

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Quarles, Randal Keith

Member and Vice Chairman for Supervision, Board of Governors of the Federal Reserve System

Report Year: 2021

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Quarles, Randal Keith [electronically signed on 04/18/2021 by Quarles, Randal Keith 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/ Croston, Sean, Certifying Official [electronically signed on 04/26/2021 by Croston, Sean in Integrity.gov]

Other review conducted by

/s/ Croston, Sean, Ethics Official [electronically signed on 04/26/2021 by Croston, Sean in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 04/26/2021

1. Filer's Positions Held Outside United States Government

None

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|-------------------------------------------------------------------------------------------------------------------|-----|---------------------------|-------------|---------------------------|
| 1 | Bank Managed IRA Account | No | | | |
| 1.1 | U.S. investment account (cash) | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 1.2 | SPDR S&P 500 (SPY) | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 1.3 | iShares MSCI EAFE Index (EFA) | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 1.4 | iShares Russell 2000 Index (IWM) | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 1.5 | iShares MSCI Emerging Markets Index (EEM) | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 1.6 | iShares Dow Jones Select Dividend Index (DVI) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2 | Avalon Advisors, LLC, carried interest (Americas - wealth advisory) (See Part 3, Item 1) | N/A | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 3 | GPS Hospitality Holding Company LLC, carried interest (Americas - Quick Service Restaurants) (See Part 3, Item 1) | N/A | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 4 | Savant Capital Management, LLC, carried interest (Americas - Wealth Advisory) (See Part 3, Item 1) | N/A | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | | CITY, STATE | STATUS AND TERMS | DATE |
|---|--------------------------|-------------|----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1 | Cynosure Management, LLC | See Endnote | Salt Lake City, Utah | I have a fully vested carried interest in investment vehicles advised by Cynosure Management or affiliates of Cynosure Management that have made private investments in the companies identified in the endnote to this item. Proceeds of this carried interest are contractually obligated to be paid contemporaneously with their receipt by Cynosure. | 1/2014 |

