2	Shift4 Payments, LLC (fka Harbortouch Payments, LLC and Lighthouse Network, LLC)	Center Valley, Pennsylvania	Limited Liability Company	Chief Executive Officer	3/2014	6/2025
3	C.C. Productions, LLC	Center Valley, Pennsylvania	Limited Liability Company	President and CEO	12/2022	Present
4	CFC & FP Enterprises, LLC	Center Valley, Pennsylvania	Limited Liability Company	President and CEO	12/2022	Present
5	Credorax (USA) LLC	Center Valley, Pennsylvania	Limited Liability Company	Agent/Representative	12/2023	Present
6	Pinnacle Hospitality Systems, LLC	Center Valley, Pennsylvania	Limited Liability Company	President and CEO	7/2022	Present
7	POSITOUCH, LLC	Center Valley, Pennsylvania	Limited Liability Company	Chief Executive Officer	10/2017	Present
8	POSTEC, LLC	Center Valley, Pennsylvania	Limited Liability Company	Chief Executive Officer	12/2021	Present
9	Revel Systems, Inc.	Center Valley, Pennsylvania	Corporation	President and sole Director	6/2024	Present
10	SHIFT4 CORPORATION	Las Vegas, Nevada	Corporation	President and CEO and sole Director	11/2017	Present
11	Shift4 Payments Finance Sub, Inc.	Wilmington, Delaware	Corporation	President and Director	10/2020	Present
12	Shift4Shop, LLC	Center Valley, Pennsylvania	Limited Liability Company	Chief Executive Officer	11/2020	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	The Giving Block Holdings, LLC		Center Valley, Pennsylvania	Limited Liability Company	Chief Executive Officer	2/2022	Present
14	26 North Aviation, Inc.		Allentown, Pennsylvania	Corporation	Director	1/2007	Present
15	Rook Holdings, Inc		Allentown, Pennsylvania	Corporation	Director, President, Treasurer, Secretary	3/2014	Present
16	Rook Aviation Holdings, LLC		Allentown, Pennsylvania	Limited Liability Company	Member and President	1/2019	Present
17	Rook Investments, LLC		Allentown, Pennsylvania	Limited Liability Company	Member and President	7/2019	Present
18	Black Diamond Jet HoldCo, Inc		Allentown, Pennsylvania	Corporation	President, CEO, and Director	3/2019	Present
19	Black Diamond Jet Holdings, LLC		Allentown, Pennsylvania	Limited Liability Company	President, CEO, and Manager	12/2019	Present
20	JDI Holdings, LLC		Allentown, Pennsylvania	Limited Liability Company	Member and President	12/2005	Present
21	Xenomorph, LLC (Dissolved)		Allentown, Pennsylvania	Limited Liability Company	Managing Member	2/2021	2/2023
22	Bone Horse Marine, LLC		Allentown, Pennsylvania	Limited Liability Company (inactive)	Managing Member	7/2021	Present
23	Bone Horse, LLC (Holding Company)	See Endnote	Bozeman, Montana	Limited Liability Company	Managing Member	4/2019	12/2024
24	Bone Horse Hangars, LLC		Bozeman, Montana	Limited Liability Company	Manager and Member	7/2021	Present
25	RookX, LLC		Allentown, Pennsylvania	Limited Liability Company	Managing Member	1/2021	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
26	Rook Public Strategies, LLC	Allentown, Pennsylvania	Limited Liability Company (dissolved)	Managing Member	7/2021	12/2024
27	PolarisX, LLC	Allentown, Pennsylvania	Limited Liability Company (dissolved)	Managing Member	12/2022	12/2024
28	Rook SPV I, LLC	Wilmington, Delaware	Limited Liability Company	President, Secretary, Treasurer	3/2021	Present
29	Rook SPV II, LLC	Wilmington, Delaware	Limited Liability Company	President, Secretary, Treasurer	8/2021	Present
30	Rook SPV III, LLC	Wilmington, Delaware	Limited Liability Company	President, Secretary, Treasurer	12/2022	Present
31	Rook SPV IV, LLC	Wilmington, Delaware	Limited Liability Company	President, Secretary, Treasurer	3/2023	Present
32	Rook Space Investments, LLC	Wilmington, Delaware	Limited Liability Company	President, Treasurer, Secretary	2/2021	Present
33	Micros Retail Systems, LLC	Center Valley, Pennsylvania	Limited Liability Company	Chief Executive Officer	10/2020	Present
34	Venuenext, Inc	Center Valley, Pennsylvania	Corporation	President	4/2021	Present
35	S4-ML Holdings, LLC	Center Valley, Pennsylvania	Limited Liability Company	Chief Executive Officer	8/2019	Present
36	Shift4 Payments, Inc.	Center Valley, Pennsylvania	Corporation	CEO, Chairman of the Board, and Director	6/2020	6/2025

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
37	The Isaacman Foundation	Wilmington, Delaware	Non-Profit	President, Treasurer, and Director	8/2025	Present
38	Rook Spirits LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	7/2025	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SHIFT4 PAYMENTS, INC., VESTED RESTRICTED STOCK UNITS	See Endnote	N/A	Ordinary income from vesting of restricted stock units	\$22,747,472
2	SHIFT4 PAYMENTS, LLC (payment processing services)	N/A		SALARY	\$94,615
3	Rook Holdings, Inc. (Holding company for investments in Shift4 Payments, LLC and Shift4 Payments, Inc.):	No			
3.1	SHIFT4 PAYMENTS, INC. (FOUR) CLASS C STOCK	See Endnote	N/A	Over \$50,000,000	None (or less than \$201)
3.2	U.S BANK #1 ACCOUNT (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	U.S. BANK #2 ACCOUNT (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.4	SHIFT4 PAYMENTS, LLC UNITS	See Endnote	No	Over \$50,000,000	K-1 INCOME, ORDINARY INCOME, CAPITAL GAIN INCOME, INTEREST INCOME

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	SHIFT4 PAYMENTS, LLC, TAX RECEIVABLE AGREEMENT	N/A	Over \$50,000,000		None (or less than \$201)
