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

Filer's Information

Caputo, Annie

Commissioner, Nuclear Regulatory Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:
None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Caputo, Annie [electronically signed on 05/22/2020 by Caputo, Annie in Integrity.gov] - Filer received a 7 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ ZOBLER, MARIAN L, Certifying Official [electronically signed on 06/16/2020 by ZOBLER, MARIAN L in Integrity.gov]

Other review conducted by
/s/ SAFFORD, CARRIE M, Ethics Official [electronically signed on 06/08/2020 by SAFFORD, CARRIE M in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/17/2020 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Spouse Irrevocable Trust	McLean, Virginia	Trust	Trustee	12/2005	Present
2	Spouse Revocable Living Trust	McLean, Virginia	Trust	Trustee	12/2005	Present
3	Annie Caputo Revocable Living Trust	McLean, Virginia	Trust	Trustee	12/2005	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity Govt Cash Reserves	Yes	$1,001 - $15,000		None (or less than $201)
2	ISHARES Core US Agg Bond ETF	Yes	$50,001 - $100,000		$201 - $1,000
3	ISHARES S&P 500 Growth ETF	Yes	$15,001 - $50,000		$201 - $1,000
4	ISHARES S&P 500 Value ETF	Yes	$15,001 - $50,000		$201 - $1,000
5	ISHARES Core S&P Mid-Cap ETF	Yes	$1,001 - $15,000		$201 - $1,000
6	ISHARES Tr Intl Sel Div ETF	Yes	$15,001 - $50,000		$1,001 - $2,500
7	ISHARES TR MBS ETF	Yes	$15,001 - $50,000		$201 - $1,000
8	ISHARES Trust Core MSCI EAFE ETF	Yes	$15,001 - $50,000		$201 - $1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	ISHARES Core 1-5 year USD Bond ETF		Yes	None (or less than $1,001)		$201 - $1,000
10	ISHARES INC Core MSCI Emerging Mkts ETF		Yes	$15,001 - $50,000		$201 - $1,000
11	ISHARES Core Dividend Growth ETF		Yes	$15,001 - $50,000		$201 - $1,000
12	ISHARES Intermediate Govt/Credit Bond ETF		Yes	$15,001 - $50,000		$201 - $1,000
13	ISHARES MSCI EAFE Small-Cap ETF	See Endnote	Yes	None (or less than $1,001)		$201 - $1,000
14	Nuveen Real Asset Income Fund Class I N/L		Yes	$15,001 - $50,000		$201 - $1,000
15	PIMCO Income Fund Institutional Fund		Yes	$15,001 - $50,000		$1,001 - $2,500
16	T Rowe Price Floating Rate I		Yes	$15,001 - $50,000		None (or less than $201)

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CRC Partners, LLC (real estate)		N/A		salary, bonus	
2	Habitat Executives LLC #1 (real estate) (value not readily ascertainable)	See Endnote	No	$1,001 - $15,000		None (or less than $201)
3	Fidelity Govt Cash Reserves		Yes	$500,001 - $1,000,000		$2,501 - $5,000
4	ISHARES Core US Aggr. Bond ETF		Yes	$100,001 - $250,000		$201 - $1,000
5	ISHARES S&P 500 Growth ETF		Yes	$15,001 - $50,000		$201 - $1,000
6	ISHARES S&P 500 Value ETF		Yes	$15,001 - $50,000		$201 - $1,000
7	ISHARES Core S&P Mid-Cap ETF		Yes	$15,001 - $50,000		$201 - $1,000
8	ISHARES Core S&P Small-Cap ETF		Yes	$1,001 - $15,000		$201 - $1,000
9	ISHARES Tr Intl Sel Div ETF		Yes	$15,001 - $50,000		$1,001 - $2,500
10	ISHARES Tr MBS ETF		Yes	$50,001 - $100,000		None (or less than $201)
11	ISHARES Trust Core MSCI EAFE ETF		Yes	$15,001 - $50,000		$201 - $1,000
12	ISHARES Core 1-5 Year USD Bond ETF		Yes	None (or less than $1,001)		$201 - $1,000
13	ISHARES Inc Core MSCI Emerging Mkts ETF		Yes	$15,001 - $50,000		$201 - $1,000
