

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

ZAIS, MITCHELL

DEPUTY SECRETARY, Department of Education

Date of Termination: 01/20/2021

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/ ZAIS, MITCHELL [electronically signed on 02/16/2021 by ZAIS, MITCHELL 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/ GOODRIDGE-KEILLER, MARCELLA, Certifying Official [electronically signed on 09/20/2021 by GOODRIDGE-KEILLER, MARCELLA in Integrity.gov]

Other review conducted by

/s/ WONG, SHUN YIU, Ethics Official [electronically signed on 09/17/2021 by WONG, SHUN YIU in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 09/17/2021

Data Revised 09/14/2021

Data Revised 08/16/2021

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	Fidelity Traditional IRA...389	No			
1.1	Fidelity Government Cash Reserves (FDRXX) See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
1.2	JPMorgan Equity Income Fund Class A Shares (OIEIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	Fidelity Traditional IRA ...151	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	iShares Core High Dividend ETF (HDV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	iShares Core International Aggregate Bond ETF (IAGG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Cambria Tail Risk ETF (TAIL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Invesco S&P 500 Equal Weight ETF (RSP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	iShares MSCI Emerging Markets ex China ETF (EMXC)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	iShares Core MSCI Europe ETF (IEUR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Pacer Trendpilot US Bond ETF (PTBD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Invesco Actively Managed ETF FD (PDBC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	iShares US Real Estate ETF (IYR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	The Charles Schwab Roth IRA	No			
3.1	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.2	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Berkshire Hathaway Inc. (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	General Motors Co. (GM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	Markel Corp. (MKL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.10	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	Raytheon Co. (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	tc Energy Corp (TRP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	Verizon Communications, Inc. (VZ)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.15	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	Schwab US Mid-Cap ETF (SCHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	First TrustNorth American Energy Infrastructure Fund (EMLP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	Invesco S&P 500 Equal Weight Health Care ETF (RYH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.21	Invesco S&P 500 Equal Weight Materials ETF (RTM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	PIMCO Investment Grade Corporate Bond Index Exchange-Traded Fund (CORP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.23	SchwabEmerging Markets Equity ETF (SCHE)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.24	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.25	Schwab US Small-Cap ETF (SCHA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.26	Gaming & Leisure Properties, Inc. (GLPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.27	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Charles Schwab Traditional IRA	No			
4.1	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	Berkshire Hathaway Inc. (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.5	General Motors Co. (GM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.6	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.7	Markel Corp. (MKL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.8	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.9	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.10	Raytheon Co. (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.11	TC Energy Corp (TRP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.12	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.13	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.14	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.15	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.16	Schwab US Mid-Cap ETF (SCHM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.17	First TrustNorth American Energy Infrastructure Fund (EMLP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.18	Invesco S&P 500 Equal Weight Health Care ETF (RYH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.19	Invesco S&P 500 Equal Weight Materials ETF (RTM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.20	SchwabEmerging Markets Equity ETF (SCHE)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.21	Schwab International Equity (SCHF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.22	Schwab US Small-Cap ETF (SCHA)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.23	Gaming & Leisure Properties, Inc. (GLPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.24	General Mills, Inc. (GIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Charles Schwab Managed Account	No	\$500,001 - \$1,000,000	Capital Gains Interest	\$15,001 - \$50,000
