

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

## Filer's Information

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Townsend, Kathleen

Secretary's Representative for Pensions and Retirement, Department of Labor

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Townsend, Kathleen [electronically signed on 05/15/2023 by Townsend, Kathleen in Integrity.gov]

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

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Other review conducted by

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U.S. Office of Government Ethics Certification

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Data Revised 07/25/2023

Data Revised 07/06/2023

Data Revised 07/05/2023

Data Revised 06/29/2023

Data Revised 06/28/2023

Data Revised 06/03/2023

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Pennsylvania	Philadelphia, Pennsylvania	University/College	Speaker	4/2022	4/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	MFO DODGE & COX FDS GLOBAL STK FD	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.2	MFO VANGUARD TOTAL STOCK MARKET INDEX	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.3	MFB NORTHERN US GOVT MONEY MKT FD	Yes	None (or less than \$1,001)		None (or less than \$201)
2	Middle East Network Appearance - January 2022	N/A	None (or less than \$1,001)		\$550
3	UPenn Paper and Seminar	N/A	\$1,001 - \$15,000		\$4,500
4	Lightbridge Corp. (value not readily ascertainable) 11,875 unvested shares, strike value and expiration dates vary	N/A	None (or less than \$1,001)		None (or less than \$201)

## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Lightbridge Corp	Reston, Virginia	Unexercised stock options grants	4/2015

