Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Uhlmann, David M.

Senior Advisor to the Administrator, AO, Environmental Protection Agency

Date of Appointment: 09/18/2022

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/ Uhlmann, David M. [electronically signed on 10/14/2022 by Uhlmann, David M. 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/ Griffo, Shannon, Certifying Official [electronically signed on 11/17/2022 by Griffo, Shannon in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Michigan	See Endnote	Ann Arbor, Michigan	University/College	Jeffrey F. Liss Professor from Practice	7/2007	Present
2	University of Michigan	See Endnote	Ann Arbor, Michigan	University/College	Director, Environmental Law and Policy Program	7/2007	Present
3	Larry D. Thompson, LLC, Independent Compliance Monitor and Auditor for VW		Atlanta, Georgia	LLC	Counselor to the Monitor	4/2017	9/2020
4	Family Trust		Monson, Maine	Trust	Trustee	5/2017	Present
5	National Conference of Bar Examiners		Madison, Wisconsin	Non-Profit	Criminal Law and Procedure Drafting Committee Member	4/2014	4/2021
6	Gerson Lehrman Group	See Endnote	New York, New York	Expert Network	Consultant	6/2010	2/2021
7	Guidepoint Global	See Endnote	New York, New York	Expert Network	Consultant	6/2010	7/2020
8	American College of Environmental Lawyers		Washington, District of Columbia	Non-Profit	Board of Regents	10/2021	9/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of Michigan	N/A		Salary	$469,477
2	University of Michigan, 401(a) Plan	No			
2.1	TIAA-CREF Core Bond Institutional Class (TIBDX)	Yes	$15,001 - $50,000		None (or less than $201)
2.2	TIAA-CREF Core Bond Plus Institutional Class (TIBFX)	Yes	$15,001 - $50,000		None (or less than $201)
2.3	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	$50,001 - $100,000		None (or less than $201)
2.4	TIAA-CREF International Equity Institutional Class (TCIEX)	Yes	$50,001 - $100,000		None (or less than $201)
2.5	TIAA-CREF Large-Cap Growth Fund Institutional Class (TILGX)	Yes	$15,001 - $50,000		None (or less than $201)
2.6	TIAA-CREF Mid-Cap Growth Fund Institutional Class (TRPWX)	Yes	$15,001 - $50,000		None (or less than $201)
2.7	TIAA-CREF S&P 500 Index Fund Institutional Class (TISPX)	Yes	$100,001 - $250,000		None (or less than $201)
2.8	TIAA-CREF Small-Cap Blend Index Fund Institutional Class (TISBX)	Yes	$50,001 - $100,000		None (or less than $201)
2.9	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	$50,001 - $100,000		None (or less than $201)
2.10	TIAA-CREF Social Choice Low Carbon Equity Fund - Instl Class (TNWCX)	Yes	$15,001 - $50,000		None (or less than $201)
2.11	TIAA-CREF Mid-Cap Value Fund Institutional Class Shares (TIMVX)	Yes	$1,001 - $15,000		None (or less than $201)
2.12	TIAA-CREF Quant Small-Cap Equity Institutional (TISEX)	Yes	$1,001 - $15,000		None (or less than $201)
3	University of Michigan, 403(b) Supplemental Retirement Account	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	$15,001 - $50,000		None (or less than $201)
3.2	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	$100,001 - $250,000		None (or less than $201)
3.3	TIAA-CREF Quant Small-Cap Equity Fund Institutional Class Shares (TISEX)	Yes	$1,001 - $15,000		None (or less than $201)
3.4	TIAA-CREF Mid-Cap Value Fund - Institutional Class (TIMVX)	Yes	$1,001 - $15,000		None (or less than $201)
3.5	TIAA-CREF Large-Cap Value Fund Institutional Class Shares (TRLIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.6	TIAA-CREF Quant International Small-Cap Equity Fund Institutional Class Shares (TIISX)	Yes	$1,001 - $15,000		None (or less than $201)
