

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

Filer's Information

Spencer, Richard V

Secretary of the Navy, Department of the Navy

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Spencer, Richard V [electronically signed on 06/11/2019 by Spencer, Richard V in Integrity.gov] - Filer received a 45 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 08/09/2019 by Thompson, Sara L in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

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

Data Revised 08/09/2019

Data Revised 08/06/2019

Data Revised 06/14/2019

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	1/2008	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	N/A	\$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 relationship mgmt)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
4	CX Technologies LLC Credit Facility (customer relationship mgmt)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
5	StarPound Technologies, Inc. Common Stock (communications & 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 (financial services)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2	Aratana Therapeutics Common Stock (pharmaceuticals)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3	Paylo City Holdings Corp Common Stock (software)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.4	Tactile Systems Technology Inc. Common Stock (medical technology)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.5	Twilio Inc. Common Stock (cloud communications)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.6	Union Pacific Corp Common Stock (railroad)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
6.7	Zoetis Inc. Common Stock Class A (pharmaceuticals for pets and livestock)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.8	Sunopta Inc. Common Stock (organic food manufacturer)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.9	OKTA, Inc.	No	\$50,001 - \$100,000		None (or less than \$201)
6.10	Sientra, Inc. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.11	Teladoc	No	\$50,001 - \$100,000		None (or less than \$201)
6.12	Airgain Inc.		\$15,001 - \$50,000		None (or less than \$201)
6.13	DocuSign		\$50,001 - \$100,000		None (or less than \$201)
6.14	Dolby Laboratories		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.15	Kemper Corp Del		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.16	Kornit Digital LTD		\$15,001 - \$50,000		None (or less than \$201)
6.17	Novanta		\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.18	PetIQ		\$15,001 - \$50,000		None (or less than \$201)
6.19	Proto Labs Inc.		\$50,001 - \$100,000		None (or less than \$201)
6.20	QuinStreet, Inc. - Common Stock		\$15,001 - \$50,000		None (or less than \$201)
6.21	Yeti Holdings Inc.		\$1,001 - \$15,000		None (or less than \$201)
6.22	Quotient Technologies		\$1,001 - \$15,000		None (or less than \$201)
6.23	Rockwell Automation Inc		\$1,001 - \$15,000		None (or less than \$201)
6.24	Inogen, Inc - Common Stock		\$1,001 - \$15,000		None (or less than \$201)
6.25	Nevro, Inc.		\$15,001 - \$50,000		None (or less than \$201)
7	Fall Creek Managment LLC (Capital Investment)	No	\$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 (customer relationship mgmt)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	ENGAGEcx Credit Facility (customer relationship management)	N/A	\$500,001 - \$1,000,000		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	Trust	N/A		Trust distributions	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Appleton Partners Inc. Municipal Bond Account				
1.1	ARIZONA BRD REGENTS (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2	FLORIDA ST BRD ED PUB ED CAP OUTLAY (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.3	ILLINOIS ST TOLL HWY AUTH TOLL HIGHWAY (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.4	METROPOLITAN UTILS DIST OMAHA NEB WTR (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	MIAMI-DADE CNTY FLA GO (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.6	OHIO ST MAJOR NEW ST INFRASTRUCTURE PROJ (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.7	OHIO UNIV GEN RCPTS ATHENS GEN RCPTS (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.8	PIERCE CNTY WASH SCH DIST NO 010 TACOMA (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.9	UNIVERSITY ARK UNIV REV REF (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.10	UNIVERSITY COLO ENTERPRISE SYS REV (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.11	WISCONSIN ST GO (Bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.12	Palm Beach CNTY FLA SCH BRD CTFS PARTIN	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.13	MARICOPA CNTY ARIZ UN HIGH SCH DIST NO	