

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

Filer's Information

Chatterji, Aaron

Chief Economist (IPA), Department of Commerce

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/ Chatterji, Aaron [electronically signed on 08/14/2022 by Chatterji, Aaron in Integrity.gov] - Filer received a 90 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/ Jacobi, Will, Certifying Official [electronically signed on 09/16/2022 by Jacobi, Will in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 09/05/2022

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|------------------------|------------------------|---------------------------|---------------|--------|---------|
| 1 | Duke University | Durham, North Carolina | University/College | Professor | 7/2006 | Present |
| 2 | Chatterji Strategy LLC | Durham, North Carolina | Limited Liability Company | Member | 4/2014 | Present |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---------------------------------------------------------------------------------------|-----|-------------------------|-------------|---------------------------|
| 1 | Duke University | N/A | | Salary | \$682,055 |
| 2 | Duke University, 403(b) Plan (TIAA): | No | | | |
| 2.1 | TIAA Traditional | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.2 | CREF Stock | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 2.3 | CREF Growth | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 2.4 | CREF Global Equities | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.5 | TIAA Real Estate | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 3 | Duke University, 403(b) Plan (Fidelity): | No | | | |
| 3.1 | Vanguard Institutional Target Retirement 2040 Fund Institutional Class Shares (VIRSX) | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---------------------------------------------------------------------------------------|-----|-------------------------|-----------------------------------------------------------------------------|---------------------------|
| 3.2 | Vanguard Institutional Target Retirement 2045 Fund Institutional Class Shares (VITLX) | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 4 | Duke University, 457(b) Plan: | No | | | |
| 4.1 | Vanguard Institutional Target Retirement 2040 Fund Institutional Class Shares (VIRSX) | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 5 | US Brokerage Account IRA | No | | | |
| 5.1 | BlackRock Health Sciences Opportunities | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 6 | Chatterji Strategy LLC, US bank (cash) Checking account | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7 | Honorarium - August 31, 2021 | N/A | \$1,001 - \$15,000 | Research Honorarium from Korea Advanced Institute of Science and Technology | \$4,050 |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|-------------------|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1 | Duke University | Durham, North Carolina | Health and life insurance | 4/2021 |
| 2 | Duke University | Durham, North Carolina | I am taking a leave of absence from Duke on an Intergovernmental Personnel Agreement for up to two years. Duke continues to provide contributions to the employer retirement plans. | 4/2021 |
| 3 | Duke University | Durham, North Carolina | I will continue to participate in this defined contribution plan, and the plan sponsor will continue to make contributions. | 7/2006 |

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|------------------------|------------------------|-----------------------------------------------------------------------------|--------|
| 4 | Chatterji Strategy LLC | Durham, North Carolina | This is a personal LLC to accept payments from external consulting clients. | 4/2014 |

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 | SAS Institute Inc. (Software sales and services) | N/A | | salary, bonus | |
| 2 | SAS Institute Inc., 401(k) plan: | No | | | |
| 2.1 | JPMCB SmartRetirement Passive Blend 2045 Fund CF | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 3 | Morgan Stanley IRA | No | | | |
| 3.1 | Lazard Asset Mgmt Intl w/ EM | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 3.2 | Vanguard Emerging Markets ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3.3 | Vanguard All-World Ex-US | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---------------------------------------------|-----|-----------------------|----------------------------------------|---------------------------|
| 1 | U.S. bank checking/savings account | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 2 | Ethereum (Coinbase) | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 3 | Briarwood Capital Partners LP | No | \$100,001 - \$250,000 | Capital Gains Dividends Interest | \$5,001 - \$15,000 |
| 4 | Whitecoin LLC (Real Estate Holding Company) | No | | | |