14	Fidelity Global Ex U.S. Index Fund Instit. Premium Class		Yes	$1,001 - $15,000		None (or less than $201)
15	Fidelity Total Market Index Fund Instit. Premium Class		Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Middleburg Real Estate Partners LLC	N/A		Salary	
17	ISHARES Core Dividend Growth ETF	Yes	$50,001 - $100,000		$201 - $1,000
18	ISHARES Intermediate Govt/Credit Bond ETF	Yes	$15,001 - $50,000		$201 - $1,000
19	Nuveen Real Asset Income Fund Class I N/L	Yes	$15,001 - $50,000		$201 - $1,000
20	PIMCO Income Fund Institutional Fund	Yes	$15,001 - $50,000		$201 - $1,000
21	T Rowe Price Floating Rate I	Yes	$15,001 - $50,000		None (or less than $201)
22	Spartan US Bond Index FD Fidelity Advantage Insti Cl	Yes	$1,001 - $15,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse Irrevocable Trust	No			
1.1	ISHARES S&P 500 Growth ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.2	ISHARES S&P 500 Value ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.3	ISHARES Core S&P Mid-Cap ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.4	ISHARES Core S&P Small-Cap ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.5	ISHARES Tr Intl Sel Div ETF	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	ISHARES Trust Core MSCI EAFE ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.7	ISHARES Core MSCI Emerging Mkts ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.8	U.S. bank account (cash)	N/A	$1,001 - $15,000		None (or less than $201)
1.9	Virginia 529 Account 2027 Portfolio	Yes	$100,001 - $250,000		None (or less than $201)
1.10	Virginia 529 Account 2024 Portfolio	Yes	$100,001 - $250,000		None (or less than $201)
2	Fidelity Govt Cash Reserves (cash)	Yes	$1,001 - $15,000		None (or less than $201)
3	ISHARES MSCI EAFE Small-Cap ETF	Yes	$1,001 - $15,000		None (or less than $201)
4	Third Avenue Real Estate Value Instl	Yes	$1,001 - $15,000		None (or less than $201)
5	ISHARES Core Dividend Growth ETF	Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	DGRO - ISHARES TRUST CORE DIVID GWTH	Purchase	02/08/2019	$15,001 - $50,000
2	DGRO - ISHARES TRUST CORE DIVID GWTH	Purchase	10/28/2019	$15,001 - $50,000
3	DGRO - ISHARES TRUST CORE DIVID GWTH	Purchase	12/02/2019	$1,001 - $15,000
4	GVI - ISHARES TR INTRM GOV CR ETF	Purchase	08/12/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
5	GVI - ISHARES TR INTRM GOV CR ETF	Purchase	10/28/2019	$15,001 - $50,000
6	GVI - ISHARES TR INTRM GOV CR ETF	Purchase	12/02/2019	$1,001 - $15,000
7	NRIIX - Nuveen Real Asset Income Fund I Shrs	Purchase	10/28/2019	$15,001 - $50,000
8	NRIIX - Nuveen Real Asset Income Fund I Shrs	Purchase	12/02/2019	$1,001 - $15,000
9	PIMIX - PIMCO Income Fund Institutional Fund	Purchase	02/08/2019	$15,001 - $50,000
10	PIMIX - PIMCO Income Fund Institutional Fund	Purchase	10/28/2019	$1,001 - $15,000
11	PIMIX - PIMCO Income Fund Institutional Fund	Purchase	12/02/2019	$1,001 - $15,000
12	IEMG - ISHARES Inc Core MSCI Emerging Mkts ETF	Purchase	02/08/2019	$1,001 - $15,000
13	IEMG - ISHARES Inc Core MSCI Emerging Mkts ETF	Purchase	12/02/2019	$1,001 - $15,000
14	IDV - ISHARES Tr Intl Sel Div ETF	Purchase	10/28/2019	$1,001 - $15,000
15	IVW - ISHARES S&P 500 Growth ETF	Purchase	10/28/2019	$1,001 - $15,000
16	IVE - ISHARES S&P 500 Value ETF	Purchase	10/28/2019	$1,001 - $15,000
