

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Fernandez, Jose

Under Secretary of State for Economic Growth, Energy and the Environment, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Fernandez, Jose [electronically signed on 02/12/2021 by Fernandez, Jose 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/ Visek, Richard, Certifying Official [electronically signed on 03/19/2021 by Visek, Richard in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/25/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Gibson Dunn & Crutcher LLP	New York, New York	Law Firm	Partner	10/2013	Present
2	Iberdrola S.A.	Bilbao, Spain, Outside U.S.	Corporation	Independent Director	2/2015	Present
3	Rutgers University School of Law	Newark, New Jersey	University/College	Adjunct Professor of Law	8/2020	Present
4	Council of the Americas	New York, New York	Non-Profit	Director	1/2014	6/2020
5	Newark Public Radio, WBGO-FM	Newark, New Jersey	Non-Profit	Member, Board of Trustees	6/2015	Present
6	Partnership for Inner City Education	New York, New York	Non-Profit	Member, Board of Trustees	1/2014	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rutgers University School of Law	N/A		Salary	\$3,772
2	Gibson Dunn & Crutcher LLP Cash Balance Plan	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	Gibson Dunn & Crutcher LLP Capital Account	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	Gibson Dunn & Crutcher LLP Self Insurance Reserve,	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Gibson Dunn & Crutcher LLP Defined Benefit Plan. (Value not readily ascertainable.) I am currently eligible to receive \$12,299.87 per month upon my departure from the firm.		N/A			None (or less than \$201)
6	Gibson Dunn & Crutcher LLP (law firm) anticipated partnership share		N/A	\$100,001 - \$250,000		None (or less than \$201)
7	Gibson Dunn & Crutcher LLP (law firm)		N/A		Partnership Distribution	\$2,436,280
8	Iberdrola S.A. (Fees received for services provided in 2019 and paid in 2020)	See Endnote	N/A		Director Fees	\$302,590
9	Iberdrola S.A. (For 2020 and 2021)	See Endnote	N/A		Stipend	\$55,016
10	Gibson Dunn & Crutcher LLP Defined Contribution Plan		No			
10.1	Vanguard Short Term Bond Index		Yes	\$50,001 - \$100,000		None (or less than \$201)
10.2	Vanguard Total Bond Market		Yes	\$50,001 - \$100,000		None (or less than \$201)
10.3	T. Rowe Price Balanced Inst.n		Yes	\$15,001 - \$50,000		None (or less than \$201)
10.4	Vanguard Windsor II Adm.		Yes	\$50,001 - \$100,000		None (or less than \$201)
10.5	American Funds EuroPacific Growth Class R-6		Yes	\$50,001 - \$100,000		None (or less than \$201)
10.6	Vanguard Small Cap Value Index		Yes	\$50,001 - \$100,000		None (or less than \$201)
11	Rollover IRA #1		No			
11.1	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)		Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.2	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
11.3	Vanguard Short-Term Investment-Grade Fund Admiral Shares (VFSUX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11.4	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
12	Iberdrola S.A. (anticipated directors fees) (anticipated fees - services provided in 2020 and partial 2021 and to be received in 2021)	N/A	\$250,001 - \$500,000		None (or less than \$201)
13	Iberdrola S.A. (anticipated "Non-Compete" consideration)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
14	Roth IRA				
14.1	Vanguard Emerging Markets Stock Index Admiral CL (VEMAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.2	Vanguard Total Intl Stock Index Admiral CL (VTIAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Gibson Dunn & Crutcher LLP	New York, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my departure.	10/2013
2	Gibson Dunn & Crutcher LLP Cash Balance Plan	New York, New York	The firm will distribute my share of the partner cash balance plan within 120 days of my departure. The firm will not make further contributions after my departure.	10/2013
3	Gibson Dunn & Crutcher LLP Capital Account	New York, New York	Pursuant to the partnership agreement the firm will return my capital account within 90 days of my departure. The total amount of the payment will be calculated as of the date of my departure.	10/2013

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	Gibson Dunn & Crutcher LLP Self Insurance Reserve	New York, New York	Pursuant to the partnership agreement, the firm will return my self insurance reserve within 90 days of my departure subject to the approval of the managing partner. The total amount of the payment will depend on any costs incurred by the firm relating to defending claims made against the firm or any settlements paid.	10/2013
5	Gibson Dunn & Crutcher LLP Defined Benefit Plan	New York, New York	I will continue to participate in this defined benefit plan. I will receive monthly payments after my departure. Pursuant to the firm's partnership agreement, the payments will be fixed during my government service. These payments will also be fixed for 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.	10/2013
6	Gibson Dunn & Crutcher LLP	New York, New York	Pursuant to the terms of the partnership agreement, I will receive my final partnership share in one lump-sum payment within 90 days of my departure from the firm. The total amount of the payment will be calculated as of the date of my departure. This calculation includes: (1) the firm's actual earnings for 2020; (2) my predetermined share of firm's 2021 earnings; and (3) the number of days in 2021 that I was with the firm, minus the amount I have already been paid in 2021 at the time of my departure.	10/2013