| 4.1 | commercial real estate, Durham, NC | N/A | \$50,001 - \$100,000 | Rent or Royalties | None (or less than \$201) |
| 5 | Undeveloped land, Durham, NC | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 6 | North Carolina 529 plan - Child 1 | Yes | | | \$15,001 - \$50,000 |
| 6.1 | Vanguard 500 Index | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 6.2 | Vanguard Growth Index | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 6.3 | Vanguard Total International Stock Index | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7 | North Carolina 529 plan - Child 2 | Yes | | | \$50,001 - \$100,000 |
| 7.1 | SPDR S&P 500 ETF Trust (SPY) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7.2 | Vanguard Intl Equity Index | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8 | North Carolina 529 plan - Child 3 | Yes | | | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT | |
|------|-----------------------------------------------------------|-------------|----------------------|---------------------------|----------------------------------------|----------------------|
| 8.1 | SPDR S&P 500 ETF Trust (SPY) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) | |
| 8.2 | Vanguard Intl Equity Index | Yes | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9 | Morgan Stanley Brokerage Account | See Endnote | No | \$1,000,001 - \$5,000,000 | Capital Gains Dividends Interest | \$50,001 - \$100,000 |
| 9.1 | ClearBridge Aggressive Growth Fund Class A Shares (SHRAX) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) | |
| 9.2 | ClearBridge Appreciation Fund Class A Shares (SHAPX) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) | |
| 9.3 | ABB Ltd (ABB) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.4 | Accenture Plc (ACN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.5 | Adidas AG (ADDYY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.6 | Air Liquide ADR (AIQUY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.7 | AKZO Nobel NV ADR (AKZOY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.8 | Alibaba Group (BABA) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.9 | Anglo Amern (NGLOY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.10 | Aon Plc (AON) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |
| 9.11 | Autohome (ATHM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|----------------------------------|-----|--------------------|-------------|---------------------------|
| 9.12 | Banco Bradesco (BBD) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.13 | Bandai Namco (NCBDY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.14 | Barclays PLC ADR (BCS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.15 | BP PLC ADS (BP) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.16 | Calrsberg AS (CABGY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.17 | China Longyuan Pwr(CLPXY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.18 | Clarivate PLC (CLVT) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.19 | Compagnie Fin (CFRUY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.20 | Companhia De Sanemento Basi(SBS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.21 | Compass Group (CMPGY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.22 | Contl (CTTAY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.23 | Daikin Inds (DKILY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.24 | DBS Group (DBSDY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.25 | Enel Societa (ENLAY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.26 | Engie Spons (ENGIY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-----------------------------|-----|--------------------|-------------|---------------------------|
| 9.27 | ENN Energy (XNGSY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.28 | Equinor ASA (EQNR) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.29 | Ferguson PLC (FERG) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.30 | Fujitsu (FJTSY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.31 | Grupo Financiero (GBOOY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.32 | Hitachi (HTHIY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.33 | ICICI Bank (IBN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.34 | Industria De Diseno (IDEXY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.35 | Infineon (IFNNY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.36 | KB Financial Group (KB) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.37 | Legrand SA (LGRDY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.38 | Lojas Renner SA (LRENY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.39 | Makita Corp (MKTAY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.40 | Medtronic Plc (MDT) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-----------------------------------|-----|--------------------|-------------|---------------------------|
