

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Crocker, Bathsheba

U.S. Representative to Office of the United Nations and Other International Organizations in Geneva w/rank of Ambassador, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

Senior Advisor, Department of State (1/2021 - Present)

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/ Crocker, Bathsheba [electronically signed on 05/06/2021 by Crocker, Bathsheba in Integrity.gov]

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

/s/ Huitema, David, Certifying Official [electronically signed on 07/14/2021 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

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

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|-----------------------|----------------------------------|-------------------------|--|---------|--------|
| 1 | PT Fund, Inc. | Washington, District of Columbia | Biden-Harris Transition | Member, Agency Review Teams | 11/2020 | 1/2021 |
| 2 | CARE USA | Washington, District of Columbia | Non-Profit | Vice President, Humanitarian | 7/2017 | 1/2021 |
| 3 | Georgetown University | Washington, District of Columbia | University/College | Centennial Fellow, School of Foreign Service | 9/2019 | 5/2020 |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|--------------------|--------------------|---------------------------|
| 1 | PT Fund, Inc. | N/A | | Salary | \$20,000 |
| 2 | CARE USA | N/A | | Salary | \$169,924 |
| 3 | Georgetown University | N/A | | Fellowship Stipend | \$29,999 |
| 4 | Crocker IRA | No | | | |
| 4.1 | ABB LTD ADS (ABB) (Electrical equipment) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.2 | ABBOTT LABORATORIES | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.3 | ACCENTURE PLC IRELAND CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|--------------------|-------------|---------------------------|
| 4.4 | ACTIVISION BLIZZARD INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.5 | AIA GROUP LTD ADR (AAGIY) (Insurance) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.6 | AIRBUS SE UNSPONSORED ADR (EADSY) (Aerospace & Defense) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.7 | ALLEGION PUB LTD CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.8 | ALPHABET INC CL C | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.9 | AMAZON COM INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.10 | AMERICAN TOWER REIT COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.11 | AMETEK INC NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.12 | AMPHENOL CORP NEW CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.13 | ANHEUSER BUSCH INBEV SA SPON ADS (BUD) (Beverages) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.14 | ANSYS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.15 | AON PLC CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.16 | APPLE INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.17 | APPLIED MATERIALS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|--------------------|-------------|---------------------------|
| 4.18 | APTIV PLC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.19 | ASAHI KAISEI CORP ADR (AHKSY) (Chemicals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.20 | ASML HOLDING NV NY REG NEW (ASML) (Semiconductors & Semiconductor Equipment) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.21 | ASPEN TECHNOLOGY INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.22 | ASTRAZENECA PLC ADR (AZN) (Pharmaceuticals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.23 | AUTOMATIC DATA PROCESSING INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.24 | B&M EUROPEAN VALUE RET SA ADR (BMRRY) (Multiline Retail) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.25 | BENTLEY SYS INC COM CL B | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.26 | BERKLEY W R CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.27 | BERKSHIRE HATHAWAY CL-B NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.28 | BOSTON SCIENTIFIC CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.29 | BRIGHT HORIZONS FAMILY SOLUT | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.30 | BRITISH AMER TOB SPON ADR (BTI) (Tobacco) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.31 | BROADCOM INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|---------------------|-------------|---------------------------|
| 4.32 | CALAMOS MARKET NEUTRAL INC I | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.33 | CAPITAL ONE FINANCIAL CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.34 | CARLSBERG AS (B) ADR (CABGY) (Beverages) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.35 | CARRIER GLOBAL CORPORATION | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.36 | CDW CORPORATION | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.37 | CHARLES RIVER LABS INTL INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.38 | CHARLES SCHWAB NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.39 | CHEMED CORPORATION | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.40 | CHEVRON CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.41 | CHUBB LTD | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.42 | CIGNA CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.43 | CITIGROUP INC NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.44 | CITIZENS FINANCIAL GROUP INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.45 | CME GROUP INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|--------------------|-------------|---------------------------|