3.7	TIAA-CREF Social Choice Low Carbon Equity Fund - Instl Class (TNWCX)	Yes	$15,001 - $50,000		None (or less than $201)
4	University of Michigan, 457(b) Deferred Compensation Plan	No			
4.1	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	$50,001 - $100,000		None (or less than $201)
4.2	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	$100,001 - $250,000		None (or less than $201)
4.3	TIAA-CREF Social Choice Low Carbon Equity Fund - Instl Class (TNWCX)	Yes	$50,001 - $100,000		None (or less than $201)
5	University of Michigan, 403(b) retirement Plan	No			
5.1	TIAA-CREF Core Bond Institutional Class (TIBDX)	Yes	$1,001 - $15,000		None (or less than $201)
5.2	TIAA-CREF Core Plus Bond Fund Institutional Class Shares (TIBFX)	Yes	$1,001 - $15,000		None (or less than $201)
5.3	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	TIAA-CREF International Equity Institutional Class (TCIEX)	Yes	$1,001 - $15,000		None (or less than $201)
5.5	TIAA-CREF Large-Cap Growth Fund Institutional Class (TILGX)	Yes	$1,001 - $15,000		None (or less than $201)
5.6	TIAA-CREF Mid-Cap Growth Fund Institutional Class (TRPWX)	Yes	$1,001 - $15,000		None (or less than $201)
5.7	TIAA-CREF S&P 500 Index Fund Institutional Class (TISPX)	Yes	$15,001 - $50,000		None (or less than $201)
5.8	TIAA-CREF Small-Cap Blend Index Fund Institutional Class (TISBX)	Yes	$15,001 - $50,000		None (or less than $201)
5.9	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	$15,001 - $50,000		None (or less than $201)
5.10	TIAA-CREF Social Choice Low Carbon Equity Fund - Instl Class (TNWCX)	Yes	$1,001 - $15,000		None (or less than $201)
5.11	TIAA-CREF Quant Small-Cap Equity Institutional (TISEX)	Yes	None (or less than $1,001)		None (or less than $201)
5.12	TIAA-CREF Mid-Cap Value Fund Institutional Class Shares (TIMVX)	Yes	$1,001 - $15,000		None (or less than $201)
6	Beneficiary IRA	No		Cash distribution for beneficiary IRA	$10,000
6.1	BlackRock Liquidity Funds FedFund Institutional Class (TFDXX)	Yes	$15,001 - $50,000		None (or less than $201)
6.2	Coca Cola (KO)	N/A	$1,001 - $15,000		None (or less than $201)
6.3	Zimmer (ZBH)	N/A	$1,001 - $15,000		None (or less than $201)
6.4	SLM Corp (SLM)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.5	Vanguard Mid-Cap Index Fund (VO)	Yes	$1,001 - $15,000		None (or less than $201)
6.6	IShares Global Clean Energy (ICLN)	Yes	$1,001 - $15,000		None (or less than $201)
6.7	Vanguard Small Cap ETF (VB)	Yes	$1,001 - $15,000		None (or less than $201)
6.8	Verizon (VZ)	N/A	$1,001 - $15,000		None (or less than $201)
6.9	Takeda Pharmaceutical Co (TAK)	N/A	$1,001 - $15,000		None (or less than $201)
6.10	Federal Home Loan Bank, bond	N/A	$1,001 - $15,000		None (or less than $201)
6.11	Paypal Holdings (PYPL)	N/A	$1,001 - $15,000		None (or less than $201)
6.12	Splunk, Inc. (SPLK)	N/A	$1,001 - $15,000		None (or less than $201)
6.13	Visa, Inc. (V)	N/A	$1,001 - $15,000		None (or less than $201)
6.14	American Tower Corp (AMT)	N/A	$1,001 - $15,000		None (or less than $201)
6.15	Global X Funds Autonomous EV ETF (DRIV)	Yes	$1,001 - $15,000		None (or less than $201)
6.16	Vanguard FTSE Developed Markets ETF (VEA)	Yes	$1,001 - $15,000		None (or less than $201)
6.17	Vanguard Emerging Markets Stock Index Fund ETF (VWO)	Yes	$1,001 - $15,000		None (or less than $201)
6.18	Vanguard S&P 500 ETF (VOO)	Yes	$50,001 - $100,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.19	Long Beach, CA Community College District general obligation bond	N/A	$1,001 - $15,000		None (or less than $201)
6.20	Oregon School board bond	N/A	$15,001 - $50,000		None (or less than $201)
