

# Executive Branch Personnel

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

### Filer's Information

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Goffman, Joseph

Assistant Administrator, Office of Air and Radiation, Environmental Protection Agency

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Other Federal Government Positions Held During the Preceding 12 Months:

Principal Deputy Assistant Administrator, Office of Air and Radiation, EPA (1/2021 - Present)

Acting Assistant Administrator, Office of Air and Radiation, EPA (1/2021 - Present)

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Names of Congressional Committees Considering Nomination:

- Committee on Environment and Public Works
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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/ Goffman, Joseph [electronically signed on 09/23/2021 by Goffman, Joseph 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/ Fugh, Justina, Certifying Official [electronically signed on 03/09/2022 by Fugh, Justina in Integrity.gov]

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Other review conducted by

/s/ Fugh, Justina, Ethics Official [electronically signed on 03/09/2022 by Fugh, Justina in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/14/2022 by Apol, David in Integrity.gov]

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

| # | ORGANIZATION NAME                            | CITY, STATE                      | ORGANIZATION TYPE  | POSITION HELD                           | FROM           | TO     |         |
|---|--|----------------------------------|--------------------|---|----------------|--------|---------|
| 1 | Harvard University                           | Cambridge, Massachusetts         | University/College | Environmental & Energy program director | 11/2017        | 1/2021 |         |
| 2 | Earthshot                                    | Pasadena, California             | Non-Profit         | Board Member                            | 3/2019         | 1/2021 |         |
| 3 | PT Fund, Inc. (Presidential Transition Team) | Washington, District of Columbia | Transition Team    | Volunteer                               | 8/2020         | 1/2021 |         |
| 4 | Carbonel Foundation                          | See Endnote                      | New York, New York | Non-Profit                              | Vice-President | 1/1992 | 12/2019 |

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

| #   | DESCRIPTION                         | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|-----|-------------------------------------|-----|---------------------|-------------|---------------------------|
| 1   | Harvard University                  | N/A |                     | Salary      | \$173,293                 |
| 2   | IRA - Filer                         | No  |                     |             |                           |
| 2.1 | Amazon.com, Inc. (AMZN)             | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.2 | Apple, Inc. (AAPL)                  | N/A | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.3 | Charter Communications, Inc. (CHTR) | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.4 | Costco Wholesale Corp. (COST)       | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF         | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|---|-------------|---------------------|-------------|---------------------------|
| 2.5  | Deere & Co. (DE)                                      | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.6  | First Republic Bank (San Francisco, California) (FRC) | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.7  | Alphabet, Inc. (GOOG)                                 | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.8  | JPMorgan Chase & Co. (JPM)                            | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.9  | Markel Corp. (MKL)                                    | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.10 | Mastercard, Inc. (MA)                                 | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.11 | Merck & Co., Inc. (MRK)                               | See Endnote | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.12 | Mettler-Toledo International, Inc. (MTD)              | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.13 | Microsoft Corp. (MSFT)                                | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.14 | Monster Beverage Corp. (MNST)                         | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.15 | Nestle S A (NSRGY)                                    | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.16 | PayPal Holdings, Inc. (PYPL)                          | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.17 | Spotify Technology (SPOT)                             | See Endnote | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.18 | Starbucks Corp. (SBUX)                                | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF | VALUE                | INCOME TYPE      | INCOME AMOUNT             |
|------|---|-----|----------------------|------------------|---------------------------|
| 2.19 | TJX Companies INC (TJX)   | N/A | \$1,001 - \$15,000   |                  | None (or less than \$201) |
| 2.20 | Comcast Corp - Bonds  | N/A | \$15,001 - \$50,000  |                  | None (or less than \$201) |
| 2.21 | The Sherwin-Williams Co. (SHW)                                      | N/A | \$1,001 - \$15,000   |                  | None (or less than \$201) |
| 2.22 | S&P Global, Inc. (SPGI)   | N/A | \$1,001 - \$15,000   |                  | None (or less than \$201) |
| 2.23 | Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)                 | Yes | \$15,001 - \$50,000  |                  | None (or less than \$201) |
| 2.24 | Schwab US Mid-Cap ETF (SCHM)  | Yes | \$1,001 - \$15,000   |                  | None (or less than \$201) |
| 3    | Case Western Reserve University School of Law, Summer 2020          | N/A |                      | Author's stipend | \$500                     |
| 4    | Harvard University Defined Contribution Retirement Plan             | No  |                      |                  |                           |
| 4.1  | Vanguard Institutional Target Retirement 2020 Institutional (VITWX) | Yes | \$50,001 - \$100,000 |                  | None (or less than \$201) |
| 5    | Harvard University Tax Deferred Annuity Plan                        | No  |                      |                  |                           |
| 5.1  | Vanguard Institutional Target Retirement 2020 Institutional (VITWX) | Yes | \$15,001 - \$50,000  |                  | None (or less than \$201) |

