

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hartley, Jane D.

Ambassador to the United Kingdom, 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/ Hartley, Jane D. [electronically signed on 08/11/2021 by Hartley, Jane D. 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 01/24/2022 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 01/27/2022 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	Sesame Workshop	New York, New York	Non-Profit	Chairman of the Board	1/2017	Present
2	Carnegie Endowment for International Peace	Washington, District of Columbia	Think Tank	Member, Board of Trustees	1/2017	Present
3	Harvard Kennedy School John F. Kennedy School of Government	Cambridge, Massachusetts	University/College	Member of Visiting Committee, Executive Committee	1/2017	Present
4	Memorial Sloan Kettering Cancer Center	New York, New York	Hospital	Member of the Board of Overseers and Managers	1/2017	Present
5	Center for American Progress	Washington, District of Columbia	Public Policy Organization	Member, Trustee Advisory Board	1/2017	Present
6	Center on Budget and Policy Priorities	Washington, District of Columbia	Think Tank	Member, Board of Directors	1/2019	Present
7	Sciences Po American Foundation	Paris, Outside U.S.	Non-Profit	Member, Board of Directors	1/2019	Present
8	The Katherine Hartley Schlosstein 2017 Trust	New York, New York	Trust	Trustee	8/2017	Present
9	The James Michael Schlosstein 2017 Trust	New York, New York	Trust	Trustee	8/2017	Present
10	The Schlosstein Hartley Family Foundation	New York, New York	Trust	Trustee	8/2017	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
11	The Hartley-Schlosstein Family Partnership	New York, New York	Limited Liability Company	Managing Member	6/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	Netflix Com Inc (NFLX)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
1.2	Walmart Common Stock (WMT)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3	U.S. bank (Cash)	N/A	\$250,001 - \$500,000		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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	U.S. bank (Cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.2	BlackRock Global Allocation Fund Class A (MDLOX)	Yes	Over \$1,000,000		None (or less than \$201)
2	Evercore Partners Services East LLC (Salary) (underlying assets of this company listed under line 7.2.1)	No		Salary and bonus	
3	Evercore Partners Limited - Unvested Restricted Stock Units	N/A	Over \$1,000,000		None (or less than \$201)
4	Evercore Partners Limited - Deferred cash dividend equivalent payments	N/A	\$250,001 - \$500,000	Cash payments	\$274,802
5	U.S. brokerage acct #1	No			
5.1	Evercore Inc (EVR)	N/A	Over \$1,000,000	Dividends Capital Gains	Over \$1,000,000
6	Trust #1	No			
6.1	U.S. brokerage acct #2	No			
6.1.1	Evercore Inc (EVR)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
6.2	Evercore LP (Partnership Units) (see underlying holdings in line 7)	No	None (or less than \$1,001)	Capital Gains Dividends Interest	\$100,001 - \$1,000,000
7	Evercore LP (Partnership Units)	No	Over \$1,000,000	Dividends Capital Gains Interest	Over \$1,000,000
7.1	Evercore Group Holdings L.L.C. (Dormant entity/general partner of legacy Evercore private equity business)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	Evercore Group Holdings L.P. (Non-operating entity/holding company for subsidiaries)	No			
7.2.1	Evercore Partners Services East L.L.C. (Evercore U.S. service/employment vehicle)	No			
7.2.1.1	Evercore Advisors L.L.C. (Dormant entity)	N/A			
7.2.1.2	Evercore Venture Advisors L.L.C. (Dormant entity)	N/A			
7.2.1.3	PCA Holdco LLC (Holds interest in Evercore Private Capital Advisory LP)	No			
7.2.1.3.1	Evercore Private Capital Advisory L.P. (Holds economic interest in Evercore business of providing advisory services to private funds on secondary interest transactions and real estate capital advisory transactions)	N/A			
7.2.1.4	Evercore BD Investco LLC (Holding company)	No			
7.2.1.4.1	Evercore Group L.L.C. (U.S. Registered Broker-Dealer) (Investment banking advisory)	N/A			
7.2.1.5	Evercore Wealth Management LLC (Registered Investment Advisor) (Provides securities portfolio management services for high net wealth individuals in the U.S.)	N/A			
7.2.1.6	Atalanta Sosnoff Capital, LLC (Registered Investment Advisor) (Manages large-capitalization U.S. equity and balanced products)	N/A			
