

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

Filer's Information

Scalia, Eugene

Secretary of Labor, Department of Labor

Date of Termination: 01/20/2021

Other Federal Government Positions Held During the Preceding 12 Months:

Senior Fellow, Administrative Conference of the United States (6/2018 - 1/2021)

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/ Scalia, Eugene [electronically signed on 02/19/2021 by Scalia, Eugene 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/ Constantine, Peter J, Certifying Official [electronically signed on 04/02/2021 by Constantine, Peter J in Integrity.gov]

Other review conducted by

/s/ Mancher, Zachary D, Ethics Official [electronically signed on 04/02/2021 by Mancher, Zachary D in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 04/05/2021 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Revocable Family Trust	McLean, Virginia	Trust	Trustee	3/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Gibson, Dunn & Crutcher LLP 401(k) and profit sharing plan	No			
1.1	Loomis Sayles Core Bond (NERNX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.2	T. Rowe Price Balanced Inst (RPBAX)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
1.3	Vanguard Windsor II Adm (VWNAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.4	Vanguard S&P 500 Inst Plus Index (VINIX)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
1.5	T Rowe Price Blue Chip Growth (TRBCX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.6	EuroPacific Growth Class R-6 (RERGX)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
1.7	Vanguard S&P Mid Cap 400 Fund (VSPMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.8	Neuberger Berman Genesis R6 (NRGSX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Gibson, Dunn & Crutcher LLP capital account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	Gibson, Dunn & Crutcher LLP self-insurance reserve	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Gibson, Dunn & Crutcher LLP defined benefit plan (value not readily ascertainable)	N/A			\$100,001 - \$1,000,000
5	Wells Fargo IRA	No			
5.1	CREDIT SUIS COMM RET I (CRSOX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	DODGE & COX STK FD (DODGX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.3	DODGE & COX INCOME F (DODIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.4	FIDELITY TOTAL MARKE INDEX FUND (FSKAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.5	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL C (FTIXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.6	GATEWAY FUND GATEWAY FUND CL Y (GTEYX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.7	MFS SER TR I VALUE FD CL I (MEIIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.8	INVESCO DEVELOPING MARKETS FUND CLASS Y (ODVYX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
5.9	T ROWE PRICE SHORT T BD FD INC (PRWBX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.10	TOUCHSTONE FDS GROUP MID CAP FUND INSTITUTIONAL CLASS (TMCPX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.11	T ROWE PRICE BLUE CH GROWTH FUND (TRBCX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.12	T ROWE PRICE INTL FD OVERSEAS STK FD (TROSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Gibson, Dunn & Crutcher LLP	Washington, District of Columbia	I continued to participate in this defined contribution plan. The firm did not make further contributions.	4/2003
2	Gibson, Dunn & Crutcher LLP	Washington, District of Columbia	I continued to participate in this defined benefit plan. Pursuant to the partnership agreement, I received monthly payments after my departure. Pursuant to the firm's partnership agreement, the payments were fixed during my government service. These payments will also be fixed for at least one year after the end of my government service. Subsequent payments to me under the defined benefit plan will not share in fees received by the firm for services performed by the firm during my government service in particular matters in which the United States is a party or has a direct and substantial interest.	4/2003

