

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

Filer's Information

Sloan, Victor S

Associate Director, OHS, Peace Corps

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Sloan, Victor S [electronically signed on 05/26/2022 by Sloan, Victor S in Integrity.gov] - Filer received a 18 day filing extension.

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

/s/ Gossart, Elizabeth, Certifying Official [electronically signed on 11/08/2023 by Gossart, Elizabeth in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 07/05/2023

Data Revised 06/30/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Oncopath Genomics, LLC	New Brunswick, New Jersey	Corporation	Board Member	5/2020	2/2021
2	Sheng Consulting LLC	Flemington, New Jersey	Corporation	Founder and CEO	11/2019	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Sheng Consulting LLC (Clinical research consulting)	N/A	\$1,001 - \$15,000	Salary	\$1,050
2	Oncopath Genomics, LLC (oncology diagnostics) (stock)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Sheng Consulting LLC 401k	No	None (or less than \$1,001)	Dividends Interest	\$1,001 - \$2,500
3.1	Schwab Bank	No	None (or less than \$1,001)		None (or less than \$201)
3.2	VEA	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.3	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.4	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes			\$201 - \$1,000
4	Novartis Pharmaceuticals, defined benefit plan See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Victor Sloan Contributory IRA - Ellevest	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
5.1	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
5.2	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.3	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.4	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.5	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.6	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.7	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.8	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.9	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.10	iShares JPMorgan US Emerging Markets Bond ETF (EMB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.11	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.12	Schwab US TIPS ETF (SCHP)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.13	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.14	Cash	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.15	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.16	Greenbacker Renewable Energy Company	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6	Victor Sloan traditional IRA UBS	No	\$250,001 - \$500,000		\$5,001 - \$15,000
6.1	UBS Bank	No	\$1,001 - \$15,000		None (or less than \$201)
6.2	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.7	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.8	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.11	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.12	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.13	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.15	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.16	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.17	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.18	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.19	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.20	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.21	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.22	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
7	Victor Sloan IRA UBS #2	No	\$250,001 - \$500,000		\$1,001 - \$2,500
7.1	UBS Bank	No	\$1,001 - \$15,000		None (or less than \$201)
7.2	Abbott Laboratories (ABT)	No	\$1,001 - \$15,000		None (or less than \$201)
7.3	Adobe, Inc. (ADBE)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.4	Alphabet, Inc. (GOOGL)	No	\$15,001 - \$50,000		None (or less than \$201)
7.5	Amazon.com, Inc. (AMZN)	No	\$15,001 - \$50,000		None (or less than \$201)
7.6	American Tower Corporation (REIT) (AMT)	No	\$1,001 - \$15,000		None (or less than \$201)
7.7	Ameriprise Financial, Inc. (AMP)	No	\$1,001 - \$15,000		None (or less than \$201)
7.8	Apple, Inc. (AAPL)	No	\$1,001 - \$15,000		None (or less than \$201)
7.9	Applied Materials, Inc. (AMAT)	No	\$1,001 - \$15,000		None (or less than \$201)
7.10	Booking Holdings Inc. (BKNG)	No	\$1,001 - \$15,000		None (or less than \$201)
7.11	Boston Scientific Corp. (BSX)	No	\$1,001 - \$15,000		None (or less than \$201)
7.12	Costco Wholesale Corp. (COST)	No	\$1,001 - \$15,000		None (or less than \$201)
7.13	Danaher Corp. (DHR)	No	\$1,001 - \$15,000		None (or less than \$201)
7.14	Dollar General Corp. (DG)	No	\$1,001 - \$15,000		None (or less than \$201)
7.15	Fidelity National Information Services, Inc. (FIS)	No	\$1,001 - \$15,000		None (or less than \$201)
7.16	The Home Depot, Inc. (HD)	No	\$1,001 - \$15,000		None (or less than \$201)