17	IJH - ISHARES Core S&P Mid-Cap ETF	Purchase	10/28/2019	$1,001 - $15,000
18	AGG - ISHARES Core US Aggregate Bond ETF	Purchase	10/28/2019	$15,001 - $50,000
19	STIP - ISHARES 0-5 Year TIPS Bond ETF	Purchase	10/28/2019	$15,001 - $50,000
20	MBB - ISHARES Tr MBS ETF	Purchase	10/28/2019	$15,001 - $50,000
21	IJH - ISHARES Core S&P Mid-Cap ETF	Purchase	12/02/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	IEFA - ISHARES Trust Core MSCI EAFE ETF	Purchase	12/02/2019	$1,001 - $15,000
23	IVW - ISHARES S&P 500 Growth ETF	Purchase	12/02/2019	$1,001 - $15,000
24	IVE - ISHARES S&P 500 Value ETF	Purchase	12/02/2019	$1,001 - $15,000
25	IDV - ISHARES Tr Intl Sel Div ETF	Purchase	12/02/2019	$1,001 - $15,000
26	STIP - ISHARES 0-5 Year TIPS Bond ETF	Purchase	12/02/2019	$1,001 - $15,000
27	MBB - ISHARES Tr MBS ETF	Purchase	12/02/2019	$1,001 - $15,000
28	AGG - ISHARES Core US Aggregate Bond ETF	Purchase	12/02/2019	$15,001 - $50,000
29	TFAIX - T Rowe Price Floating Rate CL I	Purchase	12/03/2019	$15,001 - $50,000
30	AGG - ISARES US Aggregate Bond ETF	Purchase	12/20/2019	$15,001 - $50,000
31	MBB - ISHARES Tr MBS ETF	Sale	02/08/2019	$1,001 - $15,000
32	IJH - ISHARES Core S&P Mid-Cap ETF	Sale	02/08/2019	$1,001 - $15,000
33	IVE - ISHARES S&P 500 Value ETF	Sale	02/08/2019	$1,001 - $15,000
34	TAREX - Third Avenue Real Estate Value Instl	Sale	02/08/2019	$1,001 - $15,000
35	IJR - ISHARES Core S&P Small-Cap E	Sale	02/08/2019	$1,001 - $15,000
36	ISTB - ISHARES Core 1-5 Year USD Bond ETF	Sale	02/08/2019	$1,001 - $15,000
37	SCZ - ISHARES Tr EAFE SML CP ETF	Sale	02/08/2019	$1,001 - $15,000
38	AGG - ISHARES Core US Aggregate Bond ETF	Sale	02/08/2019	$1,001 - $15,000
39	IVW - ISHARES S&P 500 Growth ETF	Sale	06/24/2019	$1,001 - $15,000
40	ISTB - ISHARES Core 1-5 Year USD Bond ETF	Sale	08/12/2019	$1,001 - $15,000
41	TAREX - Third Avenue Real Estate Value Instl	Sale	10/28/2019	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
42	IJR - ISHARES Core S&P Small Cap E	Sale	10/28/2019	$1,001 - $15,000
43	SCZ - ISHARES Tr EAFE Sml Cp ETF	Sale	10/28/2019	$1,001 - $15,000
44	IEMG - ISHARES Inc Core MSCI Emerging Mkts ETF	Sale	10/28/2019	$1,001 - $15,000
45	STIP - ISHARES 0-5 Year TIPS Bond ETF	Sale	12/20/2019	$15,001 - $50,000
46	FXNAX - Spartan US Bond Index FD Fidelity Advantage - FXNAX	Purchase	10/28/2019	$1,001 - $15,000
47	FSGGX - Fidelity Global Ex US Index	Sale	10/28/2019	$1,001 - $15,000
48	FSKAX - Fidelity Total Market Index Fund	Sale	10/28/2019	$1,001 - $15,000
49	DGRO - ISHARES Trust Core Divid Grwth	Purchase	02/07/2019	$1,001 - $15,000
50	PIMIX - PIMCO Income Fund Institutional Fund	Purchase	02/07/2019	$1,001 - $15,000
51	TAREX - Third Avenue Real Estate Value Instl	Purchase	02/07/2019	$1,001 - $15,000
52	IEMG - ISHARES Inc Core MSCI Emerging Mkts ETF	Purchase	02/07/2019	$1,001 - $15,000
53	IJR - ISHARES Core S&P Small-Cap E	Sale	02/07/2019	$1,001 - $15,000
54	IVE - ISHARES S&P 500 Value ETF	Sale	02/07/2019	$1,001 - $15,000
55	IJH - ISHARES Core S&P Mid-Cap ETF	Sale	02/07/2019	$1,001 - $15,000
56	MBB - ISHARES Tr MBS ETF	Sale	02/07/2019	$1,001 - $15,000
57	MUNI - PIMCO ETF Tr Inter Mun Bd Active ETF	Purchase	08/19/2019	$1,001 - $15,000
58	SUB - ISHARES Short-Term National Muni Bond Fund	Sale	08/19/2019	$1,001 - $15,000
