

# Executive Branch Personnel

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

### Filer's Information

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Workman, Thomas Eldon

Independent Member, Financial Stability Oversight Council, Department of the Treasury

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Workman, Thomas Eldon [electronically signed on 05/11/2023 by Workman, Thomas Eldon in Integrity.gov]

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

/s/ Sonfield, Brian, Certifying Official [electronically signed on 05/24/2023 by Sonfield, Brian in Integrity.gov]

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Other review conducted by

/s/ O'Dell, Kerry, Ethics Official [electronically signed on 05/24/2023 by O'Dell, Kerry in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/12/2023 by Granahan, Megan in Integrity.gov]

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Data Revised 05/24/2023

Data Revised 05/15/2023

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Revocable Trust #1	Columbus, Ohio	Trust	Trustee	7/2004	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEP-IRA:	No			
1.1	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Vanguard Dividend Appreciation (VIG)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3	AQR Diversified Arbitrage Instl (ADAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	DFA U.S. Large Cap Value Instl (DFLVX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	Roth IRA:	No			
2.1	BlackRock Strategic Income Opps Institutional (BSIIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	Dodge & Cox stock fund (DODGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Harbor Capital Appreciation Institutional (HACAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Matthews Pacific Tiger Institutional (MIPTX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.6	Meridian Growth Fund Legacy Class (MERDX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.7	PIMCO Corp Opportunity Fund II	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.8	U.S. bank account #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.9	Schwab Fundamental Intl Lg Co ETF (FNDF)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.10	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.11	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.12	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.13	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.14	Vanguard International Value Fund Investor Shares (VTRIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	IRA:	No		Cash Distributions	\$38,873
3.1	AQR Diversified Arbitrage Institutional (ADAIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	AQR Long-Short Equity I (QLEIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.3	BlackRock Strategic Income Opps Institutional (BSIIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	Hatteras Core Alternatives TEI Institutional Fund LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.5	PIMCO Commodity Real Return Institutional (PCRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	PIMCO Income Institutional (PIMIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3.7	Vanguard Market Neutral Inv (VMNFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.8	Vanguard Short-Term Bond Index Fund Adm (VBIRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.9	TIAA Traditional	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.10	U.S. bank account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.11	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.12	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.13	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.14	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	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	Spouse's artistic works (value of unsold artwork not readily ascertainable)	No		Art Sales	
1.1	"Circe's Garden #6" (Sale of Oil Painting)	N/A			

