

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Gibbons, John

U.S. Marshal, District of Massachusetts, Department of Justice - U.S. Marshals Service

Report Year: 2020

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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/ Gibbons, John [electronically signed on 05/12/2020 by Gibbons, John 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).

/s/ Dickinson, Lisa, Certifying Official [electronically signed on 10/08/2020 by Dickinson, Lisa in Integrity.gov]

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Other review conducted by

/s/ Marcovici, Robert, Ethics Official [electronically signed on 10/08/2020 by Marcovici, Robert in Integrity.gov]

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U.S. Office of Government Ethics Certification

Data Revised 10/08/2020

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Commonwealth of Massachusetts Retirement Defined Benefit Plan, defined benefit plan	N/A	\$50,001 - \$100,000	Retirement Payments (annual)	\$97,520
2	Raymond James IRA				
2.1	Raymond James Bank Deposit Program	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Raymond James-AMG Times Square Small Cap Growth Fund Premier Class	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.3	Raymond James-AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Raymond James-Aston/River Road Small Cap value Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Raymond James-Columbia Acorn International Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Raymond james-Deutsche Global real Estate Securities FD Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	RJ-Dodge & Cox Income Fund Class F1- American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	RJ-Europacific Growth Fund Class F1-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	RJ-John Hancock Disciplined Value Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	RJ-JP Morgan Core Bond Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	RJ-Morgan Mid Cap Value Fund Institutional Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	RJ-JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	RJ-Manning & Napier Quity Series N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	RJ-MFS International Growth Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	RJ-MFS Research Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	RJ-Neuberger Berman Genesis Fund Investor Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	RJ-Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	RJ-Virtus Emerging Markets Opportunies Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	RJ-Wells Fargo Advantage Intl Value FD Admin CL-N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	Europacific Growth Fund Class F2-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	Wells Fargo Advantage INTL Value Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.23	Baird Aggregate Bond Fund INSTL Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	Clarkston Partners Fund Institutional Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	Metropolitan West Total Return Bond Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	SEI U.S. Managed Volatility Fund Class Y (SUSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Northwestern Mutual IRA				
3.1	Goldman Sachs Group Inc. Medium term NTS Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.2	Janus Balanced Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.3	John Deere Cap Corp Medium Term Med Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.4	Catepillar Bond Fini SVCS Corp. Meduim Bond-John IRA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5	Merrill Lynch Bond-IRA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.6	John Deere Cap Corp Medium Term Med Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.7	General Electric Capital Internotes Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.8	General Money Market Fund Class B	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Merrill Lynch & Co Inc Medium Term NTS R	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.10	Janus Balanced Fund A Shares	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	Citigroup Inc Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	Northwestern Mutual Investment Services				
4.1	Janus Balance Fund C Shares-Fixed Income Joint Account-John & Spouse	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.2	Northwestern Mutual Fixed Annuity	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.3	Janus Balanced Fund Class C-joint Account	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.4	Money Market Fund-Joint Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Northwestern Mutual IRA Rollover Individual Retirement				
5.1	General Money Market Fund CL B	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Europacific Growth Fund Class F-2	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	John Hancock Disciplined Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	Northern Small Cap Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Van Eck Constant Maturity Commodity	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	IShares TR MSCI Emerging MKTS ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.7	IShares TR S&P 500 Growth ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	IShares TR S&P 500 Value ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	IShares TR MSCI EAFE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	IShares TR Core S&P Mid-Cap ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	IShares TR S&P U S PFD STK Index FD	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.12	SPDR S&P 500 ETF TR TR UNIT	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.13	SPDR SER TR Barclays High Yield BD ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.14	Vanguard BD Index FD INC Total BD Market	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.15	Vanguard Tax-Managed INTL FD FTSE	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.16	Vanguard Index FDS Vanguard REIT ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.17	Northern Small Cap Value Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Account				
6.1	Raymond James Bank Deposit Program	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	AMG Times Square Small CAP Growth Fund Premier Class N/L (TSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.4	Columbia Acorn International Fund Class Z N/L (ACINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	Deutsche Global Real Estate Securities FD Clas A M/F (RRGAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.6	Dodge & Cox Income Fund N/L (DODIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Europacific Growth Fund Class F1-American Funds N/L (AEGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.8	JPMorgan Mid Cap Vaule Fund Institutional Shares N/L (FLMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	JPMorgan Core Bond Fund Class A M/F (PGBOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	MFS International Growth Fund Class I N/L (MQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	MFS Research Fund Class A M/F (MFRFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	Neuberger Berman Genesis Fund Investor Class N/L (NBNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.15	Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.16	Virtus Emerging Markets Opportunities Fund Class I N/L (HIEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	Wells Fargo Advantage INTL Value FD Admin CL N/L (WFVDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.18	Baird Aggregate Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.19	Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.20	Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	TD Bank North Joint Checking Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Berkshire Bank Joint Savings Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	American National Insurance Company-Fixed Annuity	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
10	New York Life Insurance and Annuity Corporation Variable Universal Life-				
10.1	Mainstay VP MacKay Growth--Initial Class (104)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.2	MainStay VP MacKay S&P 500 Index-Initial Class (105)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Commonwealth of Massachusetts Retirement Defined Benefit Plan	Boston, Massachusetts	I will continue to participate in this defined benefit plan.	9/1979
2	Raymond James IRA	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
3	Northwestern Mutual Investment Services	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
4	Northwestern Mutual IRA	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
5	American National Insurance Company-Fixed Annuity IRA	Springfield, Missouri	I will not participate in this defined contribution plan after my separation	1/2019