7	Iberdrola S.A.	Bilbao, Spain	Pursuant to the terms of the company's remuneration policy, I am currently entitled to receive my annual director's fees for services I provided to the Board in 2020 and for a pro rata portion of 2021. These fees will be paid to me on or before July 30, 2021. Additionally, I am entitled to receive a stipend of € 2,000 for each Director and/or Audit Committee meeting that I attend during the calendar year. Stipends for meetings that I attend are paid to me monthly.	2/2015

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
8	Iberdrola S.A.	Bilbao, Spain	Pursuant to Section 4.3 of the Iberdrola S.A. Directors Remuneration Plan, nonexecutive directors in good standing who resign for reasons "not exclusively voluntary" are subject to a noncompete obligation in the private sector during their remaining term as directors or two years (whichever period is shorter). As consideration for this noncompete obligation, such directors are entitled to a payment of 90% directors fees they would have received during the remainder of their term, not to exceed two years. This amount is € 455,400 and will be paid before I assume the duties.	2/2015

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Gibson Dunn & Crutcher LLP	New York, New York	Law firm partner
2	Iberdrola S.A.	Bilbao, Spain	Member Board of Directors
3	Investcorp Holdings BSC	Manama, Bahrain	Legal services
4	Actian Corporation	Palo Alto, California	Legal services
5	AIM Aerospace Holdings, LLC	Charleston, South Carolina	Legal services
6	ATL Advisor LP	Charleston, South Carolina	Legal services
7	Assicurazioni Generali S.p.A.	Milano, Italy	Legal services
8	Banco Ficohsa, S.A.	Doral, Florida / Tegucigalpa, Honduras	Legal services
9	Chevron Corporation	San Ramon, California	Legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
10	Caucedo Development Corporation	Santa Domingo, Dominican Republic	Legal services
11	CPE Advisors (Hong Kong) Limited	Hong Kong, Hong Kong	Legal services
12	Age of Learning	Glendale, California	Legal services
13	Espiritu Santo Holdings, L.P.	Miami, Florida	Legal services
14	FFP Holdings Group, Inc.	Eustis, Florida	Legal services
15	Goldman, Sachs & Company	New York, New York	Legal services
16	Gigamon Inc.	Menlo Park, California	Legal services
17	Grana y Montero S.A.A	Lima, Peru	Legal services
18	Infineon Technologies AG	Munich, Germany	Legal services
19	ICC International Court of Arbitration	Paris, France	Legal services
20	Juniper West Properties	Los Angeles, California	Legal services
21	KIRKBI Invest A/S	Billund, Denmark	Legal services
22	Marvell Technology Group Ltd.	Santa Clara, California	Legal services
23	Occidental Petroleum Corporation	Houston, Texas	Legal services
24	Odyssey Infrastructure Ltd.	London, United Kingdom	Legal services
25	Orion Energy Group LLC	Oakland, California	Legal services

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
26	Panasonic Corporation of North America		Newark, New Jersey	Legal services
27	Prosegur Compania de Seguridad, S.A.		Madrid, Spain	Legal services
28	Public Investment Fund of the Kingdom of Saudi Arabia		Alnakheel District, Saudi Arabia	Legal services
29	Cemex		West Palm Beach, Florida	Legal services
30	Sumitomo Mitsui Banking Corporation		Los Angeles, California	Legal services
31	Sojitz Corporation of America		New York, New York	Legal services
32	SK E&P Company		Houston, Texas	Legal services
33	STM Invest s.a.r.l		Grand-Duchesse Charlotte, Luxembourg	Legal services
34	Valence ST LP		The Woodlands, Texas	Legal services
35	One confidential client: commercial entity	See Endnote	, Outside U.S.	Legal services

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Baruch College-City University of New York		N/A		Salary	
2	Baruch College Fund		N/A		Monthly Stipend	
3	Bloomberg LP (for articles)	See Endnote	N/A		Honoraria	\$8,000
4	Harper's Magazine (for article)	See Endnote	N/A		Honoraria	\$8,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Retirement Savings Account	No			
5.1	CREF Stock R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.2	CREF Growth R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.3	CREF Equity Index R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.4	CREF Global Equities R3	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	TIAA Access Growth and Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.6	TIAA Access Lazard International Equity Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.7	TIAA Access Vanguard 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	CREF Bond Market R3	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.9	CREF Inf-Linked Bond R3	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.10	TIAA Access WA Core Plus Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Keogh (Profit-sharing) plan	No			
6.1	Goldman Sachs Group Inc (GS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	Fidelity Europe Fund (FIEUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	Fidelity Japan Smaller Companies Fund (FJSCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	Spouse IRA	No			
7.1	Virtus Tactical Allocation Fund Class A Shares (NAINX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Acct #1	No			
