

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Gutmann, Amy

Ambassador to Germany, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Gutmann, Amy [electronically signed on 04/24/2021 by Gutmann, Amy in Integrity.gov]

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

/s/ Huitema, David, Certifying Official [electronically signed on 07/15/2021 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 07/21/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Pennsylvania	Philadelphia, Pennsylvania	University/College	President	7/2004	Present
2	Consortium on Financing Higher Education	Cambridge, Massachusetts	Non-Profit	Chair, Nominating Committee	10/2020	Present
3	Carnegie Corporation Andrew Carnegie Fellowship Jury	New York, New York	Non-Profit	Jury Member	1/2015	4/2021
4	Berggruen Institute Board of Directors	Los Angeles, California	Non-Profit	Board Member	1/2014	Present
5	The Vanguard Group	Malvern, Pennsylvania	Corporation	Board Member	1/2006	Present
6	Knight Commission on Trust Media and Democracy	Washington, District of Columbia	Non-Profit	Member	9/2017	2/2019
7	US Semiquincentennial Commission Task Force on Science Innovation and Entrepreneurism	Washington, District of Columbia	Non-Profit	Member	1/2020	Present
8	Revocable Trust #1	Philadelphia, Pennsylvania	Trust	Trustee	2/2005	Present
9	Revocable Trust #2	Philadelphia, Pennsylvania	Trust	Trustee	2/2005	Present
10	Irrevocable Trust #3	Philadelphia, Pennsylvania	Trust	Trustee	10/2019	Present
11	University of Pennsylvania	Philadelphia, Pennsylvania	University/College	Professor (with tenure)	7/2004	Present
12	Consortium on Financing Higher Education	Cambridge, Massachusetts	University/College	Member, Board of Directors	2/2018	12/2019

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	National Constitution Center	Philadelphia, Pennsylvania	Non-Profit	Member, Board of Trustees	6/2007	6/2019

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of Pennsylvania	N/A		Salary/Bonus/Other income for 2020 and Salary/Bonus/Other income for 2021	\$2,978,551
2	University of Pennsylvania, anticipated bonus	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	The Vanguard Group	N/A		Director Fees	\$370,000
3.1	The Vanguard Group, anticipated director's fees	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	"Democratic Education," Princeton University Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
5	Penn 403(b) Retirement Plans	See Endnote	No		
5.1	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	See Endnote	No	\$1,000,001 - \$5,000,000	None (or less than \$201)
6	"Why Deliberative Democracy?" Princeton University Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
7	Roth IRA	No			
7.1	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	See Endnote	No	\$50,001 - \$100,000	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
7.3	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
7.4	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	See Endnote	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
7.5	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
8	"Identity in Democracy" Princeton University Press (Value not readily ascertainable)		N/A		Rent or Royalties	None (or less than \$201)
9	"Color Conscious" Princeton University Press (Value not readily ascertainable)		N/A		Rent or Royalties	None (or less than \$201)
10	"Democracy and Disagreement" Harvard University Press (Value not readily ascertainable)		N/A		Rent or Royalties	None (or less than \$201)
11	"Ethics and Politics" Thomson Wadsworth/Cengage (Value not readily ascertainable)		N/A		Rent or Royalties	None (or less than \$201)
12	The Author's Registry	See Endnote	N/A		Rent or Royalties	\$201 - \$1,000
13	Penn 457(b) Plan		No			
13.1	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	See Endnote	No	\$250,001 - \$500,000		\$5,001 - \$15,000
14	University of Pennsylvania, Deferred Compensation Plan #1 - 2004 Special President's Supplemental Retirement Plan, tracks the University of Pennsylvania endowment fund		N/A	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	University of Pennsylvania, Deferred Compensation Plan #2 - 2006 Special President's Supplemental Retirement Plan, tracks the University of Pennsylvania endowment fund	N/A			
15.1	Account 1 - Supplemental Retirement Contributions	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
15.2	Account 2 - Discretionary (Non-Elective Deferrals of Annual Incentive)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
16	University of Pennsylvania, Deferred Compensation Plan #3 - 2016 Special President's Supplemental Retirement Plan, tracks the University of Pennsylvania endowment fund	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	University of Pennsylvania	Philadelphia, Pennsylvania	Pursuant to my employment agreement, I will receive a performance-based bonus. Pursuant to University policy, if I leave prior to the end of the fiscal year on 6/30/21, the University will prorate the bonus.	7/2004
2	University of Pennsylvania	Philadelphia, Pennsylvania	Vested Sabbatical after end of Penn presidency and after unpaid public service leave of absence	7/2004
3	University of Pennsylvania	Philadelphia, Pennsylvania	Unpaid public service leave of absence as a tenured faculty member post presidency	7/2004
4	University of Pennsylvania	Philadelphia, Pennsylvania	I will continue to participate in these plans but the plan sponsor (Penn) will not make further contributions during my leave of absence. 403(b)	7/2004
5	University of Pennsylvania	Philadelphia, Pennsylvania	I will continue to participate in this plan but the plan sponsor (Penn) will not make contributions during my leave of absence. 457(b)	7/2004