5.1	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	Ares Capital Corp (ARCC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	Blackstone Group Inc (BX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.5	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.6	ConocoPhillips (COP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.7	Corning, Inc. (GLW)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.8	Enbridge Inc. (ENB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	FNFV Group (FNF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	General Motors Co. (GM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.11	Golub Capital BDC Inc (GBDC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.12	International Paper Co. (IP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.13	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.14	Eli Lilly & Co. (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	Medtronic Plc (MDT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.16	Mercury General Corp. (MCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	Pub Svc Enterprise GP (PEG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.19	Raytheon Technologies Co (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.20	Seagate Technology Plc (STX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.21	Sysco Corp. (SYU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	TC Energy Group (TRP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.24	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.25	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.26	The Williams Cos., Inc. (WMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	Schwab US Mid-Cap ETF (SCHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.28	Schwab Emerging Markets Equity ETF (SCHE)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.29	Schwab International Equity ETF (SCHF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.30	Schwab US Small Cap ETF (CHSA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.31	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.32	Gaming & Leisure Properties, Inc. (GLPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.33	NextEra Energy Partne LP (NEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.34	Weyerhaeuser Co. (WY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.35	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.36	Vodafone Group (VOD)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.37	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.38	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.39	Emerging Markets Fund Institutional Class Shares (DEMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.40	Dow, Inc. (DOW)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.41	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.42	General Motors Co. (GM)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.43	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.44	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.45	Hartford Schrodgers Emerging Markets Equity Fund Class F Shares (HHHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.46	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.47	Mercury General Corp. (MCY)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.48	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.49	TCWEmerging Markets Income Fund Class I Shares (TGEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.50	Total SE F Sponsored ADR (TOT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.51	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.52	USAA Managed Allocation Fund (UMAFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.53	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.54	WestRock Co. (WRK)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.55	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.56	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.57	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.58	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.59	Hartford Schrodgers Emerging Markets Equity Fund Class F Shares (HHHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.60	USAA Managed Allocation Fund (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.61	A T & T Inc (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.62	3M Co. (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.63	First TrustNorth American Energy Infrastructure Fund (EMLP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.64	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.65	Templeton Global Income (GIM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.66	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.67	TCWEmerging Markets Income Fund Class I Shares (TGEIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
6	Fidelity IRA ...564	No			