| 9.41 | Merck (MKKGY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.42 | MR Price Group (MRPLY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.43 | Novartis AG (NVS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.44 | Pernod Ricard (PRNDY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.45 | Ping AN Insurance (PNGAY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.46 | Prudential PLC ADR (PUK) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.47 | PT BK Mandiri (PPERYP) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.48 | PT Telekomunikasi Indonesia (TLK) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.49 | Relx PLC (RELX) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.50 | Royal DSM (RDSDMY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.51 | Ryanair (RYAAY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.52 | Safran (SAFRY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.53 | Sampo Oyj (SAXPY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.54 | Sandvik AB (SDVKY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-------------------------------|-----|--------------------|-------------|---------------------------|
| 9.55 | Sanofi (SNY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.56 | Shimano Inc. (SMNNY) | N/A | | | None (or less than \$201) |
| 9.57 | Suncor Energy (SU) | N/A | | | None (or less than \$201) |
| 9.58 | Suzuki Mtr Corp (SZKMY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.59 | Taiwan Semiconductor (TSM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.60 | Telenor ASA (TELNY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.61 | Tencent Hldgs (TCEHY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.62 | Tesco PLC (TSCDY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.63 | Unilever PLC (UL) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.64 | Universal Music Group (UNVGY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.65 | Vestas Wind Systems (VWDRY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.66 | Wolters Kluwer (WTKWY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.67 | Volkswagen AG RP PRF (VWAPY) | N/A | | | None (or less than \$201) |
| 9.68 | Allegion Plc (ALLE) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|----------------------------------------------|-----|---------------------|-------------|---------------------------|
| 9.69 | Amer Intl GP Inc (AIG) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.70 | American Tower Corporation (REIT) (AMT) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.71 | ANSYS, Inc. (ANSS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.72 | Apollo Global Management (APO) | N/A | | Dividends | \$201 - \$1,000 |
| 9.73 | Apple, Inc. (AAPL) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.74 | Aspen Technology, Inc. (AZPN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.75 | Bank of America Corp. (BAC) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.76 | Becton, Dickinson and Company (BDX) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.77 | Bentley Sys Inc (BSY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.78 | W.R. Berkley Corp. (WRB) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.79 | Blackstone Inc (BX) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.80 | Boston Properties, Inc. (BXP) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.81 | Bright Horizons Family Solutions Inc. (BFAM) | N/A | | | None (or less than \$201) |
| 9.82 | Broadcom, Inc. (AVGO) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.83 | CDW Corp. (CDW) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-------------------------------|-----|---------------------|-------------|---------------------------|
| 9.84 | Charles River Labs (CRL) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.85 | Chemed (CHE) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.86 | Cisco (CSCO) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.87 | Coca Cola (KO) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.88 | Comcast Corp (CMCSA) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.89 | Cooper Co Inc (COO) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.90 | Copart Inc. (CPRT) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.91 | Duck Creek Technologies (DCT) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.92 | Ecolab Inc. (ECL) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.93 | Edison International (EIX) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.94 | Elanco Animal Health (ELAN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.95 | Enbridge Inc. (ENB) | N/A | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 9.96 | Equifax (EFX) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.97 | Exponent (EXPO) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.98 | Fair Isaac and Co (FICO) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.99 | Home Depot (HD) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|----------------------------------|-----|---------------------|-------------|---------------------------|