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.14	ALBUQUERQUE N MEX MUN SCH DIST NO 012	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.15	PENNSYLVANIA ST GO BDS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.16	MICHIGAN ST GO ENIV PROG REF BDS BDS SER	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.17	WITCHITA KANS WTR & SWR UTIL REV REV BDS	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.18	UNIVERSITY CONN GO BDS SER	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.19	WASH ST VAR PRUP GO BDS SER	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.20	CEDAR RAPIDS IOWA GO BDS SER	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.21	PENNSYLVANIA ST TRP COMM TPK REV	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2	U.S. Bank 2 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. Brokerage Account 1 (Cash)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
4	Trust 1 (spouse)	No			
4.1	BNY Mellon Intermediate Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	U.S. Bank 3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	BNY Mellon Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
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 Mutli-Strategy Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
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 Diversifier Strategies Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
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 Inc	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
5.2	Amgen Inc	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5.3	Aqua Amer Inc	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
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	Chemours Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	Clorox Co	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
5.9	ConocoPhillips	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.10	Corning Inc	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
5.11	CVS Health Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.12	Eversource Energy Com	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.13	Ford Motor Co COM NEW	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.14	Halliburton Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.15	Avanos Medical Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.16	JP Morgan Chase & Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.17	Kimberly Clark Corp	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.18	Lilly Eli & Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.19	Marathon Petroleum CO	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.20	Mondelez Intl Inc	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.21	Northwest Nat Gas CO	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.22	Philip Morris International Inc	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.23	Phillips 66	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.24	Realty Income Corp MD SBI	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5.25	RPM Intl INC	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.26	Southern Co	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5.27	Unilever PLC AMER SHS NEW SPON	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.28	WP Carey Inc Reit	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.29	Walgreens Boots Alliance Inc	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.30	First Trust Nat Gas ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.31	iSHARES MSCI PAC EX JAPAN ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.32	iSHARES Select DIVID ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.33	SPDR Total Stock ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.34	SPDR S&P Emerging Markets ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.35	American Funds Income Fund of America CL A	Yes	Over \$1,000,000		\$15,001 - \$50,000
5.36	U.S. Bank 3 (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.37	American Funds and International Growth and Income Class A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.38	American Funds AMCAP Fund, CL A	Yes	\$100,001 - \$250,000		\$201 - \$1,000
5.39	American Funds American Mutual	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
5.40	American Funds Fundamental Inve	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.41	American Funds Investment Company of America, CL A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.42	American Funds Washington Mutual	Yes	Over \$1,000,000		\$15,001 - \$50,000
5.43	American Funds Capital Income Builder Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.44	Nutrien LTD	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.45	Enbridge, Inc.	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6	Trust #3 (spouse)	No			