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	FAMILY TRUST #1	No			
1.1	Schwab Value Advantage Money Inv (SWVXX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.2	CASH	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2	FAMILY TRUST #2	No			
2.1	iShares Core US Aggregate Bond (AGG)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.2	Vanguard REIT ETF (VNQ)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.3	SPDR SER TR SPDR BLOOMBERG BARCLAYS 1-3 MNTH T BILL ETF NEW (BIL)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.4	DFA EMERGING MARKETS CORE EQUITY PORTFOLIO CL I (DFCEX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.5	DFA INTL CORE EQUITY CL I (DFIEX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
2.6	DFA US CORE EQUITY 2 INSTL CL (DFQTX)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
2.7	DFA US VECTOR EQUITY CL I (DFVEX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.8	ISHARES RUSSELL 2000 ETF (IWM)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.9	T ROWE PRICE TAX FRE HIGH YIELD FD INC (PRFHX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.10	T ROWE PRICE SUMMIT MUN FDS INC-MUN INTER FD (PRSMX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	SPDR S&P 500 ETF (SPY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.12	VANGUARD INTL EQUITY INDEX FDS FTSE EMERGING MKTS ETF (VWO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	FAMILY TRUST #3	No			
3.1	CREDIT SUIS COMM RET I (CRSOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	DODGE & COX STK FD (DODGX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.3	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS I (EIGMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.4	FIDELITY TOTAL MARKE INDEX FUND (FSKAX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.5	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	GATEWAY FUND GATEWAY FUND CL Y (GTEYX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.7	THORNBURG INVT TRUST LTD TERM MUNICIPAL FUND CLASS I (LTMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	MFS SER TR I VALUE FD CL I (MEIIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.9	INVESCO DEVELOPING MARKETS FUND CLASS Y (ODVYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	T ROWE PRICE TAX FRE HIGH YIELD FD INC (PRFHX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.11	T ROWE PRICE SUMMIT MUN FDS INC-MUN INTER FD (PRSMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	TOUCHSTONE FDS GROUP MID CAP FUND INSTITUTIONAL CLASS (TMCPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.13	T ROWE PRICE BLUE CH GROWTH FUND (TRBCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.14	T ROWE PRICE INTL FD OVERSEAS STK FD (TROSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	FAMILY TRUST #4	See Endnote		Distribution	\$806
4.1	BLACKROCK ADVANTAGE LRG CAP VALUE FUND INSTL (MALVX)	Yes	\$15,001 - \$50,000		
4.2	BLACKROCK CAPITAL APPRECIATION FD INC INST (MAFGX)	Yes	\$100,001 - \$250,000		
4.3	BLACKROCK ADVANTAGE SMALL CAP GROWTH FD INSTL (PSGIX)	Yes	\$15,001 - \$50,000		
4.4	BLACKROCK GNMA INST (BGNIX)	Yes	\$15,001 - \$50,000		
4.5	BLACKROCK EQUITY DIVIDEND FUND INSTL (MADVX)	Yes	\$100,001 - \$250,000		
4.6	BLACKROCK TOTAL RETURN FUND INSTL (MAHQX)	Yes	\$1,001 - \$15,000		
4.7	ISHARES RUSSELL 1000 GROWTH INDEX (IWF)	Yes	\$15,001 - \$50,000		
4.8	ISHARES IBOXX \$ INVT GRADE CORP BD (LQD)	Yes	\$15,001 - \$50,000		
4.9	ISHARES SELECT DIVIDEND ETF (DVY)	Yes	\$50,001 - \$100,000		