6.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	PzenaEmerging Markets Value Fund Investor Class Shares (PZVEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	WCM Focused International Growth Fund Investor Class Shares (WCMRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	North Star Dividend Fund Class I Shares (NSDVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	North Star Opportunity Fund Class A Shares (NSOPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Lord Abbett Short Duration Income Fund Class A Shares (LALDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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	Coldwell Banker Realty (Residential Realtor)	N/A		Commissions on sales	
2	Charles Schwab Roth IRA	No			
2.1	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Berkshire Hathaway Inc. (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	General Motors Co. (GM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	Markel Corp. (MKL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Raytheon Co. (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	TC Energy Corp (TRP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	Verizon Communications, Inc. (VZ)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
2.15	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.18	Schwab US Mid-Cap ETF (SCHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.19	First TrustNorth American Energy Infrastructure Fund (EMLP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	Invesco S&P 500 Equal Weight Health Care ETF (RYH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	Invesco S&P 500 Equal Weight Materials ETF (RTM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	PIMCO Investment Grade Corporate Bond Index Exchange-Traded Fund (CORP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	SchwabEmerging Markets Equity ETF (SCHE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	Schwab Emerging Markets Equity ETF (SCHE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	Gaming & Leisure Properties, Inc. (GLPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Charles Schwab Traditional IRA	No			
3.1	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Berkshire Hathaway Inc. (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.7	General Motors Co. (GM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	Markel Corp. (MKL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	Raytheon Co. (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	TC Energy Corp (TRP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	Verizon Communications, Inc. (VZ)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.15	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	Schwab US Mid-Cap ETF (SCHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	First TrustNorth American Energy Infrastructure Fund (EMLP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	Invesco S&P 500 Equal Weight Health Care ETF (RYH)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.21	Invesco S&P 500 Equal Weight Materials ETF (RTM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	PIMCO Investment Grade Corporate Bond Index Exchange-Traded Fund (CORP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.23	Schwab Emerging Markets Equity ETF (SCHE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.24	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.25	Schwab US Small-Cap ETF (SCHA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.26	Gaming & Leisure Properties, Inc. (GLPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Truest Bank (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	AAFMAA Life Insurance, whole life	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Philatelic Collection	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Allianz Life Insurance Company of North America, fixed annuity	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	OneAmerica, American United Life Insurance Company, whole life	N/A	\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Carnival Corp (CCL)	Sale	04/12/2019	\$1,001 - \$15,000
2	Royal Caribbean Cruises Ltd (RCL)	Purchase	04/12/2019	\$1,001 - \$15,000
3	Applied Materials, Inc. - Common Stock (AMAT)	Purchase	07/03/2019	\$1,001 - \$15,000
4	CBS Corp B (CBS)	Purchase	07/03/2019	\$1,001 - \$15,000
5	Ameriprise Financial Inc Com (AMP)	Purchase	07/03/2019	\$1,001 - \$15,000
6	Exxon Mobil Corp (XOM)	Purchase	07/03/2019	\$1,001 - \$15,000
7	Intuit Inc. - Common Stock (INTU)	Purchase	07/03/2019	\$1,001 - \$15,000
8	International Business Machines Corporation (IBM)	Purchase	07/03/2019	\$1,001 - \$15,000
9	Omnicom Group (OMC)	Purchase	07/03/2019	\$1,001 - \$15,000
10	T. Rowe Price Group, Inc. - Common Stock (TROW)	Purchase	07/03/2019	\$1,001 - \$15,000
11	Apple Inc. - Common Stock (AAPL)	Purchase	07/05/2019	\$1,001 - \$15,000
12	Quest Diagnostics Incorporated (DGX)	Purchase	07/03/2019	\$1,001 - \$15,000
13	Discover Financial Services (DFS)	Purchase	07/05/2019	\$1,001 - \$15,000
14	Lam Research Corporation - Common Stock (LRCX)	Purchase	07/05/2019	\$1,001 - \$15,000
15	Accenture plc (ACN)	Purchase	07/10/2019	\$1,001 - \$15,000
16	Verizon Communications Inc (VZ)	Purchase	07/05/2019	\$1,001 - \$15,000
17	Lowe's Companies, Inc. (LOW)	Purchase	07/05/2019	\$1,001 - \$15,000
18	AmerisourceBergen Corp (ABC)	Purchase	07/10/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
19	Cardinal Health Inc (CAH)	Purchase	07/10/2019	\$1,001 - \$15,000
20	Chevron Corp (CVX)	Purchase	07/10/2019	\$1,001 - \$15,000