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Revocable Trust #1:				
1.1	Longleaf Partners Small-cap (LLSCX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.2	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Separately Managed Account (Brokerage Account):	No			
1.3.1	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.2	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.3	Diageo Plc New F 1 ADR Reps 4 Ord (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.4	Dow Inc. (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.5	Genuine Parts Co (GPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.6	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.7	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.8	CISCO Systems Inc (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.9	Lilly Eli & Co (LLY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.10	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.11	NextEra Energy Inc (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.12	Philip Morris International (PM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.13	Raytheon Technologies Corp. (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.14	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.15	Unilever N.V. Common Stock (UL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.16	Davis Select US Equity ETF (DUSA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3.17	Corteva Inc. (CTVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Apple Computer, Inc. (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.5	U.S. bank account (cash)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
1.6	Davis Select US Equity ETF (DUSA)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2	Revocable Trust #2:				
2.1	U.S. bank account (cash)	N/A	\$1,001 - \$15,000	Interest	\$5,001 - \$15,000
2.2	Morse & Hamilton Limited Partnership	See Endnote	N/A	Over \$1,000,000	Capital Gains Rent or Royalties \$15,001 - \$50,000
2.3	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.5	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.6	iShares Ultra Short-Term Bond ETF (ICSH)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.7	DFA Dimensional Global Real Estate ETF (DFGR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Irrevocable Trust #1:				
3.1	BlackRock Strategic Income Opportunity Institutional (BSIIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.2	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.3	DFA US Small Cap Value Institutional (DFSVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.4	Harbor Capital Appreciation Institutional (HACAX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	U.S. bank account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Schwab US Large Cap ETF (SCHX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.7	Vanguard Intermediate-Term Tax-Exempt (VWITX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.8	Davis Select US Equity ETF (DUSA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.9	AQR Diversified Arbitrage Instl (ADAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	Vanguard Interm-Term Tax-Exempt Fund Adm (VWIUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.11	Vanguard Market Neutral Inv (VMNFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.12	Vanguard Equity Income Fund Adm (VEIRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.13	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.17	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.19	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	Vanguard International Value Fund Investor Shares (VTRIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.21	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.23	PIMCO Active Bond Exchange-Traded Fund (BOND)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.24	iShares S&P Small-Cap 600 Growth ETF (IJT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.25	Matthews Asia Innovators Active ETF Matthews Asia Innovators Active ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Irrevocable Trust #2:				
4.1	AQR Diversified Arbitrage Institutional (ADAIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.2	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.3	DFA US Small Cap Value Institutional (DFSVX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.4	Harbor Capital Appreciation Institutional (HACAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.5	Meridian Growth Fund Legacy Class (MERDX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.6	U.S. bank account #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
4.7	Schwab US Large Cap ETF (SCHX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8	Morse & Hamilton Limited Partnership	See Endnote	N/A	Over \$1,000,000	Capital Gains Rent or Royalties	\$15,001 - \$50,000
4.9	Davis Select US Equity ETF (DUSA)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.10	Vanguard Interm-Term Tax-Exempt Fund Adm (VWIUX)		Yes	\$100,001 - \$250,000		None (or less than \$201)
4.11	AQR Long-Short Equity Fund Class I Shares (QLEIX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
