

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

Filer's Information

Spencer, Richard V

Secretary Navy, Department of the Navy

Date of Termination: 11/24/2019

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/ Spencer, Richard [electronically signed on 02/20/2020 by Spencer, Richard in Integrity.gov] - Filer received a 60 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/ Thompson, Sara L, Certifying Official [electronically signed on 02/24/2020 by Thompson, Sara L in Integrity.gov]

Other review conducted by

/s/ Tetreault, Sara, Screener [electronically signed on 02/21/2020 by Tetreault, Sara in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 02/24/2020

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Fall Creek Management LLC	Wilson, Wyoming	Limited Liability Company	Managing Member	2/2008	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Global Atlantic Financial Group Limited Common Stock	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
2	86 Borders LLC Common Stock (Communications)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	CX Technologies LLC Common Stock (customer relations management)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
4	CX Technolog LLC Credit Facility (customer relationship management)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
5	StarPound Technologies, Inc. Common Stock (communications and technology)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
6	401K	See Endnote	No		
6.1	American Express Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2	Paylocity Holdings Corp Common Stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.3	Tactile Systems Technology Inc. Common Stock	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.4	Union Pacific Corp (UNP)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
6.5	OKTA	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.6	Teledoc	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.7	Dolby Laboratories	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.8	Kornit Digital LTD	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.9	Novanta	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.10	PetIQ	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.11	Proto Labs	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.12	ROKU	N/A	None (or less than \$1,001)		None (or less than \$201)
6.13	Prestige Consumer Healthcare, inc.	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.14	Shotspotter, Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.15	Walgreens Boots Alliance Inc.	No	\$15,001 - \$50,000		\$201 - \$1,000
6.16	Boingo Wireless	No	\$1,001 - \$15,000		None (or less than \$201)
6.17	NAPCO Security Technologies, Inc.	No	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.18	Fastly, Inc.	No	\$15,001 - \$50,000		None (or less than \$201)
6.19	Eventbrite, Inc.	No	\$15,001 - \$50,000		None (or less than \$201)
6.20	Six Flags Entertainment Corp.	No	\$15,001 - \$50,000		\$1,001 - \$2,500
6.21	Upland Software, Inc.	No	\$15,001 - \$50,000		None (or less than \$201)
6.22	Dynatrace, Inc.	No	\$15,001 - \$50,000		None (or less than \$201)
6.23	Smartsheet, Inc.	No	\$15,001 - \$50,000		None (or less than \$201)
6.24	Tenable Holdings, Inc.	No	\$15,001 - \$50,000		None (or less than \$201)
6.25	Zendesk	No	\$15,001 - \$50,000		None (or less than \$201)
6.26	Continental Energy Corp.	No	\$1,001 - \$15,000		None (or less than \$201)
7	Fall Creek Management LLC (Capital Investment)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
7.1	T/A Associates SPF Fund IV	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
7.2	Two non-reportable assets	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
8	ENGAGEcx Common Stock	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	ENGAGEcx Credit Facility	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	U.S. Navy	Washington, District of Columbia	I will not participate in this defined contribution plan after my separation.	10/2017

