

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

Filer's Information

Kim, Jeffrey J

Director, Federal Program Finance, Department of the Treasury

Report Year: 2024

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Kim, Jeffrey J [electronically signed on 05/29/2024 by Kim, Jeffrey J in Integrity.gov] - Filer received a 30 day filing extension.

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/ Vetter, Mark, Certifying Official [electronically signed on 06/25/2024 by Vetter, Mark in Integrity.gov]

Other review conducted by

/s/ Rogalski, Caitlin, Ethics Official [electronically signed on 06/20/2024 by Rogalski, Caitlin in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/25/2024

Data Revised 06/20/2024

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Treasury Department Federal Credit Union	Washington, District of Columbia	Non-Profit	Director, Board of Directors	4/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA Merrill Lynch	No			
1.1	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.6	Proshares Ultra QQQ (QLD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	Amazon.com, Inc. (AMZN)	No	\$15,001 - \$50,000		None (or less than \$201)
1.8	Ferrari N.V. Common Shares (RACE)	No	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	Microsoft Corp. (MSFT)	No	\$100,001 - \$250,000		None (or less than \$201)
1.10	NVIDIA Corp. (NVDA)	No	\$100,001 - \$250,000		None (or less than \$201)
2	IRA Merrill Lynch	No			
2.1	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	Microsoft Corp. (MSFT)	No	\$50,001 - \$100,000		None (or less than \$201)
2.5	NVIDIA Corp. (NVDA)	No	\$15,001 - \$50,000		None (or less than \$201)
3	JPMorgan Chase & Co., defined benefit plan	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Credit Agricole Corporate and Investment Bank, Defined Contribution Plan	No			
4.1	ILP40GNL BlackRock Life Path 2040	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	MSVFM BNYM Insight Stable Value Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Credit Agricole Corporate and Investment Bank, Deferred Compensation	N/A	\$15,001 - \$50,000	Deferred compensation plan from former employer; final year 2023	\$35,600

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Credit Agricole Corporate and Investment Bank	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2011
2	JPMorgan Chase & Co.	New York, New York	I will continue to participate in this defined benefit plan.	8/1993
3	Credit Agricole Corporate and Investment Bank	New York, New York	I received the last of my payments in 2023.	8/2020