4.12	Vanguard Market Neutral Fund Investor Shs (VMNFX)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.13	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.14	DFAGlobal Real Estate Securities Portfolio (DFGEX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.15	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.16	Vanguard Equity Income Fund Admiral Shares (VEIRX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.17	Artisan International Small-Mid Fund Advisor Shares (APDJX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.18	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.19	iShares Edge MSCI Intl Quality Factor ETF (IQLT)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.20	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.21	Vanguard International Value Fund Investor Shares (VTRIX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.22	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.23	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.24	iShares Ultra Short-Term Bond ETF (ICSH)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.25	PIMCO Active Bond Exchange-Traded Fund (BOND)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.26	Matthews Asia Innovators Active ETF Matthews Asia Innovators Active ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.27	Schwab Fundamental International Large Company Index ETF (FNDF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	Irrevocable Trust #3:				
5.1	U.S. bank account (cash)	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
5.2	AQR Long Short Equity I (QLEIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.3	BlackRock Strategic Income Opportunity Institutional (BSIIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.4	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.5	Harbor Capital Appreciation Institutional (HACAX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
5.6	Longleaf Partners Small Cap (LLSCX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.7	PIMCO Income Instl (PIMIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.8	U.S. bank account #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	Vanguard Dividend Appreciation ETF (VIG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.10	The Vista Plaza, L.P.	See Endnote	N/A		None (or less than \$201)
5.11	The Vista at Rocky Fork, L.P.	See Endnote	N/A	Over \$1,000,000	Capital Gains Rent or Royalties
5.12	Davis Select US Equity ETF (DUSA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.13	AQR Diversified Arbitrage Instl (ADAIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.14	Vanguard Interm-Term Tax-Exempt Fund Adm (VWIUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.15	Vanguard Market Neutral Fund Investor Shs (VMNFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.16	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.17	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.18	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.19	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.20	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.21	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.22	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.23	Vanguard International Value Fund Investor Shares (VTRIX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.24	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.25	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.26	iShares S&P Small-Cap 600 Growth ETF (IJT)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.27	Matthews Asia Innovators Active ETF Matthews Asia Innovators Active ETF		Yes	\$1,001 - \$15,000		None (or less than \$201)
6	TIAA-CREF Personal Annuity Select	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7	TIAA-CREF Personal Annuity Select	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
8	Mutual of America Flexible Premium Annuity	See Endnote	N/A	\$1,001 - \$15,000	Interest	\$2,501 - \$5,000
9	Personal Loan to friend	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	U.S. bank account #1 (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
11	U.S. bank account #2 (cash)		N/A	None (or less than \$1,001)		None (or less than \$201)
12	U.S. bank account #3 (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
13	NY College Savings 529 Plan #1:		No			
13.1	Vanguard Total International Stock Index Fund (VTPSX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
13.2	Vanguard Developed Markets Index Fund (VDIPX)		Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.3	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.4	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
13.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	NY College Savings 529 Plan #2:	No			
14.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.2	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.3	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
14.4	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
14.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	NY College Savings 529 Plan #3:	No			
15.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.2	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.3	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.4	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.5	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.6	Vanguard Short Term Reserves Account	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	NY College Savings 529 Plan #4:	No			
16.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.2	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.3	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.4	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
16.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	NY College Savings 529 Plan #5:	No			
17.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.2	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.3	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17.4	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	Northwestern Mutual, Whole Life #1	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19	Northwestern Mutual, Whole Life #2	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
20	Northwestern Mutual, Whole Life #3	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
21	Northwestern Mutual, Whole Life #4	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
22	Northwestern Mutual, Whole Life #5	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