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	Trust	N/A		Trust Distributions	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Appleton Partners Inc. Municipal Bonds				
1.1	ARIZONA BRD REGENTS (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2	METROPLITAN UTILS DIST OMAHA NEB	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	OHIO ST MAJOR NEW ST INFRASTRUCTURE PROJ (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.4	OHIO UNIVER GEN RCPTS ATHENS GEN RCPTS (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.5	PIERCE CNTY WASH SCH DIST NO 010	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.6	PALM BEACH CNTY FLA	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.7	MARICOPA CNTY ARIZ UN HIGH SCH DIST NO	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.8	ALBUQUERQUE N MEX	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.9	PENNSYLVANIA ST GO BDS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.10	MICHIGAN ST GO ENIV PROG REF BDS BDS SER	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.11	WITCHITA KANS WTR & SWR	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.12	UNIVERSITY CONN GO BDS SER	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.13	WASH ST VAR PURP	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.14	CEDAR RAPIDS IOWA GO BDS SER	N/A	\$100,001 - \$250,000	Interest	\$100,001 - \$1,000,000
1.15	PENNSYLVANIA ST TRP COMM TPK REV	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.16	ILLINOIS ST TOLL HWY AUTH TOLL HIGHWAY SENIOR REV BDS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	ATLANTA GA ARPT REV GEN	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.18	ARIZ ST CTFS PARTIN	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.19	WISCONSIN ST GO BONDS	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.20	UNIVERSITY ARK UNIV REV	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.21	NEW YORK NY	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.22	JACKSONVILLE FLA HEALTH CARE F	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	U.S. Bank 2 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. Brokerage Account (Cash)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
4	Trust 1 (Spouse)	No			
4.1	BNY Mellon Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.2	U.S. Bank 3	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	BNY Mellon Intermediate Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Dreyfus Yield Enhancement Strategy Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.5	BNY Mellon Tax-Sensitive Large Cap Multi-Strategy Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	BNY Mellon Mid Cap Multi-Strategy Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	BNY Mellon Small/Mid Cap Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Dreyfus Diversified International Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.9	Dreyfus Alternative Diver	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.10	BNY Mellon Income Stock Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Trust 2 (Spouse)	No			
5.1	Altria Group	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
5.2	Amgen, Inc.	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.3	Aqua Amer Inc.	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.4	Bank of Nova Scotia Canada CAD	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.5	BB&T Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.6	BCE Inc New CAD	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.7	Clorox Co	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
5.8	ConocoPhillips	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.9	Corning Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.10	CVS Health Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.11	Eversource Energy Com	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.12	Ford Motor Co COM NEW	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5.13	Halliburton Co.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.14	JP Morgan Chase & Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.15	Kimberly Clark Corp.	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.16	Lilly Eli & Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.17	Marathon Petroleum Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.18	Mondelez Int'l Inc.	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.19	Northwest Natural Gas Co	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.20	Phillip Morris International	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.21	Phillips 66	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.22	Realty Income Corp MD SBI	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5.23	RPM Intl	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.24	Southern Co.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.25	Unilever PLC AMER SHS NEW SPON	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.26	WP Carey Inc REIT	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.27	Walgreens Boots Alliance Inc.	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.28	First Trust Nat Gas ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.29	ISHARES MSCI PAC EX JAPAN ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.30	ISHARES SELECT DIVID ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.31	SPDR Total Stock Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.32	SPDR S&P Emerging Markets ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.33	American Funds Income Fund of America CL A	Yes	Over \$1,000,000		\$15,001 - \$50,000