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	Marika Meyer Textiles LLC (Textile design and production company)	N/A		salary	
2	Minority ownership in Marika Meyer Textiles LLC (value not readily ascertainable)	N/A			None (or less than \$201)
3	IRA Fidelity	No			
3.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Fidelity NASDAQ Composite Index Fund (FNCMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	IRA JPMorgan	No			
4.1	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	Vanguard Dividend Appreciation Index Fund Admiral Class Shares (VDADX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Roth IRA JPMorgan	No			
5.1	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	Vanguard Dividend Appreciation Index Fund Admiral Class Shares (VDADX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Individual 401K: Rebecca Kim	No			
6.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	Fidelity NASDAQ Composite Index Fund (FNCMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.3	Fidelity Enhanced Large Cap Growth ETF (FELG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Deutsche Bank 401K	No			
7.1	State Street S&P500 Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	State Street Russell Small / Mid Cap Index II fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	State Street Target Retirement 2045 Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	JPMorgan 401K	No			
8.1	BlackRock S&P 500 Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	JPMorgan Core Bond Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.3	BlackRock Large Cap Growth Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.4	Wellington Large Cap Growth Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
9	JPMorgan Chase & Co., defined benefit plan	N/A	\$100,001 - \$250,000		None (or less than \$201)
10	Marika Meyers Interiors LLC (Interior Design)	N/A		salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Apple, Inc. (AAPL)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
2	Amazon.com, Inc. (AMZN)	No	\$15,001 - \$50,000		None (or less than \$201)
3	NVIDIA Corp. (NVDA)	No	\$1,001 - \$15,000		None (or less than \$201)
4	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	JPMorgan 100% US Treasury Securities Money Market Fund Premier Shares (VHPXX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	JPMorgan Tax Aware Equity Fund Class I Shares (JPDEX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
9	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
10	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
11	iShares Floating Rate Bond ETF (FLOT)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
12	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
13	NVIDIA Corp. (NVDA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
14	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
15	US bank account #1 (cash)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
16	US bank account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
17	US bank account #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Maryland 529 Plan	No			
18.1	Equity Portfolio, T Rowe Price	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.2	Global Equity Market Index, T Rowe	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.3	Inflation Focused Bond Portfolio, T Rowe Price	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.4	US Treasury Money Market T.Rowe Price	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	New York 529 Plan	No			
19.1	Income Portfolio, Vanguard See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.2	Aggressive Growth Portfolio, Vanguard	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.3	Growth Stock Index Portfolio, Vanguard	Yes	\$50,001 - \$100,000		None (or less than \$201)
20	Private College 529 Plan	No	\$15,001 - \$50,000		None (or less than \$201)
21	Guardian Whole Life Insurance	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
22	GUARDIAN SEPARATE ACCOUNT R Guardian Investor II Variable Annuity	No			