| 4.46 | COLGATE PALMOLIVE CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.47 | COMCAST CORP (NEW) CLASS A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.48 | COMPAGNIE FIN RICHEMONTAG ADR (CFRUY) (Textiles, Apparel & Luxury Goods) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.49 | CONOCOPHILLIPS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.50 | COOPER CO INC NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.51 | CROWN CASTLE INTL CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.52 | CSX CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.53 | DANAHER CORPORATION | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.54 | DIAGEO PLC SPON ADR NEW (DEO) (Beverages) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.55 | DISCOVER FINCL SVCS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.56 | DNB ASA SPONSORED ADR (DNHBY) (Bank Products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.57 | DUCK CREEK TECHNOLOGIES INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.58 | DUKE ENERGY CORPORATION | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.59 | EATON VANCE FLOATING RATE I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|--------------------|-------------|---------------------------|
| 4.60 | EATON CORP PLC SHS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.61 | ELANCO ANIMAL HEALTH INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.62 | ENEL SOCIETA PER AZIONI ADR (ENLAY) (Electric Utilities) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.63 | ENGIE SPONS ADR (ENGIY) (Multi-Utilities & Unregulated Power) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.64 | EQUIFAX INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.65 | EQUINIX INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.66 | ESSILORLUXOTTICA ADR (ESLOY) (Textiles, Apparel & Luxury Goods) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.67 | EXPONENT INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.68 | FACEBOOK INC CL-A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.69 | FAIR ISAAC & CO INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.70 | FERGUSON PLC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.71 | FIDELITY NATL INFORMATION SE | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.72 | FISERV INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.73 | FLIR SYSTEMS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|----------------------|-------------|---------------------------|
| 4.74 | GATEWAY FUND Y | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 4.75 | GENMAB A S ADR (GMAB) (Biotechnology) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.76 | GILEAD SCIENCE | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.77 | GODADDY INC. | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.78 | HILTON WORLDWIDE HLDGS INC | N/A | \$1,001 - \$15,000 | | |
| 4.79 | HONEYWELL INTERNATIONAL INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.80 | HUMANA INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.81 | IAC INTERACTIVECORP NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.82 | ILL TOOL WORKS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.83 | INDUSTRIA DE DISENO TEXTIL IND ADR (IDEXY) (Specialty Retail) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.84 | INTEL CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.85 | INTERACTIVE BROKERS GROUP CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.86 | INTERCONTINENTAL EXCHANGE INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.87 | INTERNATIONAL FLAVORS&FRAGRANC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.88 | IQVIA HOLDINGS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|---------------------|-------------|---------------------------|
| 4.89 | JACK HENRY & ASSOC INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.90 | JOHNSON & JOHNSON | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.91 | JOHNSON CTLS INTL PLC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.92 | JPMORGAN CHASE & CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.93 | KERING S A ADR NEW (PPRUY) (Textiles, Apparel & Luxury Goods) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.94 | KEYENCE CORP ADR (KYCCF) (Electronic Equipment & Instruments) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.95 | KIMBERLY CLARK CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.96 | KLA CORPORATION | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.97 | KONINKLIJKE PHIL EL SP ADR NEW (PHG) (Health Care Equipment & Supplies) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.98 | L OREAL CO ADR (LRLCY) (Personal Products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.99 | LENNOX INTL INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.100 | Legg Mason MARTIN CURRIE EMERGING MARKETS FUND | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.101 | LOCKHEED MARTIN CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.102 | LONDON STK EXCHANGE GROUP ADR (LNSTY) (Capital Markets) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|----------------------|-------------|---------------------------|
| 4.103 | LORD ABBETT CONVERTIBLE F | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 4.104 | LOWES COMPANIES INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.105 | LPL FINL HLDGS INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.106 | LVMH MOET HENNESSY LOUIS VUITT ADR (LVMUY) (Textiles, Apparel & Luxury Goods) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.107 | MARKEL CORP (HOLDING CO) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.108 | MARSH & MCLENNAN COS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.109 | MASTERCARD INC CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.110 | MCKESSON CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.111 | MEDTRONIC PLC SHS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.112 | MERCK & CO INC NEW COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.113 | MICROSOFT CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.114 | MOODYS CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.115 | MORGAN STANLEY | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.116 | MORGAN STANLEY BANK N.A. | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|--------------------|-------------|---------------------------|