6.1	Dreyfus Government Cash Mgmt	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 Bond	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.4	Vanguard Short-Term Inflation Protection Securities ETF	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 I	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.8	Templeton Global Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.9	Vanguard REIT Index ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	IShares Core S&P 500 ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.11	IShares Russell 2000 Value Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	Allianzgi NFJ Iernational 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 ETF	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 Market 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)	N/A	\$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	U.S. Bank 1 (Cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
9	Doughty Hanson Fund (receivable)	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Beacon Roofing Supply, Inc. - Common Stock	Purchase	5/10/2018	\$15,001 - \$50,000
2	Kemper Corp. Del	Purchase	04/23/2018	\$1,001 - \$15,000
3	AAC Holdings	Purchase	04/23/2018	\$1,001 - \$15,000
4	Site Holdings Inc.	Purchase	04/23/2018	\$1,001 - \$15,000
5	Pinnacle Foods, Inc.	Purchase	05/02/2018	\$1,001 - \$15,000
6	Pinnacle Foods, Inc.	Purchase	5/2/2018	\$1,001 - \$15,000
7	Shake Shack Inc	Sale	05/04/2018	\$50,001 - \$100,000
8	SITE HLDGS INC	Purchase	05/24/2018	\$15,001 - \$50,000
9	NEVRO Corp	Purchase	05/24/2018	\$15,001 - \$50,000
10	Beacon Roofing Supply, Inc. - Common Stock	Purchase	05/10/2018	\$15,001 - \$50,000
11	Neuronetics, Inc.	Sale	08/01/2018	\$15,001 - \$50,000
12	AAC Holdings, Inc.	Sale	08/06/2018	\$1,001 - \$15,000
13	Sendgrid, Inc.	Purchase	08/01/2018	\$1,001 - \$15,000
14	Kornit Digital LTD	Purchase	08/30/2018	\$1,001 - \$15,000
15	Proto Labs, Inc.	Sale	08/23/2018	\$1,001 - \$15,000
16	Quotient Technology Inc.	Purchase	08/13/2018	\$1,001 - \$15,000
17	Quotient Technology Inc	Purchase	08/10/2018	\$1,001 - \$15,000
18	Okta Inc.	Sale	9/7/2018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
19	Paylocity Holding Corporation - Common Stock	Sale	9/6/2018	\$15,001 - \$50,000
20	Castlight Health Inc.	Sale	9/19/2019	\$1,001 - \$15,000
21	Tactile Systems Technology	Sale	9/7/2018	\$15,001 - \$50,000
22	Smucker J M Company	Sale	9/6/2017	\$15,001 - \$50,000
23	AAC Holdings Inc.	Sale	9/19/2018	\$1,001 - \$15,000
24	Wageworks, Inc.	Purchase	9/17/2018	\$1,001 - \$15,000
25	Kornit Digital LTD	Purchase	9/17/2018	\$1,001 - \$15,000
26	Dolby Laboratories, Inc.	Purchase	02/09/2018	\$1,001 - \$15,000
27	Diplomat Pharmancy Inc.	Purchase	2/28/2018	\$1,001 - \$15,000
28	Duluth Holdings Inc.	Purchase	03/12/2018	\$15,001 - \$50,000
29	Teladon Inc.	Sale	2/9/2018	\$15,001 - \$50,000
30	Novatna, Inc.	Purchase	03/28/2018	\$15,001 - \$50,000
31	Dolby Laboratories, Inc.	Purchase	02/05/2018	\$15,001 - \$50,000
32	Kemper Corp. Del	Purchase	7/27/2018	\$1,001 - \$15,000
33	General Mills Inc	Sale	6/20/2018	\$15,001 - \$50,000
34	Airgain Inc.	Purchase	7/11/2018	\$1,001 - \$15,000
35	Site Holdings, Inc.	Purchase	6/11/2018	\$1,001 - \$15,000
36	Aratana Therapeutics, Inc. - Common Stock	Sale	7/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	Castlight Health, Inc.	Purchase	7/11/2018	\$1,001 - \$15,000
38	Wageworks, Inc.	Sale	6/20/2018	\$15,001 - \$50,000
39	Neuronetics, Inc.	Purchase	7/30/2018	\$15,001 - \$50,000
40	Duluth Holdings Inc.	Sale	6/4/2018	\$15,001 - \$50,000
41	Pinnacle Foods, Inc.	Sale	7/10/2018	\$15,001 - \$50,000
42	Nevro Corp.	Purchase	7/17/2018	\$1,001 - \$15,000
43	Castlight Health Inc.	Purchase	8/1/2018	\$1,001 - \$15,000
44	SunOpta, Inc. - Common Stock	Sale	10/10/2018	\$1,001 - \$15,000
45	Nevro Corp.	Sale	10/10/2018	\$15,001 - \$50,000
46	Site Holdings	Sale	10/10/2018	\$1,001 - \$15,000
47	Kornit Digital	Purchase	10/30/2018	\$1,001 - \$15,000
48	Gardner Denver Holdings Corp.	Sale	10/10/2018	\$15,001 - \$50,000
49	Dolby Laboratories, Inc.	Purchase	10/30/2018	\$1,001 - \$15,000
50	Site Holdings	Sale	10/23/2018	\$15,001 - \$50,000
51	Docusign Inc.	Purchase	10/30/2018	\$1,001 - \$15,000
52	Aratana Therapeutics Inc.	Sale	10/23/2018	\$1,001 - \$15,000
53	Airgain Inc. Com.	Purchase	10/30/2018	\$1,001 - \$15,000
54	Proofpoint, Inc. - Common Stock	Purchase	10/30/2018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
55	Beacon Roofing Supply, Inc. - Common Stock	Purchase	10/04/2018	\$1,001 - \$15,000
56	QuinStreet, Inc. - Common Stock	Purchase	11/02/2018	\$1,001 - \$15,000
57	Sendgrid Inc.	Sale	11/09/2018	\$15,001 - \$50,000
58	QuinStreet, Inc. - Common Stock	Purchase	10/15/2018	\$15,001 - \$50,000