22.1	Guardian Integrated Research VIP Fund Guardian Integrated Research VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.2	Guardian Large Cap Disciplined Growth VIP Fund Guardian Large Cap Disciplined Growth VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.3	Guardian Large Cap Disciplined Value VIP Fund Guardian Large Cap Disciplined Value VIP Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
22.4	Guardian Large Cap Fundamental Growth VIP Fund Guardian Large Cap Fundamental Growth VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.5	Guardian Mid Cap Relative Value VIP Fund Guardian Mid Cap Relative Value VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.6	Guardian Mid Cap Traditional Growth VIP Fund Guardian Mid Cap Traditional Growth VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.7	Guardian Small Cap Core VIP Fund Guardian Small Cap Core VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.8	Guardian Small-Mid Cap Core VIP Fund Guardian Small-Mid Cap Core VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.9	Guardian Strategic Large Cap Core VIP Fund Guardian Strategic Large Cap Core VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.10	MFS Blended Research Core Equity Portfolio Service Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.11	Guardian International Equity VIP Fund (formerly, Guardian International Value VIP Fund) Guardian International Equity VIP Fund (formerly, Guardian International Value VIP Fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.12	Guardian International Growth VIP Fund Guardian International Growth VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.13	Guardian Core Fixed Income VIP Fund Guardian Core Fixed Income VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.14	Guardian Core Plus Fixed Income VIP Fund Guardian Core Plus Fixed Income VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.15	Guardian Multi-Sector Bond VIP Fund Guardian Multi-Sector Bond VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.16	Guardian Short Duration Bond VIP Fund Guardian Short Duration Bond VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.17	Guardian Total Return Bond VIP Fund Guardian Total Return Bond VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.18	Guardian U.S. Government Securities VIP Fund Guardian U.S. Government Securities VIP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.19	Pioneer Bond VCT Portfolio Pioneer Bond VCT Portfolio: Class II	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	Guardian Whole Life	N/A	\$100,001 - \$250,000		None (or less than \$201)
24	Guardian SecureFuture Income Fixed Annuity	N/A	\$15,001 - \$50,000		None (or less than \$201)
25	PruCo Life of New Jersey PruLife Return of Premium Life Insurance Policy	N/A	\$15,001 - \$50,000		None (or less than \$201)
26	K4 Capital Partners, venture capital fund of funds	No		Capital Gains	\$50,001 - \$100,000
26.1	Founders Fund II, technology venture capital fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
26.2	Mantis Capital Fund II, technology venture capital fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
26.3	A Star Fund 2, technology venture capital fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
26.4	Goldcrest Fund 2, technology venture capital fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
26.5	Goldcrest Fund 3, technology venture capital fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
26.6	Carrick Capital Partners Fund 3, technology venture capital fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
26.7	Speyside Equity Fund 1, technology venture capital fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
26.8	Radian Capital Fund 1, technology venture capital fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
26.9	LeafLogix, private technology company	N/A	\$100,001 - \$250,000		None (or less than \$201)
26.10	Theory Ventures, LP	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.11	TRM Equity Fund II	Yes	\$15,001 - \$50,000		None (or less than \$201)
