

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

Filer's Information

Stadnik, Andrew

Associate Executive Director for Laboratory Sciences, Consumer Product Safety Commission

Report Year: 2021

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/ Stadnik, Andrew [electronically signed on 04/16/2021 by Stadnik, Andrew 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/ Buford, Melissa, Certifying Official [electronically signed on 05/17/2021 by Buford, Melissa in Integrity.gov]

Other review conducted by

/s/ Blizzard, Tyler, Ethics Official [electronically signed on 05/14/2021 by Blizzard, Tyler in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/14/2021

Data Revised 05/11/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Classics AAU Basketball Club	Rockville, Maryland	Non-Profit	President and Head Coach of 3 teams	3/2005	Present
2	Potomac Valley AAU	Largo, Maryland	Non-Profit	Lieutenant Governor	6/2008	Present
3	Potomac Valley AAU	Largo, Maryland	Non-Profit	Girls Basketball Committee Member	5/2006	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	AGS IRA	No	\$250,001 - \$500,000	Traditional IRA - No current income distributed - Dividends and Capital Gains retained within underlying assets in account	\$
1.1	Schwab Cash Balance	See Endnote	N/A		None (or less than \$201)
1.2	AMETEK Inc	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
1.3	Apple Inc. - Common Stock	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
1.4	B&G Foods (BGS)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000	
1.5	Baxter Intl (BAX)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
1.6	BHP Group Ltd	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000	
1.7	Main Street Capital (MAIN)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000	
1.8	QUALCOMM Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
1.9	Visa Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
1.10	Carillon Scout Mid Cap Fund (UMBMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500	
1.11	Seven Canyons Wasatch World Innovators (WAGTX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000	
1.12	Universal Health Realty Trust (UHT)	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000	
1.13	General Motors Company	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.14	Realty Income	See Endnote	No	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.15	ENB Enbridge	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.16	EPR Properties	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
1.17	Bank of America Corp	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
1.18	Miller Industries	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
1.19	Powell Industries, Inc. - Common Stock	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.20	Ryder System Inc (R)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.21	Altra Industrial Motion Corp. (AIMC)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.22	Cohen & Steers Infrastructure Fund, Inc (UTF)	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	\$201 - \$1,000
1.23	Merck & Co., Inc. (MRK)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.24	Synovus Financial Corp. (SNV)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.25	Western Asset High Income Fund II Inc (HIX)	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

