

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Califf, Robert

Commissioner of Food & Drugs, Food & Drug Administration, Department of Health & Human Services

Other Federal Government Positions Held During the Preceding 12 Months:

Member, All of Us Research Program Advisory Panel, National Institutes of Health, Department of Health & Human Services (3/2018 - Present)

Names of Congressional Committees Considering Nomination:

- Committee on Health, Education, Labor, and Pensions
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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/ Califf, Robert [electronically signed on 10/13/2021 by Califf, Robert in Integrity.gov]

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

/s/ Hall, Randall, Certifying Official [electronically signed on 11/16/2021 by Hall, Randall in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 11/16/2021 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 11/17/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Bitterroot Bio, Inc.	See Endnote	Palo Alto, California	Corporation	Consultant	8/2021	Present
2	AMYRIAD Pharma, Inc. (previous name: Leszath Pharma, Inc.)		Los Angeles, California	Corporation	Member, Advisory Team	6/2021	Present
3	Critical Path Institute (C-PATH)		Tucson, Arizona	Non-Profit	Member, Board of Directors (unpaid)	5/2021	Present
4	Mayo Foundation for Medical Education & Research	See Endnote	Rochester, Minnesota	Non-Profit	Member, Scientific Advisory Committee, Cardiovascular Research Center	2/2021	Present
5	Centessa Pharmaceuticals, PLC		Cambridge, Massachusetts	Public Limited Company	Member, Nominating & Corporate Governance Committee of the Board of Directors	5/2021	Present
6	Centessa Pharmaceuticals, PLC (former name: United Medicines Biopharma Limited)		Cambridge, Massachusetts	Public Limited Company	Member, Board of Directors	1/2021	Present
7	Clinetic, Inc.		Raleigh, North Carolina	Corporation	Member, Board of Directors (unpaid)	1/2021	Present
8	Basking Biosciences, Inc.		Columbus, Ohio	Corporation	Member, Clinical Advisory Board (unpaid)	11/2020	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
9	Medical University of South Carolina		Charleston, South Carolina	University/College	Member, Advisory Board, South Carolina Clinical & Translational Science Institute	10/2020	Present
10	Vanderbilt University Medical Center		Nashville, Tennessee	University/College	Member, Biomedical Science Advisory Board, Office of Research	12/2019	Present
11	Duke University	See Endnote	Durham, North Carolina	University/College	Adjunct Professor of Medicine, Duke University School of Medicine (unpaid)	11/2019	Present
12	Duke University	See Endnote	Durham, North Carolina	University/College	Donald F. Fortin, M.D. Distinguished Professor of Cardiology, Duke University School of Medicine	7/1999	12/2019
13	Duke University	See Endnote	Durham, North Carolina	University/College	Director, Duke Forge	5/2017	11/2019
14	Duke University		Durham, North Carolina	University/College	Professor of Medicine (tenured), Duke University School of Medicine	2/1995	11/2019