7.17	Honeywell International, Inc. (HON)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.18	Intercontinental Exchange, Inc. (ICE)	No	\$1,001 - \$15,000		None (or less than \$201)
7.19	Estee Lauder Cos. (EL)	No	\$1,001 - \$15,000		None (or less than \$201)
7.20	Lowe's Companies (LOW)	No	\$1,001 - \$15,000		None (or less than \$201)
7.21	Facebook, Inc. (FB)	No	\$1,001 - \$15,000		None (or less than \$201)
7.22	Microsoft Corp. (MSFT)	No	\$15,001 - \$50,000		\$201 - \$1,000
7.23	NIKE, Inc. (NKE)	No	\$1,001 - \$15,000		None (or less than \$201)
7.24	O'Reilly Automotive, Inc. (ORLY)	No	\$1,001 - \$15,000		None (or less than \$201)
7.25	Parker-Hannifin Corp. (PH)	No	\$1,001 - \$15,000		None (or less than \$201)
7.26	Rockwell Automation, Inc. (ROK)	No	\$1,001 - \$15,000		None (or less than \$201)
7.27	S&P Global, Inc. (SPGI)	No	\$1,001 - \$15,000		None (or less than \$201)
7.28	salesforce.com, inc. (CRM)	No	\$1,001 - \$15,000		None (or less than \$201)
7.29	The Sherwin-Williams Co. (SHW)	No	\$1,001 - \$15,000		None (or less than \$201)
7.30	Texas Instruments Incorporated (TXN)	No	\$1,001 - \$15,000		None (or less than \$201)
7.31	The TJX Cos., Inc. (TJX)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.32	Union Pacific Corp. (UNP)	No	\$1,001 - \$15,000		None (or less than \$201)
7.33	UnitedHealth Group, Inc. (UNH)	No	\$1,001 - \$15,000		None (or less than \$201)
7.34	Visa, Inc. (V)	No	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Sheng Consulting LLC	Flemington, New Jersey	I will continue to participate in this defined contribution plan, and the plan sponsor will continue to make contributions.	1/2020
2	Novartis Pharmaceuticals	East Hanover, New Jersey	I participated in this defined benefit plan until April 2021 when I moved the assets to my Ellevest Contributory IRA (custodian = Schwab)	4/1998

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	Merck Stock	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	IRA #3 Merck	No	\$100,001 - \$250,000		\$1,001 - \$2,500
3	Manpower 401K	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.1	JPM SRPB DRE 2020 CF	Yes	\$1,001 - \$15,000		
4	Vanguard rollover IRA	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
4.1	Vanguard Target Retirement 2020 Fund Investor Class Shares (VTWNX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.2	Wellington Fund Admiral VWENX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5	IRA #1 UBS	No	\$500,001 - \$1,000,000	Capital Gains Dividends Interest	\$50,001 - \$100,000
5.1	UBS Bank	No	\$15,001 - \$50,000		None (or less than \$201)
5.2	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.3	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.4	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.5	iShares MSCI EAFE ETF (EFA)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.7	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.8	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
5.11	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
5.12	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)		\$1,001 - \$15,000		\$201 - \$1,000
5.13	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.14	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.15	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.16	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.17	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.18	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.19	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.20	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.21	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.22	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	IRA #2 UBS	No	\$100,001 - \$250,000		\$15,001 - \$50,000
6.1	UBS Bank	No	\$1,001 - \$15,000		None (or less than \$201)
6.2	Abbott Laboratories (ABT)	No	\$1,001 - \$15,000		None (or less than \$201)
6.3	Adobe, Inc. (ADBE)	No	\$1,001 - \$15,000		None (or less than \$201)
6.4	Alphabet, Inc. (GOOGL)	No	\$15,001 - \$50,000		None (or less than \$201)
6.5	Amazon.com, Inc. (AMZN)	No	\$15,001 - \$50,000		None (or less than \$201)
6.6	American Tower Corporation (REIT) (AMT)	No	\$1,001 - \$15,000		None (or less than \$201)
6.7	Ameriprise Financial, Inc. (AMP)	No	\$1,001 - \$15,000		None (or less than \$201)
6.8	Apple, Inc. (AAPL)	No	\$15,001 - \$50,000		None (or less than \$201)
6.9	Applied Materials, Inc. (AMAT)	No	\$1,001 - \$15,000		None (or less than \$201)
6.10	Booking Holdings Inc. (BKNG)	No	\$1,001 - \$15,000		None (or less than \$201)
6.11	Boston Scientific Corp. (BSX)	No	\$1,001 - \$15,000		None (or less than \$201)
6.12	Costco Wholesale Corp. (COST)	No	\$1,001 - \$15,000		None (or less than \$201)
6.13	Danaher Corp. (DHR)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.14	Dollar General Corp. (DG)	No	\$1,001 - \$15,000		None (or less than \$201)
6.15	Fidelity National Information Services, Inc. (FIS)	No	\$1,001 - \$15,000		None (or less than \$201)
6.16	The Home Depot, Inc. (HD)	No	\$1,001 - \$15,000		None (or less than \$201)