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	Centene Corporation	N/A		salary, bonus	
2	Centene-Fidelity 401k	No	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	Fidelity International Discovery K	See Endnote	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.2	UBS US Small Cap Growth Fund	See Endnote	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.3	Janus Enterprise Fund	See Endnote	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.4	Cohen & Steers Realty Income A	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.5	Vanguard Healthcare Admiral Shares Fund	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.6	Fidelity 500 Index (FXAIX)	See Endnote	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.7	T. Rowe Price Blue Chip Growth	See Endnote	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	SLS IRA		No	Over \$1,000,000		None (or less than \$201)
3.1	Clorox (CLX)		No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
3.2	Community Trust Bancorp (CTBI)		No	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
3.3	Conoco Phillips		No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
3.4	Emerson Electric Corp (EMR)		No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
3.5	Espey Mfg and Electronics Corp (ESP)		No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
3.6	Fidelity National Financial (FNF)		No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.7	Cannae Holdings - CNNE	See Endnote	No	\$15,001 - \$50,000	None (or less than \$201)
3.8	Gilead Sciences (GILD)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
3.9	J Alexanders Holdings (JAX)	No	\$1,001 - \$15,000		None (or less than \$201)
3.10	John Bean Technologies	No	\$15,001 - \$50,000		None (or less than \$201)
3.11	Kimberly Clark Corp (KMB)	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
3.12	Kinder Morgan Inc (KMI)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
3.13	Phillips 66 (PSX)	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
3.14	Reaves Utility Income Fund (UTG)	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
3.15	Safety Insurance Group (SAFT)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
3.16	Southwest Airlines (LUV)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
3.17	Texas Instruments (TXN)	No	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
3.18	Hennessy Focus Fund (HFCSX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.19	Wasatch Frontier Emerging Markets (WAFMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.20	Barron's 400 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.21	Omega Healthcare Investments (OHI)		No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
3.22	SPDR Gold Shares ETF (GLD)		Yes	\$15,001 - \$50,000		None (or less than \$201)
3.23	WisdomTree Intl Small Cap Div ETF (DLS)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.24	Abbott Laboratories		No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.25	AbbVie Inc.		No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.26	Boeing Co		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.27	Covanta Holdings		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.28	Schwab Cash Balance	See Endnote	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
3.29	Black Knight Inc - BKL	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
3.30	Realty Income - O	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.31	Ford Motor Co	See Endnote	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
3.32	Premier Financial Bancorp, Inc. - Common Stock	See Endnote	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
3.33	Stepan	See Endnote	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
3.34	Verizon Communications Inc	See Endnote	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
3.35	Schwab US Dividend ETF (SCHD)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.36	Fuller & Thaler Behavioral Small Cap Equity Fund (FTHNX)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.37	Packaging Corp of America (PKG)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.38	Softbank Group Corp - SFTBY		No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
3.39	Citizens Financial Group, Inc. (Rhode Island) (CFG)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.40	Dominion Energy, Inc. (D)		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.41	Kenon Holdings Ordinary Shares (KEN)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.42	Merck & Co., Inc. (MRK)		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.43	Sysco Corp. (SYY)		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.44	Western Asset High Income Fund II Inc (HIX)		No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SLS BofA Checking		N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2	SLS BofA Savings		N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
3	USAA Universal Life - SLS100	See Endnote	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4	MONY Whole Life Insurance- AGS100	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	AGS ETrade Trust	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
5.1	Etrade Cash Sweep	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	Agile Therapeutics, Inc. (AGRX)	No	\$1,001 - \$15,000		None (or less than \$201)
5.3	CTI BioPharma Corp. (CTIC)	No	\$1,001 - \$15,000		None (or less than \$201)
5.4	Digital Ally, Inc. (DGLY)	No	None (or less than \$1,001)		None (or less than \$201)
5.5	Humanigen (HGEN) Common	No	\$1,001 - \$15,000		None (or less than \$201)
5.6	Inovio Pharmaceuticals, Inc. (INO)	No	\$1,001 - \$15,000		None (or less than \$201)
5.7	Sorrento Therapeutics, Inc. (SRNE)	No	\$1,001 - \$15,000		None (or less than \$201)
5.8	CTIC Jan 25 2021 \$4 Call Option	No	None (or less than \$1,001)	Covered call sold	\$573
5.9	HGEN Feb 19 21 \$15 Call Option	No	None (or less than \$1,001)	HGEN Covered Call Option Sold in 2020	\$239
5.10	INO Feb 19 21 \$21 Call Option	No	None (or less than \$1,001)	INO Covered Call Option Sold	\$178
5.11	SRNE Mar 19 21 \$11 Call Option	No	None (or less than \$1,001)	SRNE Covered call option sold	\$328
6	AGS-SLS S1	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
6.1	Schwab Cash Balance	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	Barings B D C Inc (BBDC)		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
7	Upromise 529		Yes	\$1,001 - \$15,000		None (or less than \$201)
7.1	SPDR S&P Mid Cap 400 ETF Trust Portfolio	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
7.2	SPDR Portfolio Developed World ex US ETF	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
7.3	SPDR S&P International Small Cap ETF	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
7.4	SPDR S&P500 ETF Trust	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	SPDR S&P 600 Small Cap ETF	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
8	BofA Savings Account		N/A	\$1,001 - \$15,000		None (or less than \$201)
9	BofA Checking Account		N/A	\$1,001 - \$15,000		None (or less than \$201)
10	SLS Fidelity Brokerage (ESOP)	See Endnote	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
10.1	Centene Corp Common	See Endnote	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
11	USAA Universal Life - AGS350	See Endnote	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	AGRX - Agile Therapeutics		Purchase	02/13/2020	\$1,001 - \$15,000
2	SPCE - Virgin Galactic Holdings		Purchase	02/25/2020	\$1,001 - \$15,000
3	HIX - Western Asset High Income Fund II		Purchase	02/25/2020	\$1,001 - \$15,000
4	HIX - Western Asset High Income Fund II		Purchase	02/25/2020	\$1,001 - \$15,000
5	Novavax, Inc. - Common Stock (NVAX)		Purchase	02/26/2020	\$1,001 - \$15,000
6	Inovio Pharmaceuticals, Inc. - Common Stock (INO)		Purchase	03/06/2020	\$1,001 - \$15,000
7	Cypress Semiconductor Corporation - Common Stock (CY)	See Endnote	Sale	04/17/2020	\$15,001 - \$50,000
8	Dominion Resources Inc (D)	See Endnote	Purchase	05/04/2020	\$1,001 - \$15,000
9	SNV- Synovus Financial	See Endnote	Purchase	05/12/2020	\$1,001 - \$15,000
10	Citizens Financial Group _ CFG	See Endnote	Purchase	05/12/2020	\$1,001 - \$15,000
11	Novavax Inc 5/29/20 \$26 Call Option Sold to Open	See Endnote	Sale	05/12/2020	\$1,001 - \$15,000
12	Novavax, Inc. - Common Stock (NVAX)	See Endnote	Sale	05/19/2020	\$1,001 - \$15,000
13	Sorrento Therapeutics, Inc. - Common Stock (SRNE)		Purchase	05/19/2020	\$1,001 - \$15,000
14	Inovio Pharmaceuticals, Inc. - Common Stock (INO)	See Endnote	Sale	05/21/2020	\$1,001 - \$15,000
15	MVC - MVC Capital		Purchase	06/02/2020	\$1,001 - \$15,000
16	Inovio Pharmaceuticals, Inc. (INO)	See Endnote	Purchase	06/09/2020	\$1,001 - \$15,000
17	Sysco Corp. (SYY)	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
18	SPCE - Virgin Galactic		Sale	06/18/2020	\$1,001 - \$15,000
19	CorEnergy Infrastructure Trust, Inc. (CORR)	See Endnote	Sale	07/13/2020	\$1,001 - \$15,000
20	Inovio Pharmaceuticals, Inc. (INO)	See Endnote	Sale	07/17/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
21	CTI BioPharma Corp. (CTIC)		Purchase	07/20/2020	\$1,001 - \$15,000
22	Capricor Therapeutics, Inc. (CAPR)		Purchase	07/20/2020	\$1,001 - \$15,000
23	Oakmark Global Fund Investor Class Shares (OAKGX)		Sale	07/20/2020	\$15,001 - \$50,000
24	Emerging Markets Portfolio Advisor Class Shares (HLEMX)		Sale	07/20/2020	\$15,001 - \$50,000
25	Inovio Pharmaceuticals, Inc. (INO)		Purchase	08/05/2020	\$1,001 - \$15,000
26	Jernigan Capital, Inc. (JCAP)		Sale	08/06/2020	\$1,001 - \$15,000
27	Sorrento Therapeutics, Inc. (SRNE)	See Endnote	Sale	08/10/2020	\$1,001 - \$15,000
28	Corbus Pharmaceuticals Holdings, Inc. (CRBP)		Purchase	08/18/2020	\$1,001 - \$15,000
29	Cohen & Steers Infrastructure Fund, Inc (UTF)	See Endnote	Purchase	08/21/2020	\$1,001 - \$15,000
30	Apple, Inc. (AAPL)	See Endnote	Sale	09/02/2020	\$15,001 - \$50,000
31	Baxter International, Inc. (BAX)	See Endnote	Purchase	09/21/2020	\$1,001 - \$15,000
32	Western Asset High Income Fund II Inc (HIX)	See Endnote	Purchase	09/23/2020	\$1,001 - \$15,000
33	Avanos Medical, Inc. (AVNS)	See Endnote	Sale	10/06/2020	\$1,001 - \$15,000
34	HGEN - Humanigen Common		Purchase	10/06/2020	\$1,001 - \$15,000
35	Merck & Co., Inc. (MRK)	See Endnote	Purchase	10/06/2020	\$15,001 - \$50,000
36	Merck & Co., Inc. (MRK)	See Endnote	Purchase	10/06/2020	\$15,001 - \$50,000
37	Altra Industrial Motion Corp. (AIMC)	See Endnote	Purchase	10/26/2020	\$1,001 - \$15,000
38	KEN - Kenon Holdings Ltd	See Endnote	Purchase	10/26/2020	\$1,001 - \$15,000
39	Corbus Pharmaceuticals Holdings, Inc. (CRBP)	See Endnote	Sale	11/12/2020	