4.10	ISHARES EDGE MSCI MIN VOL USA ETF (USMV)	Yes	\$15,001 - \$50,000		
4.11	ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	Yes	\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.12	ISHARES TR CORE MSCI EAF ETF (IEFA)	Yes	\$50,001 - \$100,000		
4.13	BLACKROCK FLOATING RATE INCOME PORTFOLIO CL INST (BFRIX)	Yes	\$15,001 - \$50,000		
4.14	BLACKROCK GLOBAL DIVIDEND PORTFOLIO INST (BIBDX)	Yes	\$15,001 - \$50,000		
4.15	BLACKROCK HI YLD BD PORTFOLIO INST CL (BHYIX)	Yes	\$1,001 - \$15,000		
4.16	BLACKROCK INFLATION PROTECTED BD FD INST CL (BPRIX)	Yes	\$1,001 - \$15,000		
4.17	BLACKROCK LARGE CP FOCUS GROWTH FUND INC INSTL (MAFOX)	Yes	\$50,001 - \$100,000		
4.18	ISHARES EDGE MSCI MIN VOL EAFE ETF (EFAV)	Yes	\$15,001 - \$50,000		
4.19	ISHARES MBS ETF (MBB)	Yes	\$15,001 - \$50,000		
4.20	ISHARES RS 2000 VALUE (IWN)	Yes	\$15,001 - \$50,000		
4.21	BLF FEDFUND CASH RESERVE (BFRXX)	Yes	\$15,001 - \$50,000		
5	FAMILY TRUST #5	See Endnote	No	\$250,001 - \$500,000	None (or less than \$201)
5.1	BLACKROCK CAPITAL APPRECIATION FD INC INST (MAFGX)	Yes	\$15,001 - \$50,000		
5.2	BLACKROCK EQUITY DIVIDEND FUND INSTL (MADVX)	Yes	\$15,001 - \$50,000		
5.3	BLACKROCK TOTAL RETURN FUND INSTL (MAHQX)	Yes	\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	ISHARES RUSSELL 1000 GROWTH INDEX (IWF)	Yes	\$15,001 - \$50,000		
5.5	ISHARES IBOXX \$ INVT GRADE CORP BD (LQD)	Yes	\$15,001 - \$50,000		
5.6	ISHARES SELECT DIVIDEND ETF (DVY)	Yes	\$15,001 - \$50,000		
5.7	ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	Yes	\$1,001 - \$15,000		
5.8	BLF FEDFUND CASH RESERVE (BFRXX)	Yes	\$15,001 - \$50,000		
5.9	ISHARES MSCI EAFE (EFAV)	Yes	\$1,001 - \$15,000		
5.10	ISHARES EDGE MSCI MIN VOL USA ETF (USMV)	Yes	\$1,001 - \$15,000		
5.11	ISHARES MBS ETF (MBB)	Yes	\$15,001 - \$50,000		
5.12	ISHARES J.P. MORGAN EMERGING MARKETS BOND ETF (EMB)	Yes	\$1,001 - \$15,000		
5.13	ISHARES RUSSELL 2000 VALUE ETF (IWN)	Yes	\$1,001 - \$15,000		
5.14	ISHARES TR CORE MSCI EAF ETF (IEFA)	Yes	\$15,001 - \$50,000		
5.15	BLACKROCK ADVANTAGE LRG CAP VALUE FUND INSTL (MALVX)	Yes	\$1,001 - \$15,000		
5.16	BLACKROCK FLOATING RATE INCOME FUND (BFRIX)	Yes	\$1,001 - \$15,000		
5.17	BLACKROCK GLOBAL DIVIDEND FUND INST (BIBDX)	Yes	\$1,001 - \$15,000		
5.18	BLACKROCK ADVANTAGE SMALL CAP GROWTH FD INSTL (PSGIX)	Yes	\$1,001 - \$15,000		

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.19	BLACKROCK GNMA INST (BGNIX)		Yes	\$15,001 - \$50,000		
5.20	BLACKROCK HIGH YIELD BOND PORTFOLIO INSTITUTIONAL (BHYIX)		Yes	\$1,001 - \$15,000		
5.21	BLACKROCK INFLATION PROTECTED BOND FUND INST (BPRIX)		Yes	\$1,001 - \$15,000		
5.22	BLACKROCK LARGE CP FOCUS GROWTH FUND INC INSTL (MAFOX)		Yes	\$15,001 - \$50,000		
6	FAMILY TRUST #6	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
6.1	BLF FEDFUND CASH RESERVE (BFRXX)		Yes	\$15,001 - \$50,000		
6.2	ISHARES RUSSELL 1000 GROWTH INDEX (IWF)		Yes	\$15,001 - \$50,000		
6.3	ISHARES MSCI EAFE (EFAV)		Yes	\$15,001 - \$50,000		
6.4	ISHARES IBOXX \$ INVT GRADE CORP BD (LQD)		Yes	\$50,001 - \$100,000		
6.5	ISHARES SELECT DIVIDEND ETF (DVY)		Yes	\$50,001 - \$100,000		
6.6	ISHARES EDGE MSCI MIN VOL USA ETF (USMV)		Yes	\$15,001 - \$50,000		
6.7	ISHARES MBS ETF (MBB)		Yes	\$15,001 - \$50,000		
6.8	ISHARES J.P. MORGAN EMERGING MARKETS BOND ETF (EMB)		Yes	\$1,001 - \$15,000		
6.9	ISHARES RUSSELL 2000 VALUE ETF (IWN)		Yes	\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.10	ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	Yes	\$15,001 - \$50,000		
6.11	ISHARES TR CORE MSCI EAF ETF (IEFA)	Yes	\$50,001 - \$100,000		
6.12	BLACKROCK ADVANTAGE LRG CAP VALUE FUND INSTL (MALVX)	Yes	\$15,001 - \$50,000		
6.13	BLACKROCK FLOATING RATE INCOME FUND (BFRIX)	Yes	\$15,001 - \$50,000		
6.14	BLACKROCK INFLATION PROTECTED BOND FUND INST (BPRIX)	Yes	\$15,001 - \$50,000		
