

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

## Filer's Information

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Kearns, Jason

Commissioner, U.S. International Trade Commission

Report Year: 2020

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Kearns, Jason [electronically signed on 05/07/2020 by Kearns, Jason in Integrity.gov]

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Bianchi, Dominic, Certifying Official [electronically signed on 12/04/2020 by Bianchi, Dominic in Integrity.gov]

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Other review conducted by

/s/ Enge, Todd, Ethics Official [electronically signed on 12/04/2020 by Enge, Todd in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 12/08/2020 by Granahan, Megan in Integrity.gov]

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Data Revised 12/04/2020

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	WilmerHale	No			
1.1	American Cent Mid Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Parnassus Core Equity	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	BlackRock Equ Idx	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Loomis Sayles Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Vanguard Tax Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	Oakmark Int'l	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	MayerBrown	No			
2.1	Vanguard Target 2035	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Dodge&Cox stock	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.3	ClearBridge Small cap growth	Yes	\$15,001 - \$50,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	WilmerHale	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2000
2	MayerBrown	Chicago, Illinois	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/1996

### 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	American University	N/A		salary	
2	Villere Balanced Fund IRA	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	Villere Balanced Fund TMS IRA	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Washington Mutual Investor Fund FWMIX Capital Group	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
2	New Economy Fund FNEFX Capital Group	Yes	Over \$1,000,000		\$50,001 - \$100,000
3	Europacific Growth Fund FEUPX Capital Group	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4	U.S. Bank #1 (Cash) (VII)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Vanguard Total International Stock ETF (VXUS) (VII)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
6	Vanguard Total Stock (VTI) (VII)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7	Vanguard Total World (VT) (VII)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
8	Vanguard Interm Term Tax (VWIUX) (VII)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
9	U.S. Bank #1 Cash (VI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10	Sch Treas Obligation MMF (SNOXX) (VI)	N/A	\$250,001 - \$500,000		\$5,001 - \$15,000
11	Pool Corporation (POOL) (VI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
12	First Hawaiian (FHB) (VI)	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
13	Howard Hughes Corp (HHC) (VI)	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
14	Kearny Fin Corp (KARNY) (VI)	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Visa Inc CL A (V) (VI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
16	Abiomed Inc (ABMD) (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
17	EHealth Inc (EHTH) (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
18	Steris Plc (STE) (VI)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
19	Telefax Inc (TFX) (VI)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
20	LKQ Corp (LKQ) (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
21	Roper Technologies (ROP) (VI)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
22	EBIX (EBIX) (VI)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
23	Euronet Worldwide (EEFT) (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
24	On Semiconductor Corp (ON) (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
25	Progressive Corp (PGR) (VI)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
26	3D Sys Corp (DDD) (VI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27	Vanguard Star FD TL Int Stk (VTIAX) (VI)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
28	Vanguard Index Growth (VUG) (VI)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	Vanguard Index Total Stock Mkt (VTI) (VI)	Yes	Over \$1,000,000		\$15,001 - \$50,000