5.34	US Bank 3 (Cash)	No	\$100,001 - \$250,000		None (or less than \$201)
5.35	American Funds International Growth & Income Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.36	American Funds AMCAP Fund, CL A	Yes	\$100,001 - \$250,000		\$201 - \$1,000
5.37	American Funds American Mutual Fund	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
5.38	American Funds Fundamental Investment Fund	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.39	American Funds Investment Company of America, CL A	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
5.40	American Funds Washington Mutual	Yes	Over \$1,000,000		\$15,001 - \$50,000
5.41	American Funds Capital Income Builder	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
5.42	Enbridge, Inc.	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.43	Chemours Co.	No	\$1,001 - \$15,000		None (or less than \$201)
5.44	Avanos Medical Inc.	No	\$1,001 - \$15,000		None (or less than \$201)
5.45	Nutrien	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6	Trust 3 (Spouse)	No			
6.1	Dreyfus Government Cash Management	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Ishares Barclays 1-3 Year Credit Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	Ishares Barclays Interim Gov/Credit	No	\$15,001 - \$50,000		\$201 - \$1,000
6.4	Vanguard Short-Term Inflation Protection Securities	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	PIMCO Income Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.6	Vanguard Intermediate Tax-Exempt	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	Dreyfus International Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	Templeton Global Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	Vanguard REIT Index ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	iShares Core S&P	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.11	iShares Russell 2000 Value Index (IWN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	Allianzgi NFJ International Value Institutional	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.13	Buffalo International Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	Franklin International Small Cap Growth Adv	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.15	iShares MSCI Eurozone	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.16	Thomas White International Fund CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	Vanguard FTSE Emerging Markets ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.18	SPDR Gold Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.19	Tortoise Energy Infrastructure	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.20	Loan to Family Member (Promissory Note)	No	\$15,001 - \$50,000		None (or less than \$201)
6.21	Lord Abbett Floating Rate	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Goldman Sachs Asian Private Equity Fund of Funds	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
8	US Bank	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Doughty Handon Fund	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Quotient Technology, Inc.	Sale	01/30/2019	\$1,001 - \$15,000
2	Aratana Therapeutics, Inc.	Sale	01/28/2019	\$1,001 - \$15,000
3	Prestige Consumer Healthcare, inc.	Purchase	03/19/2019	\$15,001 - \$50,000
4	Yeti Holdings, Inc.	Sale	03/19/2019	\$1,001 - \$15,000
5	Sientra, Inc.	Sale	03/15/2019	\$1,001 - \$15,000
6	Shotspotter, Inc.	Purchase	03/14/2019	\$1,001 - \$15,000
7	Inogen, Inc.	Sale	03/06/2019	\$15,001 - \$50,000
8	SunOpta, Inc.	Purchase	03/07/2019	\$1,001 - \$15,000
9	Nevro, Corp.	Sale	03/06/2019	\$15,001 - \$50,000
10	Sientra, Inc. - Common Stock (SIEN)	Sale	03/06/2019	\$15,001 - \$50,000
11	Walgreen Boots Alliance Inc.	Purchase	04/17/2019	\$15,001 - \$50,000
12	Cubic Corporation	Sale	04/03/2019	\$1,001 - \$15,000
13	Neuronetics, Inc.	Sale	04/03/2019	\$1,001 - \$15,000
14	Proofpoint, Inc. - Common Stock (PFPT)	Sale	04/03/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	Zoetis, Inc.	Sale	04/03/2019	\$50,001 - \$100,000
16	Quinnstreet, Inc.	Purchase	02/15/2019	\$1,001 - \$15,000
17	Inogen, Inc - Common Stock (INGN)	Sale	03/01/2019	\$1,001 - \$15,000
18	Roku	Sale	02/26/2019	\$50,001 - \$100,000
19	Quotient Technology Inc.	Sale	02/15/2019	\$1,001 - \$15,000
20	Boingo Wireless, Inc. - Common Stock (WIFI)	Purchase	06/04/2019	\$1,001 - \$15,000
21	NAPCO Security Technologies, Inc. - Common Stock (NSSC)	Purchase	06/04/2019	\$15,001 - \$50,000
22	Prestige Consumer Healthcare, Inc.	Purchase	06/04/2019	\$1,001 - \$15,000
23	SunOpta, Inc.	Purchase	06/04/2019	\$1,001 - \$15,000
24	Verra Mobility Corp.	Purchase	06/04/2019	\$1,001 - \$15,000
25	Boingo Wireless, Inc. - Common Stock (WIFI)	Purchase	05/16/2019	\$1,001 - \$15,000
26	Prestige Consumer Healthcare Inc.	Purchase	05/16/2019	\$1,001 - \$15,000
27	Verra Mobility Corp	Purchase	05/15/2019	\$15,001 - \$50,000
28	QuinStreet, Inc. - Common Stock (QNST)	Purchase	05/15/2019	\$15,001 - \$50,000
29	Fastly, Inc.	Purchase	06/26/2019	\$1,001 - \$15,000
