

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

Filer's Information

Tirol, AnnaLou

Deputy Director, Department of the Treasury

Date of Termination: 07/30/2022

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/ Tirol, AnnaLou [electronically signed on 07/29/2022 by Tirol, AnnaLou in Integrity.gov] - Filer received a 105 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/ Clark, Cynthia, Certifying Official [electronically signed on 08/29/2022 by Clark, Cynthia in Integrity.gov]

Other review conducted by

/s/ Hattan, Justin, Ethics Official [electronically signed on 08/18/2022 by Hattan, Justin in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/29/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/29/2022, Tirol, AnnaLou): The filer agreed to update the reported information if it changes before or on the indicated termination date.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Georgetown University Law Center	Washington, District of Columbia	University/College	Adjunct Professor	8/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgetown University Law Center	N/A		Salary	\$750

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Georgetown University Law Center	Washington, District of Columbia	Adjunct professor	8/2018
2	O'Melveny & Myers, LLP	Washington, District of Columbia	Employment agreement for future employment as attorney starting October 2022.	6/2022

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	KPMG, LLP (Consulting)	N/A		salary	
2	KPMG, LLP 401(k)	No	\$250,001 - \$500,000	Capital Gains Dividends Interest	\$5,001 - \$15,000
2.1	American Funds EuroPacific Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	MFS Value Fund Class R5	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Vanguard Short-Term Bond Index Admiral Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	Blackrock Extended Equity Market Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	Blackrock MSCI ACWI X US Index NL Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Hotchkis & Wiley Small Cap Value Fund Class I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.7	Fidelity Real Estate Index Fund Institutional Class	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.8	Vanguard Institutional 500 Index Trust	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.9	DFA US Sustainability Core 1 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.10	Vanguard High-Yield Corporate Admiral Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Vanguard Institutional Total Bond Market Index	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.12	State Street TIPS Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Blackrock Fed Fund Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Dodge & Cox International Stock Fund (DODFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Vanguard Explorer Fund Investor Shares (VEXPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank #1 (Cash accounts) See Endnote	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2	US Bank #1 Savings Account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
3	US Bank #2 Joint Brokerage Account	No	\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$5,001 - \$15,000
3.1	First eagle Gold I - FEGIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Principal Blue Chip P - PBCKX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	IShares Russell 2000 ETF - IWM	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Laboratory CP Amer Hldgs New - LH	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	Starbucks Corp Washington - SBUX	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Techtronic Ind Ltd Spons Adr - TTNDY	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	TJX Cos Inc New - TJX	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	UnitedHealth Group Inc - UNH	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.9	Fortinet FTNT	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	