21	Ford Motor Company (F)	Purchase	07/10/2019	\$1,001 - \$15,000
22	Dominion Energy, Inc. (D)	Purchase	07/10/2019	\$1,001 - \$15,000
23	Genuine Parts Company (GPC)	Purchase	07/10/2019	\$1,001 - \$15,000
24	Philip Morris International (PM)	Purchase	07/10/2019	\$1,001 - \$15,000
25	Target Corporation (TGT)	Purchase	07/10/2019	\$1,001 - \$15,000
26	Regions Financial Corp (RF)	Purchase	07/10/2019	\$1,001 - \$15,000
27	American Express Co (AXP)	Purchase	07/11/2019	\$1,001 - \$15,000
28	Cummins Inc (CMI)	Purchase	07/11/2019	\$1,001 - \$15,000
29	Illinois Tool Works Inc (ITW)	Purchase	07/11/2019	\$1,001 - \$15,000
30	Oracle Corporation (ORCL)	Purchase	07/11/2019	\$1,001 - \$15,000
31	Baxter International Inc. (BAX)	Purchase	07/12/2019	\$1,001 - \$15,000
32	Royal Caribbean Cruises Ltd. (RCL)	Sale	07/03/2019	\$1,001 - \$15,000
33	M&T Bank Corporation (MTB)	Purchase	07/12/2019	\$1,001 - \$15,000
34	Bank of America Corp (BAC)	Sale	07/03/2019	\$1,001 - \$15,000
35	KeyCorp (KEY)	Sale	07/03/2019	\$1,001 - \$15,000
36	Magna International, Inc. (MGA)	Sale	07/03/2019	\$1,001 - \$15,000
37	CVS Health Corporation (CVS)	Sale	07/03/2019	\$1,001 - \$15,000
38	Xilinx Inc (XLNX)	Sale	07/03/2019	\$1,001 - \$15,000
39	ConocoPhillips (COP)	Sale	07/05/2019	\$1,001 - \$15,000
40	McDonald's Corporation (MCD)	Sale	07/05/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
41	Unilever NV Euro (UN)	Sale	07/05/2019	\$1,001 - \$15,000
42	Microsoft Corp (MSFT)	Sale	07/05/2019	\$1,001 - \$15,000
43	Medtronic PLC (MDT)	Sale	07/10/2019	\$1,001 - \$15,000
44	Boeing Company	Sale	07/10/2019	\$1,001 - \$15,000
45	CME Group Inc. - Class A Common Stock (CME)	Sale	07/10/2019	\$1,001 - \$15,000
46	Bristol-Myers Squibb Company (BMY)	Sale	07/10/2019	\$1,001 - \$15,000
47	PepsiCo Inc (PEP)	Sale	07/10/2019	\$1,001 - \$15,000
48	United Technologies Corp (UTX)	Sale	07/10/2019	\$1,001 - \$15,000
49	Comcast Corporation - Class A Common Stock (CMCSA)	Sale	07/11/2019	\$1,001 - \$15,000
50	AT&T Inc.	Sale	07/11/2019	\$1,001 - \$15,000
51	Lockheed Martin Corporation (LMT)	Sale	07/11/2019	\$1,001 - \$15,000
52	NextEra Energy, Inc. (NEE)	Sale	07/11/2019	\$1,001 - \$15,000
53	Amgen Inc (AMGN)	Purchase	08/30/2019	\$1,001 - \$15,000
54	Essex Rental Corporation - Common Stock (ESSX)	Purchase	08/30/2019	\$1,001 - \$15,000
55	Intuit Inc. - Common Stock (INTU)	Sale	08/30/2019	\$1,001 - \$15,000
56	Johnson & Johnson (JNJ)	Sale	08/30/2019	\$1,001 - \$15,000
57	Intuit Inc (INTU)	Sale	09/04/2019	\$1,001 - \$15,000
58	Amgen Inc (AMGN)	Purchase	09/04/2019	\$1,001 - \$15,000
59	Essex Rental Corporation - Common Stock (ESSX)	Purchase	09/04/2019	\$1,001 - \$15,000
60	Johnson & Johnson (JNJ)	Sale	09/04/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
61	Bristol-meyers squibb co com	Purchase	10/29/2019	\$1,001 - \$15,000
62	Boeing Co Com	Purchase	10/29/2019	\$1,001 - \$15,000
63	Cbs corp new cl b discretion	Sale	10/29/2019	\$1,001 - \$15,000
64	Disney walt co discretion	Purchase	10/29/2019	\$1,001 - \$15,000
65	The Hershey Co. (HSY)	Purchase	06/22/2020	\$1,001 - \$15,000
66	ConocoPhillips (COP)	Purchase	06/22/2020	\$1,001 - \$15,000
67	Broadcom, Inc. (AVGO)	Purchase	06/22/2020	\$1,001 - \$15,000
68	Raytheon Co. (RTN)	Sale	06/22/2020	\$1,001 - \$15,000
69	Schwab Government Money Fund	Purchase	05/27/2020	\$15,001 - \$50,000
70	Schwab Government Money Fund	Purchase	05/27/2020	\$1,001 - \$15,000
71	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	06/12/2020	\$1,001 - \$15,000
72	USAA Income Fund Institutional Shares (UIINX)	Purchase	06/12/2020	\$1,001 - \$15,000
73	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	06/12/2020	\$1,001 - \$15,000
74	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	06/12/2020	\$1,001 - \$15,000
75	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	06/12/2020	\$1,001 - \$15,000
76	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Purchase	06/12/2020	\$1,001 - \$15,000
77	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Purchase	06/12/2020	\$1,001 - \$15,000
78	Harding Loevner International Equity Portfolio	Purchase	06/12/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
79	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	06/12/2020	\$1,001 - \$15,000
80	USAA Managed Allocation Fund (UMAFX)	Purchase	06/12/2020	\$1,001 - \$15,000
81	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	06/12/2020	\$1,001 - \$15,000
82	Schwab Government Money Fund	Purchase	05/27/2020	\$1,001 - \$15,000
83	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	06/12/2020	\$1,001 - \$15,000
84	USAA High Income Fund INSTL (UIHIX)	Purchase	03/25/2020	\$1,001 - \$15,000
85	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	03/25/2020	\$1,001 - \$15,000
86	ISHARES Trust Core MSCI EAFE ETF (IEFA)	Purchase	03/26/2020	\$1,001 - \$15,000
87	AQR Small Cap Multi Style FD CL (QSMLX)	Sale	03/19/2020	\$1,001 - \$15,000
88	ISHARES TR Barclays 7 10 YR (IEF)	Sale	03/21/2020	\$1,001 - \$15,000
89	AT&T INC COM USD1 (T)	Purchase	05/14/2020	\$1,001 - \$15,000
90	Apple INC Com (AAPL)	Sale	05/14/2020	\$1,001 - \$15,000
91	Boeing co com (BA)	Sale	05/14/2020	\$1,001 - \$15,000
92	Baird Core Plus Bond (BCOIX)	Purchase	05/06/2020	\$1,001 - \$15,000
93	American Beacon AHL Managed Futures Strategy F (AHLIX)	Purchase	05/06/2020	\$1,001 - \$15,000