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

| # | EMPLOYER OR PARTY  | CITY, STATE              | STATUS AND TERMS  | DATE    |
|---|--------------------|--------------------------|---|---------|
| 1 | Harvard University | Cambridge, Massachusetts | I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions. | 11/2017 |

| # | EMPLOYER OR PARTY  | CITY, STATE              | STATUS AND TERMS  | DATE    |
|---|--------------------|--------------------------|---|---------|
| 2 | Harvard University | Cambridge, Massachusetts | I will continue to participate in this tax deferred annuity plan, but the plan sponsor no longer makes contributions. | 11/2017 |

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

| # | SOURCE NAME        | CITY, STATE              | BRIEF DESCRIPTION OF DUTIES     |
|---|--------------------|--------------------------|---------------------------------|
| 1 | Harvard University | Cambridge, Massachusetts | Environmental & Energy Director |

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

None

#### 6. Other Assets and Income

| # | DESCRIPTION             | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|---|-------------------------|-----|-----------------------------|-------------|---------------------------|
| 1 | U.S. bank #1 (cash)     | N/A | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 2 | State Street Co - Bonds | N/A | None (or less than \$1,001) | Interest    | \$1,001 - \$2,500         |
| 3 | Apple Inc - Bonds       | N/A | None (or less than \$1,001) | Interest    | \$1,001 - \$2,500         |
| 4 | Morgan Stanley - Bonds  | N/A | \$15,001 - \$50,000         | Interest    | \$1,001 - \$2,500         |
| 5 | Amgen Inc. - Bonds      | N/A | \$1,001 - \$15,000          | Interest    | \$201 - \$1,000           |

| #  | DESCRIPTION   | EIF         | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|----|---|-------------|-----------------------------|----------------------------|---------------------------|
| 6  | Arthur J. Gallagher & Co. (AJG)                       | N/A         | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 7  | Becton, Dickinson and Company (BDX)                   | N/A         | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 8  | Centene Corp. (CNC)                                   | N/A         | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 9  | Amazon.com, Inc. (AMZN)                               | N/A         | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 10 | Apple, Inc. (AAPL)                                    | N/A         | \$15,001 - \$50,000         | Capital Gains<br>Dividends | \$5,001 - \$15,000        |
| 11 | Accenture Plc (ACN)                                   | N/A         | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 12 | Charter Communications, Inc. (CHTR)                   | N/A         | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 13 | Costco Wholesale Corp. (COST)                         | N/A         | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 14 | Deere & Co. (DE)                                      | N/A         | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 15 | Fidelity National Information Services, Inc. (FIS)    | See Endnote | \$1,001 - \$15,000          | Capital Gains<br>Dividends | \$2,501 - \$5,000         |
| 16 | First Republic Bank (San Francisco, California) (FRC) | N/A         | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 17 | Alphabet, Inc. (GOOG)                                 | N/A         | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 18 | JPMorgan Chase & Co. (JPM)                            | N/A         | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 19 | Markel Corp. (MKL)                                    | N/A         | \$1,001 - \$15,000          |                            | None (or less than \$201) |