Servicenow Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Gateway Fund GTEYX	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.12	JP Morgan Hedged Equity JHEQX	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.13	Virtux Kar Small Cap PXSGX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	Vanguard Hi Yld Ex - VWAHX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.15	Cigna Corp. (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	DocuSign, Inc. (DOCU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.18	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.19	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	First Trust Health Care AlphaDEX Fund (FXH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.21	First Trust Rising Dividend Achievers ETF (RDVY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.22	American Electric Power Co., Inc. (AEP)	No	\$1,001 - \$15,000		None (or less than \$201)
3.23	Datadog Inc	No	\$1,001 - \$15,000		None (or less than \$201)
3.24	Elevance Health Inc.	No	\$1,001 - \$15,000		None (or less than \$201)
3.25	NXP Semiconductors	No	\$1,001 - \$15,000		None (or less than \$201)
3.26	salesforce.com, inc. (CRM)	No	\$1,001 - \$15,000		None (or less than \$201)
3.27	Sempra Energy (SRE)	No	\$1,001 - \$15,000		None (or less than \$201)
3.28	Snowflake Inc.	No	\$1,001 - \$15,000		None (or less than \$201)
3.29	Thermo Fisher Scientific, Inc. (TMO)	No	\$1,001 - \$15,000		None (or less than \$201)
3.30	Vail Resorts, Inc. (MTN)	No	\$1,001 - \$15,000		None (or less than \$201)
3.31	Workday, Inc. (WDAY)	No	\$1,001 - \$15,000		None (or less than \$201)
3.32	First Trust Value Line Dividend Index Fund (FVD)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.33	First Trust Large Cap Value AlphaDEX Fund (FTA)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.34	iShares Core MSCI Total International Stock ETF (IXUS)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.35	iShares Core S&P US Growth ETF (IUSG)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.36	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.37	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.38	Transamerica Capital Growth Class I Shares (TFOIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	Real Property - house, San Diego, CA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$50,001 - \$100,000
5	Real property - condominium, Alexandria, VA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$50,001 - \$100,000
6	Real property - condominium, San Diego, CA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
7	US Bank #3 Checking Account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
8	US Bank #3 Savings Account	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
9	US Bank #4 Brokerage Account	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
9.1	Ford Motor Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	Globalstar, Inc. (GSAT)		\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	US Bank #3 Brokerage Account	No	\$100,001 - \$250,000	Interest Capital Gains	\$1,001 - \$2,500
10.1	AB High Income Fund CL C	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2	American FDS Portfolios Ser Balanced FD CI C	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11	US Bank #2 Roth IRA	No	\$50,001 - \$100,000	Interest Capital Gains	\$1,001 - \$2,500