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
15	OneFifteen		Dublin, Ohio	Non-Profit	Chair, OneFifteen Recovery Board (unpaid)	2/2019	Present
16	Medicxi Ventures (UK), LLP		London, England	Limited Liability Partnership	Member, Scientific Advisory Board (unpaid)	4/2018	Present
17	Cytokinetics, Inc.		South San Francisco, California	Corporation	Member, Board of Directors; and Member, Science & Technology Committee of the Board of Directors	2/2018	Present
18	University of Colorado		Denver, California	University/College	Member, Advisory Board, Colorado Clinical & Translational Science Institute	1/2018	Present
19	Clinical Research Forum, Inc.		Washington, District of Columbia	Non-Profit	Member, Board of Directors (unpaid)	11/2017	Present
20	Stanford University		Palo Alto, California	University/College	Adjunct Professor of Medicine, Stanford University School of Medicine (unpaid)	7/2017	Present
21	Verily Life Sciences, LLC (wholly owned subsidiary of Alphabet, Inc.)	See Endnote	South San Francisco, California	Limited Liability Company	Senior Advisor	4/2017	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
22	Google, LLC (wholly owned subsidiary of Alphabet, Inc.)	See Endnote	Mountain View, California	Limited Liability Company	Senior Advisor, Google Health	4/2017	Present
23	European Heart Journal (Oxford University Press)		Oxford, England	Medical Journal	Editorial Board Reviewer (unpaid)	3/2017	Present
24	Keystone Symposia on Molecular & Cellular Biology		Silverthorne, Colorado	Non-Profit	Member, Board of Directors (unpaid)	1/2017	Present
25	National Research Foundation, Singapore (Prime Minister's Office)	See Endnote	Singapore	Foreign Government	Member, Advisory Board, Human Health & Potential	7/2021	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Medical University of South Carolina	See Endnote	N/A		Charitable Donations Made on My Behalf	\$1,000
2	Vanderbilt University Medical Center		N/A		Advisory Board Fees	\$5,000
3	University of Colorado		N/A		Advisory Board Fees	\$2,000
4	Centessa Pharmaceuticals, PLC		N/A		Board of Directors Fees	\$20,826
5	Centessa Pharmaceuticals, PLC		N/A		Committee Fees	\$563
6	Centessa Pharmaceuticals, PLC, director fees: cash receivable		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	Centessa Pharmaceuticals, PLC, committee fees: cash receivable	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Centessa Pharmaceuticals, PLC, unvested stock options	See Endnote	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	Clinetic, Inc. (health software & technology solutions), vested stock options	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	Cytokinetics, Inc.	N/A		Board of Directors Fees	\$41,299
11	Cytokinetics, Inc.	N/A		Committee Fees	\$15,000
12	Cytokinetics, Inc. (CYTK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	Cytokinetics, Inc., unvested restricted stock units	N/A	\$100,001 - \$250,000		None (or less than \$201)
14	Cytokinetics, Inc., vested stock options #1	N/A	\$250,001 - \$500,000		None (or less than \$201)
15	Cytokinetics, Inc., vested stock options #2	N/A	\$100,001 - \$250,000		None (or less than \$201)
16	Cytokinetics, Inc., vested stock options #3	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Cytokinetics, Inc., vested stock options #4	N/A	\$100,001 - \$250,000		None (or less than \$201)
18	Cytokinetics, Inc., vested stock options #5	N/A	\$15,001 - \$50,000		None (or less than \$201)
19	Cytokinetics, Inc., vested stock options #6	N/A	\$50,001 - \$100,000		None (or less than \$201)
20	Cytokinetics, Inc., vested stock options #7	N/A	\$250,001 - \$500,000		None (or less than \$201)
21	Cytokinetics, Inc., vested stock options #8	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22	Cytokinetics, Inc., unvested stock options	N/A	\$50,001 - \$100,000		None (or less than \$201)
23	Verily Life Sciences, LLC (research organization devoted to study of life sciences)	N/A		Salary & Bonus	\$2,713,883
24	Verily Life Sciences, LLC, Employee Units (vested Verily Award Units)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
25	Verily Life Sciences, LLC, unvested Verily Award Units	N/A	\$250,001 - \$500,000		None (or less than \$201)
26	Google, LLC, 401(k) Savings Plan	No			
26.1	Vanguard Target Retirement 2015 Trust Select	Yes	\$100,001 - \$250,000		None (or less than \$201)
27	Filer's IRA	No			
27.1	Acme United Corporation (ACU)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.2	Agnico Eagle Mines Limited (AEM)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.3	Amgen, Inc. (AMGN)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.4	B&G Foods, Inc. (BGS)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.5	Bristol-Myers Squibb Co. (BMY)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.6	Carrier Global Corporation (CARR)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.7	Dime Community Bancshares, Inc. (DCOM)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.8	Discovery, Inc. (DISCK)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.9	Fastenal Co. (FAST)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.10	Franchise Group, Inc. (FRG)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.11	Gilead Sciences, Inc. (GILD)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.12	Goldman Sachs Group, Inc. (GS)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.13	Greenhill & Co., Inc. (GHL)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.14	InterDigital, Inc. (IDCC)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.15	Interpublic Group of Cos., Inc. (IPG)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.16	John B. Sanfilippo & Son, Inc. (JBSS)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.17	Kinder Morgan, Inc. (KMI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.18	Mastercard, Inc. (MA)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.19	Moelis & Co. (MC)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