| 4.117 | MSCI INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.118 | NASDAQ INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.119 | NESTLE SPON ADR REP REG SHR (NSRGY) (Food Products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.120 | NIKE INC B | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.121 | NORDSON CP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.122 | NORTHROP GRUMMAN CP(HLDG CO) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.123 | NOVO NORDISK A/S ADR (NVO) (Pharmaceuticals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.124 | NXP SEMICONDUCTORS NV | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.125 | ORACLE CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.126 | OWENS CORNING INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.127 | PEPSICO INC NC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.128 | PHILIP MORRIS INTL INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.129 | PIMCO INCOME I2 | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.130 | PNC FINL SVCS GP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 4.131 | POOL CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.132 | PPG INDUSTRIES INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.133 | PROGRESSIVE CORP OHIO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.134 | QUEST DIAGNOSTICS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.135 | QUOTIENT TECHNOLOGY INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.136 | RAYTHEON TECHNOLOGIES CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.137 | RECKITT BENCKISER PLC SPNS ADR (RBGLY) (Household Products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.138 | ROCHE HOLDINGS ADR (RHHBY) (Pharmaceuticals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.139 | ROLLINS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.140 | ROYAL CARIBBEAN GROUP COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.141 | ROYAL KPN NV SPONS ADR (KKPNY) (Diversified Telecommunication Services) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.142 | RYANAIR HLDGS PLC ADR (RYAAY) (Airlines) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.143 | SAFRAN SA ADR (SAFRY) (Aerospace & Defense) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.144 | SAP AG ADS (SAP) (Software) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 4.145 | SEAGEN INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.146 | SHIN ETSU CHEM CO LTD ADR (SHECY) (Chemicals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.147 | SITEONE LANDSCAPE SUPPLY INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.148 | SMC CORP COMMON ADR (SMECF) (Machinery) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.149 | SOUTHERN CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.150 | STANLEY BLACK & DECKER INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.151 | STERICYCLE INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.152 | TAIWAN SMCNDCTR MFG CO LTD ADR (TSM) (Semiconductors & Semiconductor Equipment) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.153 | TENCENT HLDGS LTD UNSPON ADR (TCEHY) (Interactive Media & Services) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.154 | TERADYNE INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.155 | TEXAS INSTRUMENTS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.156 | THE SCOTTS MIRACLE-GRO COMPANY | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.157 | THERMO FISHER SCIENTIFIC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.158 | THOR INDUSTRIES INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 4.159 | TJX COS INC NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.160 | TOTAL S A ADR (TOT) (Oil, Gas & Consumable Fuels) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.161 | TRANE TECHNOLOGIES PLC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.162 | U S BANCORP COM NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.163 | UBS GROUP AG SHS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.164 | UNION PACIFIC CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.165 | UNITEDHEALTH GP INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.166 | VALE S.A ADR (VALE) (Metals & Mining) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.167 | VERISK ANALYTICS INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.168 | VIATRIS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.169 | VISA INC CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.170 | WELLS FARGO & CO NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.171 | YUM BRANDS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.172 | ZEBRA TECH CL-A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|--------------------|-------------|---------------------------|
| 4.173 | ZOETIS INC CLASS-A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.174 | Copart, Inc. (CPRT) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.175 | COSTCO WHOLESALE CORP NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.176 | DANONE SPONSORED ADR (DANOY) (Food products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.177 | DOMINION ENERGY INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5 | University of Pennsylvania - 10/5/2020 | N/A | | Honorarium | \$1,000 |
| 6 | Johns Hopkins University - 8/28/2020 | N/A | | Honorarium | \$1,000 |
| 7 | Zach Purchase Inc (manages campground in upstate New York) | N/A | \$1,001 - \$15,000 | | 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