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 | Marriner S. Eccles Foundation | N/A | | salary, director fees | |
| 2 | U.S. retirement account (cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3 | Brokerage IRA | No | | | |
| 3.1 | Fidelity Advisor Series VIII Diversified Intl. Fund | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 4 | George S. and Dolores Dore Eccles Foundation | N/A | | consulting fee | |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----------|--------------------------------------------------------------------------------------------------------------|-----|-----------------------|-------------|---------------------------|
| 1 | Spouse Revocable Trust | | | | |
| 1.1 | General Electric Common Stock | N/A | Over \$1,000,000 | Dividends | \$100,001 - \$1,000,000 |
| 1.2 | Union Pacific Common Stock | N/A | Over \$1,000,000 | Dividends | \$50,001 - \$100,000 |
| 1.3 | Occidental Petroleum (OXY) (U.S. Energy) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 1.4 | HLKS BK II, LLC | No | | | |
| 1.4.1 | Cynosure GPS LLC | No | | Dividends | |
| 1.4.1.1 | Cynosure BK II, LLC | No | | | |
| 1.4.1.1.1 | GPS Hospitality Holding Company LLC Senior Preferred Units - Series B (Americas - Quick Service Restaurants) | N/A | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 |
| 1.5 | iShares MSCI EAFE ETF | Yes | Over \$1,000,000 | | \$15,001 - \$50,000 |
| 1.6 | iShares Core S&P 500 ETF | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 1.7 | US Bank Account, Institution #1 (Cash) | N/A | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 |
| 1.8 | Supervalu Inc. | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.9 | First Trust Dow Jones Global Select Dividend Index Fund | Yes | Over \$1,000,000 | | \$15,001 - \$50,000 |
| 1.10 | First Trust Morningstar Dividend Index Leaders Fund | Yes | Over \$1,000,000 | | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-------------------------------------------|-------------|-----------------------|-------------|----------------------|
| 1.11 | WisdomTree U.S. Total Dividend Fund | Yes | Over \$1,000,000 | | \$15,001 - \$50,000 |
| 1.12 | iShares Select Dividend Index Fund | Yes | Over \$1,000,000 | | \$50,001 - \$100,000 |
| 1.13 | iShares MSCI Emerging Markets ETF | Yes | Over \$1,000,000 | | \$15,001 - \$50,000 |
| 1.14 | iShares Russell 2000 | Yes | Over \$1,000,000 | | \$5,001 - \$15,000 |
| 1.15 | SPDR S&P 500 ETF T | Yes | Over \$1,000,000 | | \$5,001 - \$15,000 |
| 1.16 | WisdomTree U.S. High Dividend Fund | Yes | Over \$1,000,000 | | \$15,001 - \$50,000 |
| 1.17 | Wabtec Corporation | N/A | \$100,001 - \$250,000 | Dividends | \$201 - \$1,000 |
| 2 | Family Trust #1 | | | | |
| 2.1 | General Electric Common Stock | N/A | Over \$1,000,000 | Dividends | \$50,001 - \$100,000 |
| 2.2 | U.S. Bank Account - Institution #1 (Cash) | N/A | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 2.3 | Union Pacific Corp | N/A | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 |
| 2.4 | Caterpillar Inc | See Endnote | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 |
| 2.5 | iShares MSCI EAFE Index | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 2.6 | iShares MSCI Emerging Markets Index | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 2.7 | iShares Russell Midcap Index | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------|----------------------------------------------------------|-------------|-------------------------|----------------------------------------|---------------------------|
| 2.8 | iShares Russell 2000 Index | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 2.9 | iShares S&P 500 Index | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 2.10 | Wabtec Corporation Common Stock | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 3 | CEP Fairview Property LLC | See Endnote | No | | |
| 3.1 | Undeveloped land in Fairview, Utah (former sheep ranch) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 4 | GSL Artemia Worldwide (Global - Agricultural Production) | N/A | Over \$1,000,000 | Dividends | \$100,001 - \$1,000,000 |
| 5 | RHLKS, LLC | See Endnote | No | | |
| 5.1 | NTR , Inc. (Americas - Oil and Gas) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6 | Family Trust #2 | See Endnote | | | |
| 6.1 | Cynosure Management, LLC (Americas - Asset Management) | N/A | Over \$1,000,000 | Partnership Income | \$63,166 |
| 7 | Fuzzy, LLC | No | | | |
| 7.1 | HLKS Investments, LLC | No | | | |
| 7.1.1 | Pelion Venture Partners V, LP | See Endnote | \$500,001 - \$1,000,000 | Dividends Capital Gains Interest | \$50,001 - \$100,000 |
| 7.1.1.1 | 33 Across, Inc. (Americas - Marketing Software) | N/A | | | |
| 7.1.1.2 | Blyncsy, Inc (Americas - Traffic Management Software) | N/A | | | |
| 7.1.1.3 | Grow, Inc. (Americas - Business Analytics Software) | N/A | | | |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----------|--------------------------------------------------------------------------------------------------|-------------|-----|-----------------------|-------------|---------------------------|