27	TIAA-CREF (Inherited Account, RMD required)	No		RMD	\$87,000
27.1	Equity Index Account Class R3 (QCEQIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.2	Money Market Account Class R3 (QCMMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.3	Stock Account Class R3 (QCSTIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.4	Core Bond Account Class R3 (QCBMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.5	Growth Account Class R3 (QCGRIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
27.6	Inflation-Linked Bond Account Class R3 (QCILIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.7	TIAA Traditional Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
28	US Treasury Bill	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
29	US Savings I Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	US Savings I Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	US Savings I Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	US Treasury Bill	No	\$1,001 - \$15,000		None (or less than \$201)
33	Apple, Inc. (AAPL)	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	Ferrari N.V. Common Shares (RACE)	No	\$1,001 - \$15,000		None (or less than \$201)
35	Microsoft Corp. (MSFT)	No	\$15,001 - \$50,000		None (or less than \$201)
36	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
37	Proshares Ultra QQQ (QLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
38	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
39	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
40	Microsoft Corp. (MSFT)	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
41	Ferrari N.V. Common Shares (RACE)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
42	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
43	iShares Floating Rate Bond ETF (FLOT)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
44	Proshares Ultra S&P500 (SSO)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
45	Proshares Ultra QQQ (QLD)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
46	US credit union account	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/13/2023	\$15,001 - \$50,000
2	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/12/2023	\$15,001 - \$50,000
3	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	04/12/2023	\$15,001 - \$50,000
4	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	04/10/2023	\$1,001 - \$15,000
5	SPDR Bloomberg Barclays High Yield Bond ETF (JNK)	Sale	03/10/2023	\$15,001 - \$50,000
6	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	03/09/2023	\$15,001 - \$50,000
7	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	03/09/2023	\$50,001 - \$100,000
8	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Sale	03/09/2023	\$15,001 - \$50,000
9	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	03/07/2023	\$1,001 - \$15,000
10	Invesco QQQ Trust, Series 1 (QQQ)	Sale	03/10/2023	\$15,001 - \$50,000
11	iShares Floating Rate Bond ETF (FLOT)	Purchase	03/24/2023	\$15,001 - \$50,000
12	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/12/2023	\$15,001 - \$50,000
13	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	03/09/2023	\$15,001 - \$50,000
14	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/13/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	Apple, Inc. (AAPL)	Purchase	04/13/2023	\$1,001 - \$15,000
16	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	04/13/2023	\$15,001 - \$50,000
17	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	04/13/2023	\$50,001 - \$100,000
18	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	04/13/2023	\$15,001 - \$50,000
19	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/13/2023	\$50,001 - \$100,000
20	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/12/2023	\$15,001 - \$50,000
21	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	04/12/2023	\$15,001 - \$50,000
22	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	04/10/2023	\$1,001 - \$15,000
23	SPDR Bloomberg Barclays High Yield Bond ETF (JNK)	Sale	03/10/2023	\$15,001 - \$50,000