| # | SOURCE NAME | CITY, STATE | BRIEF DESCRIPTION OF DUTIES |
|---|---------------|----------------------------------|--|
| 1 | PT Fund, Inc. | Washington, District of Columbia | Member, Agency Review Teams for Department of State and USUN |
| 2 | CARE USA | Washington, District of Columbia | Vice President, Humanitarian Policy & Practice |

| # | SOURCE NAME | CITY, STATE | BRIEF DESCRIPTION OF DUTIES |
|---|-----------------------|--|-----------------------------|
| 3 | Georgetown University | Washington, District of Columbia | Fellow |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-----|-------|-------------------------------|---------------|
| 1 | Carnegie Endowment for International Peace | N/A | | salary | |
| 2 | Georgetown University | N/A | | salary | |
| 3 | Hindustan Times - 10/15/20 and 11/9/20 | N/A | | Honorarium | \$375 |
| 4 | Kings College London - 7/28/20 | N/A | | Honorarium | \$467 |
| 5 | U.S. Department of State - 10/19/20 | N/A | | Honorarium | \$350 |
| 6 | U.S. Department of State - 8/31/20 | N/A | | Honorarium | \$350 |
| 7 | Hindustan Times - 7/1/20 | N/A | | Honorarium | \$394 |
| 8 | U.S. Department of State - 6/22/20 | N/A | | Honorarium | \$350 |
| 9 | University of Pennsylvania - 5/25/20 | N/A | | Honorarium | \$200 |
| 10 | U.S. Department of State - 2/24/20 | N/A | | Honorarium | \$350 |
| 11 | Washington Post - 1/30/20 | N/A | | Honorarium | \$300 |
| 12 | Eaton Vance - 2/3/20 | N/A | | Honorarium | \$500 |
| 13 | University of Pennsylvania | N/A | | grant for research project | |
| 14 | Hindustan Times - 1/28/21 | N/A | | Honorarium | \$269 |
| 15 | Oxford University Press - 2/8/21 | N/A | | Honorarium | \$139 |
| 16 | Bowling Green University - 2/22/2021 | N/A | | Honorarium | \$350 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|--------------------|-------------|---------------------------|
| 17 | Farleigh Dickinson - 3/8/21 | N/A | | Honorarium | \$1,000 |
| 18 | Council on Foreign Relations - 4/23/21 | N/A | | Honorarium | \$150 |
| 19 | Hindustan Times - 4/28/21 | N/A | | Honorarium | \$370 |
| 20 | Washington Post - 5/5/21 | N/A | | Honorarium | \$300 |
| 21 | McColm & Company - 5/6/21 | N/A | | Honorarium | \$350 |
| 22 | University of Pennsylvania - 3/26/20 | N/A | | Honorarium | \$290 |
| 23 | IRA #1 | No | | | |
| 23.1 | 3M COMPANY | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.2 | AIA GROUP LTD SPON ADR (AAGIY) (Insurance) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.3 | AIRBUS SE UNSPONSORED ADR (EADSY) (Aerospace & Defense) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.4 | ALIBABA GROUP HLDG LTD ADR (BABA) (Internet & Direct Marketing Retail) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.5 | ALIGN TECHNOLOGY | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.6 | ALPHABET INC CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.7 | AMERICAN EXPRESS CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.8 | APPLE INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.9 | ASML HOLDING NV NY REG NEW (ASML) (Semiconductors & Semiconductor Equipment) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 23.10 | BAXTER INTL INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.11 | BIOGEN INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.12 | BURLINGTON STORES INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.13 | CAPGEMINI S E UNSPONSORED ADR (CGEMY) (IT Services) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.14 | CHARLES SCHWAB NEW | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.15 | CHUBB LTD | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.16 | CME GROUP INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.17 | COLGATE PALMOLIVE CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.18 | CORTEVA INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.19 | DANONE SPONSORED ADR (DANOY) (Food products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.20 | DBS GROUP HOLDINGS LTD SP ADR (DBSDY) (Banks products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.21 | DEERE & CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.22 | DEUTSCHE BOERSE AG UNSPON ADR (DBOEY) (Capital Markets) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.23 | EBAY INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 23.24 | ENEL SOCIETA PER AZIONI ADR (ENLAY) (Electric Utilities) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.25 | EPAM SYSTEMS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.26 | ETSY INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.27 | EXPEDITORS INTL WASH INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.28 | FACEBOOK INC CL-A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.29 | FIRST REP BK SAN FRANCISCO CAL | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.30 | FISERV INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.31 | HDFC BANK LTD ADR (HDB) (Banks Products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.32 | ILLUMINA INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.33 | INCYTE CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.34 | INTUITIVE SURGICAL INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.35 | JPMORGAN CHASE & CO | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.36 | KBC GROUP NV UNSPONS ADR (KBCSY) (Banks Products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.37 | KKR & CO INC CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|--------------------|-------------|---------------------------|