11.1	American Cap Inc Builder F2 - CAIFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	American Inc FD of America F2 - AMEFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	American Europacific Grw F2 - AEPFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.4	American Small Cap World F2 - SMCFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.5	First Eagle Overseas - SGOIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.6	MFS Diversified Income I - DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.7	Parnassus Core Equity Investor - PRBLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.8	Parnassus Mid-Cap FD - PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.9	Pioneer Fundamental Growth Y - FUNYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.10	Principal Midcap Instl - PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.11	Principal Blue Chip - PBCKX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.12	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.13	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	US Bank #2 IRA	No	\$100,001 - \$250,000	Capital Gains Dividends Interest	\$1,001 - \$2,500
12.1	American Funds Mortgage F2 MFAFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	Principal Midcap P - PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.3	Principal Blue Chip P - PBCKX	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.4	Pioneer Fundamental Growth Y - FUNYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.5	MFS Diversified Income I DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.6	Columbia Cobntrarian Core Z - SMGIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.7	American Inc FD of America F2 - AMEFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.8	American Europacific Grw F2 - AEPFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.9	American Small Cap World F2 SMCFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.10	First Eagle Overseas SGOIX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.11	American Balanced F2 - AMBFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.12	Parnassus Midcap - PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.13	First Eagle Gold	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.14	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.15	Gateway Fund Class Y Shares (GTEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.16	UnitedHealth Group, Inc. (UNH)	No	\$1,001 - \$15,000		None (or less than \$201)
12.17	First Trust Value Line Dividend Index Fund (FVD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.18	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.19	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.20	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	US Bank #3 Roth IRA	No	\$50,001 - \$100,000	Dividends Capital Gains Interest	\$201 - \$1,000
13.1	Vanguard Target Retirement 2035	Yes	\$50,001 - \$100,000		\$201 - \$1,000
14	US Bank #3 IRA	No	\$100,001 - \$250,000		None (or less than \$201)
14.1	Vanguard 500 Index Admiral Shares	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.2	Vanguard Target Retirement 2035	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14.3	Vanguard Target Retirement 2045	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15	US Bank #3 Rollover IRA	No	\$100,001 - \$250,000	Dividends Capital Gains Interest	\$2,501 - \$5,000
15.1	JPMorgan Equity Income Fund Class A	Yes	\$50,001 - \$100,000		\$201 - \$1,000
15.2	JP Morgan Intrepid European Fund Class A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.3	JPMorgan US Equity Fund Class A	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
16	US Bank #2 Roth IRA	No	\$50,001 - \$100,000	Dividends Capital Gains Interest	\$1,001 - \$2,500
16.1	American Funds Mortgage F2 MFAFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.2	First Eagle Overseas I SGOIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.3	MFS Diversified Income DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.4	Parnassus Core Equity Investor PRBLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.5	Pioneer Fundamental Growth Y FUNYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.6	Principal Blue Chip P PBCKX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.7	Principal Midcap P PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.8	American Europacific Grw F2 AEPFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.9	Parnassus Mid Cap FD PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.10	American Balanced F2 - AMBFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.11	Columbia Contrarian Core - SMGIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.12	American Small Cap World F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.13	First Trust Value Line Dividend Index Fund (FVD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.14	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.15	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	US Bank #2 IRA	No	\$250,001 - \$500,000	Dividends Interest Capital Gains	\$5,001 - \$15,000