| #  | DESCRIPTION                              | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|----|--|-----|-----------------------------|----------------------------|---------------------------|
| 20 | Martin Marietta Materials, Inc. (MLM)    | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 21 | Merck & Co., Inc. (MRK) See Endnote      | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 22 | Mettler-Toledo International, Inc. (MTD) | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 23 | Microsoft Corp. (MSFT)                   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 24 | Monster Beverage Corp. (MNST)            | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 25 | Nestle S A (NSRGY)                       | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 26 | NIKE, Inc. (NKE)                         | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 27 | PayPal Holdings, Inc. (PYPL)             | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 28 | Roche Holdings (RHHBY)                   | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 29 | Spotify Technology (SPOT) See Endnote    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 30 | Starbucks Corp. (SBUX)                   | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 31 | TJX Companies Inc (TJX)                  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 32 | UnitedHealth Group, Inc. (UNH)           | N/A | \$15,001 - \$50,000         | Capital Gains<br>Dividends | \$5,001 - \$15,000        |
| 33 | Visa, Inc. (V)                           | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 34 | Amgen Inc. (AMGN)                        | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |



| #  | DESCRIPTION  | EIF         | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|----|--|-------------|-----------------------------|----------------------------|---------------------------|
| 35 | Dunkin' Brands Group, Inc. (DNKN)                  | N/A         | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 36 | Illinois Tool Works, Inc. (ITW)                    | N/A         | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 37 | Unilever PLC                                       | N/A         | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 38 | The Walt Disney Co. (DIS)                          | N/A         | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 39 | Accenture Plc (ACN)                                | N/A         | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 40 | Amazon.com, Inc. (AMZN)                            | N/A         | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 41 | Apple, Inc. (AAPL)                                 | N/A         | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$100,001 - \$1,000,000   |
| 42 | Becton, Dickinson and Company (BDX)                | N/A         | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000        |
| 43 | Centene Corp. (CNC)                                | N/A         | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 44 | Charter Communications, Inc. (CHTR)                | N/A         | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 45 | Danaher Corp. (DHR)                                | N/A         | \$100,001 - \$250,000       | Dividends                  | \$201 - \$1,000           |
| 46 | Deere & Co. (DE)                                   | N/A         | \$100,001 - \$250,000       | Dividends                  | \$2,501 - \$5,000         |
| 47 | Facebook, Inc. (FB)                                | N/A         | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 48 | Fidelity National Information Services, Inc. (FIS) | See Endnote | \$100,001 - \$250,000       | Capital Gains<br>Dividends | \$100,001 - \$1,000,000   |

| #  | DESCRIPTION   | EIF         | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|----|---|-------------|-----------------------------|----------------------------|---------------------------|
| 49 | First Republic Bank (San Francisco, California) (FRC) | N/A         | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |
| 50 | Alphabet, Inc. (GOOG)                                 | N/A         | \$500,001 - \$1,000,000     |                            | None (or less than \$201) |
| 51 | Alphabet, Inc. (GOOGL)                                | N/A         | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 52 | JPMorgan Chase & Co. (JPM)                            | N/A         | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000        |
| 53 | Markel Corp. (MKL)                                    | N/A         | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 54 | Martin Marietta Materials, Inc. (MLM)                 | N/A         | None (or less than \$1,001) | Dividends<br>Capital Gains | \$50,001 - \$100,000      |
| 55 | Merck & Co., Inc. (MRK)                               | See Endnote | \$50,001 - \$100,000        | Dividends                  | \$2,501 - \$5,000         |
| 56 | Mettler-Toledo International, Inc. (MTD)              | N/A         | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 57 | Microsoft Corp. (MSFT)                                | N/A         | \$250,001 - \$500,000       | Dividends                  | \$2,501 - \$5,000         |
| 58 | Monster Beverage Corp. (MNST)                         | N/A         | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 59 | NIKE, Inc. (NKE)                                      | N/A         | \$250,001 - \$500,000       | Dividends                  | \$2,501 - \$5,000         |
| 60 | PayPal Holdings, Inc. (PYPL)                          | N/A         | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 61 | Spotify Technology (SPOT)                             | See Endnote | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 62 | The TJX Cos., Inc. (TJX)                              | N/A         | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |

| #  | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT           |
|----|---|-----|-----------------------------|----------------------------|-------------------------|
| 63 | UnitedHealth Group, Inc. (UNH)                              | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$50,001 - \$100,000    |
| 64 | Visa, Inc. (V)  | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500       |
| 65 | Zoetis, Inc. (ZTS)  | N/A | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000     |
| 66 | Harbor International Fund (HAINX)                           | Yes | \$50,001 - \$100,000        |                            | \$201 - \$1,000         |
| 67 | iShares Russell Midcap Value Index Fund (IWS)               | Yes | \$500,001 - \$1,000,000     |                            | \$5,001 - \$15,000      |
| 68 | Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO) | Yes | \$50,001 - \$100,000        |                            | \$2,501 - \$5,000       |
| 69 | Illinois Tool Works, Inc. (ITW)                             | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000      |
| 70 | Verizon Communications, Inc. (VZ)                           | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$50,001 - \$100,000    |
| 71 | The Walt Disney Co. (DIS)                                   | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000      |
| 72 | Dunkin' Brands Group, Inc. (DNKN)                           | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000      |
| 73 | Amgen Inc. (AMGN)   | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$2,501 - \$5,000       |
| 74 | Alibaba Group Holding Sponsored ADR                         | N/A | None (or less than \$1,001) | Capital Gains              | \$100,001 - \$1,000,000 |
| 75 | Unilever PLC  | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$15,001 - \$50,000     |
| 76 | Vontier Corp (VNT)  | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000       |
| 77 | Family trust #1   | No  |                             |                            |                         |

| #     | DESCRIPTION   | EIF         | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|---|-------------|-----------------------------|----------------------------|---------------------------|
| 77.1  | Arthur J. Gallagher & Co. (AJG)                       | N/A         | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.2  | Agilent Technologies, Inc. (A)                        | N/A         | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 77.3  | Amazon.com, Inc. (AMZN)                               | N/A         | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.4  | Apple, Inc. (AAPL)                                    | N/A         | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 77.5  | Becton, Dickinson and Company (BDX)                   | N/A         | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 77.6  | Charter Communications, Inc. (CHTR)                   | N/A         | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.7  | Costco Wholesale Corp. (COST)                         | N/A         | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 77.8  | Danaher Corp. (DHR)                                   | N/A         | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.9  | Deere & Co. (DE)                                      | N/A         | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.10 | Facebook, Inc. (FB)                                   | N/A         | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.11 | Fidelity National Information Services, Inc. (FIS)    | See Endnote | \$15,001 - \$50,000         | Capital Gains<br>Dividends | \$5,001 - \$15,000        |
| 77.12 | First Republic Bank (San Francisco, California) (FRC) | N/A         | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.13 | Alphabet, Inc. (GOOG)                                 | N/A         | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 77.14 | Alphabet, Inc. (GOOGL)                                | N/A         | \$15,001 - \$50,000         |                            | None (or less than \$201) |

| #     | DESCRIPTION                              |             | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|--|-------------|-----|-----------------------------|----------------------------|---------------------------|
| 77.15 | JPMorgan Chase & Co. (JPM)               |             | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 77.16 | Markel Corp. (MKL)                       |             | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 77.17 | Martin Marietta Materials, Inc. (MLM)    |             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 77.18 | Merck & Co., Inc. (MRK)                  | See Endnote | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 77.19 | Mettler-Toledo International, Inc. (MTD) |             | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.20 | Microsoft Corp. (MSFT)                   |             | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.21 | Monster Beverage Corp. (MNST)            |             | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.22 | Nestle S A (NSRGY)                       |             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 77.23 | NIKE, Inc. (NKE)                         |             | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.24 | PayPal Holdings, Inc. (PYPL)             |             | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.25 | Roche Holdings (RHHBY)                   |             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 77.26 | Spotify Technology (SPOT)                | See Endnote | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 77.27 | Starbucks Corp. (SBUX)                   |             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 77.28 | The TJX Cos., Inc. (TJX)                 |             | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.29 | Visa, Inc. (V)                           |             | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |

| #     | DESCRIPTION                         | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|-------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 77.30 | Zoetis, Inc. (ZTS)                  | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.31 | Illinois Tool Works, Inc. (ITW)     | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$1,001 - \$2,500         |
| 77.32 | Centene Corp. (CNC)                 | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000        |
| 77.33 | The Walt Disney Co. (DIS)           | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$1,001 - \$2,500         |
| 77.34 | Dunkin' Brands Group, Inc. (DNKN)   | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 77.35 | CarMax, Inc. (KMX)                  | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 77.36 | Alibaba Group Holding Sponsored ADR | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000        |
| 77.37 | Unilever PLC                        | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$1,001 - \$2,500         |
| 77.38 | Vontier Corp                        | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 77.39 | Starbucks Corp - Bonds              | N/A | None (or less than \$1,001) | Interest                   | \$201 - \$1,000           |
| 77.40 | Anthem, Inc. - Bonds                | N/A | None (or less than \$1,001) | Interest                   | \$1,001 - \$2,500         |
| 77.41 | The Sherwin-Williams Co. (SHW)      | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 77.42 | S&P Global Inc (SPGI)               | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 77.43 | Schwab US Mid-Cap ETF (SCHM)        | Yes | \$15,001 - \$50,000         |                            | None (or less than \$201) |