7.2.1.7	ABS Investment Management Holding LP (Holding company)	No			
7.2.1.7.1	ABS Investment Management LLC (Registered Investment Advisor) (Provides advisory services to institutionally focused hedge fund-of-fund managers)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2.1.8	Investment Management Holding GP LLC (General Partner)	No			
7.2.1.8.1	ABS Investment Management LLC (Registered Investment Advisor) (Investment banking advisory)	N/A			
7.2.1.9	Luminis Holdings Pty Ltd (Australia) (Holding company)	No			
7.2.1.9.1	Luminis Partners Pty Ltd (Australia) (Investment banking advisory)	N/A			
7.3	Evercore Trust Company, N.A. (OCC Registered) (Non-depository OCC-chartered trust company)	N/A			
7.4	Evercore Partners Canada Ltd (Investment banking advisory)	N/A			
7.5	Evercore Holdings Ltd (Holding company)	No			
7.5.1	Evercore Partners Limited (Holding company)	No			
7.5.1.1	Evercore Group Services Limited (Service and employment vehicle)	N/A			
7.5.1.2	Evercore Partners International LLP (FCA Registered) (Investment banking advisory)	No			
7.5.1.2.1	Evercore GmbH (BaFin registered) (Investment banking advisory)	N/A			
7.5.1.2.2	Evercore Advisory (Middle East) Limited (Investment banking advisory)	N/A			
7.5.2	Evercore Partners Investment Limited (Holding company)	No			
7.5.2.1	Evercore Partners International LLP (FCA Registered) (Investment banking advisory)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.5.2.1.1	Evercore GmbH (BaFin registered) (Investment banking advisory)	N/A			
7.5.2.1.2	Evercore Advisory (Middle East) Limited (Investment banking advisory)	N/A			
7.6	Evercore ISI International Limited (Research and trading)	N/A			
7.7	Evercore Europe & Middle East Holdco LLC (Holding company)	No			
7.7.1	Evercore France LLP (Dormant entity)	N/A			
7.7.2	Evercore Israel L.L.C. (Investment banking advisory)	N/A			
7.8	Evercore Asia (Japan) Ltd. (Investment banking advisory)	N/A			
7.9	Evercore Asia Limited (SFC Registered Broker-Dealer) (Investment banking advisory)	N/A			
7.10	Evercore Asia (Singapore) Pte. Ltd. (Investment banking advisory)	N/A			
7.11	Evercore Consulting (Beijing) Co. Ltd. (Employment and advisory services)	N/A			
7.12	Evercore Brasil Participacoes LTDA (Dormant entity)	N/A			
7.13	Evercore Partners Mexico, S. de R. L. (Investment banking advisory)	No			
7.13.1	Evercore ISI Mexico, S. de R.L. (Research and trading)	N/A			
7.13.2	Protego Administradores S de R.L. (Service/employment)	No			
7.13.2.1	Evercore ISI Mexico, S. de R.L. (Research and trading)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.13.3	Protego PE S. de R.L. (Dormant entity)	N/A			
7.13.4	Sedna S.de R.L. (Dormant entity)	N/A			
7.13.5	Protego Servicios, S.C. (Dormant entity)	N/A			
7.14	Seneca Evercore Advisors Ltda. (Investment banking/advisory)	N/A			

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage acct #1	No			
1.1	Amazon.com Inc (AMZN)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.2	Apple Inc. (AAPL)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$5,001 - \$15,000
1.3	PayPal Holdings Inc Com (PYPL)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
1.4	Walmart Inc Common Stock (WMT)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
1.5	Alibaba Group Holding LTD Sponsored ADR (BABA)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
1.6	Tencent Holdings Limited Un-sponsored ADR Representing B Shares (TCEHY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
1.7	Peloton Interactive Inc. (PTON)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.8	Uber Technologies Inc. (UBER)	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	U.S. brokerage (Cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
1.10	RBC US Government Money Market Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	U.S. brokerage acct #2	No			
2.1	JFROG Ltd (FROG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	Duck Creek Technologies Inc. (DCT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3	iShares S&P 500 (IVV)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
3	U.S. brokerage acct #3	No			
3.1	Vanguard Index S&P 500 ETF (VOO)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
4	U.S. brokerage acct #4	No			
4.1	BlackRock Global Allocation (MDLOX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.2	Evercore Inc (EVR)	N/A	Over \$1,000,000	Dividends Capital Gains	Over \$1,000,000