1.1	American Express Co. (AXP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	eBay, Inc. (EBAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	General Electric Co. (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	JetBlue Airways Corp. (JBLU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.7	Toyota Motor Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Columbia Contrarian Core Fund Institutional Class Shares (SMGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Laudus International MarketMasters Fund (SWMIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	Brokerage Acct #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	Vanguard FTSE All-World ex US Index Fund Admiral Class Shares (VFWAX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.2	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
2.3	Vanguard Tax-Managed Capital Appreciation Fund Admiral Shares (VTCLX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.4	Vanguard Developed Markets Index Fund Admiral Class Shares (VTMGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.5	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2.6	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.7	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3	Mass mutual, Inc., whole life	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	U.S. bank #1 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
5	NH Unique 529 plan (Child 1)	No		cash payments	\$16,562
5.1	NH College Port. (Fidelity Funds)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
6	NH Unique 529 Plan (Child 2)	No		cash payments	\$14,801
6.1	NH College Port. (Fidelity Funds)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
7	U.S. bank #2 (checking, savings, CD)	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	Brokerage Acct #3	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.1	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8.2	Fidelity Large Cap Stock Fund (FLCSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.3	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.4	Acadian Emerging Markets Portfolio Investor Class Shares (AEMGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.5	Artisan Small Cap Fund Investor Shares (ARTSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.6	William Blair International Growth Fund Class I Shares (BIGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.7	Causeway International Value Fund Investor Class Shares (CIVVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.8	Emerging Markets Core Equity Portfolio Institutional Class Shares (DFCEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.9	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.10	JPMorgan Mid Cap Value Fund Class I Shares (JMVSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.11	Harbor International Fund Institutional Class Shares (HAINX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.12	Oakmark Fund Investor Class Shares (OAKMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.13	Oakmark International Fund Investor Class Shares (OAKIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.14	Hotchkis & Wiley Diversified Value Fund Class A Shares (HWCAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.15	Janus Henderson Enterprise Fund Class T Shares (JAENX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.16	JPMorgan US Equity Fund Class L Shares (JMUEX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.17	MFS International Intrinsic Value Fund Class A Shares (MGIAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.18	MFS International Diversification Fund Class A Shares (MDIDX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.19	MFS Research Fund Class A Shares (MFRFX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.20	MFS Research International Fund Class A Shares (MRSAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.21	Northern Funds Small Cap Value Fund (NOSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.22	T Rowe Price Overseas Stock Fund Class I Shares (TROIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.23	T Rowe Price Emerging Markets Stock Fund Class I Shares (PRZIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.24	T Rowe Price International Stock Fund Class I Shares (PRIUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.25	Transamerica International Equity Class I Shares (TSWIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.26	Transamerica International Small Cap Value Class I Shares (TISVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.27	Fidelity New York Municipal Income Fund (FTFMX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
8.28	Strategic Advisers Tax-Sensitive Short Duration Fund (FGNSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.29	BlackRock National Municipal Fund Investor A Shares (MDNLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.30	Delaware Tax-Free USA Fund Class A Shares (DMTFX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.31	DWS Managed Municipal Bond Fund Class S Shares (SCMBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.32	Franklin Federal Tax-Free Income Fund Advisor Class Shares (FAFTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.33	MainStay MacKay Tax Free Bond Fund Class A Shares (MTBAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.34	MainStay MacKay New York Tax Free Opportunities Fund Class A Shares (MNOAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.35	Nuveen New York Municipal Bond Fund Class A Shares (NNYAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.36	T Rowe Price Tax-Free High Yield Fund, Inc (PRFHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.37	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.38	iShares Core S&P 500 ETF (IVV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.39	iShares S&P 500 Value ETF (IVE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.40	iShares Russell 1000 Value ETF (IWD)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8.41	iShares Russell 1000 Growth ETF (IWF)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