| 7.1.1.4 | Movement Ventures, Inc. (Americas - Publishing and Marketing Software) | | N/A | | | |
| 7.1.1.5 | Neurala, Inc. (Americas - Network Software) | | N/A | | | |
| 7.1.1.6 | ObservePoint, Inc. (Americas - Data Analytics Software) | | N/A | | | |
| 7.1.1.7 | Deserve/SelfScore, Inc. (Americas - Credit Analytics Software) | | N/A | | | |
| 7.1.1.8 | SimpleCitizen, Inc. (Americas - Legal Software) | See Endnote | N/A | | | |
| 7.1.1.9 | Canopy Tax, Inc. (Americas - Tax Accounting Software) | | N/A | | | |
| 7.1.1.10 | Conversion Logic, Inc. (Americas - Marketing Analytics S | See Endnote | N/A | | | |
| 7.1.2 | CompleteXRM Plan Plus Online Common Stock (Americas - Customer Relationship Management Software) | | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 7.1.3 | ExpertVoice, Inc. Common Stock (Americas - Business Software) | | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 7.1.4 | MedMountain Ventures I, LLC (Americas - Medical Technology) | | No | \$15,001 - \$50,000 | Dividends | \$5,001 - \$15,000 |
| 7.1.4.1 | PenBlade Inc. (Americas - Medical Hardware) | See Endnote | N/A | | | |
| 7.1.4.2 | Boka Science Inc. (Americas - Medical Diagnostics) | | N/A | | | |
| 7.1.4.3 | ReddyPort Inc. (Americas - Medical Orthopedics) | | N/A | | | |
| 7.1.4.4 | Superconductive Health, Inc. (Americas - Medical Data) | | N/A | | | |
| 7.1.4.5 | LineLogic, LLC (Americas - Catheter Tubing Technology) | See Endnote | | | | |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------------|---------------------------------------------------------------------------------------------------------------|-------------|-----|---------------------------|--------------------|---------------------------|
| 7.1.4.6 | Concha Labs (Americas - Hearing Aids) | See Endnote | | | | |
| 7.1.4.7 | Inherent Biosciences, Inc. (Americas - Fertility Diagnostics) | See Endnote | | | | |
| 7.1.4.8 | Pocket Naloxone Corp (Americas - Nasal Swabs) | See Endnote | | | | |
| 7.1.4.9 | FluidX (Americas - Vascular Occlusion Technology) | See Endnote | N/A | | | |
| 7.1.4.1 0 | Emergency Scientific, LLC (Americas - Hemorrhage Treatment) | See Endnote | N/A | | | |
| 7.1.4.1 1 | Epitel, Inc. (Americas - Medical Technology) | See Endnote | N/A | | | |
| 7.1.4.1 2 | Netic Health (Americas - Medical Technology) | See Endnote | N/A | | | |
| 7.1.5 | Daniels Capital Partners | See Endnote | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.2 | Cynosure Avalon Holdings I, LLC | See Endnote | No | | | |
| 7.2.1 | Avalon Advisors, LLC (Americas - Wealth Advisory) | | N/A | \$1,000,001 - \$5,000,000 | Partnership Income | \$77,835 |
| 7.3 | Cynosure SRAC I, LLC | See Endnote | No | | | |
| 7.3.1 | GPS Hospitality Holding Company, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants) | | N/A | \$500,001 - \$1,000,000 | Dividends | \$15,001 - \$50,000 |
| 7.4 | Cynosure Investment Partners Class 2018 Anglo | | No | | | |
| 7.4.1 | Anglo International Shipping (U.K. - Maritime Shipping) | See Endnote | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 8 | Cynosure Management, LLC | See Endnote | N/A | \$250,001 - \$500,000 | Partnership Income | \$13,975 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------|--------------------------------------------------------------------------------------------------|-------------|-------------------------|----------------------------|---------------------------|
| 9 | Brownie, LLC - B Units | No | | | |
| 10 | Eccles Investment, LLC | No | | | |
| 10.1 | A hotel and restaurant in the Deer Valley Ski Resort, Utah | N/A | Over \$1,000,000 | | None (or less than \$201) |
| 10.2 | A condominium in Sun Valley, Idaho | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 10.3 | A condominium in Park City, Utah | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 10.4 | A condominium in Sun Valley, Idaho | N/A | \$100,001 - \$250,000 | Rent or Royalties | \$2,501 - \$5,000 |
| 10.5 | West Rim Capital Partners II, L.P. | See Endnote | \$500,001 - \$1,000,000 | Dividends Capital Gains | \$100,001 - \$1,000,000 |
| 10.5.1 | AccessData Group, LLC (Americas - Digital Forensics) | N/A | | | |
| 10.5.2 | Workfront, Inc. (Americas - Project Management Software) | N/A | | | |
| 10.5.3 | Bamboo HR, LLC (Americas - Human Resources Software) | N/A | | | |
| 10.5.4 | ExpertVoice, Inc. (Americas - Business Software) | N/A | | | |
| 10.5.5 | RTC Aerospace, LLC (Americas - Aerospace) | N/A | | | |
| 10.5.6 | Wilson Electronics, Inc. (Americas - Communications Technology) | N/A | | | |
| 10.5.7 | Home Brands Group (Americas - Franchising) | N/A | | | |
| 10.6 | HILD, LLC | No | | | |
| 10.6.1 | Reverse Mortgage Loans Eastern European countries (underlying assets below reporting thresholds) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----------|---------------------------------------------------------------------------------------|-----|-----------------------|--------------------|---------------------------|