6.15	BLACKROCK GLOBAL DIVIDEND FUND INST (BIBDX)	Yes	\$15,001 - \$50,000		
6.16	BLACKROCK CAPITAL APPRECIATION FD INC INST (MAFGX)	Yes	\$50,001 - \$100,000		
6.17	BLACKROCK ADVANTAGE SMALL CAP GROWTH FD INSTL (PSGIX)	Yes	\$15,001 - \$50,000		
6.18	BLACKROCK GNMA INST (BGNIX)	Yes	\$15,001 - \$50,000		
6.19	BLACKROCK HIGH YIELD BOND PORTFOLIO INSTITUTIONAL (BHYIX)	Yes	\$1,001 - \$15,000		
6.20	BLACKROCK EQUITY DIVIDEND FUND INSTL (MADVX)	Yes	\$50,001 - \$100,000		
6.21	BLACKROCK TOTAL RETURN FUND INSTL (MAHQX)	Yes	\$15,001 - \$50,000		
6.22	BLACKROCK LARGE CP FOCUS GROWTH FUND INC INSTL (MAFOX)	Yes	\$50,001 - \$100,000		
7	FAMILY TRUST #7	No			
7.1	Stone Ridge Tr II Rns Rsk Pr Int (SRRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	Stone Ridge Tr V Alt Lendg Prem (LENDX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
7.3	Cash	N/A	\$100,001 - \$250,000		None (or less than \$201)
8	FAMILY TRUST #8	No			
8.1	BROADSTONE NET LEASE INC PRIVATE PLACEMENT MARYLAND	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
8.2	CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	US BROKERAGE ACCOUNT #1	No			
9.1	DFA Global Allocation 60/40 I (DGSIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	US BROKERAGE ACCOUNT #2	No			
10.1	iShares MSCI ACWI ETF (ACWI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	US BROKERAGE ACCOUNT #3	No			
11.1	DFA Global Equity I (DGEIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	US BROKERAGE ACCOUNT #4	No			
12.1	iShares Core MSCI EAFE (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.3	Schwab US Large-Cap ETF (SCHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.4	Schwab US Large-Cap Growth ETF (SCHG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.5	Schwab US Large-Cap Value ETF (SCHV)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.6	Xtrackers MSCI EAFE Hedged Equity ETF (DBEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	VA (CollegeAmerica) 529 College Savings Plan #1	No		Cash Distribution	\$10,000
13.1	American Funds Intmtd Bond Fund of America 529F2 (FFOOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.2	American Funds AMCAP Fund 529F2 (FMMM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.3	American Funds US Government Money Mkt Fd 529F2 (FFFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.4	American Funds Europacific Growth 529F2 (FUEPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.5	American Funds US Government Securities Fd 529F2 (FSUGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.6	American Funds ST Bd Fd of Amer 529F2 (FTSBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.7	American Funds SMALLCAP World 529F2 (FSWFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.8	American Funds Washington Mutual Inv Fund 529F2 (FWMMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.9	American Funds Capital Income Builder 529F2 (FBCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.10	American Funds Income Fund of America 529F2 (FAIFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	VA (CollegeAmerica) 529 College Savings Plan #2	No		Cash Distribution	\$10,000
14.1	American Funds AMCAP Fund 529F2 (FMMM)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.2	American Funds US Government Money Mkt Fd 529F2 (FFFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.3	American Funds Europacific Growth 529F2 (FUEPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.4	American Funds US Government Securities Fd 529F2 (FSUGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.5	American Funds ST Bd Fd of Amer 529F2 (FTSBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.6	American Funds SMALLCAP World 529F2 (FSWFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.7	American Funds Washington Mutual Inv Fund 529F2 (FWMMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.8	American Funds Capital World Bond Fund 529F2 (FCWBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.9	American Funds Income Fund of America 529F2 (FAIFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.10	American Funds Intrmdt Bond Fund of America 529F2 (FFOOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	VA (CollegeAmerica) 529 College Savings Plan #3	No		Cash Distribution	\$12,899