#### 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	Commonwealth of Massachusetts Defined Benefit Pension Plan (value not readily ascertainable)	N/A			\$15,001 - \$50,000
2	Raymond James-Spouse IRA Freedom Balance		\$50,001 - \$100,000		
2.1	Aston/River Road Small Cap Value Fund Class I N/L (ARSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	AMG Times Square Small Cap Growth Fund Premier Class N/L (TSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Clarkston Partners Fund Institutional Class N/L (CISMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Baird Aggregate Bond Fund INSTL Class N?L (BAGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Columbia Acorn International Fund Class Z N?L (ACINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	MFS International Growth Fund Class I N/L (MQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	MFS Research Fund Class A M/F (MFRFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	JP Morgan Core Bond Fund (PGBOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	Manning & Napier Equity Series (EXEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	Dodge & Cox Income Fund (DODIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.19	Neuberger Berman Genesis Fund (NGBNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	SEI U.S. Manged Volatility Fund Class Y (SUSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Northwestern Mutual- Fixed Annuity	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
4	Northwestern IRA Account-MFS Growth Allocation Fund-A U.S. Equity Large Cap	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.1	Fidelity Advisor Total Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	TD Bank North Checking Account-Joint	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Berkshire Bank Savings Account-Joint	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	AMG Times Square Small Cap Growth Fund Premier Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Commonwealth of Massachusetts-Massachusetts State Police Retiree DOL/MUD Grievance Settlement Payout	N/A	\$1,001 - \$15,000		\$5,001 - \$15,000
3	Monumental Life Insurance Company-Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Monumental Life Insurance Company-Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Allianz Life Insurance	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6	Raymond James Joint Freedom Program	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.1	AMG Times Square Small Cap Growth Fund Premier Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.3	Aston/River Road Small Cap Value Fund Class I N/L		\$1,001 - \$15,000		\$201 - \$1,000
6.4	Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.5	Columbia Acorn International Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	Deutsche Global Real Estate Securities FD Class A M/F	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.7	Dodge & Cox Income Fund N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.8	Europacific Growth Fund Class F1-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	John Hancock Disciplined Value Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	JP Morgan Core Bond Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	JP Morgan Mid Cap Vaule Fund Institutional Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	Manning & Napier Equity Series N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	MFS International Growth Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.15	MFS Research Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.16	Neuberger Berman Genesis Fund Investor Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.18	Virtus Emerging Markets Opportunities Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.19	Wells Fargo Advantage Intl Value FD Admin CL N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.20	Raymond James Bank Deposit Program	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.21	AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.22	Baird Aggregate Bond Fund INSTL Class N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.23	Clarkston Partners Fund Institutional Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.24	Metropolitan West Total Return Bond Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.25	Aston/River Road Small Cap Value Fund Class I N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.26	SEI U.S. Managed Volatility Fund Class Y (SUSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	EE U.S. Treasury Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