| 11 | Health Catalyst, LLC (Americas - Health Care Software and Data Analytics) See Endnote | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 12 | DVP LLC | No | | | |
| 12.1 | Developable Real Estate at Deer Valley Ski Resort (Utah) | N/A | Over \$1,000,000 | | None (or less than \$201) |
| 12.2 | U.S. Bank Account - Institution #1 (Cash) | N/A | Over \$1,000,000 | Interest | \$201 - \$1,000 |
| 13 | Family Trust #3 | No | | | |
| 13.1 | General Electric Common Stock | N/A | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 |
| 13.2 | Fuzzy, LLC - B Units | No | | | |
| 13.3 | Brownie, LLC - B Units | No | | | |
| 13.4 | Fuzzy, LLC - C Units | No | | | |
| 13.4.1 | Cynosure Avalon Holdings I, LLC | No | | | |
| 13.4.1.1 | Avalon Advisors, LLC (Americas - Wealth Advisory) | N/A | \$50,001 - \$100,000 | Partnership Income | \$2,900 |
| 13.5 | SPDR S&P 500 | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 13.6 | iShares Russell 2000 Index | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 13.7 | iShares Select Dividend Index Fund | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 13.8 | iShares MSCI EAFE Index | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 13.9 | iShares MSCI Emerging Markets Index | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 13.10 | Fuzzy LLC - D Units | No | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------------|---------------------------------------------------------------------------------------------------------------------|-------------|--------------------------|-----------------------|------------------------------|
| 13.10.1 | Cynosure SRAC I LLC | No | | | |
| 13.10.1 .1 | GPS Hospitality Holding Company, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants) | N/A | \$15,001 - \$50,000 | Dividends | \$5,001 - \$15,000 |
| 13.11 | Wabtec Corporation Common Stock | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 13.12 | Occidental Petroleum Common Stock (U.S. - Energy) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 13.13 | Fuzzy, LLC - E Units | No | | | |
| 13.13.1 | Anglo International Shipping (U.K. - Maritime Shipping) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 13.14 | Union Pacific Corp. (UNP) | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 13.15 | Brownie, LLC - C Units | See Endnote | No | | |
| 13.15.1 | Visible Supply Chain (Americas - Logistics) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 14 | Family Trust #4 | No | | | |
| 14.1 | General Electric Common Stock | N/A | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 |
| 14.2 | Fuzzy, LLC - B Units | No | | | |
| 14.3 | Brownie, LLC - B Units | No | | | |
| 14.4 | Fuzzy, LLC - C Units | No | | | |
| 14.4.1 | Cynosure Avalon Holdings I, LLC | No | | | |
| 14.4.1. 1 | Avalon Advisors, LLC (Americas - Wealth Advisory) | N/A | \$50,001 - \$100,000 | Partnership Income | \$2,900 |
| 14.5 | SPDR S&P 500 | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----------|---------------------------------------------------------------------------------------------------------------|-------------|-----------------------|-------------|---------------------------|
| 14.6 | iShares Russell 2000 Index | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 14.7 | iShares Select Dividend Index Fund | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 14.8 | iShares MSCI EAFE Index | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 14.9 | iShares MSCI Emerging Markets Index | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 14.10 | Fuzzy LLC - D Units | See Endnote | No | | |
| 14.10.1 | Cynosure SRAC I LLC | No | | Interest | |
| 14.10.1.1 | GPS Hospitality Holding Company, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants) | N/A | \$15,001 - \$50,000 | Dividends | \$2,501 - \$5,000 |
| 14.11 | Wabtec Corporation Common Stock | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 14.12 | Occidental Petroleum Common Stock (U.S. - Energy) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 14.13 | Fuzzy, LLC - E Units | No | | | |
| 14.13.1 | Anglo International Shipping (U.K. - Maritime Shipping) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 14.14 | Union Pacific Corp. (UNP) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 14.15 | Brownie, LLC - C Units | See Endnote | No | | |
| 14.15.1 | Visible Supply Chain (Americas - Logistics) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 15 | Family Trust #5 | No | | | |
| 15.1 | General Electric Common Stock | N/A | \$50,001 - \$100,000 | Dividends | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----------|--------------------------------------------------------------------------------------------------------------|-------------|-----------------------|--------------------|---------------------------|
| 15.2 | Fuzzy, LLC - B Units | No | | | |
| 15.3 | Brownie, LLC - B Units | No | | | |