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

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

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

None

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	M&T Bank - Checking	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	M&T Bank - Interest Checking	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Maryland 529 College Investment Plan - Portfolio 2030 FBO GFKM	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Maryland 529 College Investment Plan - Portfolio 2030 FBO GJKM	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Family Trust #1	No			
5.1	Park Financial Holdings - Equity	No			
5.1.1	Generation IM Global Equity Fund, LLC	No			
5.1.1.1	Alphabet Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.1.2	Tencent Holdings Limited	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3	Informa plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4	Amazon.com, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.5	Alibaba Group Holding Limited	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.6	Ocado Group plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.7	Zalando SE	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.8	Mercadolibre, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.9	Huazhu Group Limited	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 0	Anta Sports Products Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 1	Adidas AG	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 2	Unilever plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 3	Charles Schwab Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 4	Baxter International Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 5	Thermo Fisher Scientific Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.1.1 6	Henry Schein Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 7	Becton, Dickinson and Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 8	Siemens Healthineers AG	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.1 9	The Cooper Companies, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 0	STERIS plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 1	Dentsply Sirona Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 2	Illumina, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 3	Vestas Wind Systems A/S	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 4	Ashtead Group plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 5	Equifax Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 6	Clarivate	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 7	Legrand SA	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 8	Sensata Technologies Holding NV	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.2 9	Carlisle Companies Incorporated	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.1.3 0	Trane Technologies plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 1	Kingspan Group plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 2	Acuity Brands, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 3	Gartner, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 4	Cisco Systems, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 5	Nutanix, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 6	Palo Alto Networks Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 7	TE Connectivity Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 8	Applied Materials, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.3 9	Analog Devices, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 0	Intel Corporation	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 1	TSMC	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 2	Microsoft Corporation	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 3	Synopsys Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.1.4 4	Trimble Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 5	Guidewire Software, Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 6	GIM (Global Equity) Investments (US) II LP - Gusto SPV		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 7	Salesforce.com, Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 8	Jones Lang Lasalle Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.4 9	CBRE Group, Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.1.5 0	Generation IM-Cash		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.2	Dodge and Cox Global Stock Fund		Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
5.1.3	Amansa Fund, L.P.	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
5.1.4	Westwood Global Investments Emerging Markets Fund, LLC	See Endnote	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
5.1.5	McDonald Capital Investors, Inc.		No			
