

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

## Filer's Information

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Barrett, Barbara M

Secretary of the Air Force, Department of the Air Force

Date of Termination: 01/20/2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Barrett, Barbara M [electronically signed on 02/12/2021 by Barrett, Barbara M in Integrity.gov]

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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/ McGuire, Shannon A, Certifying Official [electronically signed on 04/07/2021 by McGuire, Shannon A in Integrity.gov]

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Other review conducted by

/s/ McGuire, Shannon A, Ethics Official [electronically signed on 04/07/2021 by McGuire, Shannon A in Integrity.gov]

/s/ McGuire, Shannon A, Screener [electronically signed on 04/07/2021 by McGuire, Shannon A in Integrity.gov]

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Data Revised 04/07/2021

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
7.	14	Southern Co (SO)	(04/07/2021, McGuire, Shannon A): Asset was purchased after on 6/26/19 after New Entrant report signed.

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### 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Filer's Revocable Family Trust	Palo Alto, California	Trust	Trustee	1/2000	Present
2	Spouse's revocable family trust	Palo Alto, California	Trust	trustee	1/2000	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TC Ranch, LLC, 50% Equity in LLC a.k.a. Triple Creek Guest Ranch	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	K12 Inc, Board Member Fees	N/A	\$100,001 - \$250,000	Director Fees	\$222,738
2	50% Equity in TC Ranch, LLC	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
3	The Principles of Engineering Materials," Pearson (value not readily ascertainable))	N/A		Rent or Royalties	\$1,001 - \$2,500