15.1	American Funds AMCAP Fund 529F2 (FMMMXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.2	American Funds US Government Money Mkt Fd 529F2 (FFFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.3	American Funds Europacific Growth 529F2 (FUEPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.4	American Funds ST Bd Fd of Amer 529F2 (FTSBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.5	American Funds SMALLCAP World 529F2 (FSWFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.6	American Funds Washington Mutual Inv Fund 529F2 (FWMMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.7	American Funds Capital World Bond Fund 529F2 (FCWBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.8	American Funds Intmtd Bond Fund of America 529F2 (FFOOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	VA (CollegeAmerica) 529 College Savings Plan #4	No		Cash Distribution	\$10,000
16.1	American Funds AMCAP Fund 529F2 (FMMMXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.2	American Funds US Government Money Mkt Fd 529F2 (FFFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.3	American Funds Europacific Growth 529F2 (FUEPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.4	American Funds US Government Securities Fd 529F2 (FSUGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.5	American Funds ST Bd Fd of Amer 529F2 (FTSBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.6	American Funds SMALLCAP World 529F2 (FSWFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.7	American Funds Washington Mutual Inv Fund 529F2 (FWMMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.8	American Funds Capital World Bond Fund 529F2 (FCWBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.9	American Funds Income Fund of America 529F2 (FAIFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.10	American Funds Intmtd Bond Fund of America 529F2 (FFOOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	VA (CollegeAmerica) 529 College Savings Plan #5	No		Cash Distribution	\$29,211
17.1	American Funds US Government Money Mkt Fd 529F2 (FFFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.2	American Funds ST Bd Fd of Amer 529F2 (FTSBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	UTMA Account #1	No			
18.1	DFA Global Equity I (DGEIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	UTMA Account #2	No			
19.1	DFA Global Equity I (DGEIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	UTMA Account #3	No			
20.1	DFA Global Equity I (DGEIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	ALLIANZ LIFE INSURANCE	No			
21.1	ALLIANZ LIFE INS CO BLENDED INDEX ANNUAL A PT TO PT (BLD2P)	Yes	\$100,001 - \$250,000		None (or less than \$201)
21.2	ALLIANZ LIFE INS CO NASDAQ POINT TO POINT (NASPT)	Yes	\$100,001 - \$250,000		None (or less than \$201)
21.3	ALLIANZ LIFE INS CO S AND P 500 POINT TO POINT (SPPTP)	Yes	\$100,001 - \$250,000		None (or less than \$201)
22	US Bank Account #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
23	US Bank Account #2 (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	US Bank Account #3 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
25	US Bank Account #4 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
26	US Bank Account #5 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