59	IJH - ISHARES Core S&P Mid-Cap ETF	Sale	11/04/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
60	MUNI - PIMCO ETF Tr Inter Mun Bd Active ETF	Sale	11/04/2019	$1,001 - $15,000
61	IJR - ISHARES Core S&P Small-Cap E	Sale	11/04/2019	$1,001 - $15,000
62	SCZ - ISHARES Tr EAFE Sml Cp ETF	Sale	11/04/2019	$1,001 - $15,000
63	MUB - ISHARES AMT-FREE Muni Bond ETF	Sale	11/04/2019	$1,001 - $15,000
64	PIMIX - PIMCO Income Fund Institutional Fund	Sale	11/04/2019	$1,001 - $15,000
65	IVE - ISHARES S&P 500 Value ETF	Sale	11/04/2019	$1,001 - $15,000
66	IVW - ISHARES S&P 500 Growth ETF	Sale	11/04/2019	$1,001 - $15,000
67	IEFA - ISHARES Trust Core MSCI EAFE ETF	Sale	11/04/2019	$1,001 - $15,000
68	IDV - ISHARES Tr Intl Sel Div ETF	Sale	11/04/2019	$1,001 - $15,000
69	IEMG - ISHARES Inc Core MSCI Emerging Mkts ETF	Sale	11/04/2019	$1,001 - $15,000
70	NRIIX - NUVEEN Real Asset Income Fund I Shrs	Purchase	10/28/2019	$15,001 - $50,000
71	GVI - ISHARES Tr Intrm Gov Cr ETF	Purchase	08/12/2019	$1,001 - $15,000
72	MBB - ISHARES Tr MBS ETF	Purchase	10/28/2019	$15,001 - $50,000
73	AGG - ISHARES Core US Aggregate Bond ETF	Sale	02/08/2019	$1,001 - $15,000
74	STIP - ISHARES 0-5 Year TIPS Bond ETF	Sale	12/20/2019	$15,001 - $50,000
75	MBB - ISHARES Tr MBS ETF	Sale	02/08/2019	$15,001 - $50,000
76	PIMIX - PIMCO Fund Institutional Fund	Purchase	02/08/2019	$15,001 - $50,000
77	GVI - ISHARES Tr Intrm Gov Cr ETF	Purchase	10/28/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
78	IEFA - ISHARES Trust Core MSCI EAFE ETF	Sale	10/28/2019	$1,001 - $15,000
79	IDV - ISHARES Tr Intl Sel Div ETF	Sale	10/28/2019	$15,001 - $50,000
80	IJR - ISHARES Core S&P Small-Cap E	Sale	02/08/2019	$1,001 - $15,000
81	DGRO - ISHARES Trust Core Divid Gwth	Purchase	02/08/2019	$15,001 - $50,000
82	IVE - ISHARES S&P 500 Value ETF	Sale	10/28/2019	$1,001 - $15,000
83	IVW - ISHARES S&P 500 Growth	Sale	10/28/2019	$1,001 - $15,000
84	TAREX - Third Avenue Real Estate Value Instl	Sale	10/28/2019	$15,001 - $50,000
85	ISTB - ISHARES Core 1-5 Year USD Bond ETF	Sale	08/12/2019	$1,001 - $15,000
86	SCZ - ISHARES Tr EAFE Sml Cp ETF	Sale	10/28/2019	$1,001 - $15,000
87	IJR - ISHARES Core S&P Small-Cap E	Sale	10/28/2019	$1,001 - $15,000
88	AGG - ISHARES Core US Aggregate Bond ETF	Purchase	12/20/2019	$15,001 - $50,000
89	Fidelity Government Cash Reserves (Money Market)	Purchase	10/07/2019	$500,001 - $1,000,000
90	Vanguard Institutional Retirement 2030 Fund	Sale	10/07/2019	$500,001 - $1,000,000
91	FDRXX - Fidelity Cash Reserves	Purchase	02/12/2019	$1,001 - $15,000
92	FDRXX - Fidelity Cash Reserves	Purchase	06/26/2019	$1,001 - $15,000
93	FDRXX - Fidelity Cash Reserves	Sale	10/30/2019	$100,001 - $250,000
94	FDRXX - Fidelity Cash Reserves	Sale	12/04/2019	$100,001 - $250,000
95	FDRXX - Fidelity Cash Reserves	Sale	12/03/2019	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
96	FDRXX - Fidelity Cash Reserves	Sale	12/03/2019	$15,001 - $50,000
97	FDRXX - Fidelity Cash Reserves	Sale	10/29/2019	$15,001 - $50,000
98	FDRXX - Fidelity Cash Reserves	Sale	02/11/2019	$1,001 - $15,000
99	FDRXX - Fidelity Cash Reserves	Sale	02/08/2019	$1,001 - $15,000
100	FDRXX - Fidelity Cash Reserves	Sale	11/07/2019	$15,001 - $50,000
101	FDRXX - Fidelity Cash Reserves	Sale	10/02/2019	$1,001 - $15,000
102	FDRXX - Fidelity Cash Reserves	Purchase	11/06/2019	$15,001 - $50,000