6.17	Honeywell International, Inc. (HON)	No	\$1,001 - \$15,000		None (or less than \$201)
6.18	Intercontinental Exchange, Inc. (ICE)	No	\$1,001 - \$15,000		None (or less than \$201)
6.19	Estee Lauder Cos. (EL)	No	\$1,001 - \$15,000		None (or less than \$201)
6.20	Lowe's companies (LOW)	No	\$1,001 - \$15,000		None (or less than \$201)
6.21	Meta Platforms Inc (FB)	No	\$1,001 - \$15,000		None (or less than \$201)
6.22	Microsoft Corp. (MSFT)	No	\$15,001 - \$50,000		\$201 - \$1,000
6.23	NIKE, Inc. (NKE)	No	\$1,001 - \$15,000		None (or less than \$201)
6.24	O'Reilly Automotive, Inc. (ORLY)	No	\$1,001 - \$15,000		None (or less than \$201)
6.25	Parker-Hannifin Corp. (PH)	No	\$1,001 - \$15,000		None (or less than \$201)
6.26	Rockwell Automation, Inc. (ROK)	No	\$1,001 - \$15,000		None (or less than \$201)
6.27	S&P Global, Inc. (SPGI)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.28	salesforce.com, inc. (CRM)	No	\$1,001 - \$15,000		None (or less than \$201)
6.29	The Sherwin-Williams Co. (SHW)	No	\$1,001 - \$15,000		None (or less than \$201)
6.30	Texas Instruments Incorporated (TXN)	No	\$1,001 - \$15,000		None (or less than \$201)
6.31	Thermo Fisher Scientific, Inc. (TMO)	No	\$1,001 - \$15,000		None (or less than \$201)
6.32	The TJX Cos., Inc. (TJX)	No	\$1,001 - \$15,000		None (or less than \$201)
6.33	Union Pacific Corp. (UNP)	No	\$1,001 - \$15,000		None (or less than \$201)
6.34	UnitedHealth Group, Inc. (UNH)	No	\$1,001 - \$15,000		None (or less than \$201)
6.35	Visa, Inc. (V)	No	\$1,001 - \$15,000		None (or less than \$201)
7	UBS managed account #1	No	\$250,001 - \$500,000		\$5,001 - \$15,000
7.1	UBS bank	No	\$1,001 - \$15,000		None (or less than \$201)
7.2	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	iShares MSCI EAFE ETF (EFA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.7	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.8	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.9	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.11	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.12	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.13	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.14	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.15	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.16	Invesco National AMT-Free Municipal Bond ETF (PZA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.17	iShares National Muni Bond ETF (MUB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.18	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.19	iShares Short-Term National Muni Bond ETF (SUB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.20	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.21	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	UBS Managed Account #2	No	\$50,001 - \$100,000		\$201 - \$1,000
8.1	UBS Bank	No	None (or less than \$1,001)		None (or less than \$201)
8.2	Investors Bancorp, Inc. (New Jersey) (ISBC)	No	\$1,001 - \$15,000		\$201 - \$1,000
8.3	Lincoln National Life Ins Co Moneyguard III	No	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	529 #1 NJ Best older daughter	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1	Franklin US Government Money 529 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Franklin US Government Money 529 Portfolio	No	None (or less than \$1,001)	several cash distributions during reporting period totaling 11945	\$11,945
2	529 #2 American Funds (Virginia) older daughter	Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
2.1	Capital World Growth & Income Fund Class 529-A Shares (CWIAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.3	Investment Company of America Class 529-A Shares (CICAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.4	New Perspective Fund Class 529-A Shares (CNPAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.5	New World Fund, Inc Class 529-A Shares (CNWAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.6	American SMALLCAP World Fund, Inc Class 529-A Shares (CSPAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3	529 #3 American Funds (Virginia) younger daughter	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.1	Capital World Growth & Income Fund Class 529-A Shares (CWIAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.2	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.3	Investment Company of America Class 529-A Shares (CICAX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
3.4	New Perspective Fund Class 529-A Shares (CNPAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.5	New World Fund, Inc Class 529-A Shares (CNWAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.6	American SMALLCAP World Fund, Inc Class 529-A Shares (CSPAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4	529 #4 NJBest Younger Daughter	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.1	Franklin growth allocation age 17-18 years 529 portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