30	Vanguard Index Fds Value (VTV) (VI)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
31	U.S. Bank #1 (cash) (VJ)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
32	Svhwab Treas Obligations (SNOXX) VJ)	N/A	\$500,001 - \$1,000,000		\$5,001 - \$15,000
33	Pool Corp (VJ)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
34	First Hawaiian Inc (FHB) (VJ)	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
35	Howard Hughes Corp (HHC) (VJ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
36	Kearney Finl Corp (KARNY) (VJ)	N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
37	Visa Inc Cl A (V) (VJ)	N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
38	Abiomed (ABMD) (VJ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
39	Ehealth (EHTH) (VJ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
40	Steris PLC (STE) (VJ)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
41	Telefax Inc (TFX) (VJ)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
42	LKQ Corp (LKQ) (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	Roper Technologies (ROP)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
44	EBIX Inc (EBIX) (VJ)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
45	Euronet Worldwide (EEFT) (VJ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
46	On Semiconductor Corp (ON) (VJ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
47	Progressive Corp (PGR) (VJ)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
48	3 D Sys Corp (DDD) (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
49	US Bank #2 (Cash) (Jt)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
50	US Bank #2 (Cash) (E)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	US Bank #2 (Cash) (K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
52	US Bank #2 (Cash) (S)	N/A	\$1,001 - \$15,000		None (or less than \$201)
53	Sarofim Equity Fund (E)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
54	Sarofim Equity Fund (K)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
55	Sarofim Equity Fund (S)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
56	Villere Balanced Fund (E)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
57	Villere Balanced Fund (K)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
58	Villere Balanced Fund (S)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
59	Villere Balanced Fund (JT1)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
60	Villere Balanced Fund (JEF)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
61	Family Trust #1 (IAFT FBOLK)				
61.1	US Bank #1 (Cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
61.2	Schwab Treas Obligation SNOXX	Yes	Over \$1,000,000		\$15,001 - \$50,000
61.3	Vanguard Interim Term Tax VWIUX	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
62	Family Trust #2 (IAT FBOLK)				
62.1	Vanguard Interim Term Tax VWIUX	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
62.2	US Bank #1 (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
62.3	Schwab Treas Obligation MMF (SNOXX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
62.4	Vanguard Total Stock (VTI)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
62.5	Frost Total Return (FIJEX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
63	Family Trust #3 (LKGSTEXSH)				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63.1	US Bank #3 (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
63.2	AXON Enterprise (AAXN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
63.3	Kearny Finl Corp (KRNY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
63.4	Visa Inc (V)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
63.5	Vanguard Total Stock (VTI)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
63.6	Vanguard Short Term Tax (VWSUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
63.7	Vanguard Total Interntl (VXUS)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
63.8	Financial Technology Ventures II	No	\$50,001 - \$100,000		
63.8.1	Cloudify	N/A			
63.8.2	ETFS Capital	N/A			
63.8.3	GigaSpaces Technologies				
63.8.4	SourceCode Technology Holdings	N/A			
63.9	Financial Technology Ventures III	No	\$100,001 - \$250,000		
63.9.1	BF RIO (RioSoft)	N/A			
63.9.2	Centro	N/A			
63.9.3	Company.com	N/A			
63.9.4	eBaoTech	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63.9.5	Utopia	N/A			
63.10	Financial Technology Ventures IV	No	Over \$1,000,000		
63.10.1	Credorax	N/A			
63.10.2	Edgewater Markets	N/A			
63.10.3	Empyrean Benefit Solutions	N/A			
63.10.4	Enfusion	N/A			
63.10.5	ID.me	N/A			
63.10.6	InvestCloud	N/A			
63.10.7	LiveIntent	N/A			