| 23.38 | KONINKLIJKE PHIL EL SP ADR NEW (PHG) (Health Care Equipment & Supplies) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.39 | L3HARRIS TECHNOLOGIES INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.40 | MARVELL TECHNOLOGY GROUP LTD | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.41 | MASTERCARD INC CL A | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.42 | MEDTRONIC PLC SHS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.43 | MERCK KGAA SPD ADR (MKKGY) (Pharmaceuticals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.44 | MICROSOFT CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.45 | MORGAN STANLEY BANK N.A. | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.46 | MOTOROLA SOLUTIONS INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.47 | NIKE INC B | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.48 | NVIDIA CORPORATION | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.49 | PAYPAL HLDGS INC COM | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.50 | PERNOD RICARD SA UNSPONS ADR (PDRDY) (Beverages) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.51 | PROSUS N V SPONSORED ADR (PROSY) (Internet & Direct Marketing Retail) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 23.52 | RECKITT BENCKISER PLC SPNS ADR (RBGLY) (Household Products) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.53 | ROCHE HOLDINGS ADR (RHHBY) (Pharmaceuticals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.54 | SANDS CHINA LTD UNSPONSORE ADR (SCHYY) (Hotels Restaurants & Leisure) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.55 | SAP AG ADR (SAP) (Software) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.56 | SMITH & NEPHEW PLC ADR (SNN) (Health Care Equipment & Supplies) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.57 | SVB FNCL GRP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.58 | SYSCO CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.59 | TAIWAN SMCNDCTR MFG CO LTD ADR (TSM) (Semiconductors & Semiconductor Equipment) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.60 | TEAMVIEWER AG ADR (TMVWY) (Software) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.61 | TENCENT HLDGS LTD UNSPON ADR (TCEHY) (Interactive Media & Services) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.62 | THERMO FISHER SCIENTIFIC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.63 | UBER TECHNOLOGIES INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.64 | UCB SA UNSPON ADR (UCBJY) (Pharmaceuticals) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.65 | ULTA BEAUTY INC | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|-----------------------------|-------------|---------------------------|
| 23.66 | UNION PACIFIC CORP | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.67 | VERTEX PHARMACEUTICALS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.68 | VIPSHOP HLDGS LTD ADS (VIPS) (Internet & Direct Marketing Retail) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.69 | WUXI BIOLOGICS CAYMAN INC ADR (WXXWY) (Life Sciences Tools & Services) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.70 | YUM CHINA HLDNGS | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23.71 | ACCENTURE PLC IRELAND CL A | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.72 | AMETEK INC NEW | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.73 | DANAHER CORPORATION | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.74 | GENMAB A S ADR (GMAB) (Biotechnology) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.75 | IQVIA Holdings, Inc. (IQV) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.76 | L OREAL CO ADR (LRLCY) (Personal products) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.77 | UNITED HEALTH GP INC | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.78 | VERISK ANALYTICS INC COM | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 23.79 | DEUTSCHE POST AG SPONSORED ADR (DPSGY) (Air Freight & Logistics) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 24 | IRA #2 | No | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------|-------------|---------------------------|
| 24.1 | Fidelity Govt Cash Reserves | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 24.2 | Apple Inc | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 24.3 | Bristol Myers Squibb Co Com | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 24.4 | Berkshire Hathaway Inc Com | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 24.5 | Fidelity Contrafund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 24.6 | Altria Group Inc | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 24.7 | Invesco Exchange Traded FD TR FTSE RAFI 1000 | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 24.8 | Invesco QQQ TR UNIT SER 1 | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 25 | Carnegie Endowment for International Peace Defined Contribution Plan | No | | | |