4.2	Franklin Growth Allocation Age 17-18 years 529 portfolio	No	\$1,001 - \$15,000	several cash distributions during reporting period totaling 54418	\$54,418	
5	UCB stock	See Endnote	No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
6	Alliant Strategic Opportunity Zone Fund (Schwab 1077727)	No	\$100,001 - \$250,000		None (or less than \$201)	
7	Nickel Productions LLC	No	\$50,001 - \$100,000		None (or less than \$201)	
8	Alumni Ventures Group Select Fund Q2 2019	No	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	
9	Alumni Ventures Group Womens Fund Q2 2019	No	\$1,001 - \$15,000		None (or less than \$201)	
10	LASF Rigetti LLC (Alumni Ventures Group Syndication)	No	\$15,001 - \$50,000		None (or less than \$201)	
11	Alumni Ventures Group LASF What3Words Syndication	No	\$15,001 - \$50,000		None (or less than \$201)	
12	AVG 2020 Equity Shareholder Raise 2	No	\$15,001 - \$50,000	281 distribution		
13	PNC money market	No	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	
14	PNC joint investment account	Yes	\$100,001 - \$250,000		\$201 - \$1,000	
14.1	Goldman Sachs Bk USA CD	No	\$15,001 - \$50,000		None (or less than \$201)	
14.2	Goldman Sachs BK USA CD Zero Cpn	No	\$50,001 - \$100,000		None (or less than \$201)	

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.3	GS Fin Corp Mtn Zero Cpn		No	\$15,001 - \$50,000		None (or less than \$201)
15	joint checking account PNC		No	\$15,001 - \$50,000		None (or less than \$201)
16	older daughter savings acct #1		No	\$50,001 - \$100,000	Interest	\$201 - \$1,000
17	Younger daughter savings acct #1		No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
18	Atara Biotherapeutics, Inc. (ATRA)		No	\$1,001 - \$15,000		None (or less than \$201)
19	BRK.B		No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
20	BAC		No	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
21	Carnival Corp. (CCL)		No	\$1,001 - \$15,000		None (or less than \$201)
22	CYDY		No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
23	Ford Motor Co. (F)		No	None (or less than \$1,001)	Capital Gains Dividends	None (or less than \$201)
24	General Electric Co. (GE)		No	\$1,001 - \$15,000		None (or less than \$201)
25	MGTA		No	\$1,001 - \$15,000		None (or less than \$201)
26	Credit union account		No	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
27	Qualified Long Term Care Insurance Lincoln Financial	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
28	T Rowe Price New America Growth Fund, Inc (PRWAX)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	Abeona Therapeutics, Inc. (ABEO)	No	None (or less than \$1,001)		None (or less than \$201)
30	BATRA	No	None (or less than \$1,001)		None (or less than \$201)
31	CFRX (Contrafect)	No	\$1,001 - \$15,000		None (or less than \$201)
32	Victor Sloan & Sandra Gong Jt Ten Ellevest	No	\$100,001 - \$250,000		\$201 - \$1,000
32.1	I Shares short term national muni bond fund (SUB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.2	iShares National Muni Bond ETF (MUB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
32.3	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.4	iShares MSCI EAFE ESG Select ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.5	Access Capital Community Investment Fund Class I Shares (ACCSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.6	SUSA	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.7	Pax EllevateGlobal Women's Leadership Fund Institutional Class Shares (PXWIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.8	iShares ESG MSCI EM ETF (ESGE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.9	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32.11	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32.12	Cash	No	\$1,001 - \$15,000		None (or less than \$201)
33	Alumni Ventures Group Select Fund Q2 2019	No	\$15,001 - \$50,000	1250 income 4009 distribution	
34	AVG 2020 Equity Shareholder Raise 2	No	\$1,001 - \$15,000	281 distribution	
35	AVG what3words 2019	No	\$1,001 - \$15,000		None (or less than \$201)
36	AVG Zeus Living 2019	No	\$1,001 - \$15,000		None (or less than \$201)
37	AVG Zeus Living 2019	No	\$1,001 - \$15,000		None (or less than \$201)
38	AVG Yassir 2021	No	\$1,001 - \$15,000		None (or less than \$201)
39	UBS Bank	No	\$15,001 - \$50,000		None (or less than \$201)
40	Victor Sloan managed account #1	No	\$500,001 - \$1,000,000		\$15,001 - \$50,000
40.1	UBS Bank	No	\$1,001 - \$15,000		None (or less than \$201)
40.2	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40.3	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
40.4	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40.5	iShares MSCI EAFE ETF (EFA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
40.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
40.7	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
40.8	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40.9	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
40.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
40.11	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