17.1	Amgen Inc AMGN	No	\$1,001 - \$15,000		None (or less than \$201)
17.2	Crown Castle Intl Corp CCI	No	\$1,001 - \$15,000		None (or less than \$201)
17.3	Laboratory CP Amer Hldgs New LH	No	\$1,001 - \$15,000		None (or less than \$201)
17.4	Starbucks Corp SBUX	No	\$1,001 - \$15,000		None (or less than \$201)
17.5	Techtronic Ind Ltd Spons Adr TTNDY	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.6	First Eagle Overseas I SGOIX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.7	MFS Diversified Income DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.8	Parnassus Core Equity Investor PRBLX	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.9	Pioneer Fundamental Growth Y FUNYX	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.10	Principal Blue Chip P PBCKX	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.11	Principal Midcap P PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.12	American Europacific Grw AEPFX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.13	American Small Cap World SMCFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.14	Gateway fund GTEYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.15	JP Morgan Hedged Equity JHEQX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.16	Parnassus MidCap FD PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.17	Virtus Kar Small Cap Growth PXSGX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.18	Stryker Corp - SYK	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.19	First Trst Hlth Care Alpha ETF - FXH	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.20	Anheuser Busch Inbev	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.21	DocuSign, Inc. (DOCU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.22	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.23	iShares MSCI ACWI ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.24	Lord Abbett Ultra Short	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.25	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.26	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.27	Illumina, Inc. (ILMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.28	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.29	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
17.30	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.31	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.32	United Health Group UNH	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.33	First Trust Rising Dividend Achievers ETF (RDVY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.34	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.35	American Electric Power Co., Inc. (AEP)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.36	Cigna Corp. (CI)	No	\$1,001 - \$15,000		None (or less than \$201)
17.37	Datadog Inc	No	\$1,001 - \$15,000		None (or less than \$201)
17.38	Elevance Health Inc	No	\$1,001 - \$15,000		None (or less than \$201)
17.39	The Goldman Sachs Group, Inc. (GS)	No	\$1,001 - \$15,000		None (or less than \$201)
17.40	nVent Electric Plc (NVT)	No	\$1,001 - \$15,000		None (or less than \$201)
17.41	NXP semiconductors	No	\$1,001 - \$15,000		None (or less than \$201)
17.42	Snowflake Inc	No	\$1,001 - \$15,000		None (or less than \$201)
17.43	Thermo Fisher Scientific, Inc. (TMO)	No	\$1,001 - \$15,000		None (or less than \$201)
17.44	The TJX Cos., Inc. (TJX)	No	\$1,001 - \$15,000		None (or less than \$201)