24	JPMorgan 100% US Treasury Securities Money Market Fund Premier Shares (VHPXX)	Purchase	04/03/2023	\$1,001 - \$15,000
25	Fidelity 500 Index Fund (FXAIX)	Sale	03/10/2023	\$15,001 - \$50,000
26	Fidelity Treasury Money Market FundFidelity Treasury Money Market (FZFX)	Purchase	03/10/2023	\$15,001 - \$50,000
27	Money Market Account Class R3 (QCMMIX)	Sale	03/01/2023	\$1,001 - \$15,000
28	Equity Index Account Class R3 (QCEQIX)	Sale	03/01/2023	\$1,001 - \$15,000
29	TIAA Traditional	Sale	03/01/2023	\$1,001 - \$15,000
30	Stock Account Class R3 (QCSTIX)	Sale	03/10/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	Growth Account Class R3 (QCGRIX)	Sale	03/10/2023	\$1,001 - \$15,000
32	Equity Index Account Class R3 (QCEQIX)	Sale	03/10/2023	\$15,001 - \$50,000
33	TIAA Traditional	Purchase	03/10/2023	\$15,001 - \$50,000
34	Money Market Account Class R3 (QCMMIX)	Purchase	03/10/2023	\$15,001 - \$50,000
35	TIAA Traditional	Sale	04/03/2023	\$1,001 - \$15,000
36	Money Market Account Class R3 (QCMMIX)	Sale	04/03/2023	\$1,001 - \$15,000
37	Fidelity 500 Index Fund (FXAIX)	Purchase	04/13/2023	\$15,001 - \$50,000
38	Money Market Account Class R3 (QCMMIX)	Sale	04/13/2023	\$15,001 - \$50,000
39	Growth Account Class R3 (QCGRIX)	Purchase	04/13/2023	\$15,001 - \$50,000
40	Maryland 529 Equity Portfolio	Purchase	04/14/2023	\$1,001 - \$15,000
41	Maryland 529 Global Equity Market Index	Purchase	04/14/2023	\$1,001 - \$15,000
42	Maryland 529 US Treasury Money Market	Purchase	04/14/2023	\$1,001 - \$15,000
43	Maryland 529 Inflation Focused Bond	Sale	04/14/2023	\$1,001 - \$15,000
44	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/18/2023	\$15,001 - \$50,000
45	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/18/2023	\$15,001 - \$50,000
46	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/18/2023	\$15,001 - \$50,000
47	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/18/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	Microsoft Corp. (MSFT)	Purchase	04/26/2023	\$15,001 - \$50,000
49	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/26/2023	\$15,001 - \$50,000
50	Microsoft Corp. (MSFT)	Purchase	04/26/2023	\$50,001 - \$100,000
51	Microsoft Corp. (MSFT)	Purchase	04/26/2023	\$15,001 - \$50,000
52	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/26/2023	\$15,001 - \$50,000
53	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/27/2023	\$1,001 - \$15,000
54	Apple, Inc. (AAPL)	Purchase	04/27/2023	\$1,001 - \$15,000
55	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	04/27/2023	\$50,001 - \$100,000
56	Microsoft Corp. (MSFT)	Purchase	04/27/2023	\$15,001 - \$50,000
57	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/27/2023	\$15,001 - \$50,000
58	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	04/27/2023	\$15,001 - \$50,000
59	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/05/2023	\$1,001 - \$15,000
60	Ferrari N.V. Common Shares (RACE)	Purchase	05/05/2023	\$1,001 - \$15,000
61	LVMH ADR (LVMUY)	Purchase	05/05/2023	\$1,001 - \$15,000
62	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/04/2023	\$15,001 - \$50,000
63	LVMH ADR (LVMUY)	Purchase	05/04/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	Ferrari N.V. Common Shares (RACE)	Purchase	05/04/2023	\$15,001 - \$50,000
65	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/04/2023	\$15,001 - \$50,000
66	Ferrari N.V. Common Shares (RACE)	Purchase	05/04/2023	\$15,001 - \$50,000
67	LVMH ADR (LVMUY)	Purchase	05/04/2023	\$15,001 - \$50,000
68	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	05/05/2023	\$1,001 - \$15,000
69	JPMorgan 100% US Treasury Securities Money Market Fund Premier Shares (VHPXX)	Purchase	05/01/2023	\$1,001 - \$15,000
70	TIAA Traditional	Sale	05/01/2023	\$1,001 - \$15,000
71	Money Market Account Class R3 (QCMMIX)	Sale	05/01/2023	\$1,001 - \$15,000
72	Fidelity Government Cash Reserves (FDRXX)	Sale	04/14/2023	\$15,001 - \$50,000
73	Fidelity 500 Index Fund (FXAIX)	Purchase	04/13/2023	\$15,001 - \$50,000