40.12	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40.13	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
40.14	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40.15	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40.16	Invesco National AMT-Free Municipal Bond ETF (PZA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
40.17	iShares National Muni Bond ETF (MUB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
40.18	iShares JPMorgan US Emerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
40.19	iShares Short-Term National Muni Bond ETF (SUB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
40.20	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
40.21	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
41	Victor Sloan/Sandra Gong UBS	No	\$500,001 - \$1,000,000	Capital Gains Dividends Interest	\$15,001 - \$50,000
41.1	UBS Bank	No	\$15,001 - \$50,000		None (or less than \$201)
41.2	North Carolina Med Care Sr A	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.3	Prince George's Cnt MD BE/R	No	\$15,001 - \$50,000		None (or less than \$201)
41.4	North Tex Twy Auth Rev Sr B Rv	No	\$15,001 - \$50,000		\$201 - \$1,000
41.5	Multnomah Cnt OR S/D # Be /R	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.6	Keller TX Indpt Sch T Sr A	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.7	Oregon St For Previous I Sr K	No	\$15,001 - \$50,000		None (or less than \$201)
41.8	Miami Dade Cnty FI COP 0 Sr D	No	\$15,001 - \$50,000		\$201 - \$1,000
41.9	California St Various PU Be/R	No	\$15,001 - \$50,000		\$201 - \$1,000
41.10	New York City Trans Fina S-1A RV	No	\$1,001 - \$15,000		None (or less than \$201)
41.11	New York City Mun Wt CC-3	No	\$1,001 - \$15,000		None (or less than \$201)
41.12	Broward Cnty FI Sch Brd SR A Rv	No	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
41.13	New York NY City B-1 Rv	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.14	New York St dorm Auth SA Sr A Rv	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.15	Ohio St Wtr Dev Auth Wtr Sr A Rv	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.16	Anne Arundel Cnty MD Con	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.17	Massachusetts St For ISS	No	\$15,001 - \$50,000		\$1,001 - \$2,500
41.18	New York NY City Mun Wt BB-1	No	\$1,001 - \$15,000		\$201 - \$1,000
41.19	Lowe CO Tx AU	No	\$15,001 - \$50,000		None (or less than \$201)
42	older daughter savings account #2	No	\$1,001 - \$15,000		None (or less than \$201)
43	younger daughter savings account #2	No	\$1,001 - \$15,000		None (or less than \$201)
44	Government savings bonds	No	\$100,001 - \$250,000		None (or less than \$201)
45	Donor Advised Fund	No	\$50,001 - \$100,000		None (or less than \$201)
45.1	SCGB1 Balanced pool fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
45.2	SCGM1 money market pool	Yes	\$1,001 - \$15,000		None (or less than \$201)
45.3	SCGR1 socially resp balanced pool	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	New York City Municipal WT CC-3 Bond		Purchase	02/24/2021	\$1,001 - \$15,000
2	Colorado state gen fd bond		Purchase	03/16/2021	\$15,001 - \$50,000
3	NY State Urban Dev SR A RV	See Endnote	Sale	03/15/2021	\$15,001 - \$50,000
4	Colorado State Gen Fd Rev Tax Rev Antic NTS		Purchase	03/18/2021	\$15,001 - \$50,000
5	NYC Mun Wtr Fin Auth Wtr and Swr Sys Rev		Purchase	03/18/2021	\$1,001 - \$15,000
6	UnitedHealth Group, Inc. (UNH)		Sale	06/23/2021	\$1,001 - \$15,000
7	Colorado State Gen Fd Rv Bond	See Endnote	Sale	06/25/2021	\$15,001 - \$50,000
8	NYC Trans Fina S-1A Rv Bond		Purchase	07/22/2021	\$1,001 - \$15,000
9	Facebook, Inc. (FB)		Sale	08/04/2021	\$1,001 - \$15,000
10	Prince George's Cnty MD Consolidated Pub Impt Bds 2021 A		Purchase	08/11/2021	\$15,001 - \$50,000
11	Massachusetts St Schl Bldg Auth Dedicated Sales Tax Rev Sr Dedicated Sales Tax Rev Bds 2015C		Sale	10/14/2021	\$15,001 - \$50,000
12	Lower Colo Riv Auth Tex Transmission Contract Rev Ref Bds LCRA Transmission Svcs Corp 2021A		Purchase	10/27/2021	\$15,001 - \$50,000
13	Oregon St GO Bds Article XI Q St Projs 2021K		Purchase	10/28/2021	\$15,001 - \$50,000
14	Yassir		Purchase	09/24/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	Cerner Corp. (CERN)	Sale	06/24/2021	\$15,001 - \$50,000
16	Medtronic Plc (MDT)	Sale	02/26/2021	\$1,001 - \$15,000
17	Boston Scientific Corp. (BSX)	Purchase	02/26/2021	\$1,001 - \$15,000
18	Boston Scientific Corp. (BSX)	Purchase	02/26/2021	\$1,001 - \$15,000
19	Medtronic Plc (MDT)	Sale	02/26/2021	\$1,001 - \$15,000
20	UnitedHealth Group, Inc. (UNH)	Sale	02/26/2021	\$1,001 - \$15,000
21	Boston Scientific Corp. (BSX)	Purchase	03/02/2021	\$1,001 - \$15,000
22	Texas Instruments Incorporated (TXN)	Purchase	03/12/2021	\$1,001 - \$15,000
23	Applied Materials, Inc. (AMAT)	Purchase	03/11/2021	\$1,001 - \$15,000
24	Boston Scientific Corp. (BSX)	Purchase	03/02/2021	\$1,001 - \$15,000
25	Texas Instruments Incorporated (TXN)	Purchase	03/11/2021	\$1,001 - \$15,000
26	Applied Materials, Inc. (AMAT)	Purchase	03/11/2021	\$1,001 - \$15,000