17.45	Vail Resorts, Inc. (MTN)	No	\$1,001 - \$15,000		None (or less than \$201)
17.46	Workday, Inc. (WDAY)	No	\$1,001 - \$15,000		None (or less than \$201)
17.47	First Trust Value Line Dividend Index Fund (FVD)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
17.48	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.49	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
17.50	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.51	Delaware Wealth Builder Fund Institutional Class Shares (DDIIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
18	US Bank #1 Checking Account	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
19	US Bank #1 Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
20	US Bank #1 Checking Account		\$15,001 - \$50,000		None (or less than \$201)
21	US Bank #2 Checking Account		\$100,001 - \$250,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Royalty Pharma PLC	Sale	02/24/2022	\$1,001 - \$15,000
2	Royalty Pharma PLC	Sale	02/24/2022	\$1,001 - \$15,000
3	iShares Core MSCI EAFE ETF (IEFA)	Purchase	02/11/2022	\$1,001 - \$15,000
4	iShares Core MSCI EAFE ETF (IEFA)	Purchase	02/11/2022	\$1,001 - \$15,000
5	iShares Core MSCI EAFE ETF (IEFA)	Purchase	02/11/2022	\$1,001 - \$15,000
6	iShares Core MSCI EAFE ETF (IEFA)	Purchase	02/11/2022	\$1,001 - \$15,000
7	MetLife, Inc. (MET)	Sale	02/22/2022	\$1,001 - \$15,000
8	MetLife, Inc. (MET)	Sale	02/22/2022	\$1,001 - \$15,000
9	MetLife, Inc. (MET)	Purchase	12/03/2021	\$1,001 - \$15,000
10	MetLife, Inc. (MET)	Purchase	12/03/2021	\$1,001 - \$15,000
11	NXP Semiconductors NV	Purchase	12/03/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	NXP Semiconductors NV	Purchase	12/03/2021	\$1,001 - \$15,000
13	Workday, Inc. (WDAY)	Purchase	12/03/2021	\$1,001 - \$15,000
14	Workday, Inc. (WDAY)	Purchase	12/03/2021	\$1,001 - \$15,000
15	Shopify Inc	Purchase	12/03/2021	\$1,001 - \$15,000
16	Shopify Inc	Purchase	12/03/2021	\$1,001 - \$15,000
17	Royalty Pharma	Purchase	12/03/2021	\$1,001 - \$15,000
18	Royalty Pharma PLC	Purchase	12/03/2021	\$1,001 - \$15,000
19	Datadog Inc	Purchase	12/03/2021	\$1,001 - \$15,000
20	Datadog Inc	Purchase	12/03/2021	\$1,001 - \$15,000
21	Snowflake Inc	Purchase	12/03/2021	\$1,001 - \$15,000
22	Snowflake Inc	Purchase	12/03/2021	\$1,001 - \$15,000
23	American Electric Power Co., Inc. (AEP)	Purchase	12/03/2021	\$1,001 - \$15,000
24	American Electric Power Co., Inc. (AEP)	Purchase	12/03/2021	\$1,001 - \$15,000
25	The TJX Cos., Inc. (TJX)	Purchase	12/03/2021	\$1,001 - \$15,000
26	The TJX Cos., Inc. (TJX)	Purchase	12/03/2021	\$1,001 - \$15,000
27	Starbucks Corp. (SBUX)	Sale	08/06/2021	\$1,001 - \$15,000
28	Illumina Inc	Sale	08/06/2021	\$1,001 - \$15,000
29	Hillrom Holdings	Sale	08/06/2021	\$1,001 - \$15,000
30	Intuitive Surgical, Inc. (ISRG)	Sale	08/06/2021	\$1,001 - \$15,000
31	Anheuser Busch	Sale	08/06/2021	\$1,001 - \$15,000
32	American Funds Tax-Aware Conservative Growth and Income P Class F2 Shs (TXIFX)	Sale	08/06/2021	\$15,001 - \$50,000
33	Amazon.com, Inc. (AMZN)	Sale	08/06/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
34	Fortinet, Inc. (FTNT)	Sale	08/06/2021	\$1,001 - \$15,000
35	Lord Abbett Ultra Short	Sale	08/06/2021	\$15,001 - \$50,000
36	Ishares Core MSCI Emerging	Sale	08/06/2021	\$15,001 - \$50,000
37	JP Morgan Hedged Equity	Sale	08/06/2021	\$15,001 - \$50,000
38	ishares Core MSCI Emerging	Sale	08/06/2021	\$1,001 - \$15,000
39	Gateway Fund Class Y Shares (GTEYX)	Sale	08/06/2021	\$15,001 - \$50,000
40	Amgen Inc. (AMGN)	Sale	08/06/2021	\$1,001 - \$15,000
41	Brown-Forman Corp B (BF.B)	Sale	08/06/2021	\$1,001 - \$15,000
42	The Walt Disney Co. (DIS)	Sale	08/06/2021	\$1,001 - \$15,000
43	Fiserv, Inc. (FISV)	Sale	08/06/2021	\$1,001 - \$15,000
44	Stryker Corp. (SYK)	Sale	08/06/2021	\$1,001 - \$15,000
45	The TJX Cos., Inc. (TJX)	Sale	08/06/2021	\$1,001 - \$15,000
46	Vanguard High Yield Tax Exempt	Sale	08/06/2021	\$15,001 - \$50,000
47	Vail Resorts, Inc. (MTN)	Sale	08/09/2021	\$1,001 - \$15,000