23	Irrevocable Life Insurance Trust				
23.1	Northwestern Mutual, Whole Life #6	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
23.2	Northwestern Mutual, Whole Life #7	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
23.3	Northwestern Mutual, Whole Life #8	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
24	Joint Account (Brokerage account):	No			
24.1	Vanguard Inflation-Protected Securities Fund Inv (VIPSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
24.2	Vanguard Long-Term Investment Grade Fund Inv (VWESX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
24.3	Vanguard Total Stock Market Index Fund (VTSAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	Pan American Life, Whole Life	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	NY College Savings 529 Plan #6	No			
26.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
26.2	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
26.3	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
26.4	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
26.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
26.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	MatthewsPacific Tiger Fund Investor Class Shares (MAPTX)	Purchase	03/14/2022	\$1,001 - \$15,000
2	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	03/14/2022	\$1,001 - \$15,000
3	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	04/26/2022	\$100,001 - \$250,000
4	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Purchase	04/26/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
5	PIMCO CommodityRealReturn Strategy Fund Institutional Class Shares (PCRIX)	Sale	04/26/2022	\$50,001 - \$100,000
6	Davis Select US Equity ETF (DUSA)	Sale	06/15/2022	\$1,001 - \$15,000
7	JPMorgan Ultra-Short Income ETF (JPST)	Sale	06/15/2022	\$50,001 - \$100,000
8	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	06/22/2022	\$1,001 - \$15,000
9	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Sale	06/22/2022	\$15,001 - \$50,000
10	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	06/22/2022	\$1,001 - \$15,000
11	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	06/22/2022	\$1,001 - \$15,000
12	Vanguard Market Neutral Fund Investor Shs (VMNFX)	Sale	06/22/2022	\$1,001 - \$15,000
13	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Sale	07/26/2022	\$15,001 - \$50,000
14	PIMCO RAFI Dynamic Multi-FactorEmerging Markets Equity ETF (MFEM)	Purchase	07/27/2022	\$15,001 - \$50,000
15	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Sale	08/03/2022	\$100,001 - \$250,000
16	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Sale	08/03/2022	\$15,001 - \$50,000
17	iShares Edge MSCI Multifactor Intl ETF (INTF)	Purchase	08/04/2022	\$100,001 - \$250,000
18	iShares Edge MSCI Multifactor Intl ETF (INTF)	Purchase	08/04/2022	\$15,001 - \$50,000
19	PIMCO RAFI Dynamic Multi-FactorEmerging Markets Equity ETF (MFEM)	Sale	08/30/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
20	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Purchase	08/31/2022	\$15,001 - \$50,000
21	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	09/09/2022	\$250,001 - \$500,000
22	JPMorgan Ultra-Short Income ETF (JPST)	Sale	09/09/2022	\$1,001 - \$15,000
23	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Sale	09/09/2022	\$15,001 - \$50,000
24	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	09/09/2022	\$1,001 - \$15,000
25	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	09/09/2022	\$1,001 - \$15,000
26	Harbor Capital Appreciation Fund Institutional Class Shares (HACAX)	Purchase	09/09/2022	\$1,001 - \$15,000
27	Matthews Pacific Tiger Fund Institutional Class Shares (MIPTX)	Purchase	09/09/2022	\$1,001 - \$15,000
28	Meridian Growth Fund Legacy Class Shares (MERDX)	Purchase	09/09/2022	\$1,001 - \$15,000
29	AQR Long-Short Equity Fund Class I Shares (QLEIX)	Sale	09/09/2022	\$1,001 - \$15,000
30	ELEMENTS Exchange Traded Notes Rogers International Commodity Index - Total Return (RJ)	Sale	09/09/2022	\$1,001 - \$15,000
31	JPMorgan Ultra-Short Income ETF (JPST)	Sale	09/09/2022	\$15,001 - \$50,000
32	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Sale	09/09/2022	\$100,001 - \$250,000
33	Vanguard Market Neutral Fund Investor Shs (VMNFX)	Sale	09/09/2022	\$1,001 - \$15,000
34	Vanguard Short-Term Bond Index Fund Admiral Shares (VBIRX)	Sale	09/09/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Sale	09/09/2022	\$15,001 - \$50,000
36	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	09/09/2022	\$1,001 - \$15,000
37	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)	Purchase	09/12/2022	\$100,001 - \$250,000
38	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Purchase	09/12/2022	\$100,001 - \$250,000
39	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)	Purchase	09/12/2022	\$1,001 - \$15,000
40	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Purchase	09/12/2022	\$1,001 - \$15,000
41	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)	Purchase	09/12/2022	\$50,001 - \$100,000
42	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Purchase	09/12/2022	\$50,001 - \$100,000
43	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Purchase	09/12/2022	\$50,001 - \$100,000
44	Schwab Fundamental International Large Company Index ETF (FNDF)	Purchase	09/12/2022	\$1,001 - \$15,000
45	Schwab Fundamental International Large Company Index ETF (FNDF)	Purchase	09/12/2022	\$1,001 - \$15,000
46	iShares iBonds Dec 2026 Term Muni Bond ETF (IBMO)	Purchase	09/12/2022	\$1,001 - \$15,000
47	iShares iBonds Dec 2027 Term Muni Bond ETF (IBMP)	Purchase	09/12/2022	\$1,001 - \$15,000
48	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	10/05/2022	\$100,001 - \$250,000
49	iShares Edge MSCI Multifactor Intl ETF (INTF)	Sale	10/05/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