| 9.100 | Interactive Brokers Group (IBKR) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.101 | Jack Henry and Assoc (JKHY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.102 | Johnson and Johnson (J&J) | N/A | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 9.103 | JPMorgan Chase (JPM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.104 | Lennox Intel Inc (LII) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.105 | Linde PLC (LIN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.106 | LPL Finl Hlds (LPLA) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.107 | Mastercard (MA) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.108 | Merck (MRK) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.109 | Metlife (MET) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.110 | Microsoft (MSFT) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.111 | Mondelez Intl (MDLZ) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.112 | MSCI Inc | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.113 | Nestle (NSRGY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.114 | Nextera Energy (NEE) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|------------------------------------|-----|---------------------|-------------|---------------------------|
| 9.115 | Nordson CP (NDSN) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.116 | Northrop Grumman CP (NOC) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.117 | Oracle Corp (ORCL) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.118 | Otis Worldwide (OTIS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.119 | Pfizer (PFE) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.120 | Pioneer Natural Resources (PXD) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.121 | PNC Finl (PNC) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.122 | Pool Corp (POOL) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.123 | PPG Industries (PPG) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.124 | Proctor and Gamble (PG) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.125 | Public Service Enterprise GP (PEG) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.126 | Raytheon (RTX) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 9.127 | Rollins Inc (ROL) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.128 | Sempra (SRE) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.129 | Siteone Landscape (SITE) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--------------------------------------|-----|---------------------|-------------|---------------------------|
| 9.130 | Teledyne Tech (TDY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.131 | Teradyne Inc (TER) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.132 | Texas Instruments (TXN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.133 | The Scotts Miracle-Gro Company (SMG) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 9.134 | Thor Industries (THO) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.135 | Travelers Companies (TRV) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.136 | US Bancorp (USB) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.137 | Union Pacific (UNP) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.138 | United Parcel Ser (UPS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.139 | UnitedHealth (UNH) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.140 | Verizon (VZ) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.141 | Visa (V) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.142 | Vulcan Materials (VMC) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.143 | Walt Disney (DIS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.144 | Waste Management (WM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---------------------------------------------------------|-----|---------------------|-------------|---------------------------|