63.10.8	NewsCred	N/A			
63.10.9	ReliaQuest	N/A			
63.10.1 0	Riskalyze	N/A			
63.10.1 1	Sitehands	N/A			
63.10.1 2	Swan Global Investments	N/A			
63.10.1 3	True Potential	N/A			
63.10.1 4	VPay (Stone Eagle Services)	N/A			
64	Family Trust #4 (LKGSTNE)				
64.1	Schwab Treasury Oblig Money Fund(SNOXX)	Yes	\$1,001 - \$15,000		
65	Family Trust #5 (Mel 78)				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65.1	Ishares MSCI Emerging (EEM)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
65.2	Schwab Treasury Oblig Market Fund (SNOXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
65.3	Exempt Fd Admiral Share (VWIUX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
66	Family Trust #6 (Mel 84)				
66.1	Sch Treas Oblig (SNOXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
66.2	Aberdeen Emerging (ABEMX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
66.3	Artisan International Instl (APHIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
66.4	Ishares MSCI Emerging (EEM)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
67	Family Trust #7 (Mel 86)				
67.1	Us Bank #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
67.2	Schwab Treas Oblig Money Fund (SNOXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
67.3	Aberdeen Emerging (ABEMX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
67.4	Oakmark Intl (OANIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
67.5	Vanguard Interm Term Tax (VWIUX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
68	Family Trust #8 (Mel 87)				
68.1	Ishares MSCI EAFE (EFV)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
68.2	Us Bank #3 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
68.3	Sch Treas Oblig MMF (SNOXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
68.4	Vanguard Inerm Term Tax (VWIUX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
68.5	Artisinal Intl Fund (APHIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
69	Family Trust #9 (AWAT)	See Endnote			
69.1	Private Wealth Management Fiduciary Master Deposit Account	N/A	\$15,001 - \$50,000		\$201 - \$1,000
69.2	Private Wealth Management Fiduciary Master Deposit Account	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.3	Atlanta and Fulton County Georgia Facilities Revenue	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.4	Bernalillo Cnty New Mexico Gross Revenue Bonds	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.5	Dublin Ohio General Obligation	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.6	King County Washington General Obligation	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
69.7	Kingsport Tennessee General Obligation	N/A	\$50,001 - \$100,000		\$201 - \$1,000
69.8	Knoxville Tennessee Gas Revenue Utilities	N/A	\$50,001 - \$100,000		\$201 - \$1,000
69.9	Minneapolis Minnesota General Oblig	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.10	Minnesota State General Obligation	N/A	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
69.11	New York State Dorm Auth Pers		N/A	\$50,001 - \$100,000		\$201 - \$1,000
69.12	Norfolk Virginia General Obligation		N/A	\$50,001 - \$100,000		\$201 - \$1,000
69.13	Phoenix Arizona Civic Impt Corp Wtr Water Revenue		N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.14	Salt River Arizona Proj Agric Impt		N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.15	Triborough New York Bridge and Tunnel		N/A	\$50,001 - \$100,000		\$201 - \$1,000
69.16	Wisconsin State General Obligation		N/A	\$50,001 - \$100,000		\$201 - \$1,000
69.17	Vanguard Short Term Tax-exempt Fund		N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
69.18	Visa Inc		N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
69.19	Ishares MSCI ACWI ETF		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
69.20	Blackstone Alternative Multi-strategy Fund		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
70	Family Trust #10 (A Bros)					
70.1	Woddruff County Arkansas Farmland	See Endnote	N/A	Over \$1,000,000	Rent or Royalties	\$50,001 - \$100,000
70.2	Federated Money Markey		N/A	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	First Hawaiian Inc - VI	Purchase	01/09/2019	\$100,001 - \$250,000
2	First Hawaiian Inc - VJ	Purchase	01/09/2019	\$15,001 - \$50,000
3	Howard Hughes Corp - VJ	Purchase	01/16/2019	\$15,001 - \$50,000
4	Vanguard Mun Bd Fd (VWIUX) FT1	Purchase	01/23/2019	\$250,001 - \$500,000
5	Frost Total Return Bond (FIJEX) FT2	Purchase	01/23/2019	\$100,001 - \$250,000
6	Aberdeen Emerging Markets (ABEMX) FT6	Purchase	01/24/2019	\$250,001 - \$500,000