3.6	LOAN DUE FROM SHAREHOLDER See Endnote	N/A	Over \$50,000,000	Interest	Over \$5,000,000
4	JDI Holdings, LLC (Corporate Aircraft, Fighter Jets, Charter Service):	N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)
5	Bone Horse Hangars, LLC (Hangar used by JDI Holdings)	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$100,001 - \$1,000,000
6	26 North Aviation, Inc. (manages corporate jets and provides charter aircraft services)	N/A	None (or less than \$1,001)	Net distributable income	\$203,490
7	Rook Aviation Holdings, LLC:	No			
7.1	BLACK DIAMOND JET HOLDCO, INC.:	No			
7.1.1	U.S. BANK #2 ACCOUNT (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.1.2	BLACK DIAMOND JET HOLDINGS, LLC:	No			
7.1.2.1	U.S. BANK #2 ACCOUNT (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	RookX, LLC:	No			
8.1	U.S. BANK #2 ACCOUNT (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.2	Trademarks on "Polaris Dawn," "Polaris Program" and "Polaris Jet Team" (value not readily ascertainable)	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	SHIFT4 PAYMENTS, LLC	Center Valley, Pennsylvania	Tax Receivable Agreement (TRA) with Shift4 Payments, Inc. – under the TRA, the Corporation agrees to make payments to the historic equity owners in an amount equal to a percentage of the benefit the corporation derives from certain specific tax attributes, if, as, and when realized.	6/2020
2	Shift4 Payments, LLC	Center Valley, Pennsylvania	Pursuant to my employment agreement, for 36 months after resignation, I will be eligible for health insurance benefits and other reimbursed expenses for fees in connection with former employment/ownership.	6/2020
3	SHIFT4 PAYMENTS, INC.	Center Valley, Pennsylvania	If confirmed, I will resign my positions as Executive Chairman and Director with Shift4 and its subsidiaries and contractually surrender my majority voting control of Shift4 Payments, Inc., such that my voting shares will be reduced to approximately 25% of the voting shares. I will also, within 60 days, convert my equity units in Shift4 Payments, LLC, and all B and C Class shares in Shift4 Payments, Inc. including those that are imputed to me, into Class A shares of Shift4 Payments, Inc. which will reduce my voting shares to approximately 25% of the voting shares. Any RSU bonus award for 2025 is subject to the full discretion of the Board of Directors. This determination, which is anticipated for early 2026, is based on performance and not guaranteed. Any RSUs awarded would vest in early 2026 and be immediately received as Class A common stock. I would not need to be employed by the company to receive such RSUs. I would only accept such RSUs, if at all, as permitted by and in full compliance with my ethics agreement.	3/2025

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	SHIFT4 PAYMENTS, LLC	Center Valley, Pennsylvania	CEO of this public company on the NYSE (FOUR)

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. BANK #2 ACCOUNT (CASH)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
2	U.S. BANK #3 ACCOUNT (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	U.S. BROKERAGE #1 ACCOUNTS:	No			
3.1	SHIFT4 PAYMENTS, INC.	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
3.2	Western Asset Government Reserves Class A (SMGXX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
3.3	AB GOVERNMENT MONEY MARKET PORTFOLIO CLASS A (AEAXX)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
3.4	CASH	N/A	\$25,000,001 - \$50,000,000	Interest	\$15,001 - \$50,000
3.5	HedgeForum Third Point LLC	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
3.6	AG Mortgage Value Partners, LP B	Yes	None (or less than \$1,001)		None (or less than \$201)
3.7	Western Asset Institutional Government Reserves Institutional Shares (INGXX)	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
3.8	iShares National Muni Bond ETF (MUB)	Yes	\$25,000,001 - \$50,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.9	iShares Short-Term National Muni Bond ETF (SUB)	Yes	\$25,000,001 - \$50,000,000		None (or less than \$201)
3.10	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$5,000,001 - \$25,000,000		None (or less than \$201)
4	U.S. BROKERAGE #2 ACCOUNTS:	No			
4.1	CASH	N/A	\$5,000,001 - \$25,000,000	Interest	\$2,501 - \$5,000
4.2	ADYEN N V UNSPONSORED ADR (ADYFY)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
4.3	ALLIANCEBERNSTEIN HLDNG L.P. (AB)	N/A	\$1,000,001 - \$5,000,000	Partnership Distributions, Capital Gains	\$167,526
4.4	ALPHABET INC CL C (GOOG)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.5	AMAZON COM INC (AMZN)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.6	ARES MANAGEMENT CORP CL A (ARES)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
4.7	AT&T INC (T)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
4.8	BLACK STONE MINERALS,L.P. (BSM)	N/A	None (or less than \$1,001)	Partnership Distributions, Royalties, Interest	\$32,504
4.9	BLACKSTONE SECD LENDING FD (BXSL)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
4.10	BLOCK INC CL A (XYZ)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.11	BP PLC ADS (BP)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.12	BRITISH AMER TOB SPON ADR (BTI)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