94	Goldman Sachs International Small Cap Insights Fund (GICIX)	Purchase	05/06/2020	\$1,001 - \$15,000
95	Harding Loevner International Equity Portfolio (HLMIX)	Purchase	05/06/2020	\$1,001 - \$15,000
96	USAA Managed Allocation Fund (UMAFX)	Purchase	05/06/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
97	USAA Income Fund Institutional Shares (UIINX)	Purchase	05/06/2020	\$1,001 - \$15,000
98	Vanguard Growth and Income Fund Admiral Shares (VGIAX)	Purchase	05/06/2020	\$1,001 - \$15,000
99	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	05/06/2020	\$1,001 - \$15,000
100	American Beacon International Equity Fund Class Y (ABEYX)	Purchase	05/06/2020	\$1,001 - \$15,000
101	Baird Core Plus Bond Fund (BCOIX)	Purchase	05/18/2020	\$1,001 - \$15,000
102	Goldman Sachs International Small Cap Insights Fund (GICIX)	Purchase	05/18/2020	\$1,001 - \$15,000
103	Harding Loevner International Equity Portfolio (HLMIX)	Purchase	05/18/2020	\$1,001 - \$15,000
104	USAA Managed Allocation Fund (UMAFX)	Purchase	05/18/2020	\$1,001 - \$15,000
105	USAA Income Fund Institutional Shares (UIINX)	Purchase	05/18/2020	\$1,001 - \$15,000
106	Victory Sycamore Established Value Fund Class R Shares (GETGX)	Purchase	05/18/2020	\$1,001 - \$15,000
107	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	05/18/2020	\$1,001 - \$15,000
108	Exelon Corporation (EXC)	Purchase	04/02/2020	\$1,001 - \$15,000
109	The Travelers Cos., Inc. (TRV)	Purchase	04/02/2020	\$1,001 - \$15,000
110	Tyson Foods, Inc. (TSN)	Purchase	04/02/2020	\$1,001 - \$15,000
111	Quest Diagnostics, Inc. (DGX)	Sale	04/02/2020	\$1,001 - \$15,000
112	WEC Energy Group, Inc. (WEC)	Sale	04/02/2020	\$1,001 - \$15,000
113	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Purchase	04/03/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
114	iShares Core MSCI EAFE ETF (IEFA)		Sale	04/03/2020	\$1,001 - \$15,000
115	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)		Purchase	04/24/2020	\$1,001 - \$15,000
116	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)		Purchase	04/24/2020	\$1,001 - \$15,000
117	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)		Purchase	04/24/2020	\$1,001 - \$15,000
118	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)		Purchase	04/24/2020	\$1,001 - \$15,000
119	American Beacon International Equity Fund Class Y Shares (ABEYX)		Sale	04/24/2020	\$1,001 - \$15,000
120	USAA Income Fund Institutional Class Shares (UIINX)		Purchase	04/24/2020	\$1,001 - \$15,000
121	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)		Sale	04/24/2020	\$1,001 - \$15,000
122	AT&T INC COM USD1 (T)		Purchase	05/12/2020	\$1,001 - \$15,000
123	Apple, Inc. (AAPL)		Sale	05/12/2020	\$1,001 - \$15,000
124	Broadcom, Inc. (AVGO)	See Endnote	Purchase	06/22/2020	\$1,001 - \$15,000
125	ConocoPhillips (COP)	See Endnote	Purchase	06/22/2020	\$1,001 - \$15,000
126	Schwab Government Money Fund Sweep Class Shares (SWGXX)		Purchase	05/27/2020	\$1,001 - \$15,000
127	The Hershey Co. (HSY)	See Endnote	Purchase	06/22/2020	\$1,001 - \$15,000
128	Russell Tax-Managed Real Assets Fund Class A Shares (RTXAX)		Sale	06/24/2020	\$1,001 - \$15,000
129	Broadcom, Inc. (AVGO)		Purchase	06/24/2020	\$1,001 - \$15,000
130	ConocoPhillips (COP)		Purchase	06/24/2020	\$1,001 - \$15,000
131	The Hershey Co. (HSY)	See Endnote	Purchase	06/22/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
132	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	09/15/2020	\$1,001 - \$15,000
133	Russell Tax-Managed Real Assets Fund Class A Shares (RTXAX)	Sale	06/22/2020	\$1,001 - \$15,000
134	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	09/15/2020	\$1,001 - \$15,000
135	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Sale	09/08/2020	\$1,001 - \$15,000
136	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	09/15/2020	\$1,001 - \$15,000
137	Delaware Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	09/09/2020	\$1,001 - \$15,000
138	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Purchase	09/14/2020	\$1,001 - \$15,000
139	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	09/15/2020	\$1,001 - \$15,000
140	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Purchase	09/14/2020	\$1,001 - \$15,000
141	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Purchase	09/15/2020	\$1,001 - \$15,000
142	Harding Loevner International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	09/14/2020	\$1,001 - \$15,000
143	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	09/14/2020	\$1,001 - \$15,000
144	Hartford Schroders Emerging Markets Equity Fund Class F Shares (HHHFX)	Purchase	09/14/2020	\$1,001 - \$15,000
145	USAA Managed Allocation Fund (UMAFX)	Purchase	09/14/2020	\$1,001 - \$15,000
146	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	09/15/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
147	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	09/14/2020	\$1,001 - \$15,000
148	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Purchase	07/22/2020	\$1,001 - \$15,000
149	iShares Core 1-5 Year USD Bond ETF (ISTB)	Purchase	07/24/2020	\$1,001 - \$15,000
150	American beacon intl equity y	Purchase	05/06/2020	\$1,001 - \$15,000
151	Baird Core Plus Bond Fund Investor Class Shares (BCOSX)	Purchase	05/06/2020	\$1,001 - \$15,000
152	Goldman Sachs intrnat sm cap	Purchase	05/06/2020	\$1,001 - \$15,000