5.1.5.1	Cash NT 1441		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.5.2	ALPHABET INC CAPITAL STOCK		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.5.3	ANTHEM INC		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.5.4	BERKSHIRE HATHAWAY INC-CL B		N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.5.5	BROOKFIELD ASSET MGMT INC VOTING SHS CL A VOTING SHS CL A-112585104	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.1.5.6	COMCAST CORP NEW-CL A-20030N101	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.5.7	ECOLAB INC COM STK USD1-278865100	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.5.8	EXPEDITORS INTL WASH INC COM-302130109	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.5.9	FASTENAL CO COM-311900104	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.5.1 0	JPMORGAN CHASE & CO COM-46625H100	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.5.1 1	MARTIN MARIETTA MATLS INC COM-573284106	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.5.1 2	NIKE INC CL B-654106103	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.5.1 3	PAYCHEX INC COM-704326107	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.5.1 4	PROGRESSIVE CORP OH COM-743315103	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
5.1.5.1 5	REGENERON PHARMACEUTICALS INC COM-75886F107	See Endnote	N/A	Dividends	\$201 - \$1,000
5.1.5.1 6	UNION PAC CORP COM-907818108	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5.1.5.1 7	WELLS FARGO & CO NEW COM STK-949746101	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.6	Lone Cascade, L.P.	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.1.7	Buena Vista Asian Opportunities Fund	No		Dividends	
5.1.7.1	Goldman Sachs US Treasury Liquid Reserves Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.7.2	BANDHAN BANK LTD		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.3	AAVAS FINANCIERS		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.4	M&M FIN SERVICES		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.5	TONGCHENG-ELONG		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.6	SUMMERSET GROUP		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.7	STEADFAST GROUP		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.8	BANK BTPN SYARIA		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.9	SWIRE PACIFIC-A		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.1 0	ALIBABA GROUP HO		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.1 1	DAIRY FARM		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.7.1 2	XERO LTD		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.1.8	Velt Partners Fund, LLC		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.1.9	HCP Private Equity Fund VII, L.P.	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.1.10	HCP Private Equity Fund VIII, L.P.	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.11	HCP China Capital Appreciation Fund LP	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
5.1.12	HCP Private Equity Fund IX, L.P.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
5.1.13	Vanguard Intl Equity Index Fund		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.1.14	Northern Funds US Govt MM		N/A	\$15,001 - \$50,000		None (or less than \$201)
5.2	Park Financial Holdings - Fixed Income		No			None (or less than \$201)
5.2.1	AMERICAN EXPRESS CO 3.55% 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.2	BANK AMER CORP 4.3% DUE 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.3	BANK NEW YORK MELLON CORP 3.75% 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.4	BANK OF AMERICA CORP 6.125% 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.5	CAPITAL ONE FINL CORP PERP PFD SER M 3.95% 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.6	CHARLES SCHWAB CORP 4.0% DUE 12-31-2049 BEO		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.7	CHICAGO ILL MET WTR RECLAMATION DIST GTRCHICAGO 5.0% DUE 12-01-2023		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.8	CONNECTICUT ST HEALTH & EDL FACS AUTH REV RMRKTD .55%		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.9	FIFTH THIRD BANCORP 4.5% 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.10	FIFTH 3RD BANCORP FLTG RT 5.1% DUE 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2.11	GEORGIA ST 4% 01-01-2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.12	JPMORGAN CHASE & 3.65% DUE 09-01-2121	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.13	KEYCORP NEW FLTG RT 5% DUE 12-29-2049	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.14	M & T BK CORP 3.5% DUE 12-31-2049 BEO	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.15	METLIFE INC PFD PERP SER G FXD RATE 3.85% 12-31-2049	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.16	NORTHERN TR CORP FLTG RT 4.6% DUE 12-29-2049	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.17	MASSACHUSETTS ST RMRKTD 5.0% DUE 06-01-2044 BEO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.18	