6.21	Cook County, IL school district bond	N/A	$1,001 - $15,000		None (or less than $201)
7	SEP-IRA	No			
7.1	Constellation Brands (STZ)	N/A	$1,001 - $15,000		None (or less than $201)
7.2	Leidos Holdings (LDOS)	N/A	$1,001 - $15,000		None (or less than $201)
7.3	iShares Global Clean Energy ETF (ICLN)	Yes	$15,001 - $50,000		None (or less than $201)
7.4	Bristol Myers Squibb (BMY)	N/A	$1,001 - $15,000		None (or less than $201)
7.5	Abbvie (ABBV)	N/A	$1,001 - $15,000		None (or less than $201)
7.6	Yum China Holdings (YUMC)	N/A	$1,001 - $15,000		None (or less than $201)
7.7	Intel Corp (INTC)	N/A	$1,001 - $15,000		None (or less than $201)
7.8	Synchrony Financial (SYF)	N/A	$1,001 - $15,000		None (or less than $201)
7.9	Takeda Pharmaceutical (TAK)	N/A	$1,001 - $15,000		None (or less than $201)
7.10	Verizon (VZ)	N/A	$1,001 - $15,000		None (or less than $201)
7.11	Vanguard Small-Cap Index Fund ETF (VB)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.12	Vanguard Emerging Markets Stock Index Fund ETF (VWO)	Yes	$15,001 - $50,000		None (or less than $201)
7.13	Vanguard Mid-Cap Index Fund ETF (VO)	Yes	$15,001 - $50,000		None (or less than $201)
7.14	Coca Cola (KO)	N/A	$1,001 - $15,000		None (or less than $201)
7.15	AT&T (T)	N/A	$1,001 - $15,000		None (or less than $201)
7.16	Graham, TX, general obligation bond	N/A	$1,001 - $15,000		None (or less than $201)
7.17	Richland County, SC general obligation bond	N/A	$1,001 - $15,000		None (or less than $201)
7.18	BlackRock Liquidity Funds FedFund Institutional Class (TFDXX)	Yes	$1,001 - $15,000		None (or less than $201)
7.19	Paypal Holdings, Inc. (PYPL)	N/A	$1,001 - $15,000		None (or less than $201)
7.20	Splunk, Inc. (SPLK)	N/A	$1,001 - $15,000		None (or less than $201)
7.21	Visa, Inc. (V)	N/A	$1,001 - $15,000		None (or less than $201)
7.22	American Tower Corp (AMT)	N/A	$1,001 - $15,000		None (or less than $201)
7.23	Warner Bros Discovery (WBD)	N/A	None (or less than $1,001)		None (or less than $201)
7.24	Global X Funds Autonomous EV ETF (DRIV)	Yes	$1,001 - $15,000		None (or less than $201)
7.25	Vanguard FTSE Developed Markets ETF (VEA)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.26	Vanguard S&P 500 ETF (VOO)	Yes	$100,001 - $250,000		None (or less than $201)
7.27	Oyster Bay, NY general obligation bond	N/A	$15,001 - $50,000		None (or less than $201)
7.28	Cincinnati, OH city school bond	N/A	$1,001 - $15,000		None (or less than $201)
7.29	California State general obligation bond	N/A	$1,001 - $15,000		None (or less than $201)
7.30	Hackensack, NJ general obligation bond	N/A	$1,001 - $15,000		None (or less than $201)
7.31	Oregon School board bond	N/A	$1,001 - $15,000		None (or less than $201)
7.32	Bethlehem, PA general obligation bond	N/A	$1,001 - $15,000		None (or less than $201)
7.33	Will & Kendall Counties, IL school bond	N/A	$1,001 - $15,000		None (or less than $201)
7.34	Avon Lake, OH school bond	N/A	$1,001 - $15,000		None (or less than $201)
7.35	Central OH Solid Waste Authority Bond	N/A	$15,001 - $50,000		None (or less than $201)
7.36	New York, NY general obligation bond	N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
7.37	SLM Corp (SLM)	N/A	$1,001 - $15,000		None (or less than $201)
8	National Conference of Bar Examiners, 4/28/2021	N/A		Honorarium	$4,000
9	Gerson Lehrman Group - 2/17/21	N/A		Honorarium	$2,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	University of Michigan	Ann Arbor, Michigan	On September 1, 2022, I began an unpaid leave of absence from my University of Michigan positions for one year/renewable, consistent with University policy.	9/2022