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
6	University of Pennsylvania	Philadelphia, Pennsylvania	I will continue to have access to the healthcare and dental facilities at the University as my health insurance permits during my leave of absence.	7/2004
7	University of Pennsylvania	Philadelphia, Pennsylvania	Vested Deferred Compensation Plan #1: Special President's Supplement Retirement Plan. This plan was the original after-tax plan (first contract, making up shortfall from previous retirement benefits). Yield based on university endowment return. Fully vested. Distributed upon separation from service as tenured faculty member.	7/2004
8	University of Pennsylvania	Philadelphia, Pennsylvania	Vested Deferred Compensation Plan #2: 2006 Special President's Supplemental Retirement Plan. This plan has two component accounts: Account 1 consists of Supplemental Retirement Contributions, which was 20% of base salary and later increased to 30% of base salary (less any amounts received in Plan #1); and Account 2 consists of the non-elective deferral of incentive awards (solely on the basis of the Compensation Committee's determination). Contributions to Account 2 ended after June 2011. Yield based on the university endowment returns. Fully vested. Taxes due on the full value of both accounts will be paid in 2021 (before the end of June). Distributed upon separation from service as tenured faculty member.	1/2006
9	University of Pennsylvania	Philadelphia, Pennsylvania	Vested Deferred Compensation Plan #3: 2016 President's Supplemental Retirement Plan, which increased total supplemental retirement contribution to 50% (less any amounts received in Plans #1 and #2, Account 1) as part of 2016 contract extension. Yield based on the university endowment returns. Fully vested. Distribution will occur in 2021 (before the end of June) with all taxes withheld and paid by employer at the time of distribution.	1/2016
10	University of Pennsylvania	Philadelphia, Pennsylvania, Pennsylvania	I will continue to participate in the Medical, Dental, and Vision insurance plans through the University of Pennsylvania during my leave of absence. I will pay the full premiums (both employee share and University share) for each.	7/2004

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
11	University of Pennsylvania	Philadelphia, Pennsylvania	If I continue to participate in the basic life and accidental death and dismemberment insurance through the University of Pennsylvania during my leave of absence, the University will continue to pay the premiums. If the University extends my leave of absence past two years so that I may continue to serve as Ambassador to Germany, I will pay the full premium (both University and employee share).	7/2004
12	University of Pennsylvania	Philadelphia, Pennsylvania	I will continue to have access to the University of Pennsylvania library during my leave of absence.	7/2004
13	University of Pennsylvania	Philadelphia, Pennsylvania	I will continue my term insurance policy during my leave of absence. I will pay the full premium.	11/2011
14	University of Pennsylvania	Philadelphia, Pennsylvania	The University of Pennsylvania currently provides estate, financial, tax, and travel planning assistance. Upon resignation from the Presidency, the University will discontinue estate, financial, tax, and travel planning assistance.	7/2004
15	University of Pennsylvania	Philadelphia, Pennsylvania	The University of Pennsylvania currently provides a tax gross-up payment for term life insurance and executive long-term disability insurance. Upon resignation from the Presidency, the University will discontinue this payment.	7/2004
16	University of Pennsylvania	Philadelphia, Pennsylvania	The University of Pennsylvania currently provides use of the President's House as required residence during my Presidency. Upon resignation from the Presidency, the University will no longer provide use of the President's House (requirement to vacate within 30 days of completion of service as President).	7/2004
17	University of Pennsylvania	Philadelphia, Pennsylvania	The University of Pennsylvania currently provides me a President's office, vehicle, and staff support. During my leave of absence I will not receive these services. A faculty office will be used to hold my books and files for future scholarship and teaching as a tenured professor for when I return from my leave of absence.	7/2004

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
18	University of Pennsylvania	Philadelphia, Pennsylvania	Employee benefits are treated as other income on tax forms, including life insurance, estate and financial planning, executive long-term disability insurance, and auto allowance; all of these benefits will terminate before commencement of government service.	7/2004
19	University of Pennsylvania	Philadelphia, Pennsylvania	I have a home loan issued by the University in October 2020, set at the midterm federal rate of .38 percent. Pursuant to written policy, the University grants leaves of absence for employment elsewhere for up to two years. If the University extends my leave of absence past two years so that I may continue to serve as Ambassador to Germany, I will refinance the loan with a different lender, pay market rate for the remaining period of my government service, or pay off the loan.	10/2020
20	University of Pennsylvania	Philadelphia, Pennsylvania	Upon resignation from the Presidency, the University will discontinue my executive long-term disability insurance.	7/2004