MIAMI-DADE CNTY FLA SCH DIST 5% 03-15-2025 500	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.19	NEW JERSEY ECONOMIC DEV AUTH REV - REF-SCH FACS 5% DUE 03-01-2027 BEO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.20	NEW YORK N Y CITY MUN WTR FIN AUTH WTR &SWR SYS REV 5.25% DUE 06-15-2036	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.21	NEW YORK N Y CITY MUN WTR FIN AUTH WTR &SWR SYS REV 5% DUE 06-15-2030	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.22	NEW YORK ST URBAN DEV CORP REV 5% 03-15-2031 BEO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.23	NORTH TEX TWY AUTH REV 5% 01-01-2031	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.24	NORTHSIDE TEX INDPT SCH DIST VAR-REF-SCHBLDG	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2.25	OREGON ST DEPT TRANSN HWY USER TAX REV .934% DUE 11-15-2026	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.26	PENNSYLVANIA ST TPK COMMN OIL FRANCHISE TAX REV 5% 12-01-2023 750	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.27	PNC FINANCIAL SERVICES 6.0% DUE 12-31-2049 BEO	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.28	PNC FINL SVCS GROUP INC 3.4% DUE 12-31-2049/09-15-2026 REG	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.29	PORT HOUSTON AUTH TEX HARRIS CNTY 2.25% DUE 10-01-2024 BEO TAXABLE	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.30	ROYAL OAK MICH HOSP FIN AUTH HOSP REV 5%09-01-2039 BEO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.31	SAN ANTONIO TEX WTR REV 2.625% 5-1-49	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.32	TRIBOROUGH BRDG & TUNL AUTH N Y PAYROLL MOBILITY TAX 5% 08-15-2024 BEO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.33	SCHWAB CHARLES CORP NEW DEP SHS REPSTG 1/100TH INT 5% 12-31-2049	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.34	STATE STR CORP FIXED 5.625% 12-31-2049	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.35	SVB FINL GROUP DEP SHS REPSTG 1/100TH NON 4% 12-31-2040	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.36	SVB FINL GROUP FIXED 4.25% DUE 12-31-2049	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.37	UNIVERSITY N MEX UNIV REVS 5% 06-01-2027 BEO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.38	TRUIST FINL CORP 4.95% DUE 12-29-2049	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2.39	US BANCORP DEL DEPOS SHS REPSTG 1/25TH PFD 3.7% 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.40	UTAH ST 4.554% DUE 07-01-2024 BEO TAXABLE		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.41	WELLS FARGO CO 3.9% 12-31-2049		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.42	YSLETA TEX INDPT SCH DIST REF 4.0% 08-15-2031		N/A	None (or less than \$1,001)		None (or less than \$201)
5.2.43	UNITED STATES TREAS BILLS 01-19-2023 UNITED STATES TREAS BILLS		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2.44	Northern Funds US Govt MM		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	Park Financial Holdings - Private Equity		No	\$1,001 - \$15,000		None (or less than \$201)
5.3.1	Deutsche Banc Special Opps Fund	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
5.3.2	Rockefeller Access Fund I, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
5.3.3	Northern Funds: US Govt Money Market 4330		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Northern Trust 4429	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.4.1	MFO Vanguard Total Stock Market Index Fund		Yes	\$100,001 - \$250,000		
5.4.2	Northern Trust Money Market		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4.3	Northern Trust Ultra Short Bond Fund (NTAUX)		Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
5.5	Wolf Point Owners LLC	See Endnote	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$100,001 - \$1,000,000
5.6	Park Realty Holdings-IL	No				
5.6.1	Northern Funds US Govt MM	N/A	\$1,001 - \$15,000	Dividends Interest	\$1,001 - \$2,500	
5.7	Arctic Royalty, L.P.	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000	
5.8	Park Agency, Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)	
6	Family Trust #2	No				
6.1	Park Financial Holdings - Equity	No				
6.1.1	Generation IM Global Equity Fund, LLC	No			None (or less than \$201)	
6.1.1.1	Alphabet Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)	
6.1.1.2	Amazon.com, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)	
6.1.1.3	Baxter International Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)	
6.1.1.4	Generation IM-Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)	
6.1.2	Dodge and Cox Global Stock Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500	
6.1.3	Amansa Fund, L.P.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)	
6.1.4	Westwood Global Investments Emerging Markets Fund, LLC	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)	
6.1.5	McDonald Capital Investors, Inc.	No				