#	DESCRIPTION		TYPE	DATE	AMOUNT
40	William Blair Small Cap Growth Fund Class N Shares (WBSNX)	See Endnote	Sale	11/13/2020	\$1,001 - \$15,000
41	Hennessy Focus Fund Investor Class Shares (HFCSX)	See Endnote	Purchase	12/08/2020	\$15,001 - \$50,000
42	Fidelity International Discovery Fund Class K Shares (FIDKX)	See Endnote	Purchase	12/04/2020	\$1,001 - \$15,000
43	Meridian Bioscience, Inc. (VIVO)	See Endnote	Sale	12/21/2020	\$15,001 - \$50,000
44	UBS US Small Cap Growth Fund Class P Shares (BISCX)		Purchase	12/18/2020	\$1,001 - \$15,000
45	Vanguard Health Care Fund Admiral Shares (VGHAX)		Purchase	12/18/2020	\$1,001 - \$15,000
46	Janus Henderson Enterprise Fund Class N Shares (JDMNX)		Purchase	12/18/2020	\$1,001 - \$15,000
47	Capricor Therapeutics, Inc. (CAPR)		Sale	12/28/2020	\$1,001 - \$15,000
48	Seven Canyons World Innovators Fund Investor Class Shares (WAGTX)	See Endnote	Purchase	12/30/2020	\$1,001 - \$15,000
49	BBDC - Barings BDC Inc	See Endnote	Exchange	12/28/2020	\$1,001 - \$15,000
50	MVC Capital (MVCC)	See Endnote	Exchange	12/28/2020	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1.1	Brokerage Cash Balance - no longer under fund
2.	1.13	Bought 12/22/16
2.	1.14	Bought 12/1/16
2.	1.15	Spectra Energy merger with Enbridge
5.	2	Spouse Alerus 401k transferred by merged employer company to Fidelity 401k
5.	2.1	Centene-Fidelity 401k Assets Added from spouse employer merger into Centene Corp and conversion of Alerus 401k to Fidelity 401k in Jan 2016
5.	2.2	Centene-Fidelity 401k Assets Added from spouse employer merger into Centene Corp and conversion of Alerus 401k to Fidelity 401k in Jan 2016
5.	2.3	Centene-Fidelity 401k Assets Added from spouse employer merger into Centene Corp and conversion of Alerus 401k to Fidelity 401k in Jan 2016
5.	2.4	Centene-Fidelity 401k Assets Added from spouse employer merger into Centene Corp and conversion of Alerus 401k to Fidelity 401k in Jan 2016
5.	2.5	Centene-Fidelity 401k Assets Added from spouse employer merger into Centene Corp and conversion of Alerus 401k to Fidelity 401k in Jan 2016
5.	2.6	FXAIX switched by Fidelity from Fidelity 500 Index Institutional Fund
5.	2.7	Swapped out of Fidelity Capital Appreciation Fund
5.	3.7	CNNE name change from FNFV to Cannae 11-20-17
5.	3.28	Schwab Cash Balances in general balance not in fund
5.	3.29	Spin Off from FNFV 10-2-17
5.	3.30	Asset purchased on 12/1/2016 but inadvertently omitted from 2017 278e form.