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of Pennsylvania	Philadelphia, Pennsylvania	University President and Faculty Member
2	The Vanguard Group	Malvern, Pennsylvania	Service on Board of Directors

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Columbia University	No		Salary	
2	The Author's Registry (royalties for reproductions of various papers and books)	See Endnote	N/A	Rent or Royalties	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Columbia 403(b) Retirement Plan		No			
3.1	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
3.2	Vanguard Institutional Target Retirement 2015 Fund Institutional Class Shares (VITVX)	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
3.3	Vanguard Intermediate-Term Bond Index Fund Institutional Shares (VBIMX)	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
4	Roth IRA		No			
4.1	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
4.2	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
4.3	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
4.4	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
4.5	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
5	"Ways of War and Peace" WW Norton (value not readily ascertainable)		N/A		Rent or Royalties	\$201 - \$1,000
6	"Liberal Peace" Routledge/Taylor and Francis (value not readily ascertainable)		N/A		Rent or Royalties	\$201 - \$1,000
7	"Foreign Policy" Oxford University Press (value not readily ascertainable)	See Endnote	N/A		Rent or Royalties	\$201 - \$1,000
8	Columbia 457(b) Plan		No			
8.1	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	"The Question of Intervention: John Stuart Mill and the Responsibility to Protect" Yale University Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
10	"Making War and Building Peace: UN Peace Operations" Princeton University Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
11	"Striking First: Preemption and Prevention in International Conflict" Princeton University Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
12	"Empires" Cornell University Press (value not readily ascertainable)	N/A		Rent or Royalties Interest	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Revocable Trust #1	No			
1.1	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	See Endnote	No	\$500,001 - \$1,000,000	\$15,001 - \$50,000
1.2	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	See Endnote	No	\$250,001 - \$500,000	\$5,001 - \$15,000
1.3	Vanguard Pennsylvania Long-Term Tax-Exempt Fund Admiral Shares (VPALX)	See Endnote	No	\$500,001 - \$1,000,000	\$15,001 - \$50,000
1.4	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	No	\$100,001 - \$250,000	\$50,001 - \$100,000
1.5	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	See Endnote	No	\$1,000,001 - \$5,000,000	\$15,001 - \$50,000
1.6	Vanguard Value Index Fund ETF Shares (VTV)	See Endnote	No	\$250,001 - \$500,000	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Revocable Trust #2		No			
2.1	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	See Endnote	No	\$500,001 - \$1,000,000		\$15,001 - \$50,000
2.2	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	See Endnote	No	\$100,001 - \$250,000		\$5,001 - \$15,000
2.3	Vanguard Pennsylvania Long-Term Tax-Exempt Fund Admiral Shares (VPALX)	See Endnote	No	\$50,001 - \$100,000		\$15,001 - \$50,000
2.4	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	No	\$100,001 - \$250,000		\$50,001 - \$100,000
2.5	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	See Endnote	No	\$500,001 - \$1,000,000		\$15,001 - \$50,000
3	Irrevocable Trust #3		No			
3.1	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
3.2	Vanguard Extended Market Index Fund ETF Shares (VXF)	See Endnote	No	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
3.3	Vanguard 500 Index Fund ETF Shares (VOO)	See Endnote	No	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
3.4	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	See Endnote	No	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
3.5	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	See Endnote	No	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
3.6	Vanguard Value Index Fund ETF Shares (VTV)	See Endnote	No	\$250,001 - \$500,000		\$1,001 - \$2,500
4	Irrevocable Trust #4		No			
4.1	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	Vanguard Extended Market Index Fund ETF Shares (VXF)	See Endnote	No	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
4.3	Vanguard 500 Index Fund ETF Shares (VOO)	See Endnote	No	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
4.4	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	See Endnote	No	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
4.5	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	See Endnote	No	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
5	Brokerage Account		No			
5.1	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	See Endnote	No	\$15,001 - \$50,000		\$5,001 - \$15,000
6	Irrevocable Trust #5		No			
6.1	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6.2	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	See Endnote	No	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
7	529 Plan #1 - Sponsored by State of Nevada Treasurer		No			
7.1	Vanguard Target Enrollment 2030/2031 Portfolio	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
8	Irrevocable Trust #6		No			
8.1	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	No	\$100,001 - \$250,000		\$1,001 - \$2,500
9	Irrevocable Trust #7		No			
9.1	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	No	\$100,001 - \$250,000		\$1,001 - \$2,500
10	US bank #1 (cash) checking		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Irrevocable Trust #8		No			
11.1	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	See Endnote	No	\$100,001 - \$250,000		\$1,001 - \$2,500
12	529 Plan #2 - Sponsored by State of Nevada Treasurer		No			
12.1	Vanguard Target Enrollment 2032/2033 Portfolio	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	University of Pennsylvania		Loan for purchase of personal residence	\$1,000,001 - \$5,000,000	2020	Federal mid-term rate (October 2020): 0.38	Nine years or upon termination of Penn tenured professorship