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Casa Grande Partners I, LLC, Phoenix, AZ (real estate investment)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	CB Ranch, LLC, Darby, MT (ranch investment)	See Endnote	N/A	Over \$50,000,000	None (or less than \$201)
3	Geothermic Solutions LLC, Palo Alto, CA (consultants on Geothermal Energy)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	Digi.Me, London, UK (data mobility)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Imperial Topaz, Paradise Valley, AZ (fine jewels)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
6	U.S. Bank Account #4 (cash) UMB	N/A	\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500
7	U.S. Bank Account #5 (cash)MML	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8	iShares Short Maturity Bond ETF (NEAR)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
9	IShared Tr Pfd & Incm Sec	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Casa Grande Partners II, LLC, Phoenix, AZ (real estate investment)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Tallwave Commercialization Fund Scottsdale, AZ (invests in start-up companies)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
12	Impele Holdings, LLC, Glendale, AZ (can conduct search of Arizona corporations on its web site)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
13	SVG Thrive Fund, Los Gatos, CA (food tech)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
14	Whole Trees LLC, Madison WI (engineering of round timber for commercial construction)	See Endnote	N/A	Capital Gains	\$1,001 - \$2,500
15	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$5,000,001 - \$25,000,000		\$50,001 - \$100,000
16	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
17	iShares TIPS Bond ETF (TIP)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
18	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Yes	\$5,000,001 - \$25,000,000		\$50,001 - \$100,000
19	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
20	iShares Intermediate-Term Corporate Bond ETF (IGIB)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
21	iShares S&P 500 Growth ETF (IVW)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
22	iShares Core High Dividend ETF (HDV)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
23	iShares Floating Rate Bond ETF (FLOT)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	US Brokerage Money Market Acct #1	N/A	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
25	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
26	iShares Core MSCI Emerging (EMG)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
27	iShares Russell Mid-Cap ETF (IWR)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
28	iShares Select Dividend ETF (DIVY)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
29	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
30	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
31	American Beacon AHL Managed Futures Strategy Fund Class Y Shares (AHLIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
32	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
33	Blackstone Alternative Multi-Strategy Fund Class I Shares (BXMIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
34	Causeway International Value Fund Institutional Class Shares (CIVIX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
35	ClearBridge Large Cap Growth Fund Class I Shares (SBLIX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
36	Eaton Vance Global Macro Absolute Return Advantage Fund Class I Shares (EGRIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
37	Eaton Vance High Yield Municipal Income Fund Class I Shares (EIHIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
38	Franklin Federal Intermediate-Term Tax-Free Income Fund Advisor Class Shares (FITZX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