8	I Treasury Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9	Berkshire Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	BankNorth	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	New York Life Variable Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.1	Mainstay Variable Product Capital Appreciation Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	Mainstay VP S&P 500 Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Monumental Life Insurance Company- Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Raymond James Ira-Aston/River Road Small Cap Value Fund Class 1 N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	Raymond James Ira-Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Raymond James IRA-Deutsche Global Real Estate Securities FD Class A/ MF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Raymond James IRA-Dodge & Cox Income Fund N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Raymond James IRA-Europacific Growth Fund Class F1-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Raymond James IRA-John Hancock Disciplined Vaule Fund Class i N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Raymond James IRA-JP Morgan Core Bond Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	Raymond James IRA-JP Morgan MID CAP Vaule Fund Institutional Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	Raymond James IRA-Manning & Napier Equity Series N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
24	Raymond James IRA-MFS International Growth Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	Raymond James IRA-MFS Research Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	Raymond James IRA-Neuberger Berman Genesis Fund Investor Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27	Raymond James IRA-Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	Raymond James IRA-Virtus Emerging Markets Opportunities Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
29	Raymond James IRA-Wells Fargo Advantage Intl Value FD Admin CL N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	Northwestern Mutual Money Market Fund-IRA	Yes	None (or less than \$1,001)		None (or less than \$201)
31	Northwestern Mutual MFS Growth Allocation-IRA	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
32	Northwestern Mutual Investment Services: Janus Balanced Fund Class	Yes	\$50,001 - \$100,000		\$201 - \$1,000
33	Northwestern Mutual Investment Services-Money Market Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	Manning & Napier Equity Series N/L (EXEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account	See Endnote	Exchange	01/06/2019	\$1,001 - \$15,000
2	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account	See Endnote	Exchange	02/06/2019	\$1,001 - \$15,000
3	Raymond James Gibbons Joint Freedom Bal w/Growth Fund account-JPMorgan U.S. Large CAP Core Plus Fund Class I N/L-JLPSX		Sale	02/05/2019	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
4	Rad James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-SEI U.S. Managed Volatility Fund Class Y N/L- SUSYX		Purchase	02/05/2019	\$1,001 - \$15,000
5	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-JPMorgan .S. Large Cap Core Plus Fund Class I N/L-JLPSX		Sale	02/06/2019	\$1,001 - \$15,000
6	Raymond James Joint Freedom Bal w/Growth Mutual Fund account-Pimco Low Duration Fund Class I2 N/L-PLDPX		Purchase	02/05/2019	\$1,001 - \$15,000
7	Raymond James Gibbons JoinFreedom Bal w/Growth Mutual Fund account-Metropolitan West Total Return Bond Fund Class I N/L- MWTIX		Purchase	02/05/2019	\$1,001 - \$15,000
8	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account-SEI U.S. Managed Volatility Fund Class Y N/L-SUSYX		Purchase	02/06/2019	\$1,001 - \$15,000
9	Northwestern Mutual Life Insurance Company Fixed Annuity	See Endnote	Exchange	03/29/2019	\$100,001 - \$250,000
10	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund account-SEI U.S. Managed Volatility Fund Class Y N/L #SUSYX		Purchase	02/06/2019	\$1,001 - \$15,000
11	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Baird Aggregate Bond Fund INSTL Class N/L BAGIX		Sale	02/05/2019	\$1,001 - \$15,000
12	American National Fixed Annuity Policy	See Endnote	Exchange	05/04/2019	\$100,001 - \$250,000
