

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

## Filer's Information

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Sloan, Victor S

Associate Director, OHS, Peace Corps

Date of Appointment: 02/16/2021

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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/ Sloan, Victor S [electronically signed on 03/12/2021 by Sloan, Victor S 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/ Gossart, Elizabeth, Certifying Official [electronically signed on 11/07/2023 by Gossart, Elizabeth in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(11/07/2023, Gossart, Elizabeth): Employee is at The Department of Homeland Security.

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Oncopath Genomics, LLC	New Brunswick, New Jersey	Corporation	Board Member	5/2020	2/2021
2	Sheng Consulting LLC	Flemington, New Jersey	Corporation	Founder and CEO	11/2019	Present
3	UCB Biosciences	Raleigh, North Carolina	Corporation	Vice President	12/2011	11/2019

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Sheng Consulting LLC (Clinical research consulting)	N/A		Salary	\$300,033
2	Oncopath Genomics, LLC (oncology diagnostics) (stock)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	UCB Biosciences Restoration Plan (Profit sharing)	N/A	\$100,001 - \$250,000		
4	UCB Biosciences, stock appreciation rights	N/A	None (or less than \$1,001)		None (or less than \$201)
5	UCB Biosciences, stock appreciation rights	N/A		Cash Payout	\$343,529
6	UCB Biosciences, deferred compensation: received	N/A		Cash Payment	\$435,549
7	UCB Biosciences	N/A		Salary/Bonus	\$599,815
8	UCB Biosciences	N/A		Severance	\$375,123

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	UCB Biosciences, ESPP account	N/A			
10	Sheng Consulting LLC 401k	No			
10.1	Vanguard FTSE Developed (VEA)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
10.2	Vanguard FTSE Emerging (VWO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.3	Vanguard Total Stock (VTI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.4	Charles Schwab Bank	No	\$1,001 - \$15,000		None (or less than \$201)
11	UCB Biosciences 401K	See Endnote	No		
11.1	Charles Schwab Bank	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	Ishares Broad (USHY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.3	Ishares JP Morgan (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.4	Schwab US TIPS (SCHP)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.5	Vaneck Vectors (EMLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.6	Vanguard FTSE Developed (VEA)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
11.7	Vanguard FTSE Emerging (VWO)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
11.8	Vanguard Mid Cap (VO)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
11.9	Vanguard Mid Cap Value (VOE)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
11.10	Vanguard Short TERM Bond (BSV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.11	Vanguard Small Cap Value VBR)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.12	Vanguard Total Bond (BND)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
11.13	Vanguard Total Stock (VTI)	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
11.14	Vanguard Value ETF (VTV)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
11.15	Greenbacker Renewable Energy Company LLC	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
11.16	Vanguard Small Cap Index Fund (VB)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
12	Novartis Pharmaceuticals, defined benefit plan	N/A	\$100,001 - \$250,000		None (or less than \$201)
13	IRA #1 UBS	No			
13.1	IShares (IJR)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
13.2	Ishares (EFA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
13.3	Ishares (SCZ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.4	IShares (IEFA)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
13.5	Ishares (IEMG)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
13.6	Vanguard Value (VTF)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
13.7	Vanguard Mid Cap (VO)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
13.8	Vanguard Growth (VUG)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.9	Vanguard Total World (VT)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
13.10	Vanguard Russell (VTWO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.11	Ishares IBOXX (LQD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.12	IShares T bond (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.13	Ishares ETF (USIG)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
13.14	Ishares JPMorgan (EMB)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
13.15	Ishares Broad (USHY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.16	Schwab TIPS (SCHP)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.17	Vaneck Vectors (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	IRA#2	No			
14.1	Accenture PLC Ireland CI A (ACN)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
14.2	Adobe (ADBE)	No	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
14.3	Alphabet (GOOGL)	No	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
14.4	Amazon (AMZN)	No	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
14.5	American Tower Corp (AMT)	No	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
14.6	Ameriprise (AMP)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
14.7	Apple (AAPL)	No	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
14.8	Comcast (CMCSA)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.9	Costco (COST)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
14.10	Danaher (DHR)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
14.11	Dollar Gen (DG)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.12	Facebook (FB)	No	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
14.13	Fidelity (FIS)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
14.14	Home Depot (HD)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
14.15	Honeywell (HON)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
14.16	Intercontinental Exchange (ICE)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
14.17	Lauder (EL)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
14.18	Lowes (LOW)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
14.19	Medtronic (MDT)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
14.20	Microsoft (MSFT)	No	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
14.21	Mondelez (MDLZ)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.22	O Reilly (ORLY)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
14.23	Parker Hannifin (PH)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
14.24	Rockwell (ROK)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
14.25	Salesforce	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.26	Sherwin Williams (SHW)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
14.27	Thermo Fisher (TMO)	No	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
14.28	TJX COS (TJX)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
14.29	United Health (UNH)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$2,501 - \$5,000
14.30	Visa (V)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Sheng Consulting LLC	Flemington, New Jersey	I will continue to participate in this defined contribution plan, and the plan sponsor will continue to make contributions.	1/2020
2	UCB Biosciences	Raleigh, North Carolina	I will not participate in this defined contribution plan after my separation.	12/2011
3	UCB Biosciences	Raleigh, North Carolina	no SARs remain. All vested SARs were exercised.	12/2011
4	UCB Biosciences	Raleigh, North Carolina	the account was closed when I left UCB. The shares were moved to our Charles Schwab account	12/2011
5	Novartis Pharmaceuticals	East Hanover, New Jersey	I will continue to participate in this defined benefit plan.	4/1998