27	US Bank Account #6 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
28	US Bank Account #7 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
29	Virginia Prepaid 529 #1 (4 years)	N/A	\$1,001 - \$15,000	Cash Distribution	\$6,584
30	Virginia Prepaid 529 #2 (4 years)	N/A	\$50,001 - \$100,000		None (or less than \$201)
31	Virginia Prepaid 529 #3 (4 years)	N/A	\$15,001 - \$50,000		None (or less than \$201)
32	Virginia Prepaid 529 #4 (4 years)	N/A	None (or less than \$1,001)	Cash Distribution	\$6,770
33	Virginia Prepaid 529 #5 (4 years)	N/A	\$15,001 - \$50,000		None (or less than \$201)
34	VA (Invest529) 529 College Savings Plan #1	No			
34.1	Stable Value Portfolio		None (or less than \$1,001)	Cash Distribution	\$13,219
35	VA (Invest529) 529 College Savings Plan #2	No			
35.1	FDIC-Insured Portfolio		None (or less than \$1,001)	Cash Distribution	\$23,988
36	FAMILY TRUST #9	No			
36.1	Talcott, universal life insurance policy	See Endnote	N/A		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	DFA Global Real Estate Securities Port (DFGEX)	Purchase	09/01/2020	\$1,001 - \$15,000
2	Schwab US Aggregate Bond ETF (SCHZ)	Purchase	03/30/2020	\$1,001 - \$15,000
3	iShares US Treasury Bond (GOVT)	Sale	03/30/2020	\$1,001 - \$15,000
4	Vanguard Growth ETF (VUG)	Sale	06/22/2020	\$1,001 - \$15,000
5	BROADSTONE NET LEASE INC PRIVATE PLACEMENT MARYLAND	Purchase	01/15/2020	\$1,001 - \$15,000
6	SPDR Gold Shares (GLD)	Purchase	02/04/2020	\$50,001 - \$100,000
7	iShares Russell 2000 ETF (IWM)	Sale	02/04/2020	\$50,001 - \$100,000
8	SPDR Blmbg Barclays 1-3 Mth T-Bill ETF (BIL)	Purchase	03/02/2020	\$250,001 - \$500,000
9	SPDR S&P 500 ETF (SPY)	Sale	03/02/2020	\$100,001 - \$250,000
10	iShares MSCI EAFE (EFA)	Sale	03/02/2020	\$100,001 - \$250,000
11	SPDR Blmbg Barclays 1-3 Mth T-Bill ETF (BIL)	Purchase	03/20/2020	\$50,001 - \$100,000
12	Vanguard REIT ETF (VNQ)	Sale	03/20/2020	\$15,001 - \$50,000
13	SPDR Gold Shares (GLD)	Sale	03/20/2020	\$50,001 - \$100,000
14	iShares 20 Plus Year Treasury Bond ETF (TLT)	Purchase	04/02/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	iShares Core US Aggregate Bond (AGG)	Purchase	04/02/2020	\$100,001 - \$250,000
16	iShares TIPS Bond (TIP)	Purchase	04/02/2020	\$15,001 - \$50,000
17	iShares 7-10 Year Treasury Bond ETF (IEF)	Purchase	04/02/2020	\$15,001 - \$50,000
18	SPDR Blmbg Barclays 1-3 Mth T-Bill ETF (BIL)	Sale	04/02/2020	\$100,001 - \$250,000
19	SPDR Gold Shares (GLD)	Sale	04/02/2020	\$15,001 - \$50,000
20	Vanguard REIT ETF (VNQ)	Sale	04/02/2020	\$15,001 - \$50,000
21	SPDR Blmbg Barclays 1-3 Mth T-Bill ETF (BIL)	Purchase	06/02/2020	\$15,001 - \$50,000
22	SPDR S&P 500 ETF (SPY)	Purchase	06/02/2020	\$100,001 - \$250,000
23	Alerian MLP ETF (AMLP)	Purchase	06/02/2020	\$50,001 - \$100,000
24	iShares 7-10 Year Treasury Bond ETF (IEF)	Sale	06/02/2020	\$15,001 - \$50,000
25	iShares TIPS Bond (TIP)	Sale	06/02/2020	\$15,001 - \$50,000
26	iShares 20 Plus Year Treasury Bond ETF (TLT)	Sale	06/02/2020	\$15,001 - \$50,000
27	iShares Core US Aggregate Bond (AGG)	Sale	06/02/2020	\$100,001 - \$250,000
28	iShares Russell 2000 ETF (IWM)	Purchase	07/02/2020	\$50,001 - \$100,000
29	Vanguard FTSE Emerging Markets ETF (VWO)	Purchase	07/02/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	SPDR Blmbg Barclays 1-3 Mth T-Bill ETF (BIL)	Sale	07/02/2020	\$50,001 - \$100,000
31	Alerian MLP ETF (AMLPL)	Sale	07/02/2020	\$50,001 - \$100,000
32	Stone Ridge Tr II Rns Rsk Pr Int (SRRIX)	Sale	02/28/2020	\$50,001 - \$100,000
33	Stone Ridge Tr V Alt Lendg Prem (LENDX)	Purchase	03/16/2020	\$50,001 - \$100,000
34	Stone Ridge Tr V Alt Lendg Prem (LENDX)	Purchase	03/20/2020	\$1,001 - \$15,000
35	Stone Ridge Tr II Rns Rsk Pr Int (SRRIX)	Sale	05/29/2020	\$1,001 - \$15,000
36	Stone Ridge Tr V Alt Lendg Prem (LENDX)	Sale	06/12/2020	\$15,001 - \$50,000