74	K4 Capital Partners invested in Theory Ventures, LP	Purchase	04/18/2023	\$1,001 - \$15,000
75	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/17/2023	\$15,001 - \$50,000
76	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/17/2023	\$50,001 - \$100,000
77	Proshares Ultra QQQ (QLD)	Purchase	05/17/2023	\$15,001 - \$50,000
78	Proshares Ultra QQQ (QLD)	Purchase	05/17/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
79	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/17/2023	\$1,001 - \$15,000
80	Proshares Ultra QQQ (QLD)	Purchase	05/17/2023	\$1,001 - \$15,000
81	Fidelity Large Cap Growth Enhanced Index Fund (FLGEX)	Purchase	05/17/2023	\$15,001 - \$50,000
82	Growth Account Class R3 (QCGRIX)	Purchase	05/17/2023	\$50,001 - \$100,000
83	Proshares Ultra QQQ (QLD)	Purchase	05/18/2023	\$15,001 - \$50,000
84	Proshares Ultra QQQ (QLD)	Purchase	05/18/2023	\$15,001 - \$50,000
85	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/26/2023	\$15,001 - \$50,000
86	Proshares Ultra QQQ (QLD)	Purchase	05/26/2023	\$15,001 - \$50,000
87	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/26/2023	\$15,001 - \$50,000
88	Proshares Ultra QQQ (QLD)	Purchase	05/26/2023	\$15,001 - \$50,000
89	Vanguard Russell 3000 Index Fund ETF Shares (VTNR)	Sale	05/24/2023	\$15,001 - \$50,000
90	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	05/24/2023	\$15,001 - \$50,000
91	Growth Account Class R3 (QCGRIX)	Purchase	05/30/2023	\$50,001 - \$100,000
92	TIAA Traditional	Sale	06/01/2023	\$1,001 - \$15,000
93	Growth Account Class R3 (QCGRIX)	Sale	06/01/2023	\$1,001 - \$15,000
94	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	06/01/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
95	Proshares Ultra QQQ (QLD)	Purchase	05/26/2023	\$15,001 - \$50,000
96	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/26/2023	\$15,001 - \$50,000
97	Proshares Ultra QQQ (QLD)	Purchase	05/26/2023	\$15,001 - \$50,000
98	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/26/2023	\$15,001 - \$50,000
99	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/31/2023	\$15,001 - \$50,000
100	Microsoft Corp. (MSFT)	Purchase	05/31/2023	\$15,001 - \$50,000
101	iShares Floating Rate Bond ETF (FLOT)	Sale	06/02/2023	\$15,001 - \$50,000
102	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	06/02/2023	\$15,001 - \$50,000
103	iShares Floating Rate Bond ETF (FLOT)	Sale	06/13/2023	\$15,001 - \$50,000
104	iShares Floating Rate Bond ETF (FLOT)	Sale	06/13/2023	\$15,001 - \$50,000
105	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	06/13/2023	\$50,001 - \$100,000
106	Proshares Ultra S&P500 (SSO)	Purchase	06/14/2023	\$15,001 - \$50,000
107	Proshares Ultra S&P500 (SSO)	Purchase	06/14/2023	\$1,001 - \$15,000
108	LVMH Moet Hennessy ADR (LVMUY)	Purchase	06/14/2023	\$15,001 - \$50,000
109	SPDR S&P 500 ETF Trust (SPY)	Purchase	06/14/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
110	Proshares Ultra S&P500 (SSO)	Purchase	06/15/2023	\$15,001 - \$50,000
111	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	06/16/2023	\$15,001 - \$50,000
112	Proshares Ultra S&P500 (SSO)	Purchase	06/16/2023	\$1,001 - \$15,000
113	Fidelity NASDAQ Composite Index Fund (FNCMX)	Purchase	06/16/2023	\$15,001 - \$50,000
114	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	06/20/2023	\$15,001 - \$50,000
115	Palantir Technologies Inc. Class A Common Stock (PLTR)	Purchase	06/20/2023	\$15,001 - \$50,000
116	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	06/20/2023	\$15,001 - \$50,000
117	Palantir Technologies Inc. Class A Common Stock (PLTR)	Purchase	06/20/2023	\$15,001 - \$50,000
118	Palantir Technologies Inc. Class A Common Stock (PLTR)	Purchase	06/22/2023	\$1,001 - \$15,000
119	Palantir Technologies Inc. Class A Common Stock (PLTR)	Purchase	06/22/2023	\$1,001 - \$15,000
120	Proshares Ultra QQQ (QLD)	Sale	07/06/2023	\$15,001 - \$50,000
121	Invesco QQQ Trust, Series 1 (QQQ)	Sale	07/06/2023	\$15,001 - \$50,000
122	Invesco QQQ Trust, Series 1 (QQQ)	Sale	07/06/2023	\$15,001 - \$50,000