2	University of Michigan, 401(a) Retirement Plan	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	10/2007
3	University of Michigan, 403(b) Retirement Plan	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	10/2007
4	University of Michigan, 403(b) Supplemental Retirement Account	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	7/2010
5	University of Michigan, 457(b) Deferred Compensation Plan	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	9/2010

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of Michigan	Ann Arbor, Michigan	Scholarship and teaching as well as program management at the University of Michigan Law School
2	Larry D. Thompson, LLC, Independent Compliance Monitor and Auditor for VW	Atlanta, Georgia	Provide counsel to the compliance monitor upon request and conduct training sessions at his direction for VW boards and senior leadership
3	National Conference of Bar Examiners	Madison, Wisconsin	Draft and review criminal law and criminal procedure questions for the multi-state bar examination
4	Gerson Lehrman Group	New York, New York	Provide opinions and analysis about environmental liabilities to investors/clients of GLG network

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
5	Guidepoint Global	New York, New York	Provide opinions and analysis about environmental liabilities to investors/clients of Guidepoint Global network

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA	No			
1.1	Franklin Mutual Quest Fund Class Z (MQIFX)	Yes	$15,001 - $50,000		None (or less than $201)
2	University of Michigan , 401(a) Retirement Plan	No			
2.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	$1,001 - $15,000		None (or less than $201)
2.3	TIAA-CREF Large-Cap Growth Fund (TILGX)	Yes	$1,001 - $15,000		None (or less than $201)
2.4	TIAA-CREF Social Choice Low Carbon Equity Fund - Instl Class (TNWCX)	Yes	$1,001 - $15,000		None (or less than $201)
2.5	TIAA-CREF Mid-Cap Growth Fund (TRPWX)	Yes	$1,001 - $15,000		None (or less than $201)
2.6	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	$15,001 - $50,000		None (or less than $201)
2.7	TIAA-CREF Quant Small-Cap Equity Institutional Fund (TISEX)	Yes	$1,001 - $15,000		None (or less than $201)
2.8	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	$1,001 - $15,000		None (or less than $201)
3	University of Michigan, 403(b) Retirement Plan	No			
3.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	$1,001 - $15,000		None (or less than $201)
3.3	TIAA-CREF Large-Cap Growth Fund (TILGX)	Yes	$1,001 - $15,000		None (or less than $201)
3.4	TIAA-CREF Social Choice Low Carbon Equity Fund - Instl Class (TNWCX)	Yes	$1,001 - $15,000		None (or less than $201)
3.5	TIAA-CREF Mid-Cap Growth Fund (TRPWX)	Yes	$1,001 - $15,000		None (or less than $201)
3.6	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	$1,001 - $15,000		None (or less than $201)
3.7	TIAA-CREF Quant Small-Cap Equity Institutional Fund (TISEX)	Yes	$1,001 - $15,000		None (or less than $201)
3.8	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	$1,001 - $15,000		None (or less than $201)
3.9	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	$1,001 - $15,000		None (or less than $201)
4	University of Michigan, 403(b) Supplemental Retirement Plan	No			
4.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	$15,001 - $50,000		None (or less than $201)
4.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	$15,001 - $50,000		None (or less than $201)
4.3	TIAA-CREF Social Choice Low Carbon Equity Fund - Instl Class (TNWCX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	TIAA-CREF Mid-Cap Growth Fund (TRPWX)	Yes	$1,001 - $15,000		None (or less than $201)