8.42	iShares Russell 2000 Growth ETF (IWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.43	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.44	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.45	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.46	Financial Select Sector SPDR Fund (XLF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.47	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.48	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.49	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.50	AMG TIMESSQUARE MID CAP GRWTH FDN (TMDPX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
8.51	ISHARES S&P SMALLCAP600 VALUE INDEX FUND (IJS)	Yes	None (or less than \$1,001)		\$201 - \$1,000
8.52	ISHARES TR BARCLAYS 7 10 YR (IEF)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8.53	FLEXSHARES TRUST MORNINGSTAR GLOBAL UPSTREAM NAT RES IDX (GUNR)	Yes	None (or less than \$1,001)		\$201 - \$1,000
8.54	ISHARES TR US TREAS BD ETF (GOVT)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
8.55	ISHARES TRUST MSCI EMG MKTS ETF USD DIS (EEM)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9	Brokerage Acct #4	No			
9.1	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.2	Fidelity Advisor International Discovery Fund Class I Shares (FIADX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.3	Fidelity International Capital Appreciation Fund (FIVFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.4	Fidelity Large Cap Stock Fund (FLCSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.5	Fidelity Growth Company Fund (FDGRX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
9.6	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.7	Acadian Emerging Markets Portfolio Investor Class Shares (AEMGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.8	Invesco Oppen Internatl Gro Fd Class R6 Sh (OIGIX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.9	Baron Growth Fund Retail Shares (BGRFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.10	Causeway International Value Fund Investor Class Shares (CIVVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.11	Emerging Markets Core Equity Portfolio Institutional Class Shares (DFCEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.12	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.13	John Hancock Classic Value Fund Class A Shares (PZFBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.14	Oakmark Fund Investor Class Shares (OAKMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.15	Oakmark International Fund Investor Class Shares (OAKIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.16	Janus Henderson Enterprise Fund Class T Shares (JAENX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.17	JPMorgan US Equity Fund Class L Shares (JMUEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.18	MFS International Intrinsic Value Fund Class A Shares (MGIAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.19	MFS International Diversification Fund Class A Shares (MDIDX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.20	MFS Research Fund Class A Shares (MFRFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.21	Northern Funds Small Cap Value Fund (NOSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.22	T Rowe Price Overseas Stock Fund Class I Shares (TROIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.23	T Rowe Price Emerging Markets Stock Fund Class I Shares (PRZIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.24	T Rowe Price International Stock Fund Class I Shares (PRIUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.25	Royce Pennsylvania Mutual Fund Investment Class Shares (PENNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.26	Transamerica International Equity Class I Shares (TSWIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.27	Wells Fargo Special Mid Cap Value Fund Administrator Class Shares (WFMDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.28	Fidelity New York Municipal Income Fund (FTFMX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9.29	Strategic Advisers Tax-Sensitive Short Duration Fund (FGNSX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
9.30	BlackRock National Municipal Fund Investor A Shares (MDNLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.31	DWS Managed Municipal Bond Fund Class S Shares (SCMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.32	Franklin Federal Tax-Free Income Fund Advisor Class Shares (FAFTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.33	Western Asset Managed Municipals Fund Class A Shares (SHMMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.34	MainStay MacKay Tax Free Bond Fund Class A Shares (MTBAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.35	MainStay MacKay New York Tax Free Opportunities Fund Class A Shares (MNOAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.36	MainStay MacKay High Yield Municipal Bond Fund Class A Shares (MMHAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.37	Nuveen New York Municipal Bond Fund Class A Shares (NNYAX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