30	Eventbrite, Inc.	Purchase	06/20/2019	\$15,001 - \$50,000
31	Activision Blizzard, Inc - Common Stock (ATVI)	Purchase	06/19/2019	\$15,001 - \$50,000
32	Argo Group International Holdings, Ltd. - Common Stock (AGII)	Purchase	06/19/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	Carbon Black, Inc.	Purchase	06/19/2019	\$15,001 - \$50,000
34	Fastly, Inc.	Purchase	06/19/2019	\$1,001 - \$15,000
35	Six Flags Entertainment Corporation	Purchase	06/19/2019	\$1,001 - \$15,000
36	UNIVERSITY COLO ENTERPRISE SYS REF REV B	Sale	04/18/2019	\$100,001 - \$250,000
37	FLORIDA ST BRD ED PUB ED	Sale	04/18/2019	\$100,001 - \$250,000
38	PENNSYLVANIA ST TPK COMMN TRP	Purchase	05/14/2019	\$15,001 - \$50,000
39	NEW YORK N Y	Purchase	05/21/2019	\$100,001 - \$250,000
40	ARIZONA ST CTFS PARTIN	Purchase	05/21/2019	\$100,001 - \$250,000
41	JACKSONVILLE FLA HEALTH CARE F	Purchase	06/06/2001	\$100,001 - \$250,000
42	WISCONSIN ST	Sale	05/21/2001	\$100,001 - \$250,000
43	UNIVERSITY ARK UNIV REV	Sale	05/21/2001	\$100,001 - \$250,000
44	Argo Group International Holdings LTD	Sale	07/31/2001	\$1,001 - \$15,000
45	Boingo Wireless, Inc.	Purchase	07/25/2001	\$1,001 - \$15,000
46	Six Flags Entertainment Corp	Purchase	07/24/2001	\$1,001 - \$15,000
47	QuinStreet, Inc. - Common Stock (QNST)	Purchase	07/15/2001	\$1,001 - \$15,000
48	Boingo Wireless, Inc. - Common Stock (WIFI)	Sale	07/15/2001	\$1,001 - \$15,000
49	SunOpta, Inc. - Common Stock (STKL)	Sale	07/15/2001	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
50	Upland Software, Inc.	Purchase	11/27/2019	\$15,001 - \$50,000
51	Vera Mobility	Sale	11/25/2019	\$15,001 - \$50,000
52	Eventbrite	Purchase	11/22/2019	\$1,001 - \$15,000
53	Fastly, Inc.	Purchase	11/22/2019	\$1,001 - \$15,000
54	Six Flags Entertainment Corp	Purchase	11/22/2019	\$1,001 - \$15,000
55	Dynatrace Inc.	Purchase	11/07/2019	\$1,001 - \$15,000
56	NAPCO Security Technologies, Inc. - Common Stock (NSSC)	Purchase	11/05/2019	\$1,001 - \$15,000
57	Smartsheet Inc.	Purchase	11/07/2019	\$1,001 - \$15,000
58	Tenable Holdings Inc.	Purchase	11/07/2019	\$1,001 - \$15,000
59	Shotspotter, Inc.	Purchase	09/26/2019	\$1,001 - \$15,000
60	Docusign, Inc.	Sale	09/13/2019	\$50,001 - \$100,000
61	Quinnstreet, Inc.	Sale	09/10/2019	\$1,001 - \$15,000
62	Kemper Corp Del	Sale	09/05/2019	\$15,001 - \$50,000
63	Eventbrite, Inc.	Purchase	08/15/2019	\$1,001 - \$15,000
64	Fastly, Inc.	Purchase	08/15/2019	\$1,001 - \$15,000
65	NOVANTA INC	Purchase	08/15/2019	\$1,001 - \$15,000
66	Tenable Holdings, Inc.	Purchase	08/14/2019	\$15,001 - \$50,000
67	Carbon Black, Inc.	Sale	08/27/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	Quinstreet Inc.	Sale	08/13/2019	\$15,001 - \$50,000
69	Shotspotter, Inc.	Sale	08/09/2019	\$1,001 - \$15,000
70	Activision Blizzard, Inc.	Sale	08/07/2019	\$15,001 - \$50,000
71	Tenable Holdings Inc.	Purchase	11/04/2019	\$1,001 - \$15,000
72	Dynatrace Inc.	Purchase	10/16/2019	\$15,001 - \$50,000
73	Smartsheet Inc.	Purchase	10/16/2019	\$15,001 - \$50,000
74	Zendesk Inc.	Purchase	10/16/2019	\$15,001 - \$50,000
75	Proto Labs Inc.	Sale	10/29/2019	\$1,001 - \$15,000
76	Boingo Wireless Inc.	Sale	10/16/2019	\$1,001 - \$15,000
77	SUNOPTA Inc.	Sale	10/16/2019	\$1,001 - \$15,000
78	Miami-Dade CNTY FLA GO BDS BUILDING BETTER CMNTYS PROG	Sale	11/06/2019	\$15,001 - \$50,000
79	ATLANTA GA ARPT REV GEN REF BDS 2019E	Purchase	10/29/2019	\$100,001 - \$250,000
80	ILLINOIS ST TOLL HWY AUTH TOLL HIGHWAY SENIOR REV BDS 2014	Sale	09/30/2019	\$100,001 - \$250,000
81	PENNSYLVANIA ST TPK COMMN TPK	Purchase	05/16/2019	\$15,001 - \$50,000
82	NEW YORK NY	Purchase	05/16/2019	\$100,001 - \$250,000
83	ARIZONA ST CTFS PARTIN	Purchase	05/23/2019	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
84	JACKSONVILLE FLA HEALTH CARE F	Purchase	06/10/2019	\$100,001 - \$250,000
85	UNIVERSITY COLO ENTERPRISE SYS REF REV B	Sale	04/23/2019	\$100,001 - \$250,000
86	FLORIDA ST BRD ED PUB ED	Sale	04/23/2019	\$50,001 - \$100,000
87	WISCONSIN ST	Sale	05/23/2019	\$100,001 - \$250,000
88	UNIVERSITY ARK UNIV REV	Sale	05/23/2019	\$100,001 - \$250,000
89	BNY Mellon Small/Mid Cap Fund	Sale	02/15/2019	\$1,001 - \$15,000
90	Dreyfus Yield Enhancement Strategy Fund	Sale	02/15/2019	\$1,001 - \$15,000
91	BNY Mellon Tax-Sensitive Large Cap Multi-Strategies Fund	Sale	02/15/2019	\$1,001 - \$15,000
92	Dreyfus Diversified International Fund	Sale	02/15/2019	\$1,001 - \$15,000
93	BNY Mellon Bond Fund	Purchase	02/15/2019	\$1,001 - \$15,000
94	BNY Mellon Intermediate Bond Fund	Purchase	02/15/2019	\$1,001 - \$15,000
95	Zendesk	Purchase	10/14/2019	\$15,001 - \$50,000
96	Airgain, Inc.	Sale	11/26/2019	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Fidelity Management	Margin Account	\$250,001 - \$500,000	2015	Floating Rate	On Demand

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	One Love Foundation	Bronxville, New York	Personal attendance at Love Dinner for filer and spouse (\$1,000 per person), plus an award.	\$2000

Endnotes

PART	#	ENDNOTE
2.	6	Self-employed 401K

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. 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 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 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 13770 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.

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