4.5	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	$1,001 - $15,000		None (or less than $201)
4.6	TIAA-CREF Quant Small-Cap Equity Fund (TISEX)	Yes	$15,001 - $50,000		None (or less than $201)
4.7	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	$15,001 - $50,000		None (or less than $201)
4.8	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	$50,001 - $100,000		None (or less than $201)
5	University of Michigan, 457(b) Deferred Compensation Plan	No			
5.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	$1,001 - $15,000		None (or less than $201)
5.3	TIAA-CREF Social Choice Low Carbon Equity Fund Instl Class (TNWCX)	Yes	$15,001 - $50,000		None (or less than $201)
5.4	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	$1,001 - $15,000		None (or less than $201)
5.5	TIAA-CREF Quant Small-Cap Equity Fund (TISEX)	Yes	$1,001 - $15,000		None (or less than $201)
5.6	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	$1,001 - $15,000		None (or less than $201)
5.7	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	$1,001 - $15,000		None (or less than $201)
6	University of Michigan	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Domestic Bank #1 (cash account)	N/A	$1,001 - $15,000		None (or less than $201)
2	Brokerage Account	No			
2.1	BlackRock Liquidity FedFund (TFDXX)	Yes	$1,001 - $15,000		None (or less than $201)
2.2	Yum China Holdings (YUMC)	N/A	$1,001 - $15,000	Capital Gains	$1,001 - $2,500
2.3	Yum! Brands, Inc. (YUM)	N/A	$1,001 - $15,000	Capital Gains	$1,001 - $2,500
2.4	Wells Fargo & Co (WFC)	N/A	$1,001 - $15,000	Capital Gains Dividends	$201 - $1,000
2.5	Walmart, Inc. (WMT)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.6	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	$1,001 - $15,000		$2,501 - $5,000
2.7	UnitedHealth Group, Inc. (UNH)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.8	Thermo Fisher Scientific, Inc. (TMO)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.9	The Walt Disney Co. (DIS)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.10	Target Corp. (TGT)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.11	T. Rowe Price Group, Inc. (TROW)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.12	SPDR S&P MidCap 400 ETF (MDY)	Yes	$1,001 - $15,000		$2,501 - $5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	Salesforce (CRM)	N/A	$1,001 - $15,000		None (or less than $201)
2.14	PepsiCo, Inc. (PEP)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.15	Palo Alto Networks, Inc. (PANW)	N/A	$1,001 - $15,000	Capital Gains Dividends	$5,001 - $15,000
2.16	NIKE, Inc. (NKE)	N/A	$1,001 - $15,000	Dividends Capital Gains	$1,001 - $2,500
2.17	NextEra Energy, Inc. (NEE)	N/A	$1,001 - $15,000	Capital Gains Dividends	$201 - $1,000
2.18	Morgan Stanley (MS)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.19	Mondelez International, Inc. (MDLZ)	N/A	$1,001 - $15,000	Capital Gains Dividends	$201 - $1,000
2.20	Microsoft Corp. (MSFT)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
2.21	Mastercard, Inc. (MA)	N/A	$1,001 - $15,000	Capital Gains Dividends	$5,001 - $15,000
2.22	Marriott International, Inc. (MAR)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.23	Lockheed Martin (LMT)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.24	JPMorgan Chase (JPM)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
2.25	Johnson & Johnson (JNJ)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.26	iShares MSCI Emerging Markets ETF (EEM)	Yes	$1,001 - $15,000		$201 - $1,000