4.13	CHENIERE ENERGY PARTNERS LP (CQP)		N/A	None (or less than \$1,001)	Partnership Distributions, Capital Gains	\$45,167
4.14	CITIZENS FINANCIAL GROUP INC (CFG)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
4.15	DLOCAL LTD (DLO)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.16	ENERGY TRANSFER LP COM UT LTD (ET)	See Endnote	N/A	\$1,000,001 - \$5,000,000	Partnership Distributions, Dividends, Capital Gains	\$277,478
4.17	ENTERPRISE PROD PRTNRS L.P. (EPD)	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4.18	FEDEX CORP (FDX)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
4.19	FOOT LOCKER INC. (FL)		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.20	GLOBAL PAYMENT INC (GPN)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
4.21	KEYCORP NEW (KEY)		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
4.22	KINDER MORGAN INCORP (KMI)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
4.23	LAS VEGAS SANDS CORPORATION (LVS)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
4.24	LIVE NATION ENTERTAINMENT INC (LYV)		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.25	MPLX LP Common Units Representing Limited Partner Interests, (MPLX)	See Endnote	N/A	\$1,000,001 - \$5,000,000	Partnership Distributions, Dividends, Interest	\$140,045
4.26	NETFLIX INC (NFLX)		N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.27	NIKE INC B (NKE)		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4.28	OMEGA HEALTHCARE INV INC (OHI)		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4.29	PAYPAL HLDGS INC COM (PYPL)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.30	PFIZER INC (PFE)		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
4.31	RIO TINTO PLC SPON ADR (RIO)		N/A	\$1,000,001 - \$5,000,000	Capital Gains Dividends	\$100,001 - \$1,000,000
4.32	RIVIAN AUTOMOTIVE INC CL A (RIVN)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
4.33	SHIFT4 PMTS INC CL A (FOUR)		N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)
4.34	SOUTHWEST AIRLINES (LUV)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
4.35	STARBUCKS CORP WASHINGTON (SBUX)		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
4.36	SUNOCO LP COM U REP LP (SUN)		N/A	None (or less than \$1,001)	Partnership Distributions, Dividends, Interest	\$2,446
4.37	TENCENT HLDGS LTD UNSPON ADR (TCEHY)		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.38	TENCENT MUSIC ENTMT GROUP SPON (TME)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.39	UNITED AIRLINES HLDGS INC (UAL)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
4.40	UNITED PARCEL SER INC CL-B (UPS)	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
4.41	VAIL RESORTS (MTN)	N/A	None (or less than \$1,001)	Dividends	\$50,001 - \$100,000
4.42	VALLEY NATL BANCORP (VLY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
4.43	VERIZON COMMUNICATIONS (VZ)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
4.44	VISA INC CL A (V)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
4.45	WALT DISNEY CO HLDG CO (DIS)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,000,001 - \$5,000,000
4.46	VALLEY NATL BANCORP 5.50% PFD-B (VLYPO)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.47	MODERNA INC. (MRNA)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.48	NVIDIA CORP (NVDA)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4.49	SHOPIFY INC. (SHOP)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.50	TESLA INC. (TSLA)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.51	ARES CAPITAL CORP (ARCC)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.52	BLUE OWL CAPITAL CORPORATION (OBDC)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
4.53	FS KKR CAPITAL CORP (FSK)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.54	AB GOVERNMENT MONEY MARKET A (AEAXX)	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
4.55	LyondellBasell Industries NV (LYB)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000
4.56	Dow, Inc. (DOW)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000
4.57	Apple, Inc. (AAPL)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.58	Airbnb Inc. (ABNB)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
4.59	Advanced Micro Devices, Inc. (AMD)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.60	Best Buy Co., Inc. (BBY)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4.61	Coinbase Global Inc. (COIN)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.62	Dell Technologies, Inc. (DELL)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4.63	Ford Motor Co. (F)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
4.64	Garmin Ltd. (GRMN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4.65	Hewlett-Packard Enterprise Co. (HPE)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.66	JPMorgan Chase & Co. (JPM)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
4.67	MGM Resorts International (MGM)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
4.68	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4.69	Walmart, Inc. (WMT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