27	Applied Materials, Inc. (AMAT)	Purchase	03/12/2021	\$1,001 - \$15,000
28	Texas Instruments Incorporated (TXN)	Purchase	03/12/2021	\$1,001 - \$15,000
29	Union Pacific Corp. (UNP)	Purchase	04/28/2021	\$1,001 - \$15,000
30	S&P Global, Inc. (SPGI)	Purchase	05/26/2021	\$1,001 - \$15,000
31	S&P Global, Inc. (SPGI)	Purchase	05/26/2021	\$1,001 - \$15,000
32	Abbott Laboratories (ABT)	Purchase	06/04/2021	\$1,001 - \$15,000
33	S&P Global, Inc. (SPGI)	Purchase	05/25/2021	\$1,001 - \$15,000
34	UnitedHealth Group, Inc. (UNH)	Sale	06/04/2021	\$1,001 - \$15,000
35	Comcast Corp. (CMCSA)	Sale	06/23/2021	\$1,001 - \$15,000
36	Union Pacific Corp. (UNP)	Purchase	06/23/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	Comcast Corp. (CMCSA)	Sale	06/24/2021	\$1,001 - \$15,000
38	Union Pacific Corp. (UNP)	Purchase	06/24/2021	\$1,001 - \$15,000
39	Abbott Laboratories (ABT)	Purchase	06/04/2021	\$1,001 - \$15,000
40	Comcast Corp. (CMCSA)	Sale	06/24/2021	\$1,001 - \$15,000
41	UnitedHealth Group, Inc. (UNH)	Sale	06/24/2021	\$1,001 - \$15,000
42	Texas Instruments Incorporated (TXN)	Purchase	07/20/2021	\$1,001 - \$15,000
43	Adobe, Inc. (ADBE)	Sale	08/04/2021	\$1,001 - \$15,000
44	Facebook, Inc. (FB)	Sale	08/04/2021	\$1,001 - \$15,000
45	Microsoft Corp. (MSFT)	Purchase	08/04/2021	\$1,001 - \$15,000
46	Union Pacific Corp. (UNP)	Purchase	08/05/2021	\$1,001 - \$15,000
47	Accenture Plc (ACN)	Sale	08/25/2021	\$1,001 - \$15,000
48	Accenture Plc (ACN)	Sale	08/30/2021	\$1,001 - \$15,000
49	Adobe, Inc. (ADBE)	Sale	08/04/2021	\$1,001 - \$15,000
50	Accenture Plc (ACN)	Sale	08/30/2021	\$1,001 - \$15,000
51	Microsoft Corp. (MSFT)	Purchase	08/04/2021	\$1,001 - \$15,000
52	Facebook, Inc. (FB)	Sale	10/04/2021	\$1,001 - \$15,000
53	NKE	Purchase	10/04/2021	\$1,001 - \$15,000
54	Alphabet, Inc. (GOOGL)	Purchase	10/04/2021	\$1,001 - \$15,000
55	Facebook, Inc. (FB)	Sale	10/04/2021	\$1,001 - \$15,000
56	NIKE, Inc. (NKE)	Purchase	10/05/2021	\$1,001 - \$15,000
57	Alphabet, Inc. (GOOGL)	Sale	03/09/2021	\$1,001 - \$15,000
58	Booking Holdings Inc. (BKNG)	Purchase	09/20/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
59	Accenture Plc (ACN)	Sale	08/25/2021	\$1,001 - \$15,000
60	NIKE, Inc. (NKE)	Purchase	09/30/2021	\$1,001 - \$15,000
61	Booking Holdings Inc. (BKNG)	Purchase	09/20/2021	\$1,001 - \$15,000
62	Univ Tx Univ SR A RV	Sale	10/20/2021	\$15,001 - \$50,000
63	New York NY City Mun Wt BB-1 RV	Purchase	10/21/2021	\$1,001 - \$15,000
64	Amazon.com, Inc. (AMZN)	Purchase	12/14/2021	\$1,001 - \$15,000
65	Medtronic Plc (MDT)	Sale	12/14/2021	\$1,001 - \$15,000
66	Boston Scientific Corp. (BSX)	Purchase	12/15/2021	\$1,001 - \$15,000
67	Medtronic Plc (MDT)	Sale	12/15/2021	\$1,001 - \$15,000
68	Boston Scientific Corp. (BSX)	Purchase	12/15/2021	\$1,001 - \$15,000
69	Medtronic Plc (MDT)	Sale	12/15/2021	\$1,001 - \$15,000
70	Medtronic Plc (MDT)	Sale	12/15/2021	\$1,001 - \$15,000
71	Union Pacific Corp. (UNP)	Sale	12/15/2021	\$1,001 - \$15,000
72	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Purchase	12/03/2021	\$1,001 - \$15,000
73	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Purchase	12/03/2021	\$1,001 - \$15,000
74	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Purchase	11/30/2021	\$1,001 - \$15,000
75	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Sale	11/30/2021	\$1,001 - \$15,000
76	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Purchase	11/30/2021	\$1,001 - \$15,000
77	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Sale	11/30/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
78	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Purchase	10/22/2021	\$1,001 - \$15,000
79	Vanguard Value Index Fund ETF Shares (VTV)	Sale	10/22/2021	\$1,001 - \$15,000
80	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Purchase	10/22/2021	\$1,001 - \$15,000
81	Vanguard Value Index Fund ETF Shares (VTV)	Sale	10/22/2021	\$1,001 - \$15,000
82	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Purchase	10/22/2021	\$1,001 - \$15,000
83	Vanguard Value Index Fund ETF Shares (VTV)	Sale	10/22/2021	\$1,001 - \$15,000
84	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Purchase	10/22/2021	\$1,001 - \$15,000
85	vTv Therapeutics, Inc. (VTVT)	Sale	10/22/2021	\$1,001 - \$15,000
86	Vanguard Value Index Fund ETF Shares (VTV)	Sale	08/20/2021	\$1,001 - \$15,000
87	iShares National Muni Bond ETF (MUB)	Purchase	08/20/2021	\$1,001 - \$15,000
88	Vanguard Value Index Fund ETF Shares (VTV)	Sale	08/20/2021	\$1,001 - \$15,000
89	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	08/20/2021	\$1,001 - \$15,000
90	iShares Core MSCI Emerging Markets ETF (IEMG)	Sale	08/20/2021	\$1,001 - \$15,000
91	Vanguard Value Index Fund ETF Shares (VTV)	Sale	08/20/2021	\$1,001 - \$15,000
92	iShares Core MSCI EAFE ETF (IEFA)	Purchase	07/16/2021	\$1,001 - \$15,000
93	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	07/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
94	iShares Core S&P Small-Cap ETF (IJR)	Sale	07/16/2021	\$1,001 - \$15,000