27.20	Newell Brands, Inc. (NWL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.21	ONEOK, Inc. (OKE)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.22	People's United Financial, Inc. (PBCT)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.23	Principal Financial Group, Inc. (PFG)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.24	Prudential Financial, Inc. (PRU)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.25	QUALCOMM, Inc. (QCOM)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.26	Service Properties Trust (SVC)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.27	Silvercrest Asset Management Group, Inc. (SAMG)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.28	Toll Brothers, Inc. (TOL)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.29	United Parcel Service, Inc. (UPS)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.30	Visa, Inc. (V)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.31	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.32	WisdomTree Investments, Inc. (WETF)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.33	Avnet, Inc., bonds (CUSIP 053807AU7)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.34	B&G Foods, Inc., bonds (CUSIP 05508RAE6)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.35	Barclays Bank, PLC, bonds #1 (CUSIP 06738KVE8)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.36	Barclays Bank, PLC, bonds #2 (CUSIP 06738KWX5)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.37	BellSouth, LLC, bonds (CUSIP 079860AD4)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.38	BlackRock TCP Capital Corporation, bonds (CUSIP 09259EAB4)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.39	Deutsche Bank, AG, bonds (CUSIP 251526BM0)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.40	Freeport-McMoRan, Inc., bonds #1 (CUSIP 35671DCC7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.41	Freeport-McMoRan, Inc., bonds #2 (CUSIP 35671DCE3)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.42	Freeport-McMoRan, Inc., bonds #3 (CUSIP 35671DCG8)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.43	General Electric Co., bonds #1 (CUSIP 36962GL36)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.44	General Electric Co., bonds #2 (CUSIP 36962GW75)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.45	General Electric Co., bonds #3 (CUSIP 36966TLH3)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.46	Goldman Sachs Group, Inc., bonds #1 (CUSIP 38141GMD3)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.47	Goldman Sachs Group, Inc., bonds #2 (CUSIP 38141GTZ7)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.48	Host Hotels & Resorts, Inc., bonds #1 (CUSIP 44107TAY2)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.49	Host Hotels & Resorts, Inc., bonds #2 (CUSIP 44107TAZ9)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.50	JPMorgan Chase & Co., bonds #1 (CUSIP 46647PBT2)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.51	JPMorgan Chase & Co., bonds #2 (CUSIP 161480AB4)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.52	JPMorgan Chase & Co., bonds #3 (CUSIP 31945HAB1)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.53	JPMorgan Chase & Co., bonds #4 (CUSIP 46647PBW5)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.54	JPMorgan Chase & Co., bonds #5 (CUSIP 161478AB8)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.55	JPMorgan Chase & Co., bonds #6 (CUSIP 16162LAB9)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.56	Kinder Morgan, Inc., bonds (CUSIP 28368EAA4)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.57	Kraft Heinz Foods Co., bonds (CUSIP 42307TAG3)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.58	Lamar Media Corporation, bonds #1 (CUSIP 513075BR1)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.59	Lamar Media Corporation, bonds #2 (CUSIP 513075BW0)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.60	Lamar Media Corporation, bonds #3 (CUSIP 513075BT7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.61	National Fuel Gas Co., bonds #1 (CUSIP 636180BN0)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.62	National Fuel Gas Co., bonds #2 (CUSIP 636180BR1)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.63	New York Community Bancorp, Inc., bonds (CUSIP 649445AC7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.64	ONEOK, Inc., bonds #1 (CUSIP 682680AW3)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.65	ONEOK, Inc., bonds #2 (CUSIP 682680AY9)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.66	Owens & Minor, Inc., bonds (CUSIP 690732AE2)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.67	Plains All American Pipeline, LP, bonds #1 (CUSIP 72650RBM3)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.68	Plains All American Pipeline, LP, bonds #2 (CUSIP 72650RBN1)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.69	Service Properties Trust, bonds #1 (CUSIP 44106MAR3)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.70	Service Properties Trust, bonds #3 (CUSIP 44106MAT9)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.71	Service Properties Trust, bonds #2 (CUSIP 44106MAS1)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.72	Service Properties Trust, bonds #4 (CUSIP 44106MAV4)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.73	Service Properties Trust, bonds #5 (CUSIP 44106MAW2)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.74	Service Properties Trust, bonds #6 (CUSIP 44106MAX0)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.75	Service Properties Trust, bonds #8 (CUSIP 44106MAY8)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.76	Service Properties Trust, bonds #7 (CUSIP 44106MBB7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.77	Starwood Hotel & Resorts, bonds (CUSIP 85590AAQ7)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.78	Tanger Properties, LP, bonds (CUSIP 875484AL1)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.79	Western Union Co., bonds (CUSIP 959802BA6)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.80	Williams Cos., Inc., bonds #1 (CUSIP 969457BB5)	N/A	\$15,001 - \$50,000		None (or less than \$201)
27.81	Williams Cos., Inc., bonds #2 (CUSIP 969457BD1)	N/A	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	AMYRIAD Pharma, Inc. (previous name: Leszath Pharma, Inc.)	Los Angeles, California	Pursuant to the terms of my agreement with the company, should I participate in the advisory team meeting scheduled for December 2021, I am entitled to receive unvested stock options in the company. I will forfeit my unvested stock options upon resignation.	6/2021
2	Centessa Pharmaceuticals, PLC	Cambridge, Massachusetts	Pursuant to my agreement with the company, I am entitled to receive any outstanding board of director's fees and committee fees pro-rated through the date of my resignation. The company will make these payments to me in the month following the end of the quarter. Additionally, and pursuant to the terms of the companies Amended and Restated Stock Option Incentive Plan, the Administrator of the company is authorized to and has agreed to accelerate the vesting of my unvested stock options that vest prior to February 19, 2022. After February 19, 2022, my options vest on a monthly basis. Any remaining unvested options will be forfeited upon resignation. Pursuant to the terms of the plan, I have 90 days to exercise my vested options.	1/2021