59	Inogen, Inc - Common Stock	Purchase	11/09/2018	\$15,001 - \$50,000
60	SunOpta, Inc. - Common Stock	Sale	11/13/2018	\$15,001 - \$50,000
61	Roku, Inc.	Purchase	11/13/2018	\$15,001 - \$50,000
62	Docusign	Purchase	10/23/2018	\$15,001 - \$50,000
63	Quotient Technology Inc.	Purchase	10/25/2018	\$1,001 - \$15,000
64	Wageworks, Inc.	Sale	11/29/2018	\$15,001 - \$50,000
65	Peti, Inc.	Purchase	11/16/2018	\$1,001 - \$15,000
66	Kemper Corp. DEL	Purchase	10/25/2018	\$1,001 - \$15,000
67	Teladoc Inc. Com	Purchase	10/30/2018	\$1,001 - \$15,000
68	Roku, Inc.	Purchase	11/29/2018	\$1,001 - \$15,000
69	Diplomat Pharmacy, Inc.	Sale	11/29/2018	\$1,001 - \$15,000
70	Tactile Systems Technology	Purchase	11/29/2018	\$1,001 - \$15,000
71	Teledoc, Inc.	Purchase	11/29/2018	\$1,001 - \$15,000
72	Proofpoint, Inc. - Common Stock	Purchase	11/29/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
73	Petiq, Inc.	Purchase	11/29/2018	\$1,001 - \$15,000
74	Nevro, Corp.	Purchase	11/29/2018	\$15,001 - \$50,000
75	Okta, Inc.	Purchase	11/29/2018	\$1,001 - \$15,000
76	Docusign, Inc.	Purchase	11/29/2018	\$1,001 - \$15,000
77	Inogen, Inc - Common Stock	Purchase	11/29/2018	\$1,001 - \$15,000
78	Paylocity Holdings, Corp.	Purchase	11/29/2018	\$1,001 - \$15,000
79	Proto Labs Inc.	Purchase	10/30/2018	\$1,001 - \$15,000
80	Novanta Inc.	Purchase	10/30/2018	\$1,001 - \$15,000
81	Wageworks, Inc.	Sale	12/26/2018	\$15,001 - \$50,000
82	Nevro, Corp.	Sale	01/03/2019	\$1,001 - \$15,000
83	Shotspotter, Inc.	Purchase	12/26/2018	\$15,001 - \$50,000
84	Beacon Roofing Supply, Inc.	Sale	12/26/2018	\$15,001 - \$50,000
85	Twilio, Inc.	Sale	12/26/2018	\$15,001 - \$50,000
86	Neuronetics, Inc.	Purchase	01/03/2019	\$1,001 - \$15,000
87	SunOpta, Inc. - Common Stock	Purchase	01/03/2019	\$1,001 - \$15,000
88	Petiq, Inc.	Purchase	12/26/2018	\$1,001 - \$15,000
89	Yeti Holdings, Inc.	Purchase	12/17/2018	\$1,001 - \$15,000
90	Rockwell Automation Inc	Purchase	12/26/2018	\$1,001 - \$15,000
91	Kornit Digital Inc.	Purchase	12/26/2018	\$1,001 - \$15,000
92	Inogen, Inc - Common Stock	Purchase	12/26/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
93	Boingo Wireless, Inc. - Common Stock	Purchase	01/03/2019	\$1,001 - \$15,000
94	Kemper Corp. DEL	Purchase	01/03/2019	\$1,001 - \$15,000
95	Cubic Corporation	Purchase	01/03/2019	\$1,001 - \$15,000
96	Freeport McMoRan Inc.	Sale	10/30/2018	\$50,001 - \$100,000
97	Newmont Mining Corp	Sale	10/30/2018	\$50,001 - \$100,000
98	American Funds International Growth & Income	Purchase	02/21/2018	\$50,001 - \$100,000
99	American Funds International Growth & Income	Purchase	02/28/2018	\$15,001 - \$50,000
100	American Funds Capital Income Builder Fund	Purchase	03/22/2018	\$15,001 - \$50,000
101	Nutrien LTD CAD	Exchange	01/01/2018	\$15,001 - \$50,000
102	Potash Corp Sask Inc.	Exchange	01/01/2018	\$15,001 - \$50,000
103	WASHINGTON ST GO BDS	Sale	03/16/2018	\$100,001 - \$250,000
104	KENTUCKY ST PPTY & BLDGS COMMN REVS	Sale	04/13/2018	\$100,001 - \$250,000
105	ROYCE CITY TEX INDPT SCH DIST ULTD TAX	Sale	05/04/2018	\$100,001 - \$250,000
106	MARICOPA CNTY ARIZ UN HIGHSCH DIST NO	Purchase	05/08/2018	\$100,001 - \$250,000
107	ALBUQUERQUE N MEX MUN SCH DIST NO 012	Purchase	06/06/2018	\$100,001 - \$250,000
108	DENVER COLO CITY & CNTY ARPT R EV ARPT See Endnote	Sale	06/06/2018	\$100,001 - \$250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
109	EVANSTON ILL GO CORP PURP BDS SER		Sale	06/08/2018	\$100,001 - \$250,000
110	PENNSYLVANIA ST GO BDS SER 2013 FIRST		Purchase	06/20/2018	\$100,001 - \$250,000
111	PALM BEACH CNTY FLA SCH BRD CTFS PARTIN		Purchase	07/02/2018	\$100,001 - \$250,000
112	WASHINGTON ST VAR PURP GO BDS SER		Purchase	08/21/2018	\$100,001 - \$250,000
113	FLORIDA PORTS FING COMMN		Sale	08/30/2018	\$100,001 - \$250,000
114	HAWAII STATE GO BDS SER EL AA+	See Endnote	Sale	09/12/2017	\$100,001 - \$250,000
115	HAWAII ST GO BDS SER EL AA	See Endnote	Sale	09/12/2017	\$15,001 - \$50,000
116	CALIFORNIA ST DEPT WTR RES PWR REV BDS	See Endnote	Sale	09/27/2017	\$100,001 - \$250,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Fidelity Management	margin account	\$250,001 - \$500,000	2015	floating rate	on demand
2	Goldman Sachs Asia Private Equity Fund	capital call	\$50,001 - \$100,000	2007	0	expire 2018

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	6	Self-employed 401K.
7.	108	Asset was purchased 9/27/2017 and was inadvertently omitted from the 2018 report.
7.	114	Transaction inadvertently omitted from 2017 report.
7.	115	Transaction inadvertently omitted from 2018 report.
7.	116	Transaction inadvertently omitted from 2018 report.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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