48	Lockheed Martin Corp. (LMT)	Sale	08/09/2021	\$1,001 - \$15,000
49	Techtronic	Sale	08/09/2021	\$1,001 - \$15,000
50	Sempra Energy (SRE)	Sale	08/09/2021	\$1,001 - \$15,000
51	salesforce.com, inc. (CRM)	Sale	08/09/2021	\$1,001 - \$15,000
52	Amazon.com, Inc. (AMZN)	Sale	08/09/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Transamerica Intermed Muni I	Sale	08/09/2021	\$1,001 - \$15,000
54	JP Morgan Hedged Equity	Sale	08/09/2021	\$15,001 - \$50,000
55	American Funds Tax-Aware Conservative Growth and Income P Class F3 Shs (TYIFX)	Sale	08/09/2021	\$50,001 - \$100,000
56	Gateway Fund Class Y Shares (GTEYX)	Sale	08/09/2021	\$15,001 - \$50,000
57	PayPal Holdings, Inc. (PYPL)	Sale	08/18/2021	\$1,001 - \$15,000
58	PayPal Holdings, Inc. (PYPL)	Sale	08/18/2021	\$1,001 - \$15,000
59	Vanguard Financials Index Fund ETF Shares (VFH)	Sale	08/18/2021	\$15,001 - \$50,000
60	Vanguard Financials Index Fund ETF Shares (VFH)	Sale	08/18/2021	\$15,001 - \$50,000
61	Amazon.com, Inc. (AMZN)	Sale	08/18/2021	\$15,001 - \$50,000
62	Amazon.com, Inc. (AMZN)	Sale	08/18/2021	\$1,001 - \$15,000
63	Amazon.com, Inc. (AMZN)	Sale	08/18/2021	\$50,001 - \$100,000
64	Amazon.com, Inc. (AMZN)	Sale	08/18/2021	\$1,001 - \$15,000
65	Mastercard, Inc. (MA)	Sale	08/18/2021	\$1,001 - \$15,000
66	Mastercard, Inc. (MA)	Sale	08/18/2021	\$1,001 - \$15,000
67	Facebook, Inc. (FB)	Sale	08/18/2021	\$1,001 - \$15,000
68	Facebook, Inc. (FB)	Sale	08/18/2021	\$1,001 - \$15,000
69	Berkshire Hathaway Inc. (BRKB)	Sale	08/18/2021	\$15,001 - \$50,000
70	Berkshire Hathaway Inc. (BRKB)	Sale	08/18/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
71	Berkshire Hathaway Inc. (BRKB)	Sale	08/18/2021	\$1,001 - \$15,000
72	Berkshire Hathaway Inc. (BRKB)	Sale	08/18/2021	\$15,001 - \$50,000
73	Alphabet Class A	Sale	08/18/2021	\$15,001 - \$50,000
74	Berkshire Hathaway Inc. (BRKB)	Sale	08/18/2021	\$1,001 - \$15,000
75	Alphabet Class A	Sale	08/18/2021	\$1,001 - \$15,000
76	Alphabet Class C	Sale	08/18/2021	\$15,001 - \$50,000
77	Alphabet Class C	Sale	08/18/2021	\$1,001 - \$15,000
78	Alphabet Class C	Sale	08/18/2021	\$15,001 - \$50,000
79	Apple, Inc. (AAPL)	Sale	08/18/2021	\$15,001 - \$50,000
80	Apple, Inc. (AAPL)	Sale	08/18/2021	\$15,001 - \$50,000
81	Microsoft Corp. (MSFT)	Sale	08/18/2021	\$1,001 - \$15,000
82	The Charles Schwab Corp. (SCHW)	Sale	08/18/2021	\$1,001 - \$15,000
83	The Charles Schwab Corp. (SCHW)	Sale	08/18/2021	\$1,001 - \$15,000
84	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	08/20/2021	\$15,001 - \$50,000
85	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	08/20/2021	\$1,001 - \$15,000
86	iShares Core S&P US Growth ETF (IUSG)	Purchase	08/20/2021	\$50,001 - \$100,000
87	First Trust Value Line Dividend Index Fund (FVD)	Purchase	08/20/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
88	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	08/20/2021	\$1,001 - \$15,000
89	First Trust Value Line Dividend Index Fund (FVD)	Purchase	08/20/2021	\$1,001 - \$15,000
90	First Trust Value Line Dividend Index Fund (FVD)	Purchase	08/20/2021	\$1,001 - \$15,000
91	First Trust Value Line Dividend Index Fund (FVD)	Purchase	08/20/2021	\$1,001 - \$15,000
92	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	08/20/2021	\$50,001 - \$100,000
93	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	08/20/2021	\$1,001 - \$15,000
94	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	08/20/2021	\$15,001 - \$50,000
95	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	08/20/2021	\$1,001 - \$15,000
96	iShares Core MSCI Total International Stock ETF (IXUS)	Purchase	08/20/2021	\$15,001 - \$50,000
97	United Health Gp	Purchase	02/01/2021	\$1,001 - \$15,000
98	Laboratory CP Amer Hld	Purchase	02/01/2021	\$1,001 - \$15,000
99	Vail Resorts, Inc. (MTN)	Purchase	02/01/2021	\$1,001 - \$15,000
100	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	02/01/2021	\$1,001 - \$15,000
101	CVS Health Corp. (CVS)	Purchase	02/01/2021	\$1,001 - \$15,000