123	Proshares Ultra QQQ (QLD)	Sale	07/06/2023	\$15,001 - \$50,000
124	TIAA Traditional	Sale	07/03/2023	\$1,001 - \$15,000
125	Growth Account Class R3 (QCGRIX)	Sale	07/03/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
126	Money Market Account Class R3 (QCMMIX)		Sale	07/03/2023	\$1,001 - \$15,000
127	Vanguard Growth Index Fund ETF Class Shares (VUG)		Purchase	07/12/2023	\$15,001 - \$50,000
128	Proshares Ultra S&P500 (SSO)		Purchase	07/10/2023	\$15,001 - \$50,000
129	Proshares Ultra S&P500 (SSO)		Purchase	07/10/2023	\$15,001 - \$50,000
130	Ferrari N.V. Common Shares (RACE)		Purchase	07/12/2023	\$1,001 - \$15,000
131	Palantir Technologies Inc. Class A Common Stock (PLTR)		Purchase	07/12/2023	\$1,001 - \$15,000
132	Proshares Ultra S&P500 (SSO)		Purchase	07/12/2023	\$15,001 - \$50,000
133	Proshares Ultra S&P500 (SSO)		Purchase	07/12/2023	\$15,001 - \$50,000
134	Palantir Technologies Inc. Class A Common Stock (PLTR)		Purchase	07/12/2023	\$1,001 - \$15,000
135	Ferrari N.V. Common Shares (RACE)		Purchase	07/12/2023	\$15,001 - \$50,000
136	Vanguard Growth Index Fund ETF Class Shares (VUG)		Purchase	07/13/2023	\$1,001 - \$15,000
137	Vanguard Growth Index Fund ETF Class Shares (VUG)		Purchase	07/13/2023	\$15,001 - \$50,000
138	A-Star Partners Fund 2	See Endnote	Purchase	06/30/2023	\$15,001 - \$50,000
139	Vanguard Short Term Reserves Account	See Endnote	Sale	07/14/2023	\$100,001 - \$250,000
140	Growth Stock Index Portfolio, Vanguard	See Endnote	Purchase	07/14/2023	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
141	Aggressive Growth Portfolio, Vanguard	See Endnote	Purchase	07/14/2023	\$50,001 - \$100,000
142	Microsoft Corp. (MSFT)		Purchase	07/18/2023	\$15,001 - \$50,000
143	iShares Floating Rate Bond ETF (FLOT)		Sale	07/18/2023	\$15,001 - \$50,000
144	Microsoft Corp. (MSFT)		Purchase	07/18/2023	\$50,001 - \$100,000
145	iShares Floating Rate Bond ETF (FLOT)		Sale	07/18/2023	\$50,001 - \$100,000
146	Proshares Ultra QQQ (QLD)		Sale	08/09/2023	\$1,001 - \$15,000
147	Proshares Ultra S&P500 (SSO)		Sale	08/09/2023	\$1,001 - \$15,000
148	Proshares Ultra QQQ (QLD)		Sale	08/08/2023	\$15,001 - \$50,000
149	Proshares Ultra S&P500 (SSO)		Sale	08/08/2023	\$50,001 - \$100,000
150	Proshares Ultra QQQ (QLD)		Sale	08/09/2023	\$15,001 - \$50,000
151	Proshares Ultra QQQ (QLD)		Sale	08/08/2023	\$15,001 - \$50,000
152	Proshares Ultra S&P500 (SSO)		Sale	08/09/2023	\$15,001 - \$50,000
153	Proshares Ultra QQQ (QLD)		Sale	08/09/2023	\$15,001 - \$50,000
154	Growth Account Class R3 (QCGRIX)		Sale	08/01/2023	\$1,001 - \$15,000
155	Money Market Account Class R3 (QCMMIX)		Sale	08/01/2023	\$1,001 - \$15,000
156	Money Market Account Class R3 (QCMMIX)		Sale	09/01/2023	\$1,001 - \$15,000
157	Growth Account Class R3 (QCGRIX)		Sale	09/01/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
158	Vanguard Growth Index Fund ETF Class Shares (VUG)		Purchase	08/29/2023	\$1,001 - \$15,000
159	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)		Purchase	08/16/2023	\$100,001 - \$250,000
160	Palantir Technologies Inc. Class A Common Stock (PLTR)		Sale	08/31/2023	\$15,001 - \$50,000
161	Amazon.com, Inc. (AMZN)		Purchase	08/31/2023	\$15,001 - \$50,000
162	Proshares Ultra S&P500 (SSO)		Sale	08/16/2023	\$50,001 - \$100,000
163	SPDR Bloomberg 3-12 Month T-Bill ETF SPDR Bloomberg 3-12 Month T-Bill ETF (BILS)		Purchase	08/16/2023	\$100,001 - \$250,000
164	Amazon.com, Inc. (AMZN)		Purchase	08/31/2023	\$15,001 - \$50,000
165	Palantir Technologies Inc. Class A Common Stock (PLTR)		Sale	08/31/2023	\$15,001 - \$50,000
166	Proshares Ultra QQQ (QLD)		Sale	08/16/2023	\$15,001 - \$50,000
167	TRM Equity Fund II LP	See Endnote	Purchase	08/24/2023	\$15,001 - \$50,000
168	LVMUY (LVMY Moet Hennessy ADR)		Sale	09/21/2023	\$15,001 - \$50,000
169	LVMUY (LVMH Moet Hennessy ADR)		Sale	09/21/2023	\$15,001 - \$50,000
170	LVMUY (LVMH Moet Hennessy ADR)		Sale	10/02/2023	\$1,001 - \$15,000
171	Invesco QQQ Trust, Series 1 (QQQ)		Purchase	09/21/2023	\$15,001 - \$50,000
172	Invesco QQQ Trust, Series 1 (QQQ)		Purchase	09/21/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