| 9.145 | Williams Co (WMB) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 9.146 | Zebra Tech (ZBRA) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.147 | Zoetis Inc (ZTS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.148 | Iowa ST SPL JOB PROG SPL OBLIG REF REV-A | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 9.149 | AR GILBERT TWN WTR RES MUN PTY CORP SR LN UTIL SYS REV | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.150 | SAN ANTONIO TX INDPT SCH DIST REF PSF-GTD | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.151 | CITRUS CNTY FLA CAP IMPT REV REF | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.152 | UNIVERSITY NC GREENSBORO REV | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.153 | UNION CNTY NC ENTERPRISE SYS REV | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.154 | INDIANA ST UNV REVS STUDENT FEE REV-R | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.155 | ALABAMA ST PUB SCH AND COLLEGE AUTH IMPT REV REF-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.156 | JEA FLA WTR AND SWR SYS REV-A | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 9.157 | MECKLENBERG CNTY NC PUB IMPT GENL OBLIG SER-B | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.158 | NORTH TEX TWY AUTH REV REF-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.159 | HONOLULU HAWAII CITY AND CNTY | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 9.160 | NORTH CAROLINA AGRIC AND TECHNICAL UNIV REVS GENL REV-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|----------------------------------------------------------|-----|---------------------|-------------|-----------------|
| 9.161 | NEW YORK NY CITY TRANSITIONAL FIN AUTH | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.162 | SCIOOTO CTY OH HOS FAC REV REF | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.163 | CHARLOTTE NC GENL OBLIG REF-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.164 | DENVER COLO CITY AND CNTY SCH DIST NO 1 | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.165 | MOUNT PLEASANT MICH PUB SCHS SER-I | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.166 | ROUND ROCK TEX GENL OBLIG REF | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.167 | COLORADO ST HIGHER ED LEASE PUR FING PROG CTFS PARTN REV | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 9.168 | MONTANA ST BRD REGENTS HIGHER ED FACS IMPT REV-E | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.169 | DURHAM NC OBLIG REV | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.170 | NORTH CAROLINA ST LTD OBLIG REV-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.171 | WEST TRAVIS CNTY TEX PUB UTL AGY REV REF | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.172 | UNIVERSITY NC CHARLOTTE REV-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.173 | SOUTH CAROLINA JOBS-ECONOMIC DEV AUTH HOSP REV | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.174 | COLORADO ST BLDG EXCELLENT SCHS TODAY CTFS PARTN | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.175 | ROUND ROCK TEX INDPT SCH DIST REF-A ID 04-01-21 | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.176 | INDIANAPOLIS IND WTR SYS FIRST LIEN REV REF-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.177 | ALLEN CNTY OHIO HOSP FACS REV-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---------------------------------------------------------------------------------|-----|--------------------------|----------------------------------------|------------------------------|
| 9.178 | MIAMI-DAD CNTY FLA HEALTH FACS AUTH HOSP REV REF-A | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 9.179 | HARRIS CNTY TEX MET TRAN AUTH SALES AND USE TAX | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.180 | JEFFERSON CNTY COLO SCH DIST NO R- 001 SER-A | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 9.181 | VOLUSIA CNTY FLA SCH BRD CTFS PARTN REV-A | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 10 | Vanguard Brokerage Account | No | \$250,001 - \$500,000 | Capital Gains Dividends Interest | \$2,501 - \$5,000 |
| 10.1 | Vanguard Total Stock Market Index Fund ETF Class Shares (VTI) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 10.2 | Proshares Short S&P500 (SH) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 10.3 | Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 10.4 | Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 10.5 | Vanguard FTSE Emerging Markets ETF (VWO) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 10.6 | Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 10.7 | Vanguard Extended Market Index Fund ETF Shares (VXF) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 10.8 | Apple, Inc. (AAPL) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 10.9 | Southwest Airlines Co. (LUV) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---------------------------|-----|--------------------|-------------|---------------------------|
| 10.10 | The Walt Disney Co. (DIS) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|------------------------------------------------------|----------|------------|---------------------|
| 1 | Lennox Intl Inc | Sale | 04/30/2021 | \$1,001 - \$15,000 |
| 2 | Charles River Laboratories International, Inc. (CRL) | Sale | 04/30/2021 | \$1,001 - \$15,000 |
| 3 | JP Morgan Chase(JPM) | Purchase | 04/30/2021 | \$1,001 - \$15,000 |
| 4 | PPG Industries, Inc. (PPG) | Sale | 04/30/2021 | \$1,001 - \$15,000 |
| 5 | JP Morgan Chase (JPM) | Purchase | 05/03/2021 | \$1,001 - \$15,000 |
| 6 | JP Morgan Chase (JPM) | Purchase | 05/04/2021 | \$1,001 - \$15,000 |