153	Harding loevner intl equity port	Purchase	05/06/2020	\$1,001 - \$15,000
154	USAA Managed Allocation Fund (UMAFX)	Purchase	05/06/2020	\$1,001 - \$15,000
155	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	05/06/2020	\$1,001 - \$15,000
156	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	05/06/2020	\$1,001 - \$15,000
157	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	05/06/2020	\$1,001 - \$15,000
158	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	05/06/2020	\$1,001 - \$15,000
159	American Beacon International Equity Fund Class R5 Shares (AAIEX)	Purchase	05/06/2020	\$1,001 - \$15,000
160	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	05/18/2020	\$1,001 - \$15,000
161	Goldman Sachs intrnat sm cap	Purchase	05/18/2020	\$1,001 - \$15,000
162	Harding loevner intl equity port	Purchase	05/18/2020	\$1,001 - \$15,000
163	USAA Managed Allocation Fund (UMAFX)	Purchase	05/18/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
164	USAA Growth & Income Fund Institutional Class Shares (UIGIX)	Purchase	05/18/2020	\$1,001 - \$15,000
165	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	05/18/2020	\$1,001 - \$15,000
166	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	05/18/2020	\$1,001 - \$15,000
167	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Purchase	06/12/2020	\$1,001 - \$15,000
168	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	06/12/2020	\$1,001 - \$15,000
169	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Purchase	06/12/2020	\$1,001 - \$15,000
170	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	06/12/2020	\$1,001 - \$15,000
171	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	06/12/2020	\$1,001 - \$15,000
172	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	06/12/2020	\$1,001 - \$15,000
173	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	06/12/2020	\$1,001 - \$15,000
174	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Purchase	05/27/2020	\$1,001 - \$15,000
175	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	06/12/2020	\$1,001 - \$15,000
176	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	06/12/2020	\$1,001 - \$15,000
177	USAA Managed Allocation Fund (UMAFX)	Purchase	06/12/2020	\$1,001 - \$15,000
178	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	06/12/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
179	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	06/12/2020	\$1,001 - \$15,000
180	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	06/12/2020	\$1,001 - \$15,000
181	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	04/03/2020	\$1,001 - \$15,000
182	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	04/03/2020	\$1,001 - \$15,000
183	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	04/03/2020	\$1,001 - \$15,000
184	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	04/03/2020	\$1,001 - \$15,000
185	USAA Managed Allocation Fund (UMAFX)	Purchase	04/03/2020	\$1,001 - \$15,000
186	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	04/03/2020	\$1,001 - \$15,000
187	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	04/03/2020	\$1,001 - \$15,000
188	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	04/03/2020	\$1,001 - \$15,000
189	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	04/21/2020	\$1,001 - \$15,000
190	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	04/21/2020	\$1,001 - \$15,000
191	USAA Managed Allocation Fund (UMAFX)	Purchase	04/21/2020	\$1,001 - \$15,000
192	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	04/21/2020	\$1,001 - \$15,000
193	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	04/21/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
194	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	04/21/2020	\$1,001 - \$15,000
195	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	04/21/2020	\$1,001 - \$15,000
196	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	04/21/2020	\$1,001 - \$15,000
197	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	04/21/2020	\$1,001 - \$15,000
198	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	07/15/2020	\$1,001 - \$15,000
199	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	07/15/2020	\$1,001 - \$15,000
200	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	07/15/2020	\$1,001 - \$15,000
201	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	07/15/2020	\$1,001 - \$15,000
202	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Purchase	07/15/2020	\$1,001 - \$15,000
203	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	07/15/2020	\$1,001 - \$15,000
204	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Purchase	07/15/2020	\$1,001 - \$15,000
205	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	07/15/2020	\$1,001 - \$15,000
206	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	07/15/2020	\$1,001 - \$15,000
207	USAA Managed Allocation Fund (UMAFX)	Purchase	07/15/2020	\$1,001 - \$15,000
208	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	07/15/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
209	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	07/15/2020	\$1,001 - \$15,000
210	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Purchase	07/15/2020	\$1,001 - \$15,000