50	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	10/05/2022	\$15,001 - \$50,000
51	iShares Edge MSCI Multifactor Intl ETF (INTF)	Sale	10/05/2022	\$15,001 - \$50,000
52	PIMCO Corp Opportunity Fund II	Sale	10/17/2022	\$1,001 - \$15,000
53	ELEMENTS Exchange Traded Notes Rogers International Commodity Index - Total Return (RJ)	Sale	10/24/2022	\$1,001 - \$15,000
54	ELEMENTS Exchange Traded Notes Rogers International Commodity Index - Total Return (RJ)	Sale	10/24/2022	\$15,001 - \$50,000
55	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	11/09/2022	\$1,001 - \$15,000
56	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Purchase	11/09/2022	\$1,001 - \$15,000
57	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	11/09/2022	\$1,001 - \$15,000
58	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	11/09/2022	\$1,001 - \$15,000
59	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Purchase	11/09/2022	\$1,001 - \$15,000
60	AQR Long-Short Equity Fund Class I Shares (QLEIX)	Sale	11/17/2022	\$1,001 - \$15,000
61	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Sale	11/17/2022	\$1,001 - \$15,000
62	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	Sale	11/17/2022	\$1,001 - \$15,000
63	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Sale	11/17/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	11/17/2022	\$1,001 - \$15,000
65	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	11/17/2022	\$1,001 - \$15,000
66	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	11/17/2022	\$1,001 - \$15,000
67	Vanguard International Value Fund Investor Shares (VTRIX)	Sale	11/17/2022	\$1,001 - \$15,000
68	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Sale	11/18/2022	\$1,001 - \$15,000
69	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Sale	11/18/2022	\$15,001 - \$50,000
70	Avantis Real Estate ETF Avantis Real Estate ETF (AVRE)	Purchase	11/21/2022	\$15,001 - \$50,000
71	Avantis Real Estate ETF Avantis Real Estate ETF (AVRE)	Purchase	11/21/2022	\$1,001 - \$15,000
72	Matthews Asia Innovators Active ETF Matthews Asia Innovators Active ETF	Purchase	12/12/2022	\$1,001 - \$15,000
73	MatthewsPacific Tiger Fund Investor Class Shares (MAPTX)	Sale	12/12/2022	\$1,001 - \$15,000
74	Meridian Growth Fund Legacy Class Shares (MERDX)	Sale	12/12/2022	\$1,001 - \$15,000
75	Matthews Asia Innovators Active ETF Matthews Asia Innovators Active ETF	Purchase	12/12/2022	\$15,001 - \$50,000
76	MatthewsPacific Tiger Fund Institutional Class Shares (MIPTX)	Sale	12/12/2022	\$15,001 - \$50,000
77	Matthews Asia Innovators Active ETF Matthews Asia Innovators Active ETF	Purchase	12/12/2022	\$1,001 - \$15,000
78	MatthewsPacific Tiger Fund Institutional Class Shares (MIPTX)	Sale	12/12/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
79	Meridian Growth Fund Legacy Class Shares (MERDX)	Sale	12/12/2022	\$1,001 - \$15,000
80	iShares S&P Small-Cap 600 Growth ETF (IJT)	Purchase	12/13/2022	\$1,001 - \$15,000
81	iShares S&P Small-Cap 600 Growth ETF (IJT)	Purchase	12/13/2022	\$1,001 - \$15,000
82	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Sale	12/15/2022	\$50,001 - \$100,000
83	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	12/15/2022	\$50,001 - \$100,000
84	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Sale	12/15/2022	\$100,001 - \$250,000
85	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	12/15/2022	\$100,001 - \$250,000
86	iShares Ultra Short-Term Bond ETF (ICSH)	Purchase	12/16/2022	\$50,001 - \$100,000
87	PIMCO Active Bond Exchange-Traded Fund (BOND)	Purchase	12/16/2022	\$50,001 - \$100,000
88	iShares Ultra Short-Term Bond ETF (ICSH)	Purchase	12/16/2022	\$100,001 - \$250,000
89	PIMCO Active Bond Exchange-Traded Fund (BOND)	Purchase	12/16/2022	\$100,001 - \$250,000
90	Avantis Real Estate ETF Avantis Real Estate ETF (AVRE)	Sale	12/21/2022	\$15,001 - \$50,000
91	Avantis Real Estate ETF Avantis Real Estate ETF (AVRE)	Sale	12/21/2022	\$1,001 - \$15,000
92	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$1,001 - \$15,000
93	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
94	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$1,001 - \$15,000
95	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$1,001 - \$15,000
96	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$1,001 - \$15,000
97	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$1,001 - \$15,000
98	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$1,001 - \$15,000
99	DFA Dimensional Global Real Estate ETF (DFGR)	Purchase	12/22/2022	\$15,001 - \$50,000
100	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Sale	12/22/2022	\$50,001 - \$100,000
101	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	12/22/2022	\$15,001 - \$50,000
102	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	12/22/2022	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citizen's Bank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2020	3%	15
2	PIMCO Corp Opportunity Fund II	Committed Capital	\$100,001 - \$250,000	2016	N/A	On Demand

## 9. Gifts and Travel Reimbursements

None

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### Endnotes

PART	#	ENDNOTE
6.	2.2	Commercial Real Estate, Gahanna, Ohio
6.	4.8	Commercial Real Estate, Gahanna, Ohio
6.	5.10	Commercial Real Estate, Gahanna, Ohio
6.	5.11	Residential Real Estate, Gahanna, Ohio
6.	6	Fixed option selected, earning the guaranteed minimum return of 3.0%
6.	7	Fixed option selected, earning the guaranteed minimum return of 3.0%
6.	8	100% of the funds are invested in the "Interest Accumulation Account" with a current Effective Annual Yield of 1%
6.	9	Receivable from P. Squire.

# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

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

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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