| #     | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|--|-----|-----------------------------|----------------------------|---------------------------|
| 77.44 | SPDR Portfolio Developed World ex-US ETF (SPDW)              | Yes | \$15,001 - \$50,000         |                            | \$201 - \$1,000           |
| 77.45 | Berkshire Hathaway Inc. (BRKB)                               | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000         |
| 78    | Family trust #2  | No  |                             |                            |                           |
| 78.1  | Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)  | Yes | \$50,001 - \$100,000        |                            | \$1,001 - \$2,500         |
| 78.2  | Harbor International Fund Institutional Class Shares (HAINX) | Yes | \$15,001 - \$50,000         |                            | \$201 - \$1,000           |
| 78.3  | Accenture Plc (ACN)  | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |
| 78.4  | Arthur J. Gallagher & Co. (AJG)                              | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500         |
| 78.5  | Amazon.com, Inc. (AMZN)                                      | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 78.6  | Apple, Inc. (AAPL)   | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$50,001 - \$100,000      |
| 78.7  | Becton, Dickinson and Company (BDX)                          | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 78.8  | Centene Corp. (CNC)  | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 78.9  | Charter Communications, Inc. (CHTR)                          | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 78.10 | Costco Wholesale Corp. (COST)                                | N/A | \$100,001 - \$250,000       | Dividends                  | \$2,501 - \$5,000         |
| 78.11 | Danaher Corp. (DHR)  | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |
| 78.12 | Deere & Co. (DE)   | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |

| #     | DESCRIPTION   |             | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|---|-------------|-----|-----------------------------|----------------------------|---------------------------|
| 78.13 | Dollar Tree, Inc. (DLTR)                              |             | N/A | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 78.14 | Facebook, Inc. (FB)                                   |             | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 78.15 | Fidelity National Information Services, Inc. (FIS)    | See Endnote | N/A | \$50,001 - \$100,000        | Capital Gains<br>Dividends | \$15,001 - \$50,000       |
| 78.16 | First Republic Bank (San Francisco, California) (FRC) |             | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |
| 78.17 | Alphabet, Inc. (GOOG)                                 |             | N/A | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 78.18 | Alphabet, Inc. (GOOGL)                                |             | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 78.19 | JPMorgan Chase & Co. (JPM)                            |             | N/A | \$50,001 - \$100,000        | Dividends                  | \$2,501 - \$5,000         |
| 78.20 | Laboratory Corp. of America Holdings (LH)             |             | N/A | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 78.21 | Markel Corp. (MKL)                                    |             | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 78.22 | Martin Marietta Materials, Inc. (MLM)                 |             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 78.23 | Merck & Co., Inc. (MRK)                               | See Endnote | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 78.24 | Mettler-Toledo International, Inc. (MTD)              |             | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 78.25 | Microsoft Corp. (MSFT)                                |             | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |
| 78.26 | Monster Beverage Corp. (MNST)                         |             | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |



| #     | DESCRIPTION                                     |             | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|---|-------------|-----|-----------------------------|----------------------------|---------------------------|
| 78.27 | NIKE, Inc. (NKE)                                |             | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |
| 78.28 | PayPal Holdings, Inc. (PYPL)                    |             | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 78.29 | Spotify Technology (SPOT)                       | See Endnote | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 78.30 | The TJX Cos., Inc. (TJX)                        |             | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |
| 78.31 | UnitedHealth Group, Inc. (UNH)                  |             | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 78.32 | Visa, Inc. (V)                                  |             | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |
| 78.33 | Zoetis, Inc. (ZTS)                              |             | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |
| 78.34 | Illinois Tool Works, Inc. (ITW)                 |             | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$2,501 - \$5,000         |
| 78.35 | The Walt Disney Co. (DIS)                       |             | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$2,501 - \$5,000         |
| 78.36 | Dunkin' Brands Group, Inc. (DNKN)               |             | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500         |
| 78.37 | Alibaba Group Holding Sponsored ADR             |             | N/A | None (or less than \$1,001) | Capital Gains              | \$15,001 - \$50,000       |
| 78.38 | Unilever PLC                                    |             | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000        |
| 78.39 | SPDR Portfolio Developed World ex-US ETF (SPDW) |             | Yes | \$100,001 - \$250,000       |                            | \$1,001 - \$2,500         |
| 78.40 | The Sherwin-Williams Co. (SHW)                  |             | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |

| #     | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|----------------------------|---------------------------|
| 78.41 | S&P Global Inc (SPGI)   | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |
| 78.42 | Berkshire Hathaway Inc. (BRKB)                                  | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000        |
| 78.43 | Amgen Inc. (AMGN)   | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 79    | Amgen Inc. - Bonds  | N/A | \$100,001 - \$250,000       | Interest                   | \$2,501 - \$5,000         |
| 80    | Morgan Stanley - Bonds  | N/A | \$100,001 - \$250,000       | Interest                   | \$5,001 - \$15,000        |
| 81    | Amgen Inc. - Bonds  | N/A | \$100,001 - \$250,000       | Interest                   | \$1,001 - \$2,500         |
| 82    | Family trust #3   | No  |                             |                            |                           |
| 82.1  | BNY Mellon (BK)   | N/A | \$250,001 - \$500,000       |                            | None (or less than \$201) |
| 82.2  | BNY Mellon Municipal Opportunities Fund (MOTMX)                 | Yes | \$250,001 - \$500,000       |                            | \$15,001 - \$50,000       |
| 82.3  | BNY Mellon National Intermediate Municipal Bond Fund (MPNIX)    | Yes | \$250,001 - \$500,000       |                            | \$5,001 - \$15,000        |
| 82.4  | BNY Mellon High Yield Municipal Bond Fund (DHYYX)               | Yes | \$100,001 - \$250,000       |                            | \$15,001 - \$50,000       |
| 82.5  | BNY Mellon Select Managers Small Cap Value Fund Class Y (DMVYX) | Yes | \$250,001 - \$500,000       |                            | \$1,001 - \$2,500         |
| 82.6  | BNY Mellon International Equity Fund (NIEYX)                    | Yes | \$250,001 - \$500,000       |                            | \$5,001 - \$15,000        |
| 82.7  | BNY Mellon Global Stock Fund (DGLYX)                            | Yes | \$250,001 - \$500,000       |                            | \$2,501 - \$5,000         |
| 82.8  | BNY Mellon Global Real Estate Securities Fund (DRLYX)           | Yes | \$250,001 - \$500,000       |                            | \$2,501 - \$5,000         |

| #     | DESCRIPTION                                      | EIF | VALUE                   | INCOME TYPE                | INCOME AMOUNT             |
|-------|--|-----|-------------------------|----------------------------|---------------------------|
| 82.9  | BNY Mellon Small Cap Multi-Strategy Fund (MPSSX) | Yes | \$100,001 - \$250,000   |                            | None (or less than \$201) |
| 82.10 | CEF Select Sector SPDR Fund Materials (XLB)      | Yes | \$250,001 - \$500,000   |                            | \$5,001 - \$15,000        |
| 82.11 | DFA Emerging Markets Core Equity (DFCEX)         | Yes | \$100,001 - \$250,000   |                            | \$5,001 - \$15,000        |
| 82.12 | Glaxo Smithkline PLC Spons ADR (GSK)             | Yes | \$15,001 - \$50,000     |                            | \$1,001 - \$2,500         |
| 82.13 | Industrial Select SPDR (XLI)                     | Yes | \$500,001 - \$1,000,000 |                            | \$100,001 - \$1,000,000   |
| 82.14 | Abbott Laboratories (ABT)                        | N/A | \$50,001 - \$100,000    | Dividends                  | \$1,001 - \$2,500         |
| 82.15 | AbbVie, Inc. (ABBV)                              | N/A | \$50,001 - \$100,000    | Dividends                  | \$2,501 - \$5,000         |
| 82.16 | Altria Group, Inc. (MO)                          | N/A | \$100,001 - \$250,000   | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 82.17 | Amazon.com, Inc. (AMZN)                          | N/A | \$250,001 - \$500,000   | Capital Gains              | \$50,001 - \$100,000      |
| 82.18 | American Express Co. (AXP)                       | N/A | \$250,001 - \$500,000   | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 82.19 | Ameriprise Financial, Inc. (AMP)                 | N/A | \$100,001 - \$250,000   | Dividends<br>Capital Gains | \$50,001 - \$100,000      |
| 82.20 | Apple, Inc. (AAPL)                               | N/A | \$500,001 - \$1,000,000 | Dividends<br>Capital Gains | \$100,001 - \$1,000,000   |
| 82.21 | AT&T (T)   | N/A | \$15,001 - \$50,000     | Dividends                  | \$1,001 - \$2,500         |
| 82.22 | Cisco Systems, Inc. (CSCO)                       | N/A | \$250,001 - \$500,000   | Dividends                  | \$5,001 - \$15,000        |