| 7 | Volkswagen AG | Sale | 05/06/2021 | \$1,001 - \$15,000 |
| 8 | Industrio De Diseno Textil Ind | Purchase | 05/10/2021 | \$1,001 - \$15,000 |
| 9 | Shin Etsu Chem Co | Sale | 05/13/2021 | \$1,001 - \$15,000 |
| 10 | Cisco Systems, Inc. (CSCO) | Purchase | 05/14/2021 | \$1,001 - \$15,000 |
| 11 | FLIR Systems, Inc. (FLIR) | Sale | 05/17/2021 | \$1,001 - \$15,000 |
| 12 | Comcast Corp. (CMCSA) | Sale | 05/17/2021 | \$1,001 - \$15,000 |
| 13 | Adidas | Purchase | 05/17/2021 | \$1,001 - \$15,000 |
| 14 | Volusia Cnty FLA Rev-A | Purchase | 05/19/2021 | \$15,001 - \$50,000 |
| 15 | Pioneer Natural Resources Co. (PXD) | Purchase | 05/20/2021 | \$1,001 - \$15,000 |
| 16 | Cisco Systems, Inc. (CSCO) | Purchase | 05/20/2021 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---------------------------------------|----------|------------|---------------------|
| 17 | Canadian Natl Railway | Sale | 05/28/2021 | \$1,001 - \$15,000 |
| 18 | Compagnie Fin (CFRUY) | Purchase | 06/01/2021 | \$1,001 - \$15,000 |
| 19 | Akzo Nobel | Purchase | 06/01/2021 | \$1,001 - \$15,000 |
| 20 | Ping An Insurance | Sale | 06/02/2021 | \$1,001 - \$15,000 |
| 21 | Georgia Mun GA Auth Gas Rev-A | Sale | 06/03/2021 | \$1,001 - \$15,000 |
| 22 | UPS | Sale | 06/09/2021 | \$1,001 - \$15,000 |
| 23 | Blackstone Group (BX) | Sale | 06/18/2021 | \$1,001 - \$15,000 |
| 24 | Lonza Group (LZAGY) | Sale | 06/21/2021 | \$1,001 - \$15,000 |
| 25 | AKZO Nobel (AKZOY) | Purchase | 06/21/2021 | \$1,001 - \$15,000 |
| 26 | Shin Etsu Chem | Sale | 06/22/2021 | \$1,001 - \$15,000 |
| 27 | Blackstone Group (BX) | Sale | 06/22/2021 | \$1,001 - \$15,000 |
| 28 | SiteOne Landscape Supply, Inc. (SITE) | Sale | 06/29/2021 | \$1,001 - \$15,000 |
| 29 | Zoetis, Inc. (ZTS) | Sale | 07/13/2021 | \$1,001 - \$15,000 |
| 30 | JEA FLA WTR and SWR SYS REV-A | Purchase | 07/14/2021 | \$15,001 - \$50,000 |
| 31 | Ninentdo (NTDOY) | Sale | 07/20/2021 | \$1,001 - \$15,000 |
| 32 | Sands China | Sale | 08/02/2021 | \$1,001 - \$15,000 |
| 33 | BP | Purchase | 09/17/2021 | \$1,001 - \$15,000 |
| 34 | Blackstone Group (BX) | Sale | 09/22/2021 | \$1,001 - \$15,000 |
| 35 | Legrand (LGRDY) | Purchase | 09/28/2021 | \$1,001 - \$15,000 |
| 36 | The Williams Cos., Inc. (WMB) | Purchase | 10/04/2021 | \$1,001 - \$15,000 |
| 37 | Blackstone (BG) | Sale | 10/08/2021 | \$1,001 - \$15,000 |
| 38 | NXP Semiconductors (NXPI) | Sale | 10/13/2021 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--------------------------------------------------------|----------|------------|------------------------|
| 39 | Becton, Dickinson and Company (BDX) | Purchase | 10/13/2021 | \$1,001 - \$15,000 |
| 40 | Infineon Tech (IFNNY) | Purchase | 10/19/2021 | \$1,001 - \$15,000 |
| 41 | Hexagon (HXGBY) | Sale | 10/19/2021 | \$1,001 - \$15,000 |
| 42 | Alibaba (BABA) | Purchase | 10/22/2021 | \$1,001 - \$15,000 |
| 43 | Waste Management, Inc. (WM) | Sale | 10/26/2021 | \$1,001 - \$15,000 |
| 44 | Blackstone Group (BX) | Sale | 10/27/2021 | \$1,001 - \$15,000 |
| 45 | Miami Dada Cnty FLA Health FACS Auth HOSP Rev Ref-A | Purchase | 10/28/2021 | \$15,001 - \$50,000 |
| 46 | Sumitomo (SMFG) | Sale | 10/29/2021 | \$1,001 - \$15,000 |
| 47 | ABB Ltd (ABB) | Sale | 11/01/2021 | \$1,001 - \$15,000 |
| 48 | BHP Group (BHP) | Sale | 11/02/2021 | \$1,001 - \$15,000 |
| 49 | Vivendi (VIVHY) | Sale | 11/03/2021 | \$1,001 - \$15,000 |
| 50 | Bandai (NCBDY) | Purchase | 11/04/2021 | \$1,001 - \$15,000 |
| 51 | Daiwa (DWAHY) | Sale | 11/05/2021 | \$1,001 - \$15,000 |
| 52 | Alstom (ALSMY) | Sale | 11/09/2021 | \$1,001 - \$15,000 |
| 53 | Activision Blizzard, Inc. (ATVI) | Purchase | 11/15/2021 | \$1,001 - \$15,000 |
| 54 | NextEra Energy, Inc. (NEE) | Sale | 11/17/2021 | \$1,001 - \$15,000 |
| 55 | Clarivate PLC (CLVT) | Purchase | 11/17/2021 | \$1,001 - \$15,000 |
| 56 | Activision Blizzard, Inc. (ATVI) | Sale | 11/18/2021 | \$1,001 - \$15,000 |
| 57 | Suncor Energy (SU) | Sale | 11/29/2021 | \$1,001 - \$15,000 |
| 58 | Compass Group (CMPGY) | Purchase | 11/29/2021 | \$1,001 - \$15,000 |
| 59 | Ryohin Keikaku (RYKKY) | Sale | 12/06/2021 | \$1,001 - \$15,000 |
| 60 | Daikin Inds (DKILY) | Purchase | 12/06/2021 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|-----------------------------------|----------|------------|--------------------|
| 61 | Hitachi (HTHIY) | Sale | 12/08/2021 | \$1,001 - \$15,000 |
| 62 | The Coca-Cola Co. (KO) | Purchase | 12/13/2021 | \$1,001 - \$15,000 |
| 63 | Verizon Communications, Inc. (VZ) | Purchase | 12/15/2021 | \$1,001 - \$15,000 |
| 64 | Visa, Inc. (V) | Purchase | 12/22/2021 | \$1,001 - \$15,000 |
| 65 | Enbridge (ENB) | Purchase | 12/21/2021 | \$1,001 - \$15,000 |

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|---|---------------------------|
| 6. | 9 | See attached spreadsheet. |

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).