39	InHLMIXternational Equity Portfolio Institutional Class Shares (HLMIX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
40	John Hancock Seaport Long/Short Fund Class I Shares (JSFDX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
41	JPMorgan Equity Index Fund Class I Shares (HLEIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
42	Lazard Emerging Markets Core Equity Portfolio Institutional Shares (ECEIX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
43	Lord Abbett National Tax Free Fund Class F Shares (LANFX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
44	Western Asset Macro Opportunities Fund Class I Shares (LAOIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
45	Brokerage Money Market Acct#2	N/A	\$250,001 - \$500,000		\$2,501 - \$5,000
46	Income Fund of America Class F3 Shares (FIFAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
47	Dodge & Cox Balanced Fund (DODBX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
48	iShares US Healthcare ETF (IYH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
49	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
50	ETFMG Travel Tech ETF (AWAY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
51	SPDR S&P Transportation ETF (XTN)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
52	USGlobal Jets ETF (JETS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
53	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
54	GNMA BONF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
55	Rational Special Situations Income Fund Institutional Class Shares (RFXIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
56	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
57	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
58	Invesco Taxable Municipal Bond ETF (BAB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
59	PIMCO Short Term Municipal Bond Active Exchange-Traded Fund (SMMU)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
60	VanEck Vectors AMT-Free Short Municipal Index ETF (SMB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
61	Fidelity Government Cash Reserves (FDRXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
62	US BANK #1	N/A	\$500,001 - \$1,000,000		\$201 - \$1,000
63	iShares Preferred and Income Securities ETF (PFF)	See Endnote	Yes	None (or less than \$1,001)	\$1,001 - \$2,500
64	iShares Transportation Average ETF (IYT)	See Endnote	Yes	None (or less than \$1,001)	\$201 - \$1,000
65	Eaton Vance Tax-Managed Global Dividend Income Fund Class I Shares (EIDIX)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
66	US Treasury Note 2.5% Matures 2/15/21	N/A	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
67	IShares ACAP Stratigic Fund	N/A	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
68	Blackstone Real Estate Inc. Trust CL S (Non Traded Retirement)	N/A	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
69	FS Credit Real Estate Inc. Trust CL S (ZFRTCX)	N/A	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
70	US Brokerage Money Market Acct#3 (CASH)	No	\$500,001 - \$1,000,000		\$15,001 - \$50,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Intel Corporation - Common Stock (INTC)	Sale	01/07/2020	\$5,000,001 - \$25,000,000
2	PerkinElmer Inc (PKI)	Sale	01/08/2020	\$1,001 - \$15,000
3	CHINA MOBILE LTD SPN AD	Sale	01/15/2020	\$50,001 - \$100,000
4	Union Pacific Corp (UNP)	Sale	01/07/2020	\$100,001 - \$250,000
5	Xcel Energy Inc (XEL)	Sale	01/10/2020	\$100,001 - \$250,000
6	WELLS FARGO & CO NEW DE	Sale	01/07/2020	\$100,001 - \$250,000
7	US Bancorp (USB)	Sale	01/07/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	Intel Corp (INTC)	Sale	01/08/2020	Over \$50,000,000
9	Thermo Fisher Scientific (TMO)	Sale	01/07/2020	\$50,001 - \$100,000
10	Travelers Cos Inc (TRV)	Sale	01/07/2020	\$100,001 - \$250,000