| #     | DESCRIPTION                                 | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT        |
|-------|---|-----|-----------------------|----------------------------|----------------------|
| 82.23 | Colgate-Palmolive Co. (CL)                  | N/A | \$100,001 - \$250,000 | Dividends                  | \$2,501 - \$5,000    |
| 82.24 | Comcast Corp. (CMCSA)                       | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 82.25 | Costco Wholesale Corp. (COST)               | N/A | \$250,001 - \$500,000 | Dividends<br>Capital Gains | \$50,001 - \$100,000 |
| 82.26 | Deere & Co. (DE)                            | N/A | \$100,001 - \$250,000 | Dividends                  | \$2,501 - \$5,000    |
| 82.27 | Discover Financial Services (DFS)           | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 82.28 | International Business Machines Corp. (IBM) | N/A | \$50,001 - \$100,000  | Dividends                  | \$5,001 - \$15,000   |
| 82.29 | Johnson & Johnson (JNJ)                     | N/A | \$250,001 - \$500,000 | Dividends                  | \$15,001 - \$50,000  |
| 82.30 | JPMorgan Chase & Co. (JPM)                  | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000   |
| 82.31 | The Kraft Heinz Co. (KHC)                   | N/A | \$15,001 - \$50,000   | Dividends                  | \$2,501 - \$5,000    |
| 82.32 | Medtronic Plc (MDT)                         | N/A | \$50,001 - \$100,000  | Dividends                  | \$2,501 - \$5,000    |
| 82.33 | Merck & Co., Inc. (MRK)                     | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000   |
| 82.34 | Microsoft Corp. (MSFT)                      | N/A | \$250,001 - \$500,000 | Capital Gains<br>Dividends | \$15,001 - \$50,000  |
| 82.35 | Mondelez International, Inc. (MDLZ)         | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 82.36 | Novartis (NVS)                              | N/A | \$50,001 - \$100,000  | Dividends                  | \$1,001 - \$2,500    |

| #     | DESCRIPTION                                  | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT             |
|-------|--|-----|-----------------------|----------------------------|---------------------------|
| 82.37 | Omnicom Group, Inc. (OMC)                    | N/A | \$50,001 - \$100,000  | Dividends                  | \$2,501 - \$5,000         |
| 82.38 | PepsiCo, Inc. (PEP)                          | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$50,001 - \$100,000      |
| 82.39 | Pfizer Inc. (PFE)                            | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000        |
| 82.40 | Philip Morris International, Inc. (PM)       | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000        |
| 82.41 | The PNC Financial Services Group, Inc. (PNC) | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000        |
| 82.42 | Procter & Gamble Co. (PG)                    | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 82.43 | salesforce.com, inc. (CRM)                   | N/A | \$100,001 - \$250,000 |                            | None (or less than \$201) |
| 82.44 | State Street Corp. (STT)                     | N/A | \$50,001 - \$100,000  | Dividends                  | \$2,501 - \$5,000         |
| 82.45 | Truist Financial Corp (TFC)                  | N/A | \$50,001 - \$100,000  | Dividends                  | \$1,001 - \$2,500         |
| 82.46 | U.S. Bancorp (USB)                           | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000        |
| 82.47 | Verizon Communications, Inc. (VZ)            | N/A | \$50,001 - \$100,000  | Dividends                  | \$5,001 - \$15,000        |
| 82.48 | Viatis Inc.                                  | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 82.49 | The Walt Disney Co. (DIS)                    | N/A | \$100,001 - \$250,000 | Capital Gains              | \$15,001 - \$50,000       |
| 82.50 | Wells Fargo & Co. (WFC)                      | N/A | \$50,001 - \$100,000  | Dividends                  | \$201 - \$1,000           |