4.3	SPDR S&P 500 ETF (SPY)	Yes	Over \$1,000,000		None (or less than \$201)
4.4	U.S. brokerage (Cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
4.5	U.S. Treasury Bill 10/3/2019	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
4.6	U.S. Treasury Bill 2/20/2020	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	U.S. Treasury Bill 1/2/2020	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
4.8	U.S. Treasury Bill 7/7/2020	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
4.9	RBC US Government Money Market Fund	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5	U.S. brokerage acct #5	No			
5.1	U.S. brokerage (Cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
6	BlackRock Co-Investment I LLC	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	BlackRock Private Opportunity Fund II LP	Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
8	Brevan Howard LP	Yes	\$1,000,001 - \$5,000,000		\$1,000,001 - \$5,000,000
9	Brevan Howard Asia Fund LP	Yes	None (or less than \$1,001)		\$201 - \$1,000
10	Centerbridge Capital Partners Strategic LP	Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
11	Centerbridge Capital Partners AIV I LP	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Eton Park Capital Management (hedge fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	G5 Evercore Small-Cap PE Intermediary Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
14	SH Family Partners, LLC	No			
14.1	General Atlantic Investment Partners, 2017	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.2	U.S. brokerage acct #6	No			
14.2.1	U.S. brokerage (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	Glisco Capital Partners III	Yes	\$250,001 - \$500,000		None (or less than \$201)
16	Greycroft Partners Fund	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
17	Greycroft Partners Fund	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
18	Highfields Capital II LP	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
19	Insight Ventures Partners X	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
20	Insight Ventures Partners X Follow-On	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
21	Intersection Fintech CIF Partners	No	Over \$1,000,000		None (or less than \$201)
21.1	Circle (fintech)	N/A			
22	Intersection Fintech CIF Partners	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
22.1	Circle (fintech)	N/A			
23	Octone Records	N/A	\$100,001 - \$250,000	Passive Ordinary Income	\$1,391
24	Participation Co-Investment Partnership I	No			
24.1	Velvet Energy	N/A	\$50,001 - \$100,000		None (or less than \$201)
25	Crescent Limau Asia Holdings Ltd	No	\$500,001 - \$1,000,000	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25.1	Crescent Capital Investments II Ltd (Singapore) (agent for Limau Asia Holdings Ltd - not an underlying holding company)	N/A			
25.2	Limau Cosmetics Singapore Pte Ltd (Singapore) (retail cosmetics company)	N/A			
25.3	Crescent Limau Investments Ltd (Singapore) (investment vehicle for Megatrend Holdings Ltd)	N/A			
25.4	Limau Asia Holdings Ltd. (Singapore) (investment vehicle for Limau Cosmetics Singapore Pte Ltd)	N/A			
25.5	Veneto Holdings Ltd. (Singapore) (agent for Crescent Limau Investments Ltd - not an underlying holding company)	N/A			
25.6	Megatrend Holdings Ltd (Singapore) (a marketing research company - affiliated but not an underlying holding company)	N/A			
25.7	Shanghai Xingyun Information Technology Co. Ltd. (Shanghai, China) (ecommerce)	N/A			
26	Crescent Limau Asia Holdings Ltd (see underlying holdings at line 25)	No	\$250,001 - \$500,000	Capital Gains	\$1,001 - \$2,500
27	River Birch Partners LP	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
28	RPS Partners I LLC	No			
28.1	U.S. brokerage acct #7	No			
28.1.1	U.S. brokerage (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
28.1.2	Royalty Pharma Plc (RPRX)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
28.2	RPI US Partners 2019 LP	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Interest Ordinary Income	\$829,571
29	Sarah Flint International LLC (American luxury brand specializing in shoes)	N/A	\$250,001 - \$500,000			None (or less than \$201)
30	State Road Real Estate Holding LLC	No	\$250,001 - \$500,000			None (or less than \$201)
30.1	State Road Restaurant, located in Martha's Vineyard	N/A				