4.70	Alphabet Inc. Cl A (GOOGL)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,000,001 - \$5,000,000
4.71	Goldman Sachs BDC Inc. Common Stock (GSBD)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
4.72	Oaktree Specialty Lending Corporation Common Stock (OCSL)	N/A	None (or less than \$1,001)	Dividends	\$15,001 - \$50,000
5	U.S. BROKERAGE #3 ACCOUNT:	No			
5.1	CASH	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6	U.S. BROKERAGE #4 ACCOUNTS:	No			
6.1	CASH	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.2	EPHRATA PA AREA SCH DIST, BONDS	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.3	PENNSYLVANIA ST GO, BONDS	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.4	FRANKLIN CNTY PA GO, BONDS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
6.5	PITTSBURGH PA SCH DIST, BONDS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.6	PENNSYLVANIA ST GO, BONDS	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.7	NORTHAMPTON CNTY PA GEN, BONDS	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.8	NYLI MacKay Tax Free Bond Fund (MTBIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.9	NUVEEN HIGH YIELD MUNI - NHMRX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.10	CASH	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.11	ABBVIE INC SHS - ABBV	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.12	AGNICO EAGLE MINES LTD - AEM	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
6.13	ALPHABET INC SHS CL A - GOOGL	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.14	AMAZON COM INC COM - AMZN	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.15	AMPHENOL CORP CL A NEW - APH	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
6.16	APPLE INC - AAPL	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.17	BLACKROCK INC - BLK	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.18	BOSTON SCIENTIFIC CORP - BSX	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.19	BROADCOM INC - AVGO	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.20	CENCORA INC - COR	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.21	CONOCOPHILLIPS - COP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.22	COSTCO WHOLESALE CRP DEL - COST	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.23	ELI LILLY & CO - LLY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.24	ENTERGY CORP NEW - ETR	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
6.25	EXXON MOBIL CORP COM - XOM	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.26	FERRARI NV - RACE	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
6.27	HILTON WORLDWIDE - HLT	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
6.28	HOME DEPOT INC - HD	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.29	HONEYWELL INTL INC DEL - HON	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.30	HOWMET AEROSPACE INC - HWM	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.31	JOHNSON CONTROLS INTER - JCI	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.32	JPMORGAN CHASE & CO - JPM	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.33	KENVUE INC - KVUE	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.34	MCDONALDS CORP COM - MCD	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.35	MICROSOFT CORP - MSFT	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.36	NETFLIX COM INC - NFLX	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.37	NVIDIA - NVDA	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
6.38	O'REILLY AUTOMOTIVE INC - ORLY	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.39	PALO ALTO NETWORKS INC - PANW	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.40	PARKER HANNIFIN CORP - PH	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.41	PROCTER & GAMBLE CO - PG	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.42	PROGRESSIVE CRP OHIO - PGR	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.43	ROSS STORES INC COM - ROST	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.44	S&P GLOBAL INC - SPGI	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.45	SERVICENOW INC - NOW	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.46	TESLA INC - TSLA	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.47	THERMO FISHER SCIENTIFIC - TMO	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.48	UNION PACIFIC CORP - UNP	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.49	VISA INC CL A SHRS - V	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.50	WALMART INC - WMT	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.51	WELLTOWER INC - WELL	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
6.52	ZOETIS INC - ZTS	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.53	REAL ESTATE SELECT SECTOR SPDR FD SHS (XLRE)	Yes	None (or less than \$1,001)		\$201 - \$1,000
6.54	CASH	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.55	AIB GROUP ADR - AIBGY	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.56	ASE TECHNOLOGY - ASX	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