11	Texas Instruments Inc (TXN)	Sale	01/07/2020	\$100,001 - \$250,000
12	TRUIST FINL CORP	See Endnote	01/07/2020	\$100,001 - \$250,000
13	Stanley Black & Decker (SWK)	Sale	01/07/2020	\$50,001 - \$100,000
14	Southern Co (SO)	Sale	01/07/2020	\$15,001 - \$50,000
15	Schlumberger Ltd (SLB)	Sale	01/07/2020	\$50,001 - \$100,000
16	State Street Corp (STT)	Sale	01/07/2020	\$100,001 - \$250,000
17	ROCHE HOLDINGS LTD SPN AD	Sale	01/07/2020	\$100,001 - \$250,000
18	Pfizer Inc (PFE)	Sale	01/07/2020	\$100,001 - \$250,000
19	PepsiCo Inc (PEP)	Sale	01/07/2020	\$50,001 - \$100,000
20	Philip Morris International (PM)	Sale	01/07/2020	\$100,001 - \$250,000
21	PNC FINCL SERVICES GROUP	Sale	01/07/2020	\$100,001 - \$250,000
22	PPG Industries Inc (PPG)	Sale	01/07/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	NESTLE S A REP RG SH AD	Sale	01/07/2020	\$100,001 - \$250,000
24	MEDTRONIC PLC SHS	Sale	01/07/2020	\$100,001 - \$250,000
25	Nasdaq OMX Group/The (NDAQ)	Sale	01/07/2020	\$50,001 - \$100,000
26	LEAR CORP SHS	Sale	01/07/2020	\$50,001 - \$100,000
27	Kimberly-Clark (KMB)	Sale	01/07/2020	\$100,001 - \$250,000
28	Johnson & Johnson (JNJ)	Sale	01/07/2020	\$100,001 - \$250,000
29	JP Morgan Chase & Co (JPM)	Sale	01/07/2020	\$250,001 - \$500,000
30	Illinois Tool Works Inc (ITW)	Sale	01/07/2020	\$100,001 - \$250,000
31	Fiserv Inc (FISV)	Sale	01/07/2020	\$100,001 - \$250,000
32	Goldman Sachs Group Inc (GS)	Sale	01/07/2020	\$100,001 - \$250,000
33	Fidelity National Information (FIS)	Sale	01/07/2020	\$100,001 - \$250,000
34	FIRST ENERGY CORP	Sale	01/07/2020	\$100,001 - \$250,000
35	Eaton Corp plc (ETN)	Sale	01/07/2020	\$100,001 - \$250,000
36	EOG Resources (EOG)	Sale	01/07/2020	\$50,001 - \$100,000
37	Duke Energy Corp (DUK)	Sale	01/07/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	Danaher Corp (DHR)	Sale	01/07/2020	\$100,001 - \$250,000
39	Chubb Corp (CB)	Sale	01/07/2020	\$100,001 - \$250,000
40	CITIGROUP INC COM NEW	Sale	01/07/2020	\$100,001 - \$250,000
41	Cigna Corporation (CI)	Sale	01/07/2020	\$100,001 - \$250,000
42	Comcast Corporation - Class A Special Common Stock (CMCSK)	Sale	01/07/2020	\$100,001 - \$250,000
43	Aon plc (AON)	Sale	01/07/2020	\$100,001 - \$250,000
44	Intel Corp (INTC)	Sale	01/03/2020	\$1,000,001 - \$5,000,000
45	Intel Corp (INTC)	Sale	01/07/2020	\$1,000,001 - \$5,000,000
46	Intel Corp (INTC)	Sale	01/08/2020	\$1,000,001 - \$5,000,000
47	INTEL CORP	Sale	01/10/2020	\$1,000,001 - \$5,000,000
48	Intel Corp (INTC)	Sale	01/09/2020	\$1,000,001 - \$5,000,000
49	Intel Corp (INTC)	Sale	01/13/2020	\$1,000,001 - \$5,000,000
50	Exponent, Inc. - Common Stock (EXPO)	Sale	01/14/2020	\$1,000,001 - \$5,000,000
51	Exponent, Inc. - Common Stock (EXPO)	Sale	01/03/2020	\$500,001 - \$1,000,000
52	Exponent, Inc. - Common Stock (EXPO)	Sale	01/06/2020	\$1,000,001 - \$5,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Exponent, Inc. - Common Stock (EXPO)	Sale	01/07/2020	\$500,001 - \$1,000,000
54	Exponent, Inc. - Common Stock (EXPO)	Sale	01/08/2020	\$1,000,001 - \$5,000,000
55	Exponent, Inc. - Common Stock (EXPO)	Sale	01/09/2020	\$1,000,001 - \$5,000,000
56	Intel Corp (INTC)	Sale	01/09/2020	\$1,000,001 - \$5,000,000
57	Exponent, Inc. - Common Stock (EXPO)	Sale	01/13/2020	\$1,000,001 - \$5,000,000
58	Exponent, Inc. - Common Stock (EXPO)	Sale	01/10/2020	\$1,000,001 - \$5,000,000
59	Exponent, Inc. - Common Stock (EXPO)	Sale	01/15/2020	\$1,000,001 - \$5,000,000
60	ISHARE IDU	Sale	01/06/2020	\$15,001 - \$50,000
61	FRANKLIN FUFRX	Sale	01/06/2020	\$250,001 - \$500,000
62	RATION RFXIX	Purchase	01/07/2020	\$100,001 - \$250,000
63	ISHARE PFF	Purchase	01/07/2020	\$15,001 - \$50,000
64	ISHARE PFF	Purchase	01/07/2020	\$50,001 - \$100,000
65	ISHARE LQD	Purchase	01/07/2020	\$50,001 - \$100,000
66	BLACKR BKMIX	Purchase	01/07/2020	\$50,001 - \$100,000