2.27	iShares MSCI EAFE ETF (EFA)	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.28	iShares Global Clean Energy ETF (ICLN)	Yes	$1,001 - $15,000		$201 - $1,000
2.29	International Business Machines (IBM)	N/A	$1,001 - $15,000		None (or less than $201)
2.30	Intel (INTC)	N/A	$1,001 - $15,000	Capital Gains Dividends	$201 - $1,000
2.31	Coca-Cola (KO)	N/A	$1,001 - $15,000	Capital Gains	$1,001 - $2,500
2.32	Citigroup (C)	N/A	$1,001 - $15,000	Capital Gains Dividends	$201 - $1,000
2.33	Caterpillar (CAT)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.34	Capital One Financial Corp. (COF)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.35	Broadcom (AVGO)	N/A	$1,001 - $15,000	Dividends	$2,501 - $5,000
2.36	Apple (AAPL)	N/A	$1,001 - $15,000	Capital Gains Dividends	$5,001 - $15,000
2.37	Amgen (AMGN)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.38	American Express (AXP)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.39	Amazon (AMZN)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500
2.40	Alphabet (GOOG)	N/A	$1,001 - $15,000	Capital Gains Dividends	$5,001 - $15,000
2.41	Alphabet (GOOGL)	N/A	$1,001 - $15,000	Capital Gains Dividends	$5,001 - $15,000
2.42	Align Technology (ALGN)	N/A	$1,001 - $15,000	Capital Gains	$201 - $1,000
2.43	Air Products and Chemicals (APD)	N/A	$1,001 - $15,000	Capital Gains Dividends	$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.44	Michigan State Housing Development, bond	N/A	$1,001 - $15,000		None (or less than $201)
2.45	Madison District, MI, bond	N/A	$1,001 - $15,000		None (or less than $201)
2.46	Kalamazoo MI Public Bond	N/A	$1,001 - $15,000		None (or less than $201)
2.47	Dearborn MI, general obligation bond	N/A	$1,001 - $15,000		None (or less than $201)
2.48	Brown City, MI Cmnty bond	N/A	$1,001 - $15,000		None (or less than $201)
2.49	Union Pacific Corp. (UNP)	N/A	$1,001 - $15,000	Capital Gains Dividends	$2,501 - $5,000
2.50	Michigan State Housing Development revenue bond (single family housing)	N/A	$1,001 - $15,000		None (or less than $201)
3	Michigan Education Savings Program	No			
3.1	Fixed Income Option	Yes	$1,001 - $15,000		None (or less than $201)
3.2	US Equity Index	Yes	$15,001 - $50,000		None (or less than $201)
3.3	Principal Plus Interest Option	Yes	$1,001 - $15,000		None (or less than $201)
4	Family Trust	No			
4.1	461 acres of land, farmhouse, barn, and wagon house, Monson, ME	N/A	$500,001 - $1,000,000		None (or less than $201)
4.2	75 acres and boat house, Monson Pond, ME	N/A	$50,001 - $100,000		None (or less than $201)
4.3	US Domestic Bank #2 (cash account)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	US Domestic Bank #3 (cash account)	N/A	$1,001 - $15,000		None (or less than $201)
5	Residential Real Estate, Washington, DC	N/A	$1,000,001 - $5,000,000	Rent or Royalties	$5,001 - $15,000
6	US Domestic Credit Union #1	N/A	$1,001 - $15,000		None (or less than $201)
7	US Domestic Bank #4 (cash account)	N/A	$100,001 - $250,000		None (or less than $201)
8	US Domestic Bank #5 (cash account)	N/A	$1,001 - $15,000	Interest	$201 - $1,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	American Express	Credit Card	$15,001 - $50,000	2021	15.74	Revolving
2	PNC Bank	Mortgage on Personal Residence	$1,000,001 - $5,000,000	2021	2.5	30 Year
3	PNC Bank	HELOC	$100,001 - $250,000	2022	2.39	10 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	Currently on leave for government service
1.	2	Currently on leave for government service
1.	6	Not an employee, paid on a project basis
1.	7	Not an employee, paid on a project basis

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).