95	iShares MSCI EAFE Small-Cap ETF (SCZ)	Sale	07/16/2021	\$1,001 - \$15,000
96	iShares Core MSCI Emerging Markets ETF (IEMG)	Sale	07/16/2021	\$1,001 - \$15,000
97	iShares Core MSCI EAFE ETF (IEFA)	Purchase	07/16/2021	\$15,001 - \$50,000
98	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	07/16/2021	\$1,001 - \$15,000
99	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	07/16/2021	\$1,001 - \$15,000
100	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	07/16/2021	\$1,001 - \$15,000
101	iShares Core S&P Small-Cap ETF (IJR)	Sale	07/16/2021	\$1,001 - \$15,000
102	iShares National Muni Bond ETF (MUB)	Sale	07/16/2021	\$1,001 - \$15,000
103	iShares MSCI EAFE Small-Cap ETF (SCZ)	Sale	07/16/2021	\$1,001 - \$15,000
104	iShares Core MSCI Emerging Markets ETF (IEMG)	Sale	07/16/2021	\$1,001 - \$15,000
105	iShares Core MSCI EAFE ETF (IEFA)	Purchase	07/16/2021	\$1,001 - \$15,000
106	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	07/16/2021	\$1,001 - \$15,000
107	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	07/16/2021	\$1,001 - \$15,000
108	iShares Core S&P Small-Cap ETF (IJR)	Sale	07/16/2021	\$1,001 - \$15,000
109	iShares National Muni Bond ETF (MUB)	Sale	07/16/2021	\$1,001 - \$15,000
110	iShares MSCI EAFE Small-Cap ETF (SCZ)	Sale	07/16/2021	\$1,001 - \$15,000
111	iShares Core MSCI Emerging Markets ETF (IEMG)	Sale	07/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
112	iShares Core MSCI EAFE ETF (IEFA)	Purchase	07/16/2021	\$15,001 - \$50,000
113	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	07/16/2021	\$1,001 - \$15,000
114	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	07/16/2021	\$1,001 - \$15,000
115	iShares Core S&P Small-Cap ETF (IJR)	Sale	07/16/2021	\$1,001 - \$15,000
116	iShares MSCI EAFE Small-Cap ETF (SCZ)	Sale	07/16/2021	\$15,001 - \$50,000
117	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	06/24/2021	\$1,001 - \$15,000
118	iShares Core MSCI EAFE ETF (IEFA)	Purchase	06/24/2021	\$1,001 - \$15,000
119	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	06/24/2021	\$1,001 - \$15,000
120	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Purchase	06/24/2021	\$1,001 - \$15,000
121	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Purchase	05/21/2021	\$1,001 - \$15,000
122	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Purchase	05/21/2021	\$15,001 - \$50,000
123	WisdomTree Japan Hedged Equity Fund (DXJ)	Purchase	05/21/2021	\$1,001 - \$15,000
124	iShares MSCI EAFE ETF (EFA)	Sale	05/21/2021	\$1,001 - \$15,000
125	Vanguard Growth Index Fund ETF Class Shares (VUG)	Sale	05/21/2021	\$1,001 - \$15,000
126	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Sale	05/21/2021	\$1,001 - \$15,000
127	iShares Russell Mid-Cap Value ETF (IWS)	Purchase	04/23/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
128	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Sale	04/23/2021	\$1,001 - \$15,000
129	iShares Russell Mid-Cap Value ETF (IWS)	Purchase	04/23/2021	\$1,001 - \$15,000
130	iShares National Muni Bond ETF (MUB)	Sale	04/23/2021	\$1,001 - \$15,000
131	iShares Russell Mid-Cap Value ETF (IWS)	Purchase	04/23/2021	\$1,001 - \$15,000
132	iShares National Muni Bond ETF (MUB)	Sale	04/23/2021	\$1,001 - \$15,000
133	iShares Russell Mid-Cap Value ETF (IWS)	Purchase	04/23/2021	\$15,001 - \$50,000
134	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Sale	04/23/2021	\$1,001 - \$15,000
135	iShares Short-Term National Muni Bond ETF (SUB)	Purchase	04/15/2021	\$1,001 - \$15,000
136	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	04/15/2021	\$1,001 - \$15,000
137	Invesco National AMT-Free Municipal Bond ETF (PZA)	Purchase	04/15/2021	\$1,001 - \$15,000
138	Vanguard Value Index Fund ETF Shares (VTV)	Sale	04/15/2021	\$1,001 - \$15,000
139	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Sale	04/15/2021	\$1,001 - \$15,000
140	Vanguard Growth Index Fund ETF Class Shares (VUG)	Sale	04/15/2021	\$1,001 - \$15,000
141	iShares National Muni Bond ETF (MUB)	Purchase	04/14/2021	\$1,001 - \$15,000
142	iShares Short-Term National Muni Bond ETF (SUB)	Purchase	04/14/2021	\$1,001 - \$15,000
143	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	04/14/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
144	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Purchase	04/14/2021	\$1,001 - \$15,000
145	Invesco National AMT-Free Municipal Bond ETF (PZA)	Purchase	04/14/2021	\$1,001 - \$15,000
146	Vanguard Value Index Fund ETF Shares (VTV)	Sale	04/14/2021	\$1,001 - \$15,000
147	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Sale	04/14/2021	\$1,001 - \$15,000
148	Vanguard Growth Index Fund ETF Class Shares (VUG)	Sale	04/14/2021	\$1,001 - \$15,000
149	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Sale	04/14/2021	\$1,001 - \$15,000
150	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	03/19/2021	\$1,001 - \$15,000
151	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Sale	03/19/2021	\$1,001 - \$15,000
152	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Sale	03/19/2021	\$1,001 - \$15,000