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



#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Sheng Consulting LLC	Flemington, New Jersey	Founder and CEO. Provide clinical research consulting services to the pharmaceutical industry
2	UCB Biosciences	Raleigh, North Carolina	Senior clinician in immunology business unit. Provide oversight and guidance on clinical development programs.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Merck Stock	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2	IRA #1 UBS	No			
2.1	Ishares (IJR)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.2	Ishares (EFA)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.3	Ishares (SCZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.4	Ishares (IEFA)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.5	Ishares (IEMG)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.6	Vanguard (VTV)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.7	Vanguard (VO)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
2.8	Vanguard (VUG)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	Vanguard (VT)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.10	Vanguard (VTWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.11	Ishares (LQD)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.12	Ishares (TLT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.13	Ishares (USIG)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.14	Ishares (EMB)(	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.15	Ishares (USHY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.16	Schwab TIPS (SCHP)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.17	Vaneck Vectors (EMLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	IRA#2 UBS	No			
3.1	Accenture (ACN)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.2	Adobe (ADBE)	No	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
3.3	Alphabet (GOOGL)	No	\$1,001 - \$15,000	Capital Gains	\$5,001 - \$15,000
3.4	Amazon (AMZN)	No	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
3.5	American Tower (AMT)	No	\$1,001 - \$15,000		None (or less than \$201)
3.6	Ameriprise (AMP)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.7	Apple (AAPL)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.8	Comcast (CMCSA)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.9	Costco (COST)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
3.10	Danaher (DHR)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.11	Dollar Gen (DG)	No	\$1,001 - \$15,000		\$201 - \$1,000
3.12	Facebook (FB)	No	\$1,001 - \$15,000	Capital Gains	\$5,001 - \$15,000
3.13	Fidelity (FIS)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
3.14	Home Depot (HD)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
3.15	Honeywell (HON)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
3.16	Intercontinental exchange (ICE)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.17	Lauder (EL)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
3.18	Lowes (LOW)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.19	Medtronic (MDT)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.20	Microsoft	No	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
3.21	Mondelez (MDLZ)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
3.22	O Reilly (ORLY)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.23	Parker Hannifin (PH)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
3.24	Rockwell (ROK)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
3.25	Salesforce (CRM)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.26	Sherwin Williams (SHW)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
3.27	Thermo Fisher (TMO)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.28	TJX COS (TJX)	No	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
3.29	United Health (UNH)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$2,501 - \$5,000
3.30	Visa (V)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
4	IRA #3 Merck	No	\$100,001 - \$250,000		\$1,001 - \$2,500
5	Manpower 401K	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.1	JPM SRPB DRE 2020 CF	Yes	\$1,001 - \$15,000		
6	Vanguard rollover IRA	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
6.1	Vanguard Target Retirement 2020 Fund Investor Class Shares (VTWNX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
6.2	Wellington Fund Admiral VWENX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	529 #1 NJ Best older daughter	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1	Franklin US Government Money 529 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	529 #2 American Funds (Virginia) older daughter	Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