| #     | DESCRIPTION   | EIF         | VALUE                       | INCOME TYPE           | INCOME AMOUNT             |
|-------|---|-------------|-----------------------------|-----------------------|---------------------------|
| 82.51 | Alcon Inc.  | N/A         | None (or less than \$1,001) | Capital Gains         | \$2,501 - \$5,000         |
| 82.52 | BNY Mellon Large Cap Equity Fund Class Y Shares (DLACX)               | Yes         | Over \$1,000,000            |                       | \$5,001 - \$15,000        |
| 82.53 | TCW Emerging Markets Income Fund (TGEIX)                              | Yes         | \$50,001 - \$100,000        |                       | \$2,501 - \$5,000         |
| 83    | The Sherwin-Williams Co. (SHW)  | N/A         | \$1,001 - \$15,000          |                       | None (or less than \$201) |
| 84    | S&P Global, Inc. (SPGI)   | N/A         | \$1,001 - \$15,000          |                       | None (or less than \$201) |
| 85    | Berkshire Hathaway Inc. (BRKB)  | N/A         | None (or less than \$1,001) | Capital Gains         | \$1,001 - \$2,500         |
| 86    | The Sherwin-Williams Co. (SHW)  | N/A         | \$100,001 - \$250,000       | Dividends             | \$201 - \$1,000           |
| 87    | S&P Global Inc (SPGI)   | N/A         | \$100,001 - \$250,000       | Dividends             | \$201 - \$1,000           |
| 88    | Schwab US Mid-Cap ETF (SCHM)  | Yes         | \$15,001 - \$50,000         |                       | None (or less than \$201) |
| 89    | Vanguard Total International Stock Index Fund Investor Shares (VTIAX) | See Endnote | Yes                         | \$50,001 - \$100,000  | \$15,001 - \$50,000       |
| 90    | Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)                   | See Endnote | Yes                         | \$100,001 - \$250,000 | \$201 - \$1,000           |
| 91    | Berkshire Hathaway Inc. (BRKB)  | N/A         | None (or less than \$1,001) | Capital Gains         | \$15,001 - \$50,000       |

## 7. Transactions

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

## 8. Liabilities

| # | CREDITOR NAME | TYPE                           | AMOUNT                | YEAR INCURRED | RATE | TERM    |
|---|---------------|--------------------------------|-----------------------|---------------|------|---------|
| 1 | PNC Bank      | Mortgage on Personal Residence | \$250,001 - \$500,000 | 2012          | 3.5% | 15-year |

## 9. Gifts and Travel Reimbursements

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

## Endnotes

| PART | #    | ENDNOTE   |
|------|------|---|
| 1.   | 4    | This was a small family charitable foundation that dissolved in 2019. |
| 2.   | 2.11 | Sold subsequent to filing.  |
| 2.   | 2.17 | Sold subsequent to filing.  |
| 6.   | 15   | Sold subsequent to filing.  |
| 6.   | 21   | Sold subsequent to filing.  |
| 6.   | 29   | Sold subsequent to filing.  |
| 6.   | 48   | Sold subsequent to filing.  |
| 6.   | 55   | Sold subsequent to filing.  |
| 6.   | 61   | Sold subsequent to filing.  |

| PART | #     | ENDNOTE                    |
|------|-------|----------------------------|
| 6.   | 77.11 | Sold subsequent to filing. |
| 6.   | 77.18 | Sold subsequent to filing. |
| 6.   | 77.26 | Sold subsequent to filing. |
| 6.   | 78.15 | Sold subsequent to filing. |
| 6.   | 78.23 | Sold subsequent to filing. |
| 6.   | 78.29 | Sold subsequent to filing. |
| 6.   | 89    | Sold subsequent to filing. |
| 6.   | 90    | Sold subsequent to filing. |



# 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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