| 25.1 | T Rowe Rtrmt 2045 (TRRKX) | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 25.2 | Invsc Gbl Opp (OGINX) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 25.3 | T Rowe New Hrizns (PRNHX) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 25.4 | Vngrd Ttl Intl Stck Indx | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 25.5 | Invsc Dvlpg Mrkts (ODVNX) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-------|-------------|---------------------------|
| 26 | "When Crime Pays: Money and Muscle in Indian Politics," Yale University Press (2017) (value not readily attainable) | N/A | | | None (or less than \$201) |
| 27 | "When Crime Pays: Money and Muscle in Indian Politics," Harper Collins India (2017) (value not readily attainable) | N/A | | | None (or less than \$201) |
| 28 | "Rethinking Public Institutions in India," Oxford University Press (2017) (value not readily attainable) | N/A | | | None (or less than \$201) |
| 29 | "Costs of Democracy: Political Finance in India," Oxford University Press (2018) (value not readily attainable) | N/A | | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|-----|--------------------|-------------|---------------------------|
| 1 | AB CONCENTRATED GW ADV | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2 | ARISTOTLE VALUE EQUITY I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3 | ARTISAN DEVELOPING WORLD ADV | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4 | CALVERT SMALL CAP I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5 | EATON VANCE ATLANTA CAPITAL SELECT EQUITY I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6 | FIDELITY ADV FOCUSED EM MKT I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|---------------------|-------------|---------------------------|
| 7 | FIDELITY ADV GRW OPPORT I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8 | GOLDMAN SACHS GQG INTL OPP I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9 | INVESCO INTL SMLL-MID CO Y | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 10 | ISHARES EDGE MSCI MIN VOL EAFE | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 11 | ISHARES EDGE MSCI MIN VOL USA | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 12 | LORD ABBETT DEV GROWTH FD F | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 13 | MFS INTL GROWTH I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 14 | PRINCIPAL MIDCAP INSTL | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 15 | VANECK INTL INVESTORS GOLD Y | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 16 | DC College Savings Plan 1 | No | | | |
| 16.1 | Intermediate Term Bond Portfolio | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 16.2 | U.S. Total Stock Market Index Portfolio | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 16.3 | U.S. Large Cap Equity Portfolio | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 16.4 | Non-U.S. Total Stock Market Index Portfolio | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 16.5 | U.S. Small Cap Equity Portfolio | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|----------------------|-------------|---------------------------|
| 17 | VA College Savings Plan 1 | No | | | |
| 17.1 | AMERICAN NEW PERSPECTIVE 529A | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 18 | VA College Savings Plan 2 | No | | | |
| 18.1 | AMERICAN NEW PERSPECTIVE 529A | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 19 | DC College Savings Plan 2 | No | | | |
| 19.1 | Intermediate Term Bond Portfo | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 19.2 | U.S. Total Stock Market Indx | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 19.3 | U.S. Large Cap Equity Portfolio | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 19.4 | Non U.S. Stock Market Indx Portfolio | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 19.5 | U.S. Small Cap Equity Portfolio | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 20 | U.S. bank #1 (cash) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 21 | U.S. bank #2 (cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 22 | Brokerage Account | No | | | |
| 22.1 | Fidelity Government Money Market (SPAXX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

7. Transactions

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

8. Liabilities

| # | CREDITOR NAME | | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|------------------|-------------|--------------------------------|-------------------------|---------------|--------|---------------|
| 1 | Regions Mortgage | See Endnote | Mortgage on Personal Residence | \$500,001 - \$1,000,000 | 2020 | 3.125% | 30 year fixed |
| 2 | Wells Fargo | | Mortgage on Personal Residence | \$500,001 - \$1,000,000 | 2017 | 3.625% | 30 year fixed |

9. Gifts and Travel Reimbursements

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

Endnotes

| PART | # | ENDNOTE |
|------|---|--|
| 8. | 1 | This is a refinance of the Wells Fargo mortgage. |

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).