13	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-PIMCO Low Duration Fund ClasI2 N/L- PLDPX		Purchase	02/06/2019	\$1,001 - \$15,000
14	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-Metropolitan West Total Return Bond Fund Class I N/L- MWTIX		Purchase	02/06/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account-Pimco Low Duration Fund Class I2 N/L #PLDPX	Purchase	02/06/2019	\$1,001 - \$15,000
16	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account-AQR Managed Futures Strategy Fund Class I N/L	Sale	02/06/2019	\$1,001 - \$15,000
17	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account-Metropolitan West Total Return Bond Fund Class I N/L #MWTIX	Purchase	02/06/2019	\$1,001 - \$15,000
18	Raymond James-JPMorgan U.S. Large CAP Core Plus Fund Class I N/L #JLPSX	Sale	02/06/2019	\$1,001 - \$15,000
19	Northwestern Mutual Investment Services Advisory Account-Van Eck Constant Maturity Commodity Index Fund CL Y	Sale	05/13/2019	\$1,001 - \$15,000
20	Northwestern Mutual Investment Services Advisory account- Invesco QQQ TR Unit Ser 1	Purchase	05/13/2019	\$1,001 - \$15,000
21	Northwestern Mutual Investment Services Advisory Account-Invesco QQQ TR Unit Ser 1	Purchase	05/13/2019	\$1,001 - \$15,000
22	Northwestern Mutual Investment Services Advisory Account-Van Eck Constant Maturity Commodity Index Fund CL Y	Sale	05/13/2019	\$1,001 - \$15,000
23	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Harding Loevner Emerg Markets Port Fund Advisor CL N/L (HLEMX)	Purchase	06/06/2019	\$1,001 - \$15,000
24	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-Harding Loevner Emerg Markets Port Fund Advisor CL N/L (HLEMX)	Purchase	06/12/2019	\$1,001 - \$15,000
25	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	Sale	06/12/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	Sale	06/06/2019	\$1,001 - \$15,000
27	Raymond James-Spouse IRA Freedom Bal w/growth Mutual Fund Account-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	Sale	06/12/2019	\$1,001 - \$15,000
28	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account-Harding Loevner Emerg Markets Port Fund Advisor CL N/L (HLEMX)	Purchase	06/12/2019	\$1,001 - \$15,000
29	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account:JPMorgan U.S. Large CAP Core Plus Fund Class 1 N/L (JLPSX)	Sale	08/05/2019	\$1,001 - \$15,000
30	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: SEI U.S. Managed Volatility Fund Class Y N/L (TSQIX)	Sale	11/21/2019	\$1,001 - \$15,000
31	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: T. Rowe Price U.S. Equity Research FD Invest CLS N/L (PRCOX)	Purchase	08/05/2019	\$1,001 - \$15,000
32	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund account: JPMorgan U.S. Large Cap Core Plus Fund Class 1 N/L (JLPSX)	Sale	08/13/2019	\$1,001 - \$15,000
33	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: T. Rowe Price U.S. Equity Research FD Invest CLS N/L (PRCOX)	Purchase	08/13/2019	\$1,001 - \$15,000
34	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: T. Rowe Price U.S. Equity Reserch FD Invest CLS N/L (PRCOX)	Purchase	08/13/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund account: Columbia Dividend Income Fund Inst CL N/L (GSFTX)	Purchase	11/21/2019	\$1,001 - \$15,000
36	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund account: Metropolitan West Total Return Bond Fund Class 1 N/L (MWTIX)	Purchase	11/06/2019	\$1,001 - \$15,000
37	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: JPMorgan U.S. Large Cap Core Plus Fund Class 1 N/L (JLPSX)	Sale	08/13/2019	\$1,001 - \$15,000
38	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: JPMorgan Mid Cap Value Fund Class L N/L (FLMVX)	Sale	11/21/2019	\$1,001 - \$15,000
39	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: Wasatch Small Cap Growth Fund Inst Class N/L (WIAEX)	Purchase	11/21/2019	\$1,001 - \$15,000
40	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: Metropolitan West Total Return Bond Fund Class 1 N/L (MWTIX)	Purchase	07/06/2019	\$1,001 - \$15,000
41	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: AMG Timesquare Small Cap Growth Fund Class 1 N/L (TSQIX)	Sale	11/21/2019	\$1,001 - \$15,000
42	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: Baird Aggregate Bond Fund Instl Class N/L (BAGIX)	Sale	11/21/2019	\$1,001 - \$15,000
43	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Accoun: Europacific Growth Fund Class F2-American Fund N/L (AEPFX)	Sale	11/21/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