102	CVS Health Corp. (CVS)	Purchase	02/01/2021	\$1,001 - \$15,000
103	Lockheed Martin Corp. (LMT)	Purchase	02/01/2021	\$1,001 - \$15,000
104	First Trust Lrg Cap Value	Purchase	02/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
105	Sempra Energy (SRE)	Purchase	02/01/2021	\$1,001 - \$15,000
106	First Trust Health Care AlphaDEX Fund (FXH)	Purchase	02/01/2021	\$1,001 - \$15,000
107	salesforce.com, inc. (CRM)	Purchase	02/01/2021	\$1,001 - \$15,000
108	Transamerica Intermediate Muni Class I Shares (TIMUX)	Purchase	02/01/2021	\$15,001 - \$50,000
109	AF TX Aware Cnsv Grw & Inc F2	Purchase	02/01/2021	\$50,001 - \$100,000
110	First Trust Rising Dividend Achievers ETF (RDVY)	Purchase	02/01/2021	\$1,001 - \$15,000
111	Anthem, Inc. (ANTM)	Purchase	02/01/2021	\$1,001 - \$15,000
112	Transamerica Capital Growth Class I Shares (TFOIX)	Purchase	02/01/2021	\$1,001 - \$15,000
113	Anheuser Busch Inbev	Purchase	02/01/2021	\$1,001 - \$15,000
114	JP Morgan Hedged Equity	Purchase	02/01/2021	\$1,001 - \$15,000
115	Gateway Fund Class Y Shares (GTEYX)	Purchase	02/01/2021	\$1,001 - \$15,000
116	JP Morgan Hedged Equity	Purchase	02/25/2021	\$15,001 - \$50,000
117	Gateway Fund Class Y Shares (GTEYX)	Purchase	02/25/2021	\$15,001 - \$50,000
118	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	02/25/2021	\$15,001 - \$50,000
119	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Purchase	02/25/2021	\$100,001 - \$250,000
120	First Trust Rising Dividend Achievers ETF (RDVY)	Purchase	02/25/2021	\$15,001 - \$50,000
121	First Trust Lrg Cap Value AL	Purchase	02/25/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
122	JP Morgan US Equity Fund CI A	Sale	01/14/2021	\$1,001 - \$15,000
123	JP Morgan US Equity Fund CI A	Sale	12/02/2021	\$1,001 - \$15,000
124	JP Morgan US Equity Fund CI A	Sale	01/14/2022	\$1,001 - \$15,000
125	Globalstar, Inc. (GSAT)	Purchase	05/12/2022	\$1,001 - \$15,000
126	Vanguard 500 Index Fund Institutional Trust	Purchase	02/16/2021	\$1,001 - \$15,000
127	Vanguard Institutional Total Bond Market	Purchase	02/16/2021	\$1,001 - \$15,000
128	Blackrock Extended Equity Market Fund	Sale	02/16/2021	\$1,001 - \$15,000
129	American Funds Europacific Growth	Sale	02/16/2021	\$1,001 - \$15,000
130	American Funds Growth of America	Purchase	05/13/2021	\$1,001 - \$15,000
131	American Funds Europacific Growth	Purchase	05/13/2021	\$1,001 - \$15,000
132	BlackRock Advantage Large Cap Growth Fund Service Shares (CMVSX)	Purchase	05/13/2021	\$1,001 - \$15,000
133	PIMCO Total Return ESG Fund Class A Shares (PTGAX)	Purchase	05/13/2021	\$1,001 - \$15,000
134	MFS Value Fund Class R5	Purchase	05/13/2021	\$1,001 - \$15,000
135	Hotchkis & Wiley Small Cap Value Fund	Purchase	05/13/2021	\$1,001 - \$15,000
136	Dodge & Cox International Stock Fund (DODFX)	Purchase	05/13/2021	\$1,001 - \$15,000
137	Vanguard Explorer Fund	Purchase	05/13/2021	\$1,001 - \$15,000
138	Artisan Mid Cap Fund Investor Shares (ARTMX)	Sale	05/13/2021	\$1,001 - \$15,000
139	Blackrock MSCI ACWI US Index Fund	Sale	05/13/2021	\$1,001 - \$15,000
140	Vanguard Institutional 500 Idx Trust	Sale	05/13/2021	\$1,001 - \$15,000
141	Blackrock Fedfund Institutional	Sale	05/13/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
142	Dodge & Cox Income Fund (DODIX)	Sale	05/13/2021	\$1,001 - \$15,000
143	American Funds Europacific Growth	Purchase	06/14/2021	\$1,001 - \$15,000
144	Vanguard Short-Term Bond Index Fund Admiral Shares (VBIRX)	Purchase	08/13/2021	\$1,001 - \$15,000
145	Vanguard Institutional 500 Idx Trust	Purchase	08/13/2021	\$1,001 - \$15,000
146	Vanguard Total Bond Institutional	Purchase	08/13/2021	\$1,001 - \$15,000
147	DFA US Sustainability Core 1	Purchase	08/13/2021	\$1,001 - \$15,000
148	Blackrock Fedfund institutional	Purchase	08/13/2021	\$1,001 - \$15,000
149	Dodge & Cox International Stock Fund (DODFX)	Purchase	08/13/2021	\$1,001 - \$15,000
150	Vanguard Explorer Fund	Purchase	08/13/2021	\$1,001 - \$15,000