7	Artisan International Instl (APHIX) FT6	Purchase	01/24/2019	\$250,001 - \$500,000
8	Artisan International Instl (APHIX) FT8	Purchase	01/24/2019	\$250,001 - \$500,000
9	iShares MSCI EAFE Growth Index ETF (EFG) FT6	Sale	01/24/2019	\$15,001 - \$50,000
10	iShares MSCI EAFE Growth Index ETF (EFG) FT6	Sale	01/24/2019	\$50,001 - \$100,000
11	iShares MSCI EAFE Growth Index ETF (EFG) FT6	Sale	01/24/2019	\$250,001 - \$500,000
12	iShares Core MSCI Emerging Markets ETF (IEMG) FT6	Sale	01/24/2019	\$250,001 - \$500,000
13	iShares MSCI EAFE Growth Index (EFG) FT8	Sale	01/24/2019	\$250,001 - \$500,000
14	The New Economy Fund Class F3	Sale	01/24/2019	\$1,001 - \$15,000
15	iShares Core MSCI Emerging Markets ETF (IEMG) FT7		01/25/2019	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	Oakmark International Fund Inst (OANIX) FT7	Purchase	02/05/2019	\$500,001 - \$1,000,000
17	IsahresMSCI EAFE Value Index ETF (EFV) FT7	Sale	02/05/2019	\$500,001 - \$1,000,000
18	Washington Mutual Investors (FWMIX)	Purchase	03/19/2019	\$1,001 - \$15,000
19	Weight Wathcers VI	Sale	03/21/2019	\$15,001 - \$50,000
20	Genesee and Wyoming (GWR) VI	Sale	03/21/2019	\$100,001 - \$250,000
21	Weight Watchers VJ	Sale	03/21/2019	\$15,001 - \$50,000
22	Genese and Wyoming VJ	Sale	03/21/2019	\$100,001 - \$250,000
23	Ebix, Inc. - Common Stock (EBIX)	Purchase	04/25/2019	\$15,001 - \$50,000
24	Kearny Finl Corp (KARNY) VJ	Purchase	04/25/2019	\$15,001 - \$50,000
25	The New Economy Fund (FNEFX)	Sale	04/25/2019	\$1,001 - \$15,000
26	2U Inc (TWOU) VJ	Purchase	05/16/2019	\$50,001 - \$100,000
27	2U Inc (TWOU) VI	Purchase	05/22/2019	\$50,001 - \$100,000
28	On Semiconductor (ON) VJ	Purchase	06/07/2019	\$100,001 - \$250,000
29	On Semiconductor (ON) VI	Purchase	06/10/2019	\$100,001 - \$250,000
30	Vanguard Mun Bd Fd (VWIUX) FT1	Sale	06/10/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	Abiomed Inc (ABMD) VI	Purchase	06/11/2019	\$100,001 - \$250,000
32	Abiomed Inc (ABMD) VJ	Purchase	06/11/2019	\$100,001 - \$250,000
33	Cypress Semiconductor (CY) VI	Sale	06/11/2019	\$100,001 - \$250,000
34	Cypress Semiconductor (CY) VJ	Sale	06/12/2019	\$100,001 - \$250,000
35	Euronet Worldwide (EEFT) VI	Sale	06/13/2019	\$100,001 - \$250,000
36	Washington Mutual Investors (FWMIX)	Purchase	06/19/2019	\$15,001 - \$50,000
37	Euronet Worldwide (EEFT) VJ	Sale	06/19/2019	\$50,001 - \$100,000
38	Western Digital Corp (WDC) VI	Sale	07/19/2019	\$50,001 - \$100,000
39	Western Digital Corp (WDC) VJ	Sale	07/19/2019	\$50,001 - \$100,000
40	The New Economy fund (FNEFX)	Sale	07/25/2019	\$1,001 - \$15,000
41	EBIX Inc VI	Purchase	07/29/2019	\$15,001 - \$50,000
42	EBIX VJ	Purchase	07/29/2019	\$1,001 - \$15,000
43	Eaton Vance Floating Rate (EIBLX) FT8	Sale	08/06/2019	\$250,001 - \$500,000
44	Eaton Vance Floating (EIBLX) FT5	Sale	08/06/2019	\$250,001 - \$500,000
45	vanguard Mun Bd Fd (VWIUX) FT8	Purchase	08/07/2019	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	Vanguard Mun Bd Fd (VWIUX) FT5	Purchase	08/07/2019	\$250,001 - \$500,000
47	2U Inc (TWOU) VI	Sale	09/13/2019	\$50,001 - \$100,000
48	2U Inc (TWOU) VJ	Sale	09/13/2019	\$15,001 - \$50,000
49	Ehealth (EHTH) VI	Purchase	10/22/2019	\$100,001 - \$250,000
50	Ehealth (EHTH) VJ	Purchase	10/22/2019	\$100,001 - \$250,000
51	Leggett and Platt (LEG) VI	Sale	11/05/2019	\$100,001 - \$250,000
52	Leggett and Platt (LEG) VJ	Sale	11/05/2019	\$50,001 - \$100,000
53	Taser International (AAXN) VI	Sale	11/07/2019	\$15,001 - \$50,000
54	Taser International (AAXN) VJ	Sale	11/07/2019	\$15,001 - \$50,000
55	The New Economy Fund (FNEFX)	Sale	11/07/2019	\$1,001 - \$15,000
56	Taser International (AAXN) VI	Sale	11/13/2019	\$50,001 - \$100,000
57	Taser International (AAXN) VJ	Sale	11/13/2019	\$50,001 - \$100,000
58	The New Economy Fund (FNEFX)	Purchase	12/19/2019	\$50,001 - \$100,000
59	Europacific Growth Fund (FEUPX)	Purchase	12/20/2019	\$1,001 - \$15,000
60	Washington Mutual Investors (FWMIX)	Purchase	12/19/2019	\$15,001 - \$50,000

8. Liabilities

None

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9. Gifts and Travel Reimbursements

None

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Endnotes

PART	#	ENDNOTE
6.	69	This is a trust for my wife's ex-step mother, but the ethics committee has asked us to report this trust as my wife is a remainder beneficiary should there be anything left at the ex-step mother's death.
6.	70.1	Income derived from one-quarter share of the crops.

# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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).

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