44	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: Wells Fargo Special Mid Cap Value FD Class 1 N?L (WFMIX)	Purchase	11/21/2019	\$1,001 - \$15,000
45	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: Pimco Low Duration Fund Class 12 N/L (PLDPX)	Purchase	11/21/2019	\$1,001 - \$15,000
46	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: Wasatch Small Cap Growth Fund Inst Class N/L (WIAEX)	Purchase	11/21/2019	\$1,001 - \$15,000
47	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: Baird Aggregate Bond Fund Instl Class N/L (BAGIX)	Sale	11/21/2019	\$1,001 - \$15,000
48	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: Baird Aggregate Bond Fund Instl Class N/L (BAGIX)	Purchase	11/21/2019	\$1,001 - \$15,000
49	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund account: JPMorgan Mid Cap Value Fund Class L N/L (FLMVX)	Sale	11/21/2019	\$1,001 - \$15,000
50	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund account: AMG Timesquare Small Cap Growth Fund Class 1 N/L (TSQIX)	Sale	11/21/2019	\$1,001 - \$15,000
51	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: PIMCO Low Duration Fund Class 12 N/L (PLDPX)	Purchase	11/21/2019	\$1,001 - \$15,000
52	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: SEI U.S. Managed Volatility Fund Class Y N/L (SUSYX)	Sale	11/21/2019	\$1,001 - \$15,000
53	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Account: SEI U.S. Managed Volatility Fund Class Y N/L (SUSYX)	Sale	11/21/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
54	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: Wells Fargo Special Mid Cap Value FD Class 1 N/L (WFMIX)	Purchase	11/21/2019	\$1,001 - \$15,000	
55	Raymond James-John Gibbons IRA Freedom Bal w/Growth Mutual Fund Account: Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	Sale	11/21/2019	\$1,001 - \$15,000	
56	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: Pimco Low Duration Fund Class 12 N/L (PLDPX)	Purchase	11/22/2019	\$1,001 - \$15,000	
57	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: Wells Fargo Special Mid Cap Value FD Class 1 N/L (WFMIX)	Purchase	11/22/2019	\$1,001 - \$15,000	
58	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: Wasatch Small Cap Growth Fund Inst Class N/L (WIAEX)	Purchase	11/21/2019	\$1,001 - \$15,000	
59	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: Baird Aggregate Bond Fund Instl Class N/L (BAGIX)	Sale	11/21/2019	\$1,001 - \$15,000	
60	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: Columbia Dividend Income Fund Inst CL N/L (GSFTX)	Purchase	11/21/2019	\$1,001 - \$15,000	
61	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: JPMorgan Mid Cap Value Fund Class L N/L (FLMVX)	Sale	11/21/2019	\$1,001 - \$15,000	
62	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund account: JPMorgan Mid Cap Value Fund Class L N/L (FLMVX)	Sale	11/21/2019	\$1,001 - \$15,000	
63	Northwestern Mutual IRA-Fixed Annuity	See Endnote	Exchange	04/03/2019	\$100,001 - \$250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
64	American National Insurance Company IRA Fixed- Palladium Multi-Year Guarantee Annuity	See Endnote	Exchange	04/04/2019	\$100,001 - \$250,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Roundpoint Mortgage Servicing Corporation	Mortgage on Personal Residence	\$250,001 - \$500,000	2018	4.875	30 Years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
7.	1	RJ Gibbons Joint Freedom Bal/w Growth Mutual Fund Account- \$4,000 transferred from Berkshire Bank Savings Account
7.	2	\$4000.00 Transfer from Berkshire Bank account to Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account
7.	9	Northwestern Mutual Fixed Annuity IRA entire amount surrendered and rolled over into American National IRA fixed annuity account
7.	12	Northwestern Mutual Fixed Annuity surrendered on March 29, 2019 and the entire amount rolled over into American National fixed annuity policy

PART	#	ENDNOTE
7.	63	Northwestern IRA Fixed Annuity rollover into American National Insurance Company IRA Fixed Annuity Account
7.	64	Northwestern IRA Fixed Annuity Account rollover into the American National Insurance Company IRA Fixed Annuity Account



# 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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

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

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