211	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	07/22/2020	\$1,001 - \$15,000
212	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	07/22/2020	\$1,001 - \$15,000
213	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	07/31/2020	\$1,001 - \$15,000
214	USAA High Income Fund Institutional Class Shares (UIHIX)	Purchase	07/31/2020	\$1,001 - \$15,000
215	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	07/31/2020	\$1,001 - \$15,000
216	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	07/31/2020	\$1,001 - \$15,000
217	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	08/19/2020	\$1,001 - \$15,000
218	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	08/19/2020	\$1,001 - \$15,000
219	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	08/19/2020	\$1,001 - \$15,000
220	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Purchase	07/31/2020	\$1,001 - \$15,000
221	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	07/31/2020	\$1,001 - \$15,000
222	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Purchase	07/31/2020	\$1,001 - \$15,000
223	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	07/31/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
224	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	07/31/2020	\$1,001 - \$15,000
225	Hartford Schroders Emerging Markets Equity Fund Class F Shares (HHHFX)	Purchase	07/31/2020	\$1,001 - \$15,000
226	USAA Managed Allocation Fund (UMAFX)	Purchase	07/31/2020	\$1,001 - \$15,000
227	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	07/31/2020	\$1,001 - \$15,000
228	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	07/31/2020	\$1,001 - \$15,000
229	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Purchase	07/31/2020	\$1,001 - \$15,000
230	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	07/31/2020	\$1,001 - \$15,000
231	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Purchase	08/19/2020	\$1,001 - \$15,000
232	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	08/19/2020	\$1,001 - \$15,000
233	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	08/19/2020	\$1,001 - \$15,000
234	Hartford Schroders Emerging Markets Equity Fund Class F Shares (HHHFX)	Purchase	08/19/2020	\$1,001 - \$15,000
235	USAA Managed Allocation Fund (UMAFX)	Purchase	08/19/2020	\$1,001 - \$15,000
236	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	08/19/2020	\$1,001 - \$15,000
237	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	08/19/2020	\$1,001 - \$15,000
238	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	09/14/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
239	USAA Income Fund Institutional Class Shares (UIINX)	Purchase	09/14/2020	\$1,001 - \$15,000
240	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Purchase	09/14/2020	\$1,001 - \$15,000
241	Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	09/14/2020	\$1,001 - \$15,000
242	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Sale	09/08/2020	\$1,001 - \$15,000
243	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Purchase	09/14/2020	\$1,001 - \$15,000
244	American Beacon International Equity Fund Class Y Shares (ABEYX)	Purchase	09/14/2020	\$1,001 - \$15,000
245	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Purchase	09/14/2020	\$1,001 - \$15,000
246	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Purchase	09/14/2020	\$1,001 - \$15,000
247	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Purchase	09/14/2020	\$1,001 - \$15,000
248	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	09/14/2020	\$1,001 - \$15,000
249	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Purchase	09/14/2020	\$1,001 - \$15,000
250	Hartford Schrodgers Emerging Markets Equity Fund Class F Shares (HHHFX)	Purchase	09/14/2020	\$1,001 - \$15,000
251	USAA Managed Allocation Fund (UMAFX)	Purchase	09/14/2020	\$1,001 - \$15,000
252	Vanguard Growth & Income Fund Admiral Shares (VGIAIX)	Purchase	09/14/2020	\$1,001 - \$15,000
253	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	09/14/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
254	T	Purchase	10/15/2020	\$1,001 - \$15,000
255	Ares capital corp	Purchase	10/15/2020	\$1,001 - \$15,000
256	Dow, Inc. (DOW)	Purchase	10/15/2020	\$1,001 - \$15,000
257	Exxon Mobil Corp. (XOM)	Purchase	10/15/2020	\$1,001 - \$15,000
258	General Mills, Inc. (GIS)	Purchase	10/15/2020	\$1,001 - \$15,000
259	General Motors Co. (GM)	Purchase	10/15/2020	\$1,001 - \$15,000
260	Golub capital BDOC inc	Purchase	10/15/2020	\$1,001 - \$15,000
261	International Paper Co. (IP)	Purchase	10/15/2020	\$1,001 - \$15,000
262	Mercury General Corp. (MCY)	Purchase	10/15/2020	\$1,001 - \$15,000
263	Phillips 66 (PSX)	Purchase	10/15/2020	\$1,001 - \$15,000
264	Seagate Technology Plc (STX)	Purchase	10/15/2020	\$1,001 - \$15,000
265	Sysco Corp. (SYU)	Purchase	10/15/2020	\$1,001 - \$15,000
266	TC energy corp	Purchase	10/15/2020	\$1,001 - \$15,000
267	TempletonGlobal Income Fund (GIM)	Purchase	10/15/2020	\$1,001 - \$15,000
268	Total s e disc coml	Purchase	10/15/2020	\$1,001 - \$15,000
269	U.S. Bancorp (USB)	Purchase	10/15/2020	\$1,001 - \$15,000
270	Verizon Communications, Inc. (VZ)	Purchase	10/15/2020	\$1,001 - \$15,000
271	VOD	Purchase	10/15/2020	\$1,001 - \$15,000
272	WestRock Co. (WRK)	Purchase	10/15/2020	\$1,001 - \$15,000