| 15.4 | Fuzzy, LLC - C Units | No | | | |
| 15.4.1 | Cynosure Avalon Holdings I, LLC | No | | | |
| 15.4.1.1 | Avalon Advisors, LLC (Americas - Wealth Advisory) | N/A | \$50,001 - \$100,000 | Partnership Income | \$2,900 |
| 15.5 | SPDR S&P 500 | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 15.6 | iShares Russell 2000 Index | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 15.7 | iShares Select Dividend Index Fund | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 15.8 | iShares MSCI EAFE Index | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 15.9 | iShares MSCI Emerging Markets Index | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 15.10 | Fuzzy LLC - D Units | See Endnote | No | | |
| 15.10.1 | Cynosure SRAC I LLC | No | | | |
| 15.10.1.1 | GSP Hospitality Holding Comany, LLC Senior Preferred Units - Series F (Americas - Quick Service Restaurants) | N/A | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 15.11 | Wabtec Corporation Common Stock | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 15.12 | Occidental Petroleum Common Stock (U.S. - Energy) | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 15.13 | Fuzzy, LLC - E Units | No | | | |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------|---------------------------------------------------------|-------------|-----|-------------------------|--------------------|---------------------------|
| 15.13.1 | Anglo International Shipping (U.K. - Maritime Shipping) | | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 15.14 | Union Pacific Corp. (UNP) | | N/A | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 |
| 15.15 | Brownie, LLC - C Units | See Endnote | No | | | |
| 15.15.1 | Visible Supply Chain (Americas - Logistics) | | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 16 | Family Trust #6 | | No | | | |
| 16.1 | Ranch near Hailey, Idaho | | N/A | Over \$1,000,000 | | None (or less than \$201) |
| 16.2 | Union Pacific Common Stock | | N/A | Over \$1,000,000 | Dividends | \$50,001 - \$100,000 |
| 16.3 | U.S. Bank Account - Institution #1 (Cash) | | N/A | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 16.4 | General Electric Common Stock | | N/A | \$500,001 - \$1,000,000 | Dividends | \$2,501 - \$5,000 |
| 16.5 | Cynosure Investment Partners Class 2019 Steward | | No | | | |
| 16.5.1 | Steward Partners (U.S. - Wealth Advisory) | | N/A | \$100,001 - \$250,000 | Partnership Income | \$686 |
| 16.6 | Cynosure Investment Partners 2019 Visible | | No | | | |
| 16.6.1 | Visible Supply Chain (U.S. - Logistics) | | N/A | \$100,001 - \$250,000 | Dividends | \$201 - \$1,000 |
| 16.7 | Cynosure Investment Partners 2019 Invictus | | No | | | |
| 16.7.1 | Invictus Opportunity Fund II (U.S. - Real Estate) | See Endnote | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 16.8 | Cynosure Investment Partners 2019 Avenue Value | | No | | | |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------|----------------------------------------------------------|-------------|-----|-----------------------------|-------------------------------|---------------------------|
| 16.8.1 | Avenue Value Credit Fund | See Endnote | No | \$50,001 - \$100,000 | | None (or less than \$201) |
| 16.9 | Cynosure Investment Partners 2019 GMP | | No | | | |
| 16.9.1 | Gold Medal Pools (U.S. - Construction) | | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 16.10 | Cynosure Investment Partners 2019 SG Credit | | No | | | |
| 16.10.1 | SG Credit (private credit fund) | | No | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 16.11 | Cynosure Investment Partners 2019 RE Assets | | No | \$100,001 - \$250,000 | Interest Rent or Royalties | \$201 - \$1,000 |
| 16.11.1 | Riverstone CW, LLC (Americas - Real Estate) | | N/A | | | |
| 16.11.2 | Fairways on Thunderbird (Americas - Real Estate Holding) | See Endnote | N/A | | | |
| 16.11.3 | Belvedere (Americas - Real Estate) | See Endnote | N/A | | | |
| 16.11.4 | River Forrest (Americas - Real Estate) | See Endnote | N/A | | | |
| 17 | US Bank Account, Institution #1 (Cash) | | N/A | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 |
| 18 | Revolving Credit Note from Cynosure Investments, LLC | | N/A | \$1,000,001 - \$5,000,000 | Interest | \$50,001 - \$100,000 |
| 19 | Revolving Credit Note from Goldener Hirsch Inn | See Endnote | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 20 | CloudFlare, Inc. (Americas - Online Security Software) | See Endnote | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 21 | US Bank Account, Institution #1 (Cash) | | N/A | \$50,001 - \$100,000 | Interest | None (or less than \$201) |
| 22 | iShares MSCI EAFE | | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------|---------------------------------------------------------------------------------------------------------------|-------------|---------------------------|-------------|----------------------|