173	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	09/21/2023	\$15,001 - \$50,000
174	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	10/02/2023	\$15,001 - \$50,000
175	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	10/02/2023	\$50,001 - \$100,000
176	NVIDIA Corp. (NVDA)	Purchase	10/02/2023	\$50,001 - \$100,000
177	NVIDIA Corp. (NVDA)	Purchase	10/02/2023	\$15,001 - \$50,000
178	Money Market Account Class R3 (QCMMIX)	Sale	10/02/2023	\$1,001 - \$15,000
179	Growth Account Class R3 (QCGRIX)	Sale	10/02/2023	\$1,001 - \$15,000
180	NVIDIA Corp. (NVDA)	Purchase	10/10/2023	\$15,001 - \$50,000
181	NVIDIA Corp. (NVDA)	Purchase	10/10/2023	\$15,001 - \$50,000
182	NVIDIA Corp. (NVDA)	Purchase	10/09/2023	\$1,001 - \$15,000
183	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	10/10/2023	\$15,001 - \$50,000
184	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	10/10/2023	\$15,001 - \$50,000
185	NVIDIA Corp. (NVDA)	Purchase	10/13/2023	\$15,001 - \$50,000
186	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	11/06/2023	\$1,001 - \$15,000
187	NVIDIA Corp. (NVDA)	Purchase	11/06/2023	\$15,001 - \$50,000
188	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	11/06/2023	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
189	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)		Sale	10/27/2023	\$1,001 - \$15,000
190	NVIDIA Corp. (NVDA)		Purchase	10/27/2023	\$1,001 - \$15,000
191	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)		Sale	10/27/2023	\$1,001 - \$15,000
192	NVIDIA Corp. (NVDA)		Purchase	10/27/2023	\$50,001 - \$100,000
193	Growth Account Class R3 (QCGRIX)		Sale	11/01/2023	\$1,001 - \$15,000
194	Money Market Account Class R3 (QCMMIX)		Sale	11/01/2023	\$1,001 - \$15,000
195	NVIDIA Corp. (NVDA)		Purchase	11/14/2023	\$1,001 - \$15,000
196	Proshares Ultra QQQ (QLD)		Purchase	11/14/2023	\$1,001 - \$15,000
197	NVIDIA Corp. (NVDA)		Purchase	11/14/2023	\$15,001 - \$50,000
198	Proshares Ultra QQQ (QLD)		Purchase	11/14/2023	\$15,001 - \$50,000
199	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)		Sale	11/14/2023	\$15,001 - \$50,000
200	Growth Account Class R3 (QCGRIX)		Sale	12/01/2023	\$1,001 - \$15,000
201	Money Market Account Class R3 (QCMMIX)		Sale	12/01/2023	\$1,001 - \$15,000
202	JPMorgan Tax Aware Equity Fund Class I Shares (JPDEX)		Sale	12/14/2023	\$50,001 - \$100,000
203	Vanguard 500 Index Fund ETF Shares (VOO)		Purchase	12/14/2023	\$15,001 - \$50,000
204	Invesco QQQ Trust, Series 1 (QQQ)		Purchase	12/14/2023	\$15,001 - \$50,000
205	Government Inflation Protected Bond Fund	See Endnote	Sale	12/18/2023	\$100,001 - \$250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
206	Core Bond Fund	See Endnote	Purchase	12/18/2023	\$15,001 - \$50,000
207	S&P 500 Index Fund	See Endnote	Purchase	12/18/2023	\$15,001 - \$50,000
208	Large Cap Growth Index Fund	See Endnote	Purchase	12/18/2023	\$50,001 - \$100,000
209	S&P 400 Index Fund	See Endnote	Sale	12/18/2023	\$15,001 - \$50,000
210	Ferrari N.V. Common Shares (RACE)		Sale	12/18/2023	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	JPMorgan Chase	Brokerage Line of Credit	\$250,001 - \$500,000	2010	SOFR + 1.90%	Revolving

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	19.1	Fund name changed from "Interest Accumulation Portfolio, Vanguard;" no transaction occurred.

PART	#	ENDNOTE
7.	138	Part of K4 Capital Partners portfolio
7.	139	Reallocation of NYS 529 Plan
7.	140	Reallocation of NYS 529 Plan
7.	141	Reallocation of NYS 529 Plan
7.	167	Venture capital holding, K4 Capital, invested in fund
7.	205	JPM 401K
7.	206	JPM 401K
7.	207	JPM 401K
7.	208	JPM 401K
7.	209	JPM 401K

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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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. § 13101 et seq., as amended by the Representative Louise McIntosh Slaughter 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 13989 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).