31	State Road Real Estate Holding LLC	No	\$250,001 - \$500,000			None (or less than \$201)
31.1	State Road Restaurant, located in Martha's Vineyard	N/A				
32	Stonecutter Ventures LLC	No	Over \$1,000,000			None (or less than \$201)
32.1	Vindex Global Solutions – (gaming-related technologies and experiences)	N/A				
32.2	Esports Engine – (logistics company)	N/A				
32.3	Belong Gaming – (shared gaming centers)	N/A				
32.4	Let's Play – (data consultants for gaming businesses)	N/A				
33	Stonecutter Ventures LLC Pre-Series B	No	\$500,001 - \$1,000,000			None (or less than \$201)
33.1	Vindex Global Solutions – (gaming-related technologies and experiences)	N/A				
33.2	Esports Engine – (logistics company)	N/A				
33.3	Belong Gaming – (shared gaming centers)	N/A				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33.4	Let's Play – (data consultants for gaming businesses)	N/A			
34	T Capital V Investors LP	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
35	T Capital VI Investors LP	Yes	Over \$1,000,000		\$2,501 - \$5,000
36	Taconic Euro Credit Dislocation Fund II, LP	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
37	Taconic Euro Credit Dislocation Fund II, LP	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
38	Taconic Opportunity Fund	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
39	The Hartley-Schlosstein Family Partnership	No			
39.1	Kroll	N/A	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
40	TH Stables	No			
40.1	Commercial real estate, North Salem NY	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
41	Villa 7 LLC	No			
41.1	US Bank Acct #1	N/A	\$100,001 - \$250,000		None (or less than \$201)
41.2	Residential real estate, Providenciales, TCI	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
42	U.S. Bank Acct #2 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
43	U.S. Bank Acct #3 (cash)	N/A	Over \$1,000,000	Interest	\$201 - \$1,000
44	Metlife Whole Life Insurance Policy	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45	Trust # 1	No			
45.1	U.S. brokerage acct #8	No			
45.1.1	U.S. bank (Cash)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
45.1.2	iShares Core S&P 500 ETF (IVV)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
45.1.3	SPDR S&P 500 ETF (SPY)	Yes	\$5,000,001 - \$25,000,000		None (or less than \$201)
45.1.4	U.S. Treasury Bill 10/3/2019	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
45.1.5	U.S. Treasury Bill 10/31/2019	N/A	None (or less than \$1,001)	Interest	\$50,001 - \$100,000
45.1.6	U.S. Treasury Bill 2/20/2020	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
45.1.7	U.S. Treasury Bill 1/31/2020	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
45.2	Taconic Opportunity Fund	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
45.3	T Capital V Investors	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
45.4	Highfields Capital II LP	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
45.5	Brevan Howard LP	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
45.6	BlackRock Energy Opportunity Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
45.7	Eton Park Fund LP	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	Trust #2	No			
46.1	U.S. brokerage acct #9	No			
46.1.1	iShares Global Tech ETF (IXN)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
46.1.2	Cohen & Steers Global Realty (CSSPX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
46.1.3	iShares MSCI ETF ESG USA (ESGU)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
46.1.4	Ashmore Emerging Markets Bond Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
46.1.5	U.S. brokerage (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
46.1.6	iShares iboxx Inv Grade Corporate Bond Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
46.1.7	iShares Lehman 20+ Yr Treasury Bond Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
46.1.8	iShares Barclays 1-3 Year Credit Bond Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
46.1.9	Wells Fargo Advantage Core Bond Fund	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
46.1.10	Mainstay High Yield Corporate Bond Fund-I	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
46.1.11	iShares S&P 500 Index Fund (IVV)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
46.1.12	iShares Trust Dow Jones US Energy Sector Index Fund (IYE)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