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.5.1	ECOLAB INC COM STK USD1-278865100		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.1.5.2	EXPEDITORS INTL WASH INC COM-302130109		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.1.5.3	FASTENAL CO COM-311900104		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.1.5.4	NIKE INC CL B-654106103		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.1.5.5	PROGRESSIVE CORP OH COM-743315103		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.1.6	Lone Cascade, L.P.	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.1.7	Velt Partners Fund, LLC		Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.8	HCP Private Equity Fund VII, L.P.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6.1.9	HCP Private Equity Fund VIII, L.P.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6.1.10	HCP China Capital Appreciation Fund LP	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6.1.11	Vanguard Intl Equity Index Fund		Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.1.12	Northern Funds US Govt MM		N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.13	Buena Vista Asian Opportunities Fund		No			
6.1.13.1	Goldman Sachs US Treasury Liquid Reserves Fund		N/A	\$1,001 - \$15,000		
6.1.13.2	BANDHAN BANK LTD		N/A	\$1,001 - \$15,000		



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.13. 3	AAVAS FINANCIERS		N/A	\$1,001 - \$15,000		
6.1.13. 4	M&M FIN SERVICES		N/A	\$1,001 - \$15,000		
6.1.13. 5	TONGCHENG-ELONG		N/A	\$1,001 - \$15,000		
6.1.13. 6	SUMMERSET GROUP		N/A	\$1,001 - \$15,000		
6.1.13. 7	STEADFAST GROUP		N/A	\$1,001 - \$15,000		
6.1.13. 8	BANK BTPN SYARIA		N/A	\$1,001 - \$15,000		
6.1.13. 9	SWIRE PACIFIC-A		N/A	\$1,001 - \$15,000		
6.1.13. 10	ALIBABA GROUP HO		N/A	\$1,001 - \$15,000		
6.1.13. 11	DAIRY FARM		N/A	\$1,001 - \$15,000		
6.1.13. 12	XERO LTD		N/A	\$1,001 - \$15,000		
6.2	Park Financial Holdings - Private Equity	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6.3	Arctic Royalty, L.P.		N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
6.4	Northern Trust Money Market		N/A	\$15,001 - \$50,000		None (or less than \$201)
6.5	Park Financial Holdings - Hedge	See Endnote	No			
6.5.1	American Steadfast LP	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.5.2	Luxor Capital Partners, LP		Yes	None (or less than \$1,001)		None (or less than \$201)
6.5.3	Taconic Opportunity Fund II LP	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6.5.4	Varde Investment Partners LP	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6.5.5	Centerbridge Special Credit 2	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
6.5.6	Mount Kellett Cap Part II, LP	See Endnote	No	None (or less than \$1,001)		
6.5.7	Davidson Kempner Distressed Opp Fund LP	See Endnote	No	\$1,001 - \$15,000		
6.5.8	Empyrean Capital Fund	See Endnote	No	\$1,001 - \$15,000		
6.5.9	Northern Funds US Govt MM		No	\$1,001 - \$15,000		
7	Family Trust #3		No			
7.1	Park Financial Holdings - Equity		No			
7.1.1	Generation IM Global Equity Fund, LLC		No			None (or less than \$201)
7.1.1.1	Alphabet Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.1.1.2	Baxter International Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.1.1.3	Generation IM-Cash		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.1.2	Dodge and Cox Global Stock Fund		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
7.1.3	Amansa Fund, L.P.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1.4	Westwood Global Investments Emerging Markets Fund, LLC	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
7.1.5	McDonald Capital Investors, Inc.		No			
7.1.5.1	NIKE INC CL B-654106103		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.1.5.2	PROGRESSIVE CORP OH COM-743315103		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.1.5.3	ECOLAB INC COM STK USD1-278865100		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.1.5.4	EXPEDITORS INTL WASH INC COM-302130109		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.1.5.5	FASTENAL CO COM-311900104		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.1.6	Lone Cascade, L.P.		Yes	\$15,001 - \$50,000		None (or less than \$201)
7.1.7	Velt Partners Fund, LLC		Yes	\$1,001 - \$15,000		None (or less than \$201)
7.1.8	HCP Private Equity Fund VII, L.P.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
7.1.9	HCP Private Equity Fund VIII, L.P.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
7.1.10	HCP China Capital Appreciation Fund LP	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
7.1.11	Vanguard Intl Equity Index Fund		Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.1.12	Northern Funds US Govt MM		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.1.13	Buena Vista Asian Opportunities Fund		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1.13. 1	Goldman Sachs US Treasury Liquid Reserves Fund		N/A	\$1,001 - \$15,000		
7.1.13. 2	BANDHAN BANK LTD		N/A	\$1,001 - \$15,000		
7.1.13. 3	AAVAS FINANCIERS		N/A	\$1,001 - \$15,000		
7.1.13. 4	M&M FIN SERVICES		N/A	\$1,001 - \$15,000		
7.1.13. 5	TONGCHENG-ELONG		N/A	\$1,001 - \$15,000		
7.1.13. 6	SUMMERSET GROUP		N/A	\$1,001 - \$15,000		
7.1.13. 7	STEADFAST GROUP		N/A	\$1,001 - \$15,000		
7.1.13. 8	BANK BTPN SYARIA		N/A	\$1,001 - \$15,000		
7.1.13. 9	SWIRE PACIFIC-A		N/A	\$1,001 - \$15,000		
7.1.13. 10	ALIBABA GROUP HO		N/A	\$1,001 - \$15,000		
7.1.13. 11	DAIRY FARM		N/A	\$1,001 - \$15,000		
7.1.13. 12	XERO LTD		N/A	\$1,001 - \$15,000		
7.2	Arctic Royalty, L.P.		N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
7.3	Park Financial Holdings - Hedge	See Endnote	No			
7.3.1	American Steadfast LP	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.3.2	Luxor Capital Partners, LP	Yes	None (or less than \$1,001)		None (or less than \$201)
7.3.3	Taconic Opportunity Fund II LP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
7.3.4	Varde Investment Partners LP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
7.3.5	Centerbridge Special Credit 2	No	None (or less than \$1,001)		None (or less than \$201)
7.3.6	Mount Kellett Cap Part II, LP	No	None (or less than \$1,001)		
7.3.7	Davidson Kempner Distressed Opp Fund LP	No	\$1,001 - \$15,000		
7.3.8	Empyrean Capital Fund	No	\$1,001 - \$15,000		
7.3.9	Northern Funds US Govt MM	No	\$1,001 - \$15,000		