6.57	BAE SYS PLC SPN ADR - BAESY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.58	BCE INC - BCE	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.59	BHP GROUP LTD - BHP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.60	BNP PARIBAS SPONSORD ADR - BNPQY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.61	BRITISH AMN TOBACO SPADR - BTI	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.62	CIE GENERALE DES - MGDDY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.63	COCA COLA FEMSA SP ADR - KOF	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.64	COCA-COLA EUROPACIFIC - CCEP	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.65	COMPAGNIE DE SAINT-UNSP - CODYY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.66	DEUTSCHE POST AG SHS - DHLGY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.67	DEUTSCHE TELE AG SPN ADR - DTEGY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.68	DNB BANK ASA SHS ADR - DNBBY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.69	ENEL SOCIETA PER AZIONI - ENLAY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.70	IBERDROLA S A ADR - IBDY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.71	JULIUS BAER GROUP ADR - JBAXY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.72	KOMATSU NEW NEW SPNSDADR - KMTUY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.73	MERCEDES-BENZ GROUP AG - MBGY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.74	MS&AD Insurance Group Holdings Inc ADR (MSADY)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.75	Muenchener Ruckversicherungs-Gesellschaft Aktiengesellschaft in Munchen (MURGY)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.76	NESTLE S A REP RG SH ADR - NSRGY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.77	NIPPON TELG&TEL SPDN ADR - NTTYY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.78	NN GROUP NV - NNGRY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.79	NOVARTIS ADR - NVS	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.80	PETRLEO BRAS VTG SPD ADR - PBR	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.81	POWER CORP CDA LTD - PWCDF	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.82	RIO TINTO PLC SPNSRD ADR - RIO	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.83	ROCHE HLDG LTD SPN ADR - RHHBY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.84	SANOFI ADR - SNY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.85	SHELL PLC - SHEL	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.86	SIEMENS AG ADR - SIEGY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.87	SMURFIT KAPPA GROUP PLC - SMFKY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.88	SOFTBANK CORP-UNSP ADR - SOBKY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.89	SVENSKA HANDELSBANKEN AB - SVNLY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.90	TESCO PLC - TSCDY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.91	TOKIO MARINE HOLDINGS - TKOMY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.92	TOKYO ELECTRON LTD SHS - TOELY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.93	TOTALENERGIES SE - TTE	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.94	TOYOTA MOTOR CORP ADR - TM	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.95	UNTD OVERSEAS BK SPN ADR - UOVEY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.96	UPM-KYMMENE OYJ-UNSPON - UPMY	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.97	VEOLIA ENVIRONNEMENT ADR - VEOEY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
6.98	VOLVO AB-A SHS-UNSPON - VLVLY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
6.99	ZURICH INSURANCE GROUP - ZURVY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
6.100	3I GROUP PLC SHS - TGOPY	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
6.101	CASH	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.102	Shift4 Payments, Inc. - Class A	N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)
6.103	Blackstone Alternatives Solution IV L.P.	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
6.104	Blackstone Strategic Partners Secondaries VI Trust A	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.105	BREP Europe IV 2014 Extension Trust Class A	Yes	None (or less than \$1,001)		None (or less than \$201)
6.106	GSO Mezzanine Finance Trust II Class B	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.107	iShares Russell 1000 Growth	Yes	\$250,001 - \$500,000		\$201 - \$1,000
6.108	iShares Russell 1000 Value	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
6.109	iShares TR Russell 2000	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.110	iShares Inc. Core MSCI Emerging Markets ETF	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.111	iShares TR Core MSCI EAF ETF	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
6.112	NYLI MacKay Tax Free Bond Fund (MTBIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.113	Pimco Income Fund CL 12	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.114	SPDR S&P 500 ETF Trust	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