46.1.13	iShares US Dow Jones Medical Equipment Index (IHI)	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46.1.14	iShares MSCI USA Minimum Volatility Index Fund (USMV)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
46.1.15	iShares Edge MSCI USA Value (VLUE)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
46.1.16	iShares Trust S&P Small Cap 600 (IJR)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
46.1.17	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
46.1.18	MFS Institutional International Equity Fund (MIEIX)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
46.1.19	Hartford Schrodgers Emerging Markets (SEMTX)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
46.1.20	iShares Barclays 20+ Year Treasury Bond Fund	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
46.1.21	iShares Barclays MBS Bond Fund	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
46.1.22	iShares Lehman 1-3 Yr Credit Bond Fund	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
46.2	U.S. brokerage acct #10	No			
46.2.1	U.S. brokerage (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
46.3	U.S. brokerage acct #11	No			
46.3.1	U.S. brokerage (Cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
46.4	Promissory Note (family member)	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
47	Trust # 3	No			
47.1	U.S. brokerage acct #12	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
47.1.1	U.S. brokerage (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
47.2	U.S. brokerage acct #13	No			
47.2.1	U.S. brokerage (Cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
47.2.2	Fimm Tax Exempt Portfolio (FTCXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
47.2.3	iShares Core S&P 500 ETF (IVV)	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
47.3	U.S. brokerage acct #14	No			
47.3.1	Vanguard Federal Money Market	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
48	Trust #4	No			
48.1	U.S. brokerage acct #15	No			
48.1.1	Vanguard Federal Money Market	Yes	None (or less than \$1,001)		\$201 - \$1,000
48.1.2	Vanguard S&P 500 ETF (VOO)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
48.2	U.S. brokerage acct #16	No			
48.2.1	U.S. brokerage (Cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
48.3	U.S. brokerage acct #17	No			
48.3.1	U.S. brokerage (Cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
48.3.2	US Treasury Bill 10/3/2019	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48.3.3	US Treasury Bill 2/20/2020	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
48.4	SH Family Partners, LLC	No			
48.4.1	U.S. brokerage acct #6	No			
48.4.1.1	U.S. brokerage (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
48.4.2	General Atlantic Investment Partners, 2017	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
48.5	RPS Partners I LLC	No			
48.5.1	U.S. brokerage acct #7	No			
48.5.1.1	U.S. brokerage (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
48.5.1.2	Royalty Pharma Plc (RPRX)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
48.5.2	RPI US Partners 2019 LP (see line 28.2)	N/A	None (or less than \$1,001)	Capital Gains Interest Ordinary Income	\$829,571
48.6	Taconic European Credit Dislocation Fund II, LP	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
48.7	T Capital VI Investors	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
48.8	Crescent Limau Asia Holdings Ltd (see underlying holdings in line 25)	No	\$250,001 - \$500,000	Capital Gains	\$1,001 - \$2,500
49	Trust #5	No			
49.1	U.S. brokerage acct #18	No			
49.1.1	U.S. brokerage (Cash)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49.1.2	RBC US Government Money Market Fund (TUIXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
49.1.3	SPDR Barclays 1-3 Mnth T Bill ETF	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
49.1.4	iShares Core S&P 500 ETF (IVV)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
49.2	U.S. brokerage acct #19	No			
49.2.1	U.S. brokerage (Cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
49.2.2	Fimm Tax Exempt Class I Money Market (FTCXX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
49.2.3	iShares Core S&P 500 ETF (IVV)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
49.3	U.S. brokerage acct #20	No			
49.3.1	Vanguard Federal Money Market	Yes	None (or less than \$1,001)		\$201 - \$1,000
49.4	Taconic European Credit Dislocation Fund II, LP	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