| 23 | First Trust Dow Jones Global Select Dividend Index Fund | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 24 | First Trust Morningstar Dividend Index Leaders Fund | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 25 | WisdomTree U.S. Total Dividend Fund | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 26 | iShares Select Dividend Index Fund | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 27 | iShares MSCI Emerging Markets ETF | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 28 | iShares Russell 2000 ETF | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 29 | SPDR S&P 500 | Yes | \$1,000,001 - \$5,000,000 | | \$5,001 - \$15,000 |
| 30 | WisdomTree U.S. High Dividend Fund | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 31 | Cynosure GPS LLC | No | | | |
| 31.1 | Cynosure BK III, LLC | See Endnote | No | | |
| 31.1.1 | GPS Hospitality Holding Company LLC Senior Preferred Units - Series C (Americas - Quick Service Restaurants) | N/A | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 |
| 31.2 | Cynosure Pop I, LLC | See Endnote | No | | |
| 31.2.1 | GPS Hospitality Holding Company, LLC Senior Preferred Units - Series D (Americas - Quick Service Restaurants) | N/A | \$50,001 - \$100,000 | Dividends | \$5,001 - \$15,000 |
| 31.3 | Cynosure Pop II, LLC | See Endnote | No | | |
| 31.3.1 | GPS Hospitality Holding Company, LLC Senior Preferred Units - Series E (Americas - Quick Service Restaurants) | N/A | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------|---------------------------------------------------------------------------------------------------------|-------------|---------------------------|--------------------|---------------------------|
| 32 | Cynosure Savant Holdings LLC | No | | | |
| 32.1 | Cynosure Savant Holdings I, LLC | See Endnote | | | |
| 32.1.1 | Savant Capital Management, LLC (Americas - Wealth Advisory) | N/A | \$1,000,001 - \$5,000,000 | Partnership Income | \$99,181 |
| 32.2 | Cynosure Prumentum LLC | No | | | |
| 32.2.1 | Prumentum Group (Americas - Wealth Management) | N/A | \$250,001 - \$500,000 | Dividends | \$15,001 - \$50,000 |
| 33 | Cynosure Avalon BuildGroup, LLC (Americas - Technology) | No | \$50,001 - \$100,000 | | None (or less than \$201) |
| 33.1 | CSDC Holdco Inc. Preferred Stock, Series A (Calytera, Inc.) (Americas - Government Operations Software) | N/A | | | |
| 33.2 | Anaconda Inc. (Americas - Data Science) | N/A | | | |
| 33.3 | Fiix Corp. Preferred Stock Series A (Americas - Management Software) | N/A | | | |
| 33.4 | VidMob, Inc. (Americas - Video Technology) | N/A | | | |
| 33.5 | X-Mode, Inc. (Americas - Location Technology) | N/A | | | |
| 33.6 | Yonder (Popily, Inc.) (Americas - A.I. Software) | N/A | | | |
| 33.7 | BuildGroup Data Services Inc. (Americas - Fundraising Technology) | N/A | | | |
| 33.8 | DigniFi (Americas - Software) | See Endnote | | | |
| 33.9 | Cybrary (Americas - Cybersecurity) | See Endnote | | | |
| 33.10 | Benefitfocus (Americas - Employee Benefits Management) | See Endnote | | | |
| 34 | General Electric Common Stock | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--------------------------------------------------|-------------|-----|-------------------------|-------------------------------|---------------------------|
| 35 | Wabtec Corporation Common Stock | | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 36 | Cynosure Investment Partners 2019 Steward | | No | | | |
| 36.1 | Steward Partners (U.S. - Wealth Advisory) | | N/A | \$500,001 - \$1,000,000 | Partnership Income | \$2,745 |
| 37 | Cynosure Investment Partners 2019 Visible | | No | | Dividends | |
| 37.1 | Visible Supply Chain (U.S. - Logistics) | | N/A | \$500,001 - \$1,000,000 | Dividends | \$2,501 - \$5,000 |
| 38 | Cynosure Investment Partners 2019 GMP | | No | | | |
| 38.1 | Gold Medal Pools (U.S. - Construction) | | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 39 | Cynosure Investment Partners 2019 SG Credit | | No | | | |
| 39.1 | SG Credit (Private Credit Fund) | | No | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 40 | Cynosure Investment Partners 2019 RE Assets | | No | \$250,001 - \$500,000 | Interest Rent or Royalties | \$2,501 - \$5,000 |
| 40.1 | Riverstone CW, LLC (Americas. - Real Estate) | | No | | | None (or less than \$201) |
| 40.2 | Fairways on Thunderbird (Americas - Real Estate) | See Endnote | N/A | | | |
| 40.3 | Belvedere (Americas - Real Estate) | See Endnote | N/A | | | |
| 40.4 | River Forrest (Americas - Real Estate) | See Endnote | N/A | | | |
| 41 | Brownie, LLC - C Units | See Endnote | No | | | |
| 41.1 | Visible Supply Chain (Americas - Logistics) | | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|-------------------------------------------------------------------------------------------|----------|------------|----------------------|
| 1 | Cynosure Investment Partners Class 2020 Venture (underlying assets are not ascertainable) | Purchase | 04/02/2020 | \$50,001 - \$100,000 |
| 2 | Cynosure Investment Partners Class 2020 Venture | Sale | 12/21/2020 | \$50,001 - \$100,000 |