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	5	Filer has 4 separate plans through the University of Pennsylvania, all of which are invested solely in VBTIX
2.	5.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VBTIX/portfolio-holdings
2.	7.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VHCAX/portfolio-holdings
2.	7.2	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VPCCX/portfolio-holdings
2.	7.3	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VPMAX/portfolio-holdings
2.	7.4	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VTIAX/portfolio-holdings
2.	7.5	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VT SAX/portfolio-holdings
2.	12	The Authors Registry is a not-for-profit clearinghouse for payments to authors, receiving royalties from organizations and distributing them to U.S. authors.
2.	13.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VBTIX/portfolio-holdings
5.	2	The Authors Registry is a not-for-profit clearinghouse for payments to authors, receiving royalties from organizations and distributing them to U.S. authors.
5.	3.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VBTIX/portfolio-holdings
5.	3.2	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/VTBIX https://investor.vanguard.com/mutual-funds/profile/portfolio/VITSX/portfolio-holdings https://investor.vanguard.com/mutual-funds/profile/portfolio/VTAPX/portfolio-holdings https://investor.vanguard.com/mutual-funds/profile/portfolio/VTABX/portfolio-holdings https://institutional.vanguard.com/web/c1/investments/product-details/fund/0113 https://institutional.vanguard.com/web/c1/investments/product-details/fund/2595

PART	#	ENDNOTE
5.	3.3	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VBIMX/portfolio-holdings
5.	4.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VHCAX/portfolio-holdings
5.	4.2	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VPCCX/portfolio-holdings
5.	4.3	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VPMAX/portfolio-holdings
5.	4.4	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VTIAX/portfolio-holdings
5.	4.5	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VTSAX/portfolio-holdings
5.	7	Chapter in Foreign Policy book
5.	8.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VBTIX/portfolio-holdings
6.	1.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VWIUX/portfolio-holdings
6.	1.2	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VMLUX/portfolio-holdings
6.	1.3	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VPALX/portfolio-holdings
6.	1.4	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VTSAX/portfolio-holdings
6.	1.5	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VXUS/portfolio-holdings
6.	1.6	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VTV/portfolio-holdings
6.	2.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VWIUX/portfolio-holdings
6.	2.2	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VMLUX/portfolio-holdings

PART	#	ENDNOTE
6.	2.3	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VPALX/portfolio-holdings
6.	2.4	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VTAX/portfolio-holdings
6.	2.5	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VXUS/portfolio-holdings
6.	3.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VMFXX/portfolio-holdings
6.	3.2	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VXF/portfolio-holdings
6.	3.3	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VOO/portfolio-holdings
6.	3.4	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VXUS/portfolio-holdings
6.	3.5	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VTI/portfolio-holdings
6.	3.6	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VTV/portfolio-holdings
6.	4.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VMFXX/portfolio-holdings
6.	4.2	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VXF/portfolio-holdings
6.	4.3	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VOO/portfolio-holdings
6.	4.4	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VXUS/portfolio-holdings
6.	4.5	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VTI/portfolio-holdings
6.	5.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VMFXX/portfolio-holdings
6.	6.1	The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VMFXX/portfolio-holdings
6.	6.2	The portfolio holdings are listed in: https://investor.vanguard.com/etf/profile/portfolio/VXUS/portfolio-holdings

PART	#	ENDNOTE
6.	7.1	<p>The portfolio holdings are listed in: https://institutional.vanguard.com/web/c1/investments/product-details/fund/0660 https://institutional.vanguard.com/web/c1/investments/product-details/fund/0113 https://institutional.vanguard.com/web/c1/investments/product-details/fund/2011 https://institutional.vanguard.com/web/c1/investments/product-details/fund/1785</p>
6.	8.1	<p>The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VT SAX/portfolio-holdings</p>
6.	9.1	<p>The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VT SAX/portfolio-holdings</p>
6.	11.1	<p>The portfolio holdings are listed in: https://investor.vanguard.com/mutual-funds/profile/portfolio/VT SAX/portfolio-holdings</p>
6.	12.1	<p>The portfolio holdings are listed in: https://institutional.vanguard.com/web/c1/investments/product-details/fund/0660 https://institutional.vanguard.com/web/c1/investments/product-details/fund/0113 https://institutional.vanguard.com/web/c1/investments/product-details/fund/2011 https://institutional.vanguard.com/web/c1/investments/product-details/fund/1785</p>

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).