PART	#	ENDNOTE
5.	3.31	Added Jan 2018
5.	3.32	Added 12-4-18
5.	3.33	Added 2-2-18
5.	3.34	Added 12-20-18
5.	3.35	Added 10-11-18
5.	3.36	Added 1-8-18
6.	3	USAA does not list specific underlying assets related to this account
6.	4	Reporting Surrender Cash Value vs Death benefit
6.	7.1	Upromise Changed portfolios to normal market ETFs - all exchanges were all well under \$1000 - Formerly part of SSgA Aggressive Portfolio
6.	7.2	Upromise Changed portfolios to normal market ETFs - all exchanges were all well under \$1000 - Formerly part of SSgA Moderate Portfolio
6.	7.3	Upromise Changed portfolios to normal market ETFs - all exchanges were all well under \$1000 - Formerly part of Conservative Portfolio
6.	7.4	Upromise Changed portfolios to normal market ETFs - all exchanges were all well under \$1000 - Formerly part of SSgA Conservative Portfolio
6.	7.5	Upromise Changed portfolios to normal market ETFs - all exchanges were all well under \$1000 - Formerly part of SSgA Aggressive Portfolio
6.	10	Centene Employee Stock Ownership Plan thru Fidelity - Initiated Jan 2016 after employer merger with Centene Corp. Transactions quarterly less than \$400 per
6.	10.1	Centene Employee Stock Ownership Plan thru Fidelity - Initiated Jan 2016 after employer merger with Centene Corp. Transactions quarterly less than \$400 per
6.	11	USAA Does not report underlying assets
7.	7	Infineon Buy Out of Cypress Semi
7.	8	IRA
7.	9	IRA

PART	#	ENDNOTE
7.	10	IRA
7.	11	2 Call options sold to open contract for NVAX 5-26-20 at \$26. Etrade
7.	12	Early Call of NVAX\$26 5-29 Options
7.	14	Options call exercised on INO
7.	16	E-trade
7.	17	S IRA
7.	19	Close out - tax loss harvest
7.	20	Option exercised.
7.	27	Sale of 3 covered call contracts due 8/21/20 @\$15 for \$5 per contract
7.	29	AGS IRA
7.	30	AGS IRA asset allocation adjustment
7.	31	AGS IRA
7.	32	IRA
7.	33	IRA
7.	35	IRA
7.	36	IRA
7.	37	AGS IRA
7.	38	IRA
7.	39	Tax loss sale - amount of sale was under \$500
7.	40	IRA
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PART	#	ENDNOTE
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7.	50	MVC Capital merged into BBDC Barings Bus Dev Corp

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

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