103	FDRXX - Fidelity Cash Reserves	Purchase	10/02/2019	$1,001 - $15,000
104	FDRXX - Fidelity Cash Reserves	Purchase	11/05/2019	$1,001 - $15,000
105	FDRXX - Fidelity Cash Reserves	Purchase	01/02/2019	$1,001 - $15,000
106	FDRXX - Fidelity Cash Reserves	Purchase	02/11/2019	$1,001 - $15,000
107	AGG - ISHARES Aggregate Bond ETF	Purchase	12/20/2019	$15,001 - $50,000
108	DGRO - ISHARES Core Dividend Growth ETF	Purchase	02/08/2019	$15,001 - $50,000
109	STIP - ISHARES 0-5 Year TIPS Bond ETF	Purchase	10/28/2019	$15,001 - $50,000
110	TFAIX - T Rowe Price Floating Rate I	Purchase	11/04/2019	$15,001 - $50,000
111	AGG - ISHARES Aggregate Bond ETF	Purchase	10/28/2019	$1,001 - $15,000
112	FDRXX - Fidelity Cash Reserves	Purchase	10/30/2019	$1,001 - $15,000
113	IEMG - iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	02/08/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
114	FDRXX - Fidelity Cash Reserves	Purchase	02/12/2019	$1,001 - $15,000
115	FDRXX - Fidelity Cash Reserves	Purchase	10/29/2019	$1,001 - $15,000
116	FDRXX - Fidelity Cash Reserves	Purchase	06/26/2019	$1,001 - $15,000
117	FDRXX - Fidelity Cash Reserves	Purchase	12/24/2019	$1,001 - $15,000
118	IEMG - iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	06/24/2019	$1,001 - $15,000
119	IEMG - iShares Core MSCI Emerging Markets ETF (IEMG)	Sale	10/28/2019	$15,001 - $50,000
120	FDRXX - Fidelity Cash Reserves	Sale	11/05/2019	$15,001 - $50,000
121	IJH - iShares S&P MidCap 400 Index (IJH)	Sale	02/08/2019	$15,001 - $50,000
122	SCZ - iShares MSCI EAFE Small Cap Index (SCZ)	Sale	10/28/2019	$1,001 - $15,000
123	IVE - iShares S&P 500 Value Index (IVE)	Sale	02/08/2019	$1,001 - $15,000
124	IVW - iShares S&P 500 Growth Index (IVW)	Sale	10/28/2019	$1,001 - $15,000
125	TAREX - Third Avenue Real Estate Value	Sale	02/08/2019	$1,001 - $15,000
126	FDRXX - Fidelity Cash Reserves	Sale	02/11/2019	$1,001 - $15,000
127	ISTB - iShares Core Short-Term US Bond ETF (ISTB)	Sale	02/08/2019	$1,001 - $15,000
128	IVW - iShares S&P 500 Growth Index (IVW)	Sale	06/24/2019	$1,001 - $15,000
129	SCZ - iShares MSCI EAFE Small Cap Index (SCZ)	Sale	02/08/2019	$1,001 - $15,000
130	FDRXX - Fidelity Cash Reserves	Sale	06/25/2019	$1,001 - $15,000
131	DGRO - ISHARES Core Dividend Growth ETF	Sale	06/24/2019	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Credit Union Mortgage Assoc.	Mortgage on Personal Residence	$250,001 - $500,000	2018	3.875%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	13	This asset was mistakenly omitted from the 2018 filing. As of 12-31-2018, its value was $15,001-50,000. The asset was sold during 2019 as is reflected in the transactions section. This results in a 12-31-2019 value of zero but income during the year of $201-1,000 as is reflected here.
5.	2	Habitat Executives LLC #1 was formed for the purpose of acquiring and owning partnership interests in rental properties managed by The Habitat Company, a developer and manager of multi-family properties consisting of market-rate apartments, condominiums, public housing, affordable housing, and commercial properties in Chicago, IL, and a few other U.S. cities. My spouse owns a 5% Member interest.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of $156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

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).