273	3M Co. (MMM)	Purchase	10/15/2020	\$1,001 - \$15,000
274	First TrustNorth American Energy Infrastructure Fund (EMLP)	Purchase	10/15/2020	\$1,001 - \$15,000
275	(Qual)	Purchase	10/15/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
276	USAA High Income Fund Institutional Class Shares (UIHIX)	Purchase	10/15/2020	\$1,001 - \$15,000
277	USAA Income Fund Institutional Class Shares (UIINX)	Sale	10/15/2020	\$50,001 - \$100,000
278	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Sale	10/15/2020	\$1,001 - \$15,000
279	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Sale	10/15/2020	\$15,001 - \$50,000
280	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Sale	10/15/2020	\$1,001 - \$15,000
281	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Sale	10/15/2020	\$1,001 - \$15,000
282	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)	Purchase	10/15/2020	\$1,001 - \$15,000
283	American Beacon International Equity Fund Class Y Shares (ABEYX)	Sale	10/20/2020	\$15,001 - \$50,000
284	Gaming & Leisure Properties, Inc. (GLPI)	Purchase	10/15/2020	\$1,001 - \$15,000
285	Enbridge inc	Purchase	12/22/2020	\$1,001 - \$15,000
286	Public Service Enterprise Group, Inc. (PEG)	Purchase	12/22/2020	\$1,001 - \$15,000
287	RTX	Purchase	12/22/2020	\$1,001 - \$15,000
288	At&t inc	Sale	01/05/2021	\$1,001 - \$15,000
289	(VOD)	Sale	01/07/2021	\$1,001 - \$15,000
290	3M Co. (MMM)	Sale	01/08/2021	\$1,001 - \$15,000
291	Apple, Inc. (AAPL)	Purchase	01/11/2021	\$1,001 - \$15,000
292	Bank of America Corp. (BAC)	Purchase	01/11/2021	\$1,001 - \$15,000
293	Blackstone Group inc	Purchase	01/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
294	Comcast Corp. (CMCSA)	Purchase	01/11/2021	\$1,001 - \$15,000
295	Corning, Inc. (GLW)	Purchase	01/11/2021	\$1,001 - \$15,000
296	(DOW)	Sale	01/11/2021	\$1,001 - \$15,000
297	Exxon Mobil Corp. (XOM)	Sale	01/11/2021	\$1,001 - \$15,000
298	Fidelity National Financial, Inc. (FNF)	Purchase	01/11/2021	\$1,001 - \$15,000
299	General Mills, Inc. (GIS)	Sale	01/11/2021	\$1,001 - \$15,000
300	General Motors Co. (GM)	Sale	01/11/2021	\$1,001 - \$15,000
301	Johnson & Johnson (JNJ)	Purchase	01/11/2021	\$1,001 - \$15,000
302	Eli Lilly & Co. (LLY)	Purchase	01/11/2021	\$1,001 - \$15,000
303	(MDT)	Purchase	01/11/2021	\$1,001 - \$15,000
304	Mercury General Corp. (MCY)	Sale	01/11/2021	\$1,001 - \$15,000
305	Microsoft Corp. (MSFT)	Purchase	01/11/2021	\$1,001 - \$15,000
306	Phillips 66 (PSX)	Sale	01/11/2021	\$1,001 - \$15,000
307	Sysco Corp. (SYY)	Purchase	01/11/2021	\$1,001 - \$15,000
308	TempletonGlobal Income Fund (GIM)	Sale	01/11/2021	\$1,001 - \$15,000
309	Tot	Sale	01/11/2021	\$1,001 - \$15,000
310	U.S. Bancorp (USB)	Sale	01/11/2021	\$1,001 - \$15,000
311	Visa, Inc. (V)	Purchase	01/11/2021	\$1,001 - \$15,000
312	The Walt Disney Co. (DIS)	Purchase	01/11/2021	\$1,001 - \$15,000
313	WestRock Co. (WRK)	Sale	01/11/2021	\$1,001 - \$15,000
314	The Williams Cos., Inc. (WMB)	Purchase	01/11/2021	\$1,001 - \$15,000
315	Schwab US Mid-Cap ETF (SCHM)	Purchase	01/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
316	First TrustNorth American Energy Infrastructure Fund (EMLP)	Sale	01/11/2021	\$1,001 - \$15,000
317	Qual	Sale	01/11/2021	\$1,001 - \$15,000
318	SchwabEmerging Markets Equity ETF (SCHE)	Purchase	01/11/2021	\$15,001 - \$50,000
319	Schwab International Equity ETF (SCHF)	Purchase	01/11/2021	\$15,001 - \$50,000
320	Schwab US Small-Cap ETF (SCHA)	Purchase	01/11/2021	\$1,001 - \$15,000
321	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Sale	01/11/2021	\$1,001 - \$15,000
322	TCWEmerging Markets Income Fund Class I Shares (TGEIX)	Sale	01/11/2021	\$1,001 - \$15,000
323	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Sale	01/04/2021	\$15,001 - \$50,000
324	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Sale	01/11/2021	\$1,001 - \$15,000
325	Emerging Markets Fund Institutional Class Shares (DEMIX)	Sale	01/11/2021	\$1,001 - \$15,000
326	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Sale	01/11/2021	\$15,001 - \$50,000
327	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Sale	01/11/2021	\$15,001 - \$50,000
328	Hartford Schroders Emerging Markets Equity Fund Class F Shares (HHHFX)	Sale	01/11/2021	\$1,001 - \$15,000
329	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)	Sale	01/11/2021	\$1,001 - \$15,000
330	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Sale	01/11/2021	\$15,001 - \$50,000
331	Nep	Purchase	01/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
332	Weyerhaeuser Co. (WY)	Purchase	01/11/2021	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1.1	Under reporting threshold
7.	124	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.
7.	125	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.
7.	127	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.
7.	131	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.

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 (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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 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.

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, N.W., Washington, DC 20005-3917.

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 control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