2.1	Capital World Growth & Income Fund Class 529-A Shares (CWIAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.2	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.3	Investment Company of America Class 529-A Shares (CICAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.4	New Perspective Fund Class 529-A Shares (CNPAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.5	New World Fund, Inc Class 529-A Shares (CNWAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	American SMALLCAP World Fund, Inc Class 529-A Shares (CSPAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	529 #3 American Funds (Virginia) younger daughter	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.1	Capital World Growth & Income Fund Class 529-A Shares (CWIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.3	Investment Company of America Class 529-A Shares (CICAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.4	New Perspective Fund Class 529-A Shares (CNPAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5	New World Fund, Inc Class 529-A Shares (CNWAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	American SMALLCAP World Fund, Inc Class 529-A Shares (CSPAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	529 #4 NJBest Younger Daughter	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.1	Franklin Growth Allocation Age 17-18	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5	UCB stock	See Endnote	\$100,001 - \$250,000	Capital Gains Dividends	\$15,001 - \$50,000
6	Alliant Strategic Opportunity Zone Fund (Schwab 1077727)	No	\$100,001 - \$250,000		None (or less than \$201)
7	Nickel Productions LLC	No	\$50,001 - \$100,000		None (or less than \$201)
8	Alumni Ventures Group Select Fund Q2 2019	No	\$15,001 - \$50,000		None (or less than \$201)
9	Alumni Ventures Group Womens Fund Q2 2019	No	\$1,001 - \$15,000		None (or less than \$201)
10	LASF Rigetti LLC (Alumni Ventures Group Syndication)	No	\$15,001 - \$50,000		None (or less than \$201)
11	Alumni Ventures Group LASF What3Words Syndication	No	\$15,001 - \$50,000		None (or less than \$201)
12	AVG 2020 Equity Shareholder Raise 2	No	\$15,001 - \$50,000		None (or less than \$201)
13	PNC money market	No	\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500
14	PNC joint investment account	Yes	\$100,001 - \$250,000		\$201 - \$1,000
15	joint checking account PNC	No	\$15,001 - \$50,000		None (or less than \$201)
16	older daughter savings acct	No	\$50,001 - \$100,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Younger daughter savings acct	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
18	Atara Biotherapeutics, Inc. (ATRA)	No	\$1,001 - \$15,000		None (or less than \$201)
19	BRK.B	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
20	BAC	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
21	Carnival Corp. (CCL)	No	\$1,001 - \$15,000		None (or less than \$201)
22	CYDY	No	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
23	Ford Motor Co. (F)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
24	General Electric Co. (GE)	No	\$1,001 - \$15,000		None (or less than \$201)
25	MGTA	No	\$1,001 - \$15,000		None (or less than \$201)
26	Credit union account	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
27	Qualified Long Term Care Insurance Lincoln Financial	See Endnote	\$50,001 - \$100,000		None (or less than \$201)
28	T Rowe Price New America Growth Fund, Inc (PRWAX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
29	Bequest from my mother to older daughter	N/A	\$15,001 - \$50,000		None (or less than \$201)
30	Bequest from my mother to younger daughter	N/A	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

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

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## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

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

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## Endnotes

PART	#	ENDNOTE
2.	11	Note - this account contains a TIAA account created when I was a faculty member at Robert Wood Johnson Medical School (1997-98). The value was approximately \$10,000 when it was rolled over into the UCB Biosciences 401k and is included in the underlying investments declared as part of this 401K
6.	5	Note - this stock is a combination of stock purchased through employee stock purchase plan and stock awards for performance.
6.	27	This is Universal Life Insurance provided by Lincoln Financial for the purposes of long term care.



# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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

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

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