8. Liabilities

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM | |
|---|---------------|-------------|---------------------------------------|---------------------------|-------|-------------------------|----------|
| 1 | Wells Fargo | See Endnote | Mortgage (investment/rental property) | 2016 | 3.38% | Revolving (Home Equity) | |
| 2 | Wells Fargo | | Mortgage on Personal Residence | \$1,000,001 - \$5,000,000 | 2016 | 3.15% | 30 years |

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 3. | 1 | Cynosure-advised investment vehicles in which I have a carried interest have invested in the following portfolio companies: Avalon Advisors (a wealth advisory firm in Houston, TX), GPS Hospitality (a fast food franchisee in Atlanta, GA), Savant Capital (a wealth advisory firm in Rockford, IL), |
| 6. | 2.4 | The Caterpillar common stock held by this trust was inadvertently omitted in previous filings. It has been held since before the date of my original filing. |
| 6. | 3 | The land in Fairview Utah previously held by the LL Peterson Land Company Partnership was transferred to the newly formed CEP Fairview Property LLC in December 2020. The ownership of the Partnership and the LLC are the same, and there was no change in the economics. The transfer was made simply for ease of administration. |
| 6. | 5 | RHLKS, LLC is a single-asset vehicle. |
| 6. | 6 | This trust is for the sole benefit of the filer's wife, children, and grandchildren; the filer retains no interest in either the trust or the underlying assets. |
| 6. | 7.1.1 | Sub-assets of Pelion Venture Partners V determined as of 12/31/20, reflecting acquisitions and divestitures of partnership since last SF 278 reporting date. |
| 6. | 7.1.1.8 | This company was sold from the Pelion portfolio during 2020. Filer has no further direct or indirect interest in this company. |
| 6. | 7.1.1.10 | This company was sold from the Pelion portfolio during 2020. Filer has no further direct or indirect interest in this company. |
| 6. | 7.1.4.1 | This company was sold from the MedMountain portfolio during 2020. Filer has no further direct or indirect interest in this company. |
| 6. | 7.1.4.5 | Medmountain acquired an interest in LineLogic, LLC during 2020. LineLogic develops catheter tubing technology. |
| 6. | 7.1.4.6 | MedMountain acquired an interest in Concha Labs during 2020. Concha Labs develops software for hearing aids. |
| 6. | 7.1.4.7 | MedMountain acquired an interest in Inherent Biosciences, Inc. during 2020. Inherent Biosciences produces fertility diagnostic tests. |
| 6. | 7.1.4.8 | MedMountain acquired an interest in Pocket Naloxone Corp during 2020. Pocket Naloxone is developing a nasal swab formulation. |