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Cytokinetics, Inc.	South San Francisco, California	Pursuant to the terms of the 2004 Equity Incentive Plan & 2004 Option Agreement and the Amended & Restated 2004 Equity Incentive Plan, upon my resignation from the company I will forfeit my unvested restricted stock units and my unvested stock options. I am entitled to retain my shares of common stock and vested stock options.	2/2018
4	Clinetic, Inc.	Raleigh, North Carolina	I currently hold vested company stock options. I will forfeit my stock options upon resignation.	10/2017
5	Verily Life Sciences, LLC	South San Francisco, California	I own unvested Verily Award Units. I also own Verily Employee Units, representing an equity ownership interest in the company. Under the Verily Life Sciences, LLC, Value Creation Award Plan, when the Verily Award Units vest, they are settled in Employee Units. As is consistent with the terms of the Verily Life Sciences, LLC, Value Creation Award Plan and the benefit provided to other similarly situated executives, I am permitted to cash out my vested Employee Units at any time. The value of the units is regularly set by the board. I will receive the most recent valuation. All unvested Verily Award Units will be forfeited upon my resignation from the company.	6/2017
6	Google, LLC	Mountain View, California	I will retain the Google, LLC, 401(k) Savings Plan, a defined contribution plan. The plan sponsor will not make further contributions after my separation.	6/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Centessa Pharmaceuticals, PLC	Cambridge, Massachusetts	Member, Board of Directors; and Member, Nominating & Corporate Governance Committee of the Board of Directors
2	Cytokinetics, Inc.	South San Francisco, California	Member, Board of Directors; and Member, Science & Technology Committee of the Board of Directors