67	IMPELE HOLDINGS	Purchase	02/03/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	TALLWAVE CAPITAL	Purchase	02/03/2020	\$50,001 - \$100,000
69	IMPELE HOLDINGS	Purchase	01/28/2020	\$50,001 - \$100,000
70	TALLWAVE CAPITAL	Purchase	01/28/2020	\$50,001 - \$100,000
71	CenturyLink Inc (CTL)	Sale	02/10/2020	\$1,001 - \$15,000
72	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Sale	01/06/2020	\$15,001 - \$50,000
73	PIMCO Short Term Municipal Bond Active Exchange-Traded Fund (SMMU)	Sale	01/06/2020	\$15,001 - \$50,000
74	US TSY NOTE 02.250%	Purchase	02/21/2020	\$1,000,001 - \$5,000,000
75	SVG THRIVE FUND LLC	Purchase	02/10/2020	\$100,001 - \$250,000
76	ISHARES CORE HIGH DIVIDEND ETF (HDV)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
77	ISHARES INTERMEDIATE TERM CORP BND ETF (IGIB)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
78	BLACKSTONE REAL ESTATE INCOME TRUST INC ESCROW MFQGIE	Purchase	02/21/2020	\$5,000,001 - \$25,000,000
79	ISHARES CORE S&P MID-CAP ETF (IJF)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
80	Eaton Vance Tax-Managed Global Div Inc I (EIDIX)	Purchase	02/21/2020	\$5,000,001 - \$25,000,000
81	ISHARES EDGE MSCI MIN VOL EAFE ETF (EFAV)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
82	ISHARES TIPS BOND ETF (TIP)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
83	ISHARES CORE S&P SMALL-CAP ETF (IJR)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
84	GEOHERMIC SOLUTION	Purchase	02/09/2020	\$1,001 - \$15,000
85	ISHARES S&P 500 GROWTH (IVW)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
86	iShares Floating Rate Note (FLOT)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
87	ISH TR CORE DIVID GROWTH ETF (DGRO)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
88	FRANKLIN FED INTM TRM TXFR ADV (FITZX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
89	ISHARES SHORT MATURITY BOND ETF (NEAR)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
90	JP MORGAN EQUITY INCOME I (HLIEX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
91	BLACKROCK EVENT DRIVEN EQ INST (BILPX)	Purchase	03/02/2020	\$250,001 - \$500,000
92	LORD ABBOT NATL TX FR INC F (LANFX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
93	TALLWAVE CAPITAL	Purchase	02/10/2020	\$50,001 - \$100,000
94	HARDING LOEVNER INTL EQTY INST (HLMIX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
95	CLEARBRIDGE LARGE CAP GWTH I (SBLYX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
96	IMPELE HOLDINGS	Purchase	02/10/2020	\$50,001 - \$100,000
97	CAUSEWAY INTL VALUE INSTL (CIVIX)	Purchase	03/02/2020	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
98	EV HIGH YIELD MUNI INCOME I (EIHXY)	Purchase	03/02/2020	\$500,001 - \$1,000,000
99	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	03/02/2020	\$500,001 - \$1,000,000
100	iShares Core MSCI EAFE ETF (IEFA)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
101	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Purchase	03/02/2020	\$250,001 - \$500,000
102	WESTERN ASSET MACRO OPPORT I (LAOIX)	Purchase	03/02/2020	\$100,001 - \$250,000
103	Vanguard Russell 1000 Value ETF (VONV)	Purchase	03/02/2020	\$500,001 - \$1,000,000
104	Vanguard Russell 1000 Growth ETF (VONG)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
105	LAZARD EMERG MKTS CORE EQ I (ECEIX)	Purchase	03/02/2020	\$250,001 - \$500,000
106	JHF SEAPORT LONG/SHORT FUND I (JSFDX)	Purchase	03/02/2020	\$250,001 - \$500,000
107	ISHARES SELECT DIVIDEND ETF (DVY)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
108	AMERICAN BEACON AHL MNGD (AHLYX)	Purchase	03/02/2020	\$100,001 - \$250,000
109	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	03/02/2020	\$500,001 - \$1,000,000
110	E V GLOBAL MACRO ABS RET ADV I (EGRIX)	Purchase	03/02/2020	\$250,001 - \$500,000
111	ISHARES EDGE MSCI MIN VOL USA ETF (USMV)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