9.38	T Rowe Price Tax-Free High Yield Fund, Inc (PRFHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.39	Wells Fargo Municipal Bond Fund Administrator Class Shares (WMFDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.40	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.41	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9.42	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.43	iShares S&P 500 Value ETF (IVE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.44	iShares Russell 1000 Value ETF (IWD)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.45	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.46	iShares S&P Small-Cap 600 Value ETF (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.47	iShares S&P Small-Cap 600 Growth ETF (IJT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.48	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.49	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9.50	Financial Select Sector SPDR Fund (XLF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.51	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.52	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.53	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.54	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
9.55	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.56	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.57	AMG TimesSquare Mid Cap Growth Fund Class N Shares (TMDPX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.58	Columbia Contrarian Core Fund Institutional Class Shares (SMGIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.59	ISHARES TR BARCLAYS 7 10 YR (IEF)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9.60	FLEXSHARES TRUST MORNINGSTAR GLOBAL UPSTREAM NAT RES IDX (GUNR)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.61	ISHARES TR US TREAS BD ETF (GOVT)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.62	FIDELITY BLUE CHIP GROWTH (FBGRX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
10	Brokerage Acct #5	No			
10.1	Fidelity Government Money Market Fund (SPAXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.2	Fidelity New York Municipal Money Market Fund (FNYXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.3	Boeing Co (BA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.4	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.5	Conduent, Inc. (CNDT)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.6	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.7	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.8	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.9	Motorola Solutions, Inc. (MSI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.10	Procter & Gamble Co. (PG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.11	Royal Dutch Shell	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.12	Xerox Holdings Corp. (XRX)	N/A	None (or less than \$1,001)		None (or less than \$201)
11	Muni Acct #1	No			
11.1	FIDELITY GOVERNMENT CASH RESERVES (FDRXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.2	NEW YORK ST DORM AUTH REVS ST 05.00000% 07/01/2023	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.3	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2022	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.4	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.5	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2022	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.6	SCHENECTADY CNTY N Y CAP RESOURCE CORP 05.00000% 01/01/2022	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.7	NASSAU CNTY N Y LOC ECONOMIC ASSISTANCE 05.00000% 07/01/2022	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
11.8	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.9	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2032	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.10	METROPOLITAN TRANSN AUTH N Y DEDICATED 04.00000% 11/15/2022	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.11	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 04.00000% 11/15/2023	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.12	NEW YORK TRANSN DEV CORP SPL FAC REV AMT 05.00000% 01/01/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.13	WESTERN NASSAU CNTY N Y WTR AUTH WTR SYS 05.00000% 04/01/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.14	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.15	MONROE CNTY N Y INDL DEV CORP REV REV BDS 05.00000% 07/01/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.16	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.17	PORT AUTH N Y & N J CONSOLIDATED BDS 05.00000% 07/15/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.18	DUTCHESS CNTY N Y LOC DEV CORP REV BDS 05.00000% 07/01/2025	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.19	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2025	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.20	NEW YORK N Y GO BDS SER.2014J 05.00000% 08/01/2025	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.21	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 08/01/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.22	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2026	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.23	NEW YORK ST TWY AUTH GEN REV REV BDS SER. 05.00000% 01/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.24	NEW YORK ST ENVIRONMENTAL FACS 05.00000% 06/15/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.25	