49.5	T Capital VI Investors	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
49.6	Crescent Limau Asia Holdings Ltd (See line 25 for underlying assets)	No	\$250,001 - \$500,000	Capital Gains	\$1,001 - \$2,500
49.7	SH Family Partners, LLC	No			
49.7.1	U.S. brokerage acct #6	No			
49.7.1.1	U.S. brokerage (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
49.7.2	General Atlantic Investment Partners, 2017	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49.8	RPS Partners I LLC	No			
49.8.1	U.S. brokerage acct #7	No			
49.8.1.1	U.S. brokerage (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
49.8.1.2	Royalty Pharma Plc (RPRX)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
49.8.2	RPI US Partners 2019 LP (see line 28.2)	N/A	None (or less than \$1,001)	Capital Gains Interest Ordinary Income	\$829,571
50	Promissory Note (family member)	N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
51	Centerbridge Capital Partners AIV II LP	Yes	None (or less than \$1,001)		\$201 - \$1,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	City National Bank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2003	3.585%	1/1/2049
2	Rockefeller Capital Management Margin on JDH x069	Margin	\$100,001 - \$250,000	2021	1.04%	on demand

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
3	BlackRock Private Opportunities Fund II LP (RLS)	Outstanding Capital Commitments	\$100,001 - \$250,000	2007	0	on demand
4	Centerbridge Capital Partners Strategic LP (RLS)	Outstanding Capital Commitments	\$50,001 - \$100,000	2006	0	on demand
5	General Atlantic Investment Partners 2017 LP (RLS)	Outstanding Capital Commitments	\$1,000,001 - \$5,000,000	2017	0	on demand
6	General Atlantic Investment Partners 2017 LP (Jane)	Outstanding Capital Commitments	\$1,000,001 - \$5,000,000	2017	0	on demand
7	Glisco Capital Partners III LP (RLS)	Outstanding Capital Commitments	\$50,001 - \$100,000	2012	0	on demand
8	Insight Venture Partners Fund X LP (JDH)	Outstanding Capital Commitments	\$15,001 - \$50,000	2019	0	on demand
9	Insight Venture Partners Fund X Follow-On Fund LP (JDH)	Outstanding Capital Commitments	\$1,000,001 - \$5,000,000	2021	0	on demand
10	Limau Asia Holdings Ltd. Project Lime (RLS)	Outstanding Capital Commitments	\$50,001 - \$100,000	2019	0	on demand
11	Limau Asia Holdings Ltd. Project Lime (JDH)	Outstanding Capital Commitments	\$15,001 - \$50,000	2019	0	on demand
12	T Capital V Investors LP (RLS)	Outstanding Capital Commitments	\$100,001 - \$250,000	2014	0	on demand
13	T Capital VI Investors LP (RLS)	Outstanding Capital Commitments	\$1,000,001 - \$5,000,000	2019	0	on demand

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
14	Taconic Euro Credit Dislocation Fund II, LP (RLS)	Outstanding Capital Commitments	\$500,001 - \$1,000,000	2017	0	on demand
15	Taconic Euro Credit Dislocation Fund II, LP (JDH)	Outstanding Capital Commitments	\$250,001 - \$500,000	2017	0	on demand
16	General Atlantic Investment Partners 2017 LP (KHS 17 Tr)	Outstanding Capital Commitments	\$500,001 - \$1,000,000	2017	0	on demand
17	General Atlantic Investment Partners 2017 LP (JMHS 2017 Tr)	Outstanding Capital Commitments	\$500,001 - \$1,000,000	2017	0	on demand
18	Limau Asia Holdings Ltd. Project Lime (KHS 17 Tr)	Outstanding Capital Commitments	\$15,001 - \$50,000	2019	0	on demand
19	Limau Asia Holdings Ltd. Project Lime (JMHS 17 Tr)	Outstanding Capital Commitments	\$15,001 - \$50,000	2019	0	on demand
20	T Capital Investors V Investors LP (RLS 1998 Trust)	Outstanding Capital Commitments	\$50,001 - \$100,000	2014	0	on demand
21	T Capital Investors VI Investors LP (KHS 17 Tr)	Outstanding Capital Commitments	\$500,001 - \$1,000,000	2019	0	on demand
22	T Capital Investors VI Investors LP (JMHS 17 Tr)	Outstanding Capital Commitments	\$500,001 - \$1,000,000	2019	0	on demand
23	Taconic Euro Credit Dislocation Fund II, LP (KHS 17 TR)	Outstanding Capital Commitments	\$250,001 - \$500,000	2017	0	on demand
24	Taconic Euro Credit Dislocation Fund II, LP (JMHS 17 Tr)	Outstanding Capital Commitments	\$250,001 - \$500,000	2017	0	on demand

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	28.2	RPI US went public in 2020 and became Royal Pharma. RPI US had income during reporting period.

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.

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