112	CenturyLink Inc (CTL)	Sale	02/10/2020	\$50,001 - \$100,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
113	GEOTHERMIC SOLUTION	Purchase	02/09/2020	\$1,001 - \$15,000
114	SVG THRIVE FUND LLC	Purchase	02/10/2020	\$100,001 - \$250,000
115	US TSY NOTE 02.250%	Purchase	02/21/2020	\$1,000,001 - \$5,000,000
116	BLACKSTONE REAL ESTATE INCOME TRUST INC ESCROW MFQGIE	Purchase	02/21/2020	\$5,000,001 - \$25,000,000
117	Eaton Vance Tax-Managed Global Div Inc I (EIDIX)	Purchase	02/21/2020	\$5,000,001 - \$25,000,000
118	ISHARES EDGE MSCI MIN VOL EAFE ETF (EFAV)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
119	ISHARES SHORT MATURITY BOND ETF (NEAR)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
120	ISHARES INTERMEDIATE TERM CORP BND ETF (IGIB)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
121	ISHARES CORE S&P SMALL-CAP ETF (IJR)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
122	ISHARES CORE S&P MID-CAP ETF (IJF)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
123	ISHARES CORE HIGH DIVIDEND ETF (HDV)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
124	ISHARES S&P 500 GROWTH (IVW)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
125	ISHARES TIPS BOND ETF (TIP)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
126	iShares Floating Rate Note (FLOT)	Purchase	02/27/2020	\$1,000,001 - \$5,000,000
127	IMPELE HOLDINGS	Purchase	02/10/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
128	TALLWAVE CAPITAL	Purchase	02/10/2020	\$50,001 - \$100,000
129	ISH TR CORE DIVID GROWTH ETF (DGRO)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
130	JP MORGAN EQUITY INCOME I (HLIEX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
131	HARDING LOEVNER INTL EQTY INST (HLMIX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
132	FRANKLIN FED INTM TRM TXFR ADV (FITZX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
133	LORD ABBOT NATL TX FR INC F (LANFX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
134	WESTERN ASSET MACRO OPPORT I (LAOIX)	Purchase	03/02/2020	\$100,001 - \$250,000
135	CLEARBRIDGE LARGE CAP GWTH I (SBLYX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
136	CAUSEWAY INTL VALUE INSTL (CIVIX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
137	EV HIGH YIELD MUNI INCOME I (EIHXY)	Purchase	03/02/2020	\$500,001 - \$1,000,000
138	BLACKROCK EVENT DRIVEN EQ INST (BILPX)	Purchase	03/02/2020	\$250,001 - \$500,000
139	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	03/02/2020	\$500,001 - \$1,000,000
140	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Purchase	03/02/2020	\$250,001 - \$500,000
141	iShares Core MSCI EAFE ETF (IEFA)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
142	Vanguard Russell 1000 Value ETF (VONV)	Purchase	03/02/2020	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
143	Vanguard Russell 1000 Growth ETF (VONG)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
144	JHF SEAPORT LONG/SHORT FUND I (JSFDX)	Purchase	03/02/2020	\$250,001 - \$500,000
145	LAZARD EMERG MKTS CORE EQ I (ECEIX)	Purchase	03/02/2020	\$250,001 - \$500,000
146	AMERICAN BEACON AHL MNGD (AHLX)	Purchase	03/02/2020	\$100,001 - \$250,000
147	ISHARES SELECT DIVIDEND ETF (DVY)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
148	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	03/02/2020	\$500,001 - \$1,000,000
149	E V GLOBAL MACRO ABS RET ADV I (EGRIX)	Purchase	03/02/2020	\$250,001 - \$500,000
150	ISHARES EDGE MSCI MIN VOL USA ETF (USMV)	Purchase	02/27/2020	\$5,000,001 - \$25,000,000
151	CenturyLink Inc (CTL)	Sale	02/10/2020	\$50,001 - \$100,000
152	iShares iBoxx \$ Invest Grade Corp Bond (LQD)	Sale	03/25/2020	\$15,001 - \$50,000
153	iShares iBoxx \$ Invest Grade Corp Bond (LQD)	Sale	03/25/2020	\$50,001 - \$100,000