37	Stone Ridge Tr V Alt Lendg Prem (LENDX)	Purchase	06/19/2020	\$1,001 - \$15,000
38	Stone Ridge Tr II Rns Rsk Pr Int (SRRIX)	Sale	08/21/2020	\$1,001 - \$15,000
39	Stone Ridge Tr V Alt Lendg Prem (LENDX)	Sale	09/11/2020	\$15,001 - \$50,000
40	Stone Ridge Tr II Rns Rsk Pr Int (SRRIX)	Sale	11/20/2020	\$1,001 - \$15,000
41	Stone Ridge Tr V Alt Lendg Prem (LENDX)	Sale	12/04/2020	\$50,001 - \$100,000
42	Schwab Value Advantage Money Inv (SWVXX)	Purchase	02/18/2020	\$1,001 - \$15,000
43	Schwab Value Advantage Money Inv (SWVXX)	Sale	09/23/2020	\$500,001 - \$1,000,000
44	T ROWE PRICE TAX FRE HIGH YIELD FD INC (PRFHX)	Purchase	10/30/2020	\$100,001 - \$250,000
45	T ROWE PRICE SUMMIT MUN FDS INC-MUN INTER FD (PRSMX)	Purchase	10/30/2020	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	DFA US Vector Equity I (DFVEX)	Sale	10/29/2020	\$250,001 - \$500,000
47	DFA Global Real Estate Securities Port (DFGEX)	Sale	10/29/2020	\$250,001 - \$500,000
48	DFA International Core Equity I (DFIEX)	Sale	10/29/2020	\$100,001 - \$250,000
49	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Sale	01/08/2021	\$1,001 - \$15,000
50	DODGE & COX INCOME FEDP (DODIX)	Purchase	12/22/2020	\$1,001 - \$15,000
51	MFS SER TR I EDP VALUE FD CL I (MEIIX)	Purchase	12/18/2020	\$1,001 - \$15,000
52	T ROWE PRICE INTL FDEDP OVERSEAS STK FD (TROSX)	Purchase	12/17/2020	\$1,001 - \$15,000
53	T ROWE PRICE BLUE CHEDP GROWTH FUND (TRBCX)	Purchase	12/15/2020	\$1,001 - \$15,000
54	FIDELITY TOTAL MARKEEDP INDEX FUND (FSKAX)	Purchase	12/14/2020	\$1,001 - \$15,000
55	TOUCHSTONE FDS GROUPEDP MID CAP FUND INSTITUTIONAL CLASS (TMCPX)	Purchase	12/11/2020	\$1,001 - \$15,000
56	DODGE & COX INCOME F (DODIX)	Purchase	10/29/2020	\$15,001 - \$50,000
57	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Purchase	10/29/2020	\$1,001 - \$15,000
58	T ROWE PRICE SHORT T BD FD INC (PRWBX)	Purchase	10/29/2020	\$15,001 - \$50,000
59	XTRACKERS MSCI EAFE EQUITY (DBEF)	Sale	10/28/2020	\$1,001 - \$15,000
60	ISHARES MBS (MBB)	Sale	10/28/2020	\$1,001 - \$15,000
61	ISHARES INC CORE MSCI EMERGING MKTS (IEMG)	Sale	10/28/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
62	ISHARES CORE MSCI EAFE ETF (IEFA)	Sale	10/28/2020	\$1,001 - \$15,000
63	ISHARES S&P SMALL CAP 600 GROWTH (IJT)	Sale	10/28/2020	\$1,001 - \$15,000
64	ISHARES S&P SMALL CAP 600 VALUE (IJS)	Sale	10/28/2020	\$1,001 - \$15,000
65	ISHARES US TREASURY BOND (GOVT)	Sale	10/28/2020	\$1,001 - \$15,000
66	ISHARES TR INTERMEDIATE TERM CR BD (IGIB)	Sale	10/28/2020	\$1,001 - \$15,000
67	SCHWAB US AGGREGATE BOND (SCHZ)	Sale	10/28/2020	\$1,001 - \$15,000
68	SCHWAB STRATEGIC TR US LARGE CAP ETF (SCHX)	Sale	10/28/2020	\$1,001 - \$15,000
69	VANGUARD VALUE (VTV)	Sale	10/28/2020	\$1,001 - \$15,000
70	VANGUARD GROWTH (VUG)	Sale	10/28/2020	\$1,001 - \$15,000
71	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Sale	10/09/2020	\$1,001 - \$15,000
72	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Sale	07/10/2020	\$1,001 - \$15,000
73	DODGE & COX INCOME FEDP (DODIX)	Purchase	06/29/2020	\$1,001 - \$15,000
74	CREDIT SUISSE COMMODITY (CRSOX)	Purchase	04/21/2020	\$50,001 - \$100,000
75	DODGE & COX STK FD (DODGX)	Sale	04/21/2020	\$100,001 - \$250,000
76	DODGE & COX INCOME F (DODIX)	Sale	04/21/2020	\$15,001 - \$50,000
77	DODGE & COX FDS INTL STK FD (DODFX)	Sale	04/21/2020	\$100,001 - \$250,000
78	MFS SER TR I VALUE FD CL I (MEIIX)	Purchase	04/21/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
79	CRM SMALL/MID CAP VALUE FUND CLASS INST (CRIAX)	Sale	04/20/2020	\$50,001 - \$100,000
80	GATEWAY FUND GATEWAY FUND CL Y (GTEYX)	Sale	04/20/2020	\$1,001 - \$15,000
81	INVESCO OPPENHEIMER DEVELOPING MARKETS FUND CLASS Y (ODVYX)	Sale	04/20/2020	\$15,001 - \$50,000
82	MFS SER TR I VALUE FD CL I (MEIIX)	Purchase	04/20/2020	\$100,001 - \$250,000