NASSAU CNTY N Y LOC ECONOMIC A SSISTANCE 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.26	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.27	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.28	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.29	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.30	SARATOGA CNTY N Y CAP RESOURCE CORP 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.31	SYRACUSE N Y PUB IMPT BDS SER.2014B 03.00000% 02/01/2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.32	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.33	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.34	NEW YORK N Y GO BDS SUBSERIES A-1 SER. 05.00000% 08/01/2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.35	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 05/01/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.36	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.37	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.38	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.39	ONEIDA CNTY N Y LOC DEV CORP REV BDS 05.00000% 12/01/2029	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.40	NEW YORK ST TWY AUTH GEN REV REV BDS SER. 04.00000% 01/01/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.41	ONONDAGA N Y CIVIC DEV CORP REV REF BDS 05.00000% 01/01/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.42	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 05/01/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.43	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.44	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.45	NEW YORK ST GO BDS SER. 2011E 05.00000% 12/15/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.46	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2031	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.47	MONROE CNTY N Y INDL DEV CORP REV REV BDS 05.00000% 07/01/2031	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.48	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2031	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.49	PORT AUTH N Y & N J CONSOLIDATED BDS 04.50000% 10/15/2031	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.50	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 11/01/2031	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.51	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2032	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.52	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2032	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.53	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.54	NEW YORK N Y GO BDS SER.H 05.00000% 08/01/2032	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.55	NEW YORK CONVENTION CTR DEV CORP N Y REV 05.00000% 11/15/2032	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.56	ONEIDA CNTY N Y LOC DEV CORP REV BDS 04.00000% 12/01/2032	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.57	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.25000% 06/15/2033	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.58	NEW YORK N Y GO BDS SER.C 05.00000% 08/01/2033	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.59	METROPOLITAN TRANSN AUTH N Y REV BDS 05.00000% 11/15/2033	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.60	METROPOLITAN TRANSN AUTH N Y REV REV REF 05.00000% 11/15/2033	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.61	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 02/15/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.62	NEW YORK ST URBAN DEV CORP REV ST PERS 05.00000% 03/15/2034	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.63	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 05/01/2034	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.64	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2034	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.65	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.66	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2034	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.67	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.68	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.69	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 04.00000% 11/15/2034	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.70	ONEIDA CNTY N Y LOC DEV CORP REV BDS 04.00000% 12/01/2034	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.71	NEW YORK ST TWY AUTH GEN REV REF BDS SER. 05.00000% 01/01/2035	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.72	NEW YORK ST TWY AUTH GEN REV JR INDBT 05.00000% 01/01/2035	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.73	NEW YORK ST DORM AUTH ST PERS INCOME 04.00000% 02/15/2035	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.74	NEW YORK N Y GO BDS SER. 2018 F-1 05.00000% 04/01/2035	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.75	NEW YORK ST ENVIRONMENTAL FACS 05.00000% 06/15/2035	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.76	NEW YORK N Y GO BDS SER.C 04.00000% 08/01/2035	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.77	NEW YORK ST DORM AUTH SALES TAX REV 05.00000% 03/15/2036	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.78	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 05/01/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.79	NEW YORK N Y CITY MUN WTR FIN AUTH REV 05.00000% 06/15/2036	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.80	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2036	