154	Blackrock Multi Asset Income CL K (BKMIX)	Sale	03/23/2020	\$100,001 - \$250,000
155	iShares S&P U.S. Preferred Stock Index (PFF)	Sale	03/25/2020	\$50,001 - \$100,000
156	iShares Dow Jones Transportation Average (IYT)	Purchase	03/25/2020	\$1,001 - \$15,000
157	iShares Dow Jones Transportation Average (IYT)	Purchase	03/26/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
158	SPDR S&P 500 (SPY)	Purchase	03/25/2020	\$15,001 - \$50,000
159	iShares iBoxx \$ Invest Grade Corp Bond (LQD)	Purchase	03/30/2020	\$1,001 - \$15,000
160	SPDR S&P 500 (SPY)	Purchase	03/26/2020	\$15,001 - \$50,000
161	iShares Dow Jones Transportation Average (IYT)	Purchase	03/30/2020	\$1,001 - \$15,000
162	ISHARES TIPS BOND (ETF)	Purchase	03/04/2020	\$15,001 - \$50,000
163	iShares iBoxx \$ Invest Grade Corp Bond (LQD)	Purchase	03/25/2020	\$1,001 - \$15,000
164	ISHARES CORE S&P MID-CAP (ETF)	Purchase	03/04/2020	\$100,001 - \$250,000
165	SPDR S&P 500 (SPY)	Purchase	03/26/2020	\$15,001 - \$50,000
166	ISHARES CORE S&P SMALL CAP (ETF)	Purchase	03/04/2020	\$100,001 - \$250,000
167	ISHARES EDGE MSCI MIN VOL (EAFE ETF)	Purchase	03/04/2020	\$100,001 - \$250,000
168	ISHARES EDGE MSCI MIN VOL USA (ETF)	Purchase	03/04/2020	\$100,001 - \$250,000
169	ISHARES S&P 500 GROWTH	Purchase	03/04/2020	\$100,001 - \$250,000
170	ISHARES CORE HIGH DIVIDEND (ETF)	Purchase	03/04/2020	\$250,001 - \$500,000
171	ISHARES INTERMEDIATE TERM CORP BND (ETF)	Purchase	03/04/2020	\$100,001 - \$250,000
172	ISH TR CORE DIVID GROWTH (ETF)	Purchase	03/04/2020	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
173	ISHARES FLOATING RATE BOND (ETF)	Purchase	03/04/2020	\$100,001 - \$250,000
174	JP MORGAN EQUITY INCOME (HLIEX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
175	ISHARES SHORT MATURITY BOND (ETF)	Purchase	03/04/2020	\$100,001 - \$250,000
176	BLACKROCK EVENT DRIVEN 31 INST (BILPX)	Purchase	03/02/2020	\$250,001 - \$500,000
177	LORD ABBETT NATL TX FR INC F (LANFX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
178	CAUSEWAY INTL VALUE INSTL (CIVIX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
179	CLEARBRIDGE LARGE CAP GWTH I (SBLYX)	Purchase	03/02/2020	\$500,001 - \$1,000,000
180	HARDING LOEVNER INTL EQTY INST (HLMIX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
181	EATON VANCE HIGH YIELD MUNI INCOME I (EIHXY)	Purchase	03/02/2020	\$500,001 - \$1,000,000
182	FRANKLIN FED INTM TRM TXFR ADV (FITZX)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
183	WESTERN ASSET MACRO OPPORT I (LAOIX)	Purchase	03/02/2020	\$100,001 - \$250,000
184	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	03/02/2020	\$500,001 - \$1,000,000
185	iShares Core MSCI EAFE ETF (IEFA)	Purchase	03/02/2020	\$1,000,001 - \$5,000,000
186	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Purchase	03/02/2020	\$250,001 - \$500,000
187	Vanguard Russell 1000 Value ETF (VONV)	Purchase	03/02/2020	\$500,001 - \$1,000,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
188	Vanguard Russell 1000 Growth ETF (VONG)		Purchase	03/02/2020	\$1,000,001 - \$5,000,000
189	John Hancock Seaport Long/Short Fund (JSFDX)		Purchase	03/02/2020	\$250,001 - \$500,000
190	Lazard Emerg Mkts Core EQ1 (ECEIX)		Purchase	03/02/2020	\$250,001 - \$500,000
191	AMER BEACON AHL MDGO FUT STR Y (AHLX)		Purchase	03/02/2020	\$100,001 - \$250,000
192	iShares Russell Midcap Index (IWR)		Purchase	03/02/2020	\$500,001 - \$1,000,000
193	ISHARES SELECT DIVIDEND ETF (DVP)		Purchase	03/02/2020	\$1,000,001 - \$5,000,000
194	EATON VANCE GLOBAL MACRO ABS RET ADV I (EGRIX)		Purchase	03/02/2020	\$250,001 - \$500,000
195	ACAP STRATEGIC FUND		Purchase	03/26/2020	\$1,000,001 - \$5,000,000
196	TALLWAVE CAPITAL		Purchase	03/10/2020	\$250,001 - \$500,000
197	FS CREDIT REAL ESTATE INCOME TRUST, I (MFSBNI)		Purchase	03/26/2020	\$1,000,001 - \$5,000,000
198	IMPELE HOLDINGS		Purchase	03/10/2020	\$50,001 - \$100,000