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
3	Verily Life Sciences, LLC	See Endnote	South San Francisco, California	Senior Advisor
4	Google, LLC	See Endnote	Mountain View, California	Senior Advisor (co-employment agreement with Verily Life Sciences, LLC)
5	Faculty Connection, LLC		Durham, North Carolina	Faculty Connection, LLC, arranges for lecture, discussion groups, and consulting services; I received consulting payments through Faculty Connection, LLC
6	Boehringer Ingelheim Pharmaceuticals, Inc.		Ridgefield, North Carolina	Lecture, discussion groups, and consulting services; received payments through Faculty Connection, LLC
7	Duke University	See Endnote	Durham, North Carolina	Director, Duke Forge

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse's IRA	No			
1.1	Acme United Corporation (ACU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	Anika Therapeutics, Inc. (ANIK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	B&G Foods, Inc. (BGS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Dime Community Bancshares, Inc. (DCOM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.5	Discovery, Inc. (DISCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	EnerSys (ENS)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	Exelixis, Inc. (EXEL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.8	Franchise Group, Inc. (FRG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.9	Greenhill & Co., Inc. (GHL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.10	InterDigital, Inc. (IDCC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.11	John B. Sanfilippo & Son, Inc. (JBSS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.12	Mastech Digital, Inc. (MHH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.13	Moelis & Co. (MC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.14	Pitney Bowes, Inc. (PBI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.15	Pretium Resources, Inc. (PVG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.16	Service Properties Trust (SVC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.17	Silvercrest Asset Management Group, Inc. (SAMG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.18	TESSCO Technologies, Inc. (TESS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.19	Toll Brothers, Inc. (TOL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Trecora Resources (TREC)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.21	WisdomTree Investments, Inc. (WETF)	N/A	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	U.S. bank account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. credit union account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	U.S. brokerage account #1	No			
4.1	JPMorgan Ultra-Short Municipal Income ETF (JMST)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.2	Applied Finance Explorer Fund - Institutional Class (AFDZX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.3	American Funds Investment Co. of America - Class F-3 (FFICX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.4	American Funds New Perspective Fund - Class F-3 (FNPFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.5	American Funds Fundamental Investors - Class F-3 (FUNFX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.6	American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.7	American Funds American High-Income Municipal Bond Fund - Class F-3 (HIMFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8	JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.9	Fidelity Treasury Money Market Fund (FZFXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	U.S. brokerage account #2	No			
5.1	JPMorgan Ultra-Short Municipal Income ETF (JMST)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.2	Applied Finance Explorer Fund - Institutional Class (AFDZX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.3	American Funds Investment Co. of America - Class F-3 (FFICX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.4	American Funds New Perspective Fund - Class F-3 (FNPFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.5	American Funds Fundamental Investors - Class F-3 (FUNFX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.6	American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.7	American Funds American High-Income Municipal Bond Fund - Class F-3 (HIMFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.8	JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	Virginia College Savings Plan (Virginia529), CollegeAmerica plan #1	No			
6.1	American Funds Fundamental Investors - Class 529-F-2 (FFAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	American Funds New Perspective Fund - Class 529-F-2 (FFPNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.4	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Virginia College Savings Plan (Virginia529), CollegeAmerica plan #2	No			
7.1	American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.3	American Funds New Perspective Fund - Class 529-F-2 (FFPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.4	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.5	American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	Virginia College Savings Plan (Virginia529), CollegeAmerica plan #3	No			
8.1	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Virginia College Savings Plan (Virginia529), CollegeAmerica plan #4	No			
9.1	American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.3	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.4	American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	I have forgone compensation for my position at Bitterroot Bio, Inc.
1.	4	I have forgone compensation for my position at Mayo Foundation for Medical Education & Research.

PART	#	ENDNOTE
1.	11	I have been employed by Duke University since 1980 when I was a clinical fellow, retiring in November 2019 and taking an adjunct professor position. The position renews annually.
1.	12	I retired from Duke University in November 2019. However, my position as Donald F. Fortin, M.D. Distinguished Professor of Cardiology did not officially end until December 2019.
1.	13	The Duke Center for Health Data Science was renamed as Duke Forge in October 2017. My position title changed from Vice Chancellor for Health Data Science to Director, Duke Forge.
1.	21	My previous position title at Verily Life Sciences, LLC, was Head of Clinical Policy & Strategy until October 1, 2021. My duties for the company have not changed; only my position title changed. As part of my duties with the company, I lead the advisory board of Verily Life Sciences, LLC. I do not hold a separate position or title related to leading this advisory board, and I do not receive any additional compensation for it.
1.	22	My previous position title at Google, LLC, was Head of Clinical Policy & Strategy for Google Health until October 1, 2021. My duties for the company have not changed; only my position title changed.
1.	25	Subsequent to the submission of this report I resigned from this advisory board position and have not provided any services. I have not received any income for this advisory board position.
2.	1	The advisory board fees that were payable by the Medical University of South Carolina to me were donated to charity on my behalf.
2.	8	Upon my resignation from Centessa Pharmaceuticals, PLC, acceleration may be allowed for some stock options per company policy.
4.	3	My previous position title at Verily Life Sciences, LLC, was Head of Clinical Policy & Strategy until October 1, 2021. My duties for the company have not changed; only my position title changed. As part of my duties with the company, I lead the advisory board of Verily Life Sciences, LLC. I do not hold a separate position or title related to leading this advisory board, and I do not receive any additional compensation for it.
4.	4	My previous position title at Google, LLC, was Head of Clinical Policy & Strategy for Google Health until October 1, 2021. My duties for the company have not changed; only my position title changed.
4.	7	The Duke Center for Health Data Science was renamed as Duke Forge in October 2017. My position title changed from Vice Chancellor for Health Data Science to Director, Duke Forge. Other duties: Donald F. Fortin, M.D. Distinguished Professor of Cardiology, Duke University School of Medicine; and Professor of Medicine (tenured), Duke University School of Medicine.

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).