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.81	LONG IS PWR AUTH N Y ELEC SYS REV GEN BDS 05.00000% 09/01/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.82	PORT AUTH N Y & N J CONS BDS SER. TWO 05.00000% 09/01/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.83	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2037	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.84	NEW YORK ST DORM AUTH SALES TAX REV 05.00000% 03/15/2037	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.85	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2037	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.86	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2037	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.87	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2038	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.88	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2038	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.89	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 02/15/2038	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.90	PORT AUTH N Y & N J CONSOLIDATED BDS 04.00000% 09/01/2038	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.91	METROPOLITAN TRANSN AUTH N Y REV CLIMATE 05.00000% 11/15/2038	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.92	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 03/15/2039	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.93	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2030	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.94	SYRACUSE N Y INDL DEV AGY SCH FAC REV 03.25000% 05/01/2034	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.95	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2036	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.96	NEW YORK ST DORM AUTH ST PERS INCOME 03.50000% 03/15/2037	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.97	NEW YORK ST URBAN DEV CORP REV ST PERS 05.00000% 03/15/2037	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.98	NEW YORK N Y CITY TRANSITIONAL FIN 03.50000% 02/01/2038	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.99	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 03.62500% 06/15/2038	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.100	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 02/15/2036TAX REV REV BDS SER.2015B GROUP C	N/A	None (or less than \$1,001)		\$1,001 - \$2,500
12	Brokerage Acct #6				
12.1	FIDELITY GOVERNMENT CASH RESERVES (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	GENPACT LIMITED COM STK USD0.01 (G)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.3	CHUBB LIMITED COM NPV ISIN #CH0044328745 (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.4	TE CONNECTIVITY LTD (TEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.5	ABBVIE INC COM USD0.01 (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.6	ACTIVISION BLIZZARD INC COM USD0.000001 (ATVI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.7	ALTRIA GROUP INC (MO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.8	AMERISOURCEBERGEN CORPORATION COM USD0.01 (ABC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.9	APPLE INC COM USD0.00001 (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.10	APPLIED MATERIALS INC COM USD0.01 (AMAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.11	BK OF AMERICA CORP COM (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.12	BAYER AG SPON ADR EACH REP 0.25 ORD SHS (BAYRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.13	BHP GROUP LTD SPON ADS EACH REP 2 ORD SHS (BHP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.14	BORG WARNER INC COM USD0.01 (BWA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.15	BRISTOL-MYERS SQUIBB CO COM (BMY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.16	BRITISH AMERICAN TOBACCO LVL II ADR EACH REP 1 ORD GBP0.25 BNY (BTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.17	CIGNA CORP NEW COM (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.18	CVS HEALTH CORPORATION COM USD0.01 (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.19	CENTERPOINT ENERGY INC COM STK USD0.01 (CNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.20	CISCO SYSTEMS INC (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.21	COCA-COLA CO (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.22	COLGATE-PALMOLIVE CO COM USD1.00 (CL)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
12.23	COMCAST CORP (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.24	DIAGEO ADR EACH REPR 4 ORD GBX28.935185 (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.25	DISCOVER FINANCIAL SERVICES (DFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.26	DONALDSON COMPANY INC (DCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.27	DUKE ENERGY CORP NEW COM NEW ISIN #US26441C2044 SEDOL #B7JZSK0 (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.28	DUPONT DE NEMOURS INC COM (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.29	ENTERGY CORP (ETR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.30	EQUINOR ASA SPON ADR EACH REP 1 ORD SHS (EQNR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.31	EXELON CORP COM NPV (EXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.32	EXXON MOBIL CORP (XOM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.33	GENERAL DYNAMICS CORP COM USD1.00 (GD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.34	GENERAL ELECTRIC CO COM USD0.06 (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.35	GLAXOSMITHKLINE