83	PRINCIPAL FDS INC MIDCAP FUND INSTL CLASS (PCBIX)	Sale	04/20/2020	\$50,001 - \$100,000
84	T ROWE PRICE INTL FD (TROX)	Purchase	04/20/2020	\$100,001 - \$250,000
85	T ROWE PRICE SHORT T BD FD INC (PRWBX)	Sale	04/20/2020	\$15,001 - \$50,000
86	T ROWE PRICE BLUE CH GROWTH FUND (TRBCX)	Sale	04/20/2020	\$15,001 - \$50,000
87	TOUCHSTONE FDS GROUP MID CAP FUND INSTITUTIONAL CLASS (TMCPX)	Purchase	04/20/2020	\$100,001 - \$250,000
88	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Sale	04/09/2020	\$1,001 - \$15,000
89	DODGE & COX STK FD EDP (DODGX)	Purchase	03/30/2020	\$1,001 - \$15,000
90	DODGE & COX INCOME FEDP (DODIX)	Purchase	03/30/2020	\$1,001 - \$15,000
91	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Sale	01/10/2020	\$1,001 - \$15,000
92	FIDELITY TOTAL MARKEEDP INDEX FUND (FSKAX)	Purchase	12/14/2020	\$1,001 - \$15,000
93	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS I (EIGMX)	Purchase	07/02/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
94	INVESCO OPPENHEIMER DEVELOPING MARKETS FUND CLASS Y (ODVYX)	Sale	07/02/2020	\$1,001 - \$15,000
95	CREDIT SUISSE COMMODITY RETURN STRATEGY FUND CL I (CRSOX)	Purchase	07/01/2020	\$1,001 - \$15,000
96	FIDELITY TOTAL MARKE INDEX FUND (FSKAX)	Sale	07/01/2020	\$15,001 - \$50,000
97	GATEWAY FUND GATEWAY FUND CL Y (GTEYX)	Purchase	07/01/2020	\$1,001 - \$15,000
98	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Purchase	07/01/2020	\$1,001 - \$15,000
99	T ROWE PRICE TAX FRE HIGH YIELD FD INC (PRFHX)	Purchase	07/01/2020	\$1,001 - \$15,000
100	T ROWE PRICE SUMMIT MUN FDS INC- MUN INTER FD (PRSMX)	Purchase	07/01/2020	\$1,001 - \$15,000
101	T ROWE PRICE INTL FD OVERSEAS STK FD (TROSX)	Purchase	07/01/2020	\$1,001 - \$15,000
102	T ROWE PRICE BLUE CH GROWTH FUND (TRBCX)	Sale	07/01/2020	\$1,001 - \$15,000
103	THORNBURG INVT TRUST LTD TERM MUNICIPAL FUND CLASS I (LTMIX)	Purchase	07/01/2020	\$1,001 - \$15,000
104	TOUCHSTONE FDS GROUP MID CAP FUND INSTITUTIONAL CLASS (TMCPX)	Sale	07/01/2020	\$1,001 - \$15,000
105	CREDIT SUISSE COMMODITY RETURN STRATEGY FUND CL I (CRSOX)	Purchase	04/22/2020	\$1,001 - \$15,000
106	DODGE & COX STK FD (DODGX)	Sale	04/21/2020	\$15,001 - \$50,000
107	DODGE & COX FDS INTL STK FD (DODFX)	Sale	04/21/2020	\$15,001 - \$50,000
108	CRM SMALL/MID CAP VALUE FUND CLASS INST (CRIAX)	Sale	04/20/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
109	MFS SER TR I VALUE FD CL I (MEIIX)	Purchase	04/20/2020	\$15,001 - \$50,000
110	PRINCIPAL FDS INC MIDCAP FUND INSTL CLASS (PCBIX)	Sale	04/20/2020	\$15,001 - \$50,000
111	T ROWE PRICE INTL FD OVERSEAS STK FD (TROSX)	Purchase	04/20/2020	\$15,001 - \$50,000
112	TOUCHSTONE FDS GROUP MID CAP FUND INSTITUTIONAL CLASS (TMCPX)	Purchase	04/20/2020	\$15,001 - \$50,000
113	T ROWE PRICE TAX FRE HIGH (PRFHX)	Purchase	10/30/2020	\$100,001 - \$250,000
114	T ROWE PRICE SUMMIT MUN FDS (PRSMX)	Purchase	10/30/2020	\$250,001 - \$500,000
115	DFA INTL CORE EQUITY CL I (DFIEX)	Sale	10/29/2020	\$100,001 - \$250,000
116	DFA US VECTOR EQUITY CL I (DFVEX)	Sale	10/29/2020	\$250,001 - \$500,000
117	DFA GLOBAL REAL ESTA SECURITIES PORTFOLIO INSTITUTIONAL CLASS SHS (DFGEX)	Sale	10/29/2020	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2021	2.125%	30

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	4	The filer has a partial income interest in this trust and his dependent children have remainder interests in this trust.
6.	5	The filer's dependent children have remainder interests in this trust. The current value of the trust is reported.
6.	6	The filer's dependent children have remainder interests in this trust. The current value of the trust is reported.
6.	36.1	The filer has partial interest in this trust. The total cash value of the underlying asset is reported.

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).