151	American Funds Growth of America	Sale	08/13/2021	\$1,001 - \$15,000
152	American Funds Europacific Growth	Sale	08/13/2021	\$1,001 - \$15,000
153	Blackrock MSCI ACWI US Index	Sale	08/13/2021	\$1,001 - \$15,000
154	Fidelity Real Estate Institutional	Sale	08/13/2021	\$1,001 - \$15,000
155	PIMCO Total Return ESG Fund Class A Shares (PTGAX)	Sale	08/13/2021	\$1,001 - \$15,000
156	MFS Value Fund Class A	Sale	08/13/2021	\$1,001 - \$15,000
157	Hotchkis & Wiley Small Cap Value Fund	Sale	08/13/2021	\$1,001 - \$15,000
158	American Funds Europacific	Purchase	11/15/2021	\$1,001 - \$15,000
159	Blackrock Extended Equity Market Fund	Purchase	11/15/2021	\$1,001 - \$15,000
160	Blackrock MSCI ACWI US Index	Purchase	11/15/2021	\$1,001 - \$15,000
161	Vanguard Institutional Total Bond	Purchase	11/15/2021	\$1,001 - \$15,000
162	DFA US Sustainability Core	Purchase	11/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
163	American Funds Growth of America	Sale	11/15/2021	\$1,001 - \$15,000
164	JP Morgan Emerging Markets	Sale	11/15/2021	\$1,001 - \$15,000
165	Vanguard Institutional 500 IDX	Sale	11/15/2021	\$1,001 - \$15,000
166	State Street Tips	Sale	11/15/2021	\$1,001 - \$15,000
167	MFS Value Fund CI A	Sale	11/15/2021	\$1,001 - \$15,000
168	American Funds Europacific Growth	Purchase	12/16/2021	\$1,001 - \$15,000
169	American Funds Growth of America	Purchase	02/14/2022	\$1,001 - \$15,000
170	American Funds Europacific Growth	Purchase	02/14/2022	\$1,001 - \$15,000
171	Vanguard Short Term Bond Index Fund Admiral	Purchase	02/14/2022	\$1,001 - \$15,000
172	Vanguard Institutional Total Bond Trust	Purchase	02/14/2022	\$1,001 - \$15,000
173	MFS Value Fund Class A	Purchase	02/14/2022	\$1,001 - \$15,000
174	Hotchkis & Wiley Small Cap Value Fund	Purchase	02/14/2022	\$1,001 - \$15,000
175	Dodge & Cox International Stock Fund (DODFX)	Purchase	02/14/2022	\$1,001 - \$15,000
176	Blackrock MSCI ACWI US Index Fund	Sale	02/14/2022	\$1,001 - \$15,000
177	Vanguard 500 Index Fund Institutional	Sale	02/14/2022	\$1,001 - \$15,000
178	DFA US Sustainability Core	Sale	02/14/2022	\$1,001 - \$15,000
179	Vanguard Explorer Fund	Sale	02/14/2022	\$1,001 - \$15,000
180	Blackrock MSCI ACWI US Index NL Fund	Purchase	05/13/2022	\$1,001 - \$15,000
181	Vanguard Institutional 500 IDX	Purchase	05/13/2022	\$1,001 - \$15,000
182	DFA US Sustainability	Purchase	05/13/2022	\$1,001 - \$15,000
183	State Street Tips	Purchase	05/13/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
184	Blackrock Fedfund Institutional	Purchase	05/13/2022	\$1,001 - \$15,000
185	Vanguard Explorer Fund	Purchase	05/13/2022	\$1,001 - \$15,000
186	Vanguard High-Yield Corporate Fund Admiral Shares (VWEAX)	Purchase	05/13/2022	\$1,001 - \$15,000
187	American Funds Growth of America	Sale	05/13/2022	\$1,001 - \$15,000
188	American Funds Europacific Growth	Sale	05/13/2022	\$1,001 - \$15,000
189	Blackrock Extended Equity Market Fund	Sale	05/13/2022	\$1,001 - \$15,000
190	Vanguard Institutional Total Bond	Sale	05/13/2022	\$1,001 - \$15,000
191	Vanguard Short Term Bond	Sale	05/13/2022	\$1,001 - \$15,000
192	Dodge & Cox International Stock Fund (DODFX)	Sale	05/13/2022	\$1,001 - \$15,000
193	Hotchkis & Wiley Small Cap Value Fund	Sale	05/13/2022	\$1,001 - \$15,000
194	Shopify	Sale	05/13/2022	\$1,001 - \$15,000
195	Amazon.com, Inc. (AMZN)	Sale	08/18/2021	\$1,001 - \$15,000
196	Thermo Fisher Scientific, Inc. (TMO)	Purchase	04/01/2021	\$1,001 - \$15,000
197	Thermo Fisher Scientific, Inc. (TMO)	Purchase	04/01/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	US Bank #6	Mortgage (investment/rental property)	\$100,001 - \$250,000	2021	3.25	30 years

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	US Bank #5	Mortgage (investment/rental property)	\$250,001 - \$500,000	2021	3.375	30 years
3	US Bank #2	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2020	3.5%	30 Years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	1	test

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).