6.115	Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.116	iShares Russell 1000 Growth	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.117	iShares Russell 1000 Value	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.118	iShares TR Russell 2000	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.119	iShares Inc. Core MSCI Emerging Markets ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.120	iShares TR Core MSCI EAF ETF	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.121	NYLI MacKay Tax Free Bond Fund (MTBIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.122	Pimco Income Fund CL 12	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.123	SPDR S&P 500 ETF Trust	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.124	Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.125	Amazon Com Inc (AMZN), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.126	Intercontinental (ICE), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.127	Johnson Controls Inter (JCI), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.128	Microsoft Corp (MSFT), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.129	Nvidia (NVDA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.130	Proctor & Gamble Co (PG), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.131	Schlumberger Ltd (SLB), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.132	Union Pacific Corp (UNP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.133	Wstn Digital Corp Del (WDC), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.134	Zoetis Inc (ZTS), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.135	U.S. Treasury Bills		N/A	\$100,001 - \$250,000		None (or less than \$201)
6.136	FedFund Institutional Shares (TFDXX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.137	Lebanon PA Sch Dst Go Bds		N/A	\$100,001 - \$250,000		None (or less than \$201)
7	U.S. BANK #4 ACCOUNT (CASH)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
8	Rook Space Investments, LLC:		No			
8.1	SPACE EXPLORATION TECHNOLOGIES CORP		N/A	None (or less than \$1,001)	Capital Gains	Over \$5,000,000
9	Rook Investments, LLC:		No			
9.1	Blackstone Horizon Fund	See Endnote	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
9.2	Strategic Partners IX, LP	See Endnote	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
9.3	Strategic Partners IX AIV, LP		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.4	Strategic Partners Real Estate VII, LP	See Endnote	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
10	Shift4 Payments, Inc. (FOUR)		N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
11	Shift4 Payments, Inc. (FOUR)		N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	AMERICAN EXPRESS	Credit Card	\$10,001 - \$15,000	2024	29.99%	Revolving
2	E-TRADE FROM MORGAN STANLEY	Margin Loan	\$5,000,001 - \$25,000,000	2024	Variable	Revolving
3	MERRILL A BANK OF AMERICA COMPANY	Margin Loan	\$1,000,001 - \$5,000,000	2014	Variable	Revolving
4	Rook Holdings, Inc.	Loan to Shareholder	Over \$50,000,000	2020	1.0%	10 years
5	Rook Holdings, Inc.	Loan to Shareholder	Over \$50,000,000	2020	1.17%	10 years
6	Rook Holdings, Inc.	Loan to Shareholder	\$25,000,001 - \$50,000,000	2014	1.31%	On Demand
7	Rook Holdings, Inc.	Loan to Shareholder	Over \$50,000,000	2021	1.73%	10 years
8	Rook Holdings, Inc.	Loan to Shareholder	Over \$50,000,000	2021	1.62%	10 years
9	Rook Holdings, Inc.	Loan to Shareholder	Over \$50,000,000	2022	4.34%	10 years
10	Rook Spirits LLC	Capital Commitment	\$15,001 - \$50,000	2025	N/A	On Demand

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	23	This entity holds filer's personal residence.
2.	1	RSUs immediately vest and become class A shares. These shares are included in the entry reported on Part 6, line 6.102.
2.	3.1	Filer also holds Class B stock, which maintains only voting rights but has no economic value.
2.	3.4	LLC Units are exchangeable for Class A shares in Shift4 Payments Inc. Estimate is based on 2024 K-1 and 2025 projections of tax loss and disposition of LLC units that are subject to change.
2.	3.6	See Part 8, lines 4-9 for filer's corresponding liabilities.
6.	4.16	Income reported from 2024 K-1 and brokerage account statements.
6.	4.17	Income reported from 2024 K-1 and brokerage account statements.
6.	4.25	Income reported from 2024 K-1 and brokerage account statements.
6.	9.1	Income reported from 2024 K-1 and capital account statements.
6.	9.2	Income reported from 2024 K-1 and capital account statements.
6.	9.4	Income reported from 2024 K-1 and capital account statements.

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 the 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 (note: certain PAS nominees and appointees are required to report all mortgages); (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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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

5 U.S.C. § 13101 et seq., and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. 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 5 U.S.C. §§ 13107 and § 13122(b)(1) 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 a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) 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 this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13989 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. 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) 250 E Street, S.W., Suite 750, Washington, DC 20024-3249.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB (that control number 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