153	iShares Core S&P Small-Cap ETF (IJR)	Sale	03/19/2021	\$1,001 - \$15,000
154	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	03/19/2021	\$15,001 - \$50,000
155	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	03/19/2021	\$1,001 - \$15,000
156	iShares Core S&P Small-Cap ETF (IJR)	Sale	03/19/2021	\$1,001 - \$15,000
157	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	03/19/2021	
158	iShares Core S&P Small-Cap ETF (IJR)	Sale	03/19/2021	\$1,001 - \$15,000
159	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	09/30/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
160	VanEck Vectors High-Yield Municipal Index ETF (HYD)	Sale	05/10/2021	\$1,001 - \$15,000
161	iShares National Muni Bond ETF (MUB)	Sale	05/10/2021	\$1,001 - \$15,000
162	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Sale	05/10/2021	\$1,001 - \$15,000
163	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
164	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	05/18/2021	\$15,001 - \$50,000
165	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	05/18/2021	\$1,001 - \$15,000
166	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	05/18/2021	\$1,001 - \$15,000
167	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	05/18/2021	\$1,001 - \$15,000
168	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Purchase	05/18/2021	\$1,001 - \$15,000
169	iShares JPMorgan US Emerging Markets Bond ETF (EMB)	Purchase	05/18/2021	\$1,001 - \$15,000
170	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
171	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
172	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
173	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
174	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
175	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
176	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	05/18/2021	\$15,001 - \$50,000
177	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	05/18/2021	\$1,001 - \$15,000
178	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	05/18/2021	\$1,001 - \$15,000
179	Schwab US TIPS ETF (SCHP)	Purchase	05/18/2021	\$1,001 - \$15,000
180	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Purchase	05/18/2021	\$1,001 - \$15,000
181	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Purchase	05/18/2021	\$1,001 - \$15,000
182	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	05/18/2021	\$1,001 - \$15,000
183	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	05/18/2021	\$1,001 - \$15,000
184	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	05/18/2021	\$1,001 - \$15,000
185	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Purchase	05/18/2021	\$1,001 - \$15,000
186	iShares JPMorgan US Emerging Markets Bond ETF (EMB)	Purchase	05/18/2021	\$1,001 - \$15,000
187	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
188	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
189	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
190	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
191	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	05/18/2021	\$50,001 - \$100,000
192	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
193	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/18/2021	\$1,001 - \$15,000
194	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	05/18/2021	\$15,001 - \$50,000
195	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	05/18/2021	\$1,001 - \$15,000
196	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	05/18/2021	\$1,001 - \$15,000
197	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	05/18/2021	\$1,001 - \$15,000
198	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	05/18/2021	\$1,001 - \$15,000
199	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Purchase	05/18/2021	\$1,001 - \$15,000
200	Schwab US TIPS ETF (SCHP)	Purchase	05/18/2021	\$1,001 - \$15,000
201	Franklin Growth Allocation Age 17-18 years 529 portfolio	Sale	07/07/2021	\$1,001 - \$15,000
202	Franklin Growth Allocation Age 17-18 years 529 portfolio	Sale	08/11/2021	\$1,001 - \$15,000
203	Franklin Growth Allocation Age 17-18 years 529 portfolio	Sale	09/10/2021	\$1,001 - \$15,000
204	Franklin Growth Allocation Age 17-18 years 529 portfolio	Sale	10/13/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
205	Franklin Growth Allocation Age 17-18 years 529 portfolio	Sale	11/10/2021	\$1,001 - \$15,000
206	Franklin Growth Allocation Age 17-18 years 529 portfolio	Sale	12/15/2021	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	4	this was transferred to #5 - Victor Sloan contributory IRA -Ellevest and is incorporated into the investments there
6.	5	Note - this stock is a combination of stock purchased through employee stock purchase plan and stock awards for performance.
6.	27	This is Universal Life Insurance provided by Lincoln Financial for the purposes of long term care.
7.	3	call redemption
7.	7	call redemption

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).