ADR REP TWO ORD (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.36	HESS CORPORATION COM USD1.00 (HES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.37	INTERPUBLIC GROUP COS INC COM USD0.10 (IPG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.38	JPMORGAN CHASE & CO (JPM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.39	JOHNSON & JOHNSON COM USD1.00 (JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.40	LOWES COMPANIES INC COM USD0.50 (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.41	MAXIM INTEGRATED PRODUCTS COM USD0.001 (MXIM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.42	MCKESSON CORP (MCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.43	MICROSOFT CORP (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.44	MORGAN STANLEY COM USD0.01 (MS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.45	NESTLE ADR (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.46	NORTHERN TRUST CORP COM USD1.666 (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.47	PNC FINANCIAL SERVICES GROUP COM USD5 (PNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.48	PPL CORP COM USD0.01 (PPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.49	PHILLIPS 66 COM (PSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.50	PROCTER AND GAMBLE CO COM (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.51	QUALCOMM INC (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.52	REGIONS FINANCIAL CORP NEW COM (RF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.53	ROYAL DUTCH SHELL ADR REP 2 CL B ORD (RDSB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.54	SANOFI ADR REP 1 1/2 ORD (SNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.55	SAP ADR REP 1 ORD (SAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.56	SEMPRA ENERGY (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.57	SOUTHERN CO (SO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.58	STATE STREET CORP (STT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.59	SYSCO CORP (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.60	TJX COMPANIES INC (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.61	TRAVELERS COMPANIES INC COM STK NPV (TRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.62	TRUIST FINL CORP COM (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.63	U.S. BANCORP (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.64	UNION PAC CORP COM (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.65	UNITED PARCEL SERVICE INC (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.66	UNITEDHEALTH GROUP INC (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.67	VERIZON COMMUNICATIONS INC (VZ)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
12.68	VIVENDI SA UNSPON ADR EACH REP 1 ORD SHS (VIVHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.69	WALMART INC COM (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.70	WATSCO INC (WSO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.71	WELLS FARGO CO NEW COM (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.72	WHIRLPOOL CORP (WHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.73	AMERICAN TOWER CORP COM USD0.01 (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.74	SIMON PROPERTY GROUP INC (SPG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.75	AT&T INC USD1 (T)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.76	HUNT J.B. TRANSPORT SERVICES INC COM USD0.01 (JBHT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.77	EQUINIX INC COM (EQIX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.78	DUNKIN BRANDS GROUP INC COM USD0.001 *CASH MERGER AT \$106.50* (DNKN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.79	CHEVRON CORP NEW COM (CVX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
13	U.S. Credit Union (Cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
14	Bank of India (Cash)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	8	Income amount in euros is € 253,000.
2.	9	Income amount in euros is € 46,000.
4.	35	Client was the subject of a non-public investigation.
5.	3	Bloomberg Articles published 2020-2021 (\$500.00 per article) Outdoor Classrooms Shouldn't End With the Pandemic March 1, 2021 Amanda Gorman Showed Why Schools Should Teach Poetry January 23, 2020 Democracy Needs to Be Taught in School Jan. 14, 2021 Education Secretary's First Task: Curb Standardized Tests December 23, 2020 Put Civics Back in the Classroom, Right Now November 28, 2020 Keep New York City Schools Open November 17, 2020 California Ethnic Studies Plan Undercuts Itself September 30, 2020 Lessons From New York City's School-Reopening Fiasco September 8, 2020 Opening Campuses Is Risky. The Alternative Is Worse. July 21, 2020 U.S. Schools Must Reopen. Are You Listening, New York? July 7, 2020 Good Riddance, SAT. I Always Ignore You Anyway. May 28, 2020 Don't Forsake Poor Schoolchildren, Even in a Pandemic May 12, 2020 Schools Aren't Ready for Online Learning March 31, 2020 Wouldn't Now Be a Great Time to Have School Nurses? March 9, 2020 Betsy DeVos's Voucher Boondoggle Feb. 18, 2020 School Wars Are Over in Massachusetts. Everybody Won. January 16, 2020
5.	4	Date of honorarium is October 23, 2019.

PART	#	ENDNOTE
6.	8	Reported income figures for the underlying assets of the Fidelity accounts in this report are estimates. Final 2020 income for these assets was not available as of the filing date

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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