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Northern Trust Ultra Short Bond Fund (NTAUX)	Purchase	10/28/2022	\$100,001 - \$250,000
2	AMERICAN EXPRESS CO 3.55% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
3	BANK AMER CORP 4.3% DUE 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
4	BANK NEW YORK MELLON CORP 3.75% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
5	BANK OF AMERICA CORP 6.125% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
6	CAPITAL ONE FINL CORP PERP PFD SER M 3.95% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	CAPITAL ONE FINL CORP PERP PFD SER M 3.95% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
8	CAPITAL ONE FINL CORP PERP PFD SER M 3.95% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
9	CHARLES SCHWAB CORP 4.0% DUE 12-31- 2049 BEO	Purchase	12/31/2022	\$1,001 - \$15,000
10	CHICAGO ILL MET WTR RECLAMATION DIST GTRCHICAGO 5.0% DUE 12-01-2023	Purchase	12/31/2022	\$1,001 - \$15,000
11	CONNECTICUT ST HEALTH & EDL FACS AUTH REV RMRKTD .55%	Purchase	12/31/2022	\$1,001 - \$15,000
12	FIFTH THIRD BANCORP 4.5% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
13	FIFTH THIRD BANCORP 4.5% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
14	GEORGIA ST 4% 01-01-2028	Purchase	12/31/2022	\$1,001 - \$15,000
15	JPMORGAN CHASE & 3.65% DUE 09-01- 2121	Purchase	12/31/2022	\$1,001 - \$15,000
16	KEYCORP NEW FLTG RT 5% DUE 12-29- 2049	Purchase	12/31/2022	\$1,001 - \$15,000
17	M & T BK CORP 3.5% DUE 12-31-2049 BEO	Purchase	12/31/2022	\$1,001 - \$15,000
18	METLIFE INC PFD PERP SER G FXD RATE 3.85% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
19	NORTHERN TR CORP FLTG RT 4.6% DUE 12-29-2049	Purchase	12/31/2022	\$1,001 - \$15,000
20	MASSACHUSETTS ST RMRKTD 5.0% DUE 06-01-2044 BEO	Purchase	12/31/2022	\$1,001 - \$15,000
21	MIAMI-DADE CNTY FLA SCH DIST 5% 03- 15-2025 500	Purchase	12/31/2022	\$1,001 - \$15,000
22	NEW JERSEY ECONOMIC DEV AUTH REV - REF-SCH FACS 5% DUE 03-01-2027 BEO	Purchase	12/31/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	NEW YORK N Y CITY MUN WTR FIN AUTH WTR &SWR SYS REV 5.25% DUE 06-15- 2036	Purchase	12/31/2022	\$1,001 - \$15,000
24	NEW YORK N Y CITY MUN WTR FIN AUTH WTR &SWR SYS REV 5% DUE 06-15-2030	Purchase	12/31/2022	\$1,001 - \$15,000
25	NEW YORK ST URBAN DEV CORP REV 5% 03-15-2031 BEO	Purchase	12/31/2022	\$1,001 - \$15,000
26	NORTH TEX TWY AUTH REV 5% 01-01- 2031	Purchase	12/31/2022	\$1,001 - \$15,000
27	NORTHSIDE TEX INDPT SCH DIST VAR- REF-SCHBLDG	Purchase	12/31/2022	\$1,001 - \$15,000
28	OREGON ST DEPT TRANSN HWY USER TAX REV .934% DUE 11-15-2026	Purchase	12/31/2022	\$1,001 - \$15,000
29	PENNSYLVANIA ST TPK COMMN OIL FRANCHISE TAX REV 5% 12-01-2023 750	Purchase	12/31/2022	\$1,001 - \$15,000
30	PNC FINANCIAL SERVICES 6.0% DUE 12- 31-2049 BEO	Purchase	12/31/2022	\$1,001 - \$15,000
31	PNC FINL SVCS GROUP INC 3.4% DUE 12- 31-2049/09-15-2026 REG	Purchase	12/31/2022	\$1,001 - \$15,000
32	PORT HOUSTON AUTH TEX HARRIS CNTY 2.25% DUE 10-01-2024 BEO TAXABLE	Purchase	12/31/2022	\$1,001 - \$15,000
33	ROYAL OAK MICH HOSP FIN AUTH HOSP REV 5%09-01-2039 BEO	Purchase	12/31/2022	\$1,001 - \$15,000
34	SAN ANTONIO TEX WTR REV 2.625% 5-1- 49	Purchase	12/31/2022	\$1,001 - \$15,000
35	TRIBOROUGH BRDG & TUNL AUTH N Y PAYROLL MOBILITY TAX 5% 08-15-2024 BEO	Purchase	12/31/2022	\$1,001 - \$15,000
36	SCHWAB CHARLES CORP NEW DEP SHS REPSTG 1/100TH INT 5% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	STATE STR CORP FIXED 5.625% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
38	SVB FINL GROUP DEP SHS REPSTG 1/100TH NON 4% 12-31-2040	Purchase	12/31/2022	\$1,001 - \$15,000
39	SVB FINL GROUP FIXED 4.25% DUE 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
40	UNIVERSITY N MEX UNIV REVS 5% 06-01-2027 UNIVERSITY N MEX UNIV REVS 5% 06-01-2027	Purchase	12/31/2022	\$1,001 - \$15,000
41	TRUIST FINL CORP 4.95% DUE 12-29-2049	Purchase	12/31/2022	\$1,001 - \$15,000
42	US BANCORP DEL DEPOS SHS REPSTG 1/25TH PFD 3.7% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
43	UTAH ST 4.554% DUE 07-01-2024 BEO TAXABLE	Purchase	12/31/2022	\$1,001 - \$15,000
44	WELLS FARGO CO 3.9% 12-31-2049	Purchase	12/31/2022	\$1,001 - \$15,000
45	YSLETA TEX INDPT SCH DIST REF 4.0% 08-15-2031	Purchase	12/31/2022	\$1,001 - \$15,000
46	UNITED STATES TREAS BILLS 01-19-2023 UNITED STATES TREAS BILLS	Purchase	12/31/2022	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements



#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Ambrosetti	Milan, Outside U.S.	BOS to Shannon Flight	\$5160.98
2	Ambrosetti	Milan, Outside U.S.	Shannon to Stansted Flight	123.39
3	Ambrosetti	Milan, Outside U.S.	Stansted to Milan Flight	\$167.49
4	Ambrosetti	Milan, Outside U.S.	Milan to Washington DC flight	\$3589.58

## Endnotes

PART	#	ENDNOTE
6.	5.1.3	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	5.1.4	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	5.1.5.15	EIF Confirmation Letter on file with the Agency Ethics Office
6.	5.1.9	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	5.1.10	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	5.1.11	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	5.1.12	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	5.3.1	No individual underlying asset >\$1,001
6.	5.3.2	No individual underlying asset >\$1,001
6.	5.4	Custody account at Northern Trust

PART	#	ENDNOTE
6.	5.5	Real Estate
6.	6.1.3	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	6.1.4	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	6.1.6	EIF Confirmation Letter on File with the Agency Ethics Office
6.	6.1.8	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	6.1.9	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	6.1.10	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	6.2	No individual underlying asset >\$1,001
6.	6.5	Inadvertently left off 2022 filing from previous year filing.
6.	6.5.1	The underlying assets are not disclosed due to a preexisting confidentiality agreement and a confirmation letter is on file with the Agency Ethics Office.
6.	6.5.3	Letter on File
6.	6.5.4	Letter on File
6.	6.5.5	The underlying assets are not disclosed due to a preexisting confidentiality agreement and confirmation letter is on file with the Agency Ethics Office.
6.	6.5.6	The underlying assets are not disclosed due to a preexisting confidentiality agreement and confirmation letter is on file with the Agency Ethics Office.
6.	6.5.7	The underlying assets are not disclosed due to a preexisting confidentiality agreement and confirmation letter is on file with the Agency Ethics Office.
6.	6.5.8	The underlying assets are not disclosed due to a preexisting confidentiality agreement and confirmation letter is on file with the Agency Ethics Office.
6.	7.1.3	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.

PART	#	ENDNOTE
6.	7.1.4	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	7.1.8	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	7.1.9	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	7.1.10	The underlying assets are not disclosed due to a preexisting confidentiality agreement, and a confirmation letter is on file with the Agency Ethics Office.
6.	7.3	Inadvertently left off 2022 filing from previous year filing.
6.	7.3.1	The underlying assets are not disclosed due to a preexisting confidentiality agreement and confirmation letter is on file with the Agency Ethics Office.
6.	7.3.3	Letter on File
6.	7.3.4	Letter on File

# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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