| PART | # | ENDNOTE |
|------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 6. | 7.1.4.9 | MedMountain acquired an interest in FluidX during 2020. FluidX is developing technology for the treatment of vascular occlusions. |
| 6. | 7.1.4.10 | MedMountain acquired an interest in Emergency Scientific, Inc. during 2020. Emergency Scientific is developing a tool to arrest hemorrhages. |
| 6. | 7.1.4.11 | MedMountain acquired an interest in Epitel, Inc. during 2020. Epitel develops wireless EEG technology. |
| 6. | 7.1.4.12 | MedMountain acquired an interest in Netic Health during 2020. Netic is developing a digital care platform for physical therapy. |
| 6. | 7.1.5 | Daniels Capital Partners is a fund that invested in real estate in rural Utah that HLKS Investments had written off as a total loss several years ago, and accordingly was not reported as an asset by HLKS and therefore was not included on previous SF 278 reports. The fund has been reorganized and now expects to distribute a small sum (of which my wife's share would be approximately \$6,000) over the next few years. |
| 6. | 7.2 | Cynosure Avalon Holdings I, LLC is a single-asset vehicle. |
| 6. | 7.3 | Cynosure SRAC I, LLC is a single-asset vehicle that owns its interest in GPS Hospitality Holding Company through Cynosure SRAC, LLC, which is also a single-asset vehicle. |
| 6. | 7.4.1 | Anglo is a UK-based owner and international operator of second-hand vessels focused on the dry bulk shipping market. |
| 6. | 8 | Filer's spouse owns this interest in Cynosure Management directly, in addition to her beneficial interest in Cynosure Management through Family Trust #2, of which she and the filer's children are life beneficiaries, and the filer's grandchildren are residual beneficiaries. |
| 6. | 10.5 | Sub-assets of West Rim Capital Partners determined as of 12/31/20, reflecting acquisitions and divestitures by the partnership since the last SF 278 report. |
| 6. | 11 | This shareholding was spun out of Eccles Investment.during 2020. It is now held directly by my spouse; there was no other change in the share interest. |
| 6. | 13.15 | Gift from grandfather. Brownie C Units represent the interest held by Brownie, LLC in Visible Supply Chain, a US logistics company. |
| 6. | 14.10 | Gift from parents |
| 6. | 14.15 | Gift from grandfather. Brownie C Units represent the interest held by Brownie, LLC in Visible Supply Chain, a US logistics company. |
| 6. | 15.10 | Gift from parents. |

| PART | # | ENDNOTE |
|------|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 6. | 15.15 | Gift from grandfather. Brownie C Units represent the interest held by Brownie, LLC in Visible Supply Chain, a US logistics company. |
| 6. | 16.7.1 | This fund owns interests in newly originated non-agency residential mortgages. |
| 6. | 16.8.1 | Avenue Value Credit Fund, L.P invests in individual corporate stressed and distressed debt securities of U.S. companies. |
| 6. | 16.11.2 | Cynosure acquired an interest in this asset during 2020. Fairways on Thunderbird is a multi-family property in Phoenix, AZ. |
| 6. | 16.11.3 | Cynosure acquired an interest in this property in 2020. Belvedere is a multi-family property in North Chesterfield, VA. |
| 6. | 16.11.4 | Cynosure acquired an interest in this property in 2020. River Forrest is a multi-family property in Chester, VA. |
| 6. | 19 | This loan was repaid during 2020. |
| 6. | 20 | This shareholding was spun out of Pelion Venture Partners V during 2020 to Eccles Investment, LLC, which then distributed the shareholding to the owners of Eccles Investment. Accordingly, the interest in CloudFlare which my wife held indirectly through Pelion before 2020 is now held directly by her. |
| 6. | 31.1 | Cynosure BK III, LLC is a single-asset vehicle. |
| 6. | 31.2 | Cynosure Pop I, LLC is a single-asset vehicle. |
| 6. | 31.3 | Cynosure Pop II, LLC is a single-asset vehicle. |
| 6. | 32.1 | Cynosure Savant Holdings I, LLC is a single-asset vehicle that owns its interest in Savant Capital Management, LLC through Cynosure Savant, LLC, which is also a single-asset vehicle. |
| 6. | 33.8 | BuilldGroup acquired an interest in DigniFi during 2020. DigniFi is a software company. |
| 6. | 33.9 | BuildGroup acquired an interest in Cybrary during 2020. Cybrary is a cybersecurity and IT workforce development platform. |
| 6. | 33.10 | BuildGroup acquired an interest in Benefitfocus during 2020. Benefitfocus is a cloud-based benefits management platform for consumers, employers, and insurance carriers. |
| 6. | 40.2 | Cynosure acquired an interest in this asset during 2020. Fairways on Thunderbird is a multi-family property in Phoenix, AZ. |

| PART | # | ENDNOTE |
|------|------|--------------------------------------------------------------------------------------------------------------------------------|
| 6. | 40.3 | Cynosure acquired an interest in this asset during 2020. Belvedere is a multi-family property in North Chesterfield, VA. |
| 6. | 40.4 | Cynosure acquired an interest in this asset during 2020. River Forrest is a multi-family property in Chester, VA |
| 6. | 41 | Gift from parent. Brownie C Units represent the interest held by Brownie, LLC in Visible Supply Chain, a US logistics company. |
| 8. | 1 | This loan was repaid during 2020 and we terminated the line. |

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.

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