199	REAL ESTATE SHARED PROPERTY, Hamilton, Montana	See Endnote	Purchase	03/23/2020	\$100,001 - \$250,000
200	iShares iBoxx \$ Invest Grade Corp Bond (LQD)		Purchase	04/07/2020	\$1,001 - \$15,000
201	iShares Dow Jones Transportation Average (IYT)		Purchase	04/07/2020	\$1,001 - \$15,000
202	iShares Barclays GNMA Bond (GNMA)		Purchase	04/07/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
203	iShares Barclays GNMA Bond (GNMA)	Purchase	04/07/2020	\$15,001 - \$50,000
204	SPDR S&P 500 (SPY)	Purchase	04/07/2020	\$1,001 - \$15,000
205	iShares Dow Jones Transportation Average (IYT)	Purchase	04/08/2020	\$1,001 - \$15,000
206	iShares Dow Jones US Technology (IYW)	Purchase	04/08/2020	\$1,001 - \$15,000
207	iShares iBoxx \$ Invest Grade Corp Bond (LQD)	Purchase	04/08/2020	\$1,001 - \$15,000
208	SPDR S&P 500 (SPY)	Purchase	04/08/2020	\$1,001 - \$15,000
209	iShares Dow Jones US Healthcare (IYH)	Purchase	04/09/2020	\$15,001 - \$50,000
210	SPDR S&P 500 (SPY)	Purchase	04/09/2020	\$1,001 - \$15,000
211	iShares Dow Jones US Technology (IYW)	Purchase	04/09/2020	\$1,001 - \$15,000
212	iShares Dow Jones Transportation Average (IYT)	Purchase	04/09/2020	\$1,001 - \$15,000
213	iShares iBoxx \$ Invest Grade Corp Bond (LQD)	Purchase	04/09/2020	\$1,001 - \$15,000
214	Dodge & Cox Balanced Fund (DODBX)	Purchase	05/08/2020	\$15,001 - \$50,000
215	Impele Holdings	Purchase	05/04/2020	\$100,001 - \$250,000
216	Impele Holdings Ltd	Purchase	06/01/2020	\$100,001 - \$250,000
217	ETF JETS	Purchase	06/08/2020	\$15,001 - \$50,000
218	Impele Holdings	Purchase	07/01/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
219	Impele Holdings	Purchase	08/06/2020	\$50,001 - \$100,000
220	Impele Holdings LLC	Purchase	09/02/2020	\$50,001 - \$100,000
221	iShares S&P 500 Growth ETF (IVW)	Sale	09/25/2020	\$500,001 - \$1,000,000
222	Impele Holdings LLC	Purchase	09/02/2020	\$50,001 - \$100,000
223	iShares S&P 500 Growth ETF (IVW)	Sale	09/25/2020	\$500,001 - \$1,000,000
224	Impele Holdings LLC	Purchase	10/06/2020	\$50,001 - \$100,000
225	iShares Transportation Average ETF (IYT)	Sale	10/30/2020	\$15,001 - \$50,000
226	iShares US Technology ETF (IYW)	Sale	10/30/2020	\$15,001 - \$50,000
227	iShares Transportation Average ETF (IYT)	Sale	10/30/2020	\$15,001 - \$50,000
228	Impele Holdings, LLC	Purchase	11/02/2020	\$100,001 - \$250,000
229	iShares S&P 500 Growth ETF (IVW)	Sale	11/18/2020	\$500,001 - \$1,000,000
230	Impele Holdings LLC	Purchase	12/04/2020	\$100,001 - \$250,000
231	Impele Holdings LLC	Purchase	01/13/2021	\$15,001 - \$50,000
232	ETFMG Travel Tech ETF (AWAY)	Purchase	11/09/2020	\$15,001 - \$50,000
233	SPDR S&P Transportation ETF (XTN)	Purchase	11/09/2020	\$15,001 - \$50,000



## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Tallwave Commercialization Fund	Capital Commitment	\$250,001 - \$500,000	2019	N/A	on demand
2	SVG Thrive Fund	Capital Commitment	\$250,001 - \$500,000	2019	N/A	On demand

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	2	operating cattle and bison ranch owned by the Barretts; Barretts do no work on the ranch; They hired people to operate and run the ranch. They are the passive investors.
6.	14	This was item #4 under Part 6 on New Entrant report.
6.	63	This was sold but income was made prior to sale.
6.	64	Income made before sale
7.	12	This asset was listed as BB&T Corp on new entrant report. On 12/9/2019, BB&T completed its acquisition of Sun Trust for form Truist Financial Corp so on that day the shares were exchanged. On 1/7/20, the shares were sold.
7.	199	Purchase 1/2 of home and property located in Hamilton, Montana

# 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.

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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.

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