

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

## Filer's Information

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Barkoff, Alison

Principal Deputy Administrator, ACL, Department of Health & Human Services

Date of Appointment: 01/20/2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Barkoff, Alison [electronically signed on 01/08/2021 by Barkoff, Alison in Integrity.gov]

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

/s/ Olesh, Stanley, Certifying Official [electronically signed on 03/08/2021 by Olesh, Stanley in Integrity.gov]

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Other review conducted by

/s/ Olesh, Stanley, Ethics Official [electronically signed on 03/08/2021 by Olesh, Stanley in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 03/08/2021

Data Revised 02/01/2021

Data Revised 01/29/2021

Data Revised 01/10/2021

Data Revised 01/09/2021

Data Revised 01/08/2021

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(01/09/2021, Olesh, Stanley): In Part 6, items 56 through 59 and 68 through 182 have been sold in their entirety -- SO

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Center for Public Representation	Washington, District of Columbia	Non-Profit	Director of Advocacy	9/2016	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Center for Public Representation	N/A		Salary/Bonus	\$154,805
2	Center for Public Representation retirement plan	No			
2.1	VALIC Fixed Account Plus	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	VALIC US Socially Responsible Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Vanguard Lifestrategy Growth	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	Vanguard LT Inv-Grade Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Vanguard LT Treasury Fund	Yes	\$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	Center for Public Representation	Northampton, Massachusetts	No further contributions will be made in this defined contribution plan after my separation.	9/2016

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Center for Public Representation	Washington, District of Columbia	Director of Advocacy

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	GEF Capital Partners, LLC (environmentally-focused private investment fund manager)	N/A		salary, bonus	
2	Bluesource Capital Partners	No			
2.1	Bluesource Capital Fund	See Endnote	No	Over \$1,000,000	None (or less than \$201)
2.1.1	Bluesource	See Endnote	N/A		
3	Bluesource Capital Fund	See Endnote	No	Over \$1,000,000	None (or less than \$201)
3.1	Bluesource	See Endnote	N/A		
4	GEF Water Partners	No			
4.1	GEF Water Fund	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
4.1.1	EnviroMix	See Endnote	N/A		

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1.2	Digital Water, LLC	See Endnote	N/A			
5	GEF Water Fund	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
5.1	EnviroMix	See Endnote	N/A			
5.2	Digital Water, LLC	See Endnote	N/A			
6	GEF Latam Partners		No			
6.1	GEF Latam Fund II	See Endnote	No	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
6.1.1	Luminae	See Endnote	N/A			
6.1.2	Unicoba	See Endnote	N/A			
6.1.3	ENC Brasil	See Endnote	N/A			
7	GEF Latam Fund II-S	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
7.1	Luminae	See Endnote	N/A			
7.2	ENC Brasil	See Endnote	N/A			
7.3	Unicoba	See Endnote	N/A			
8	Further Health Savings Account		No			
8.1	Schwab Government Money Inv (SNVXX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
8.2	Cash		N/A	\$15,001 - \$50,000		None (or less than \$201)
9	GEF Capital Partners membership interests (value not readily ascertainable)		N/A			None (or less than \$201)
10	GEF Capital Carried Interest Holdings (8% hurdle rate)	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1	GEF Latam Partners		No			
10.1.1	GEF Latam Fund II		No			
10.1.1.1	Luminae	See Endnote	N/A			
10.1.1.2	Unicoba	See Endnote	N/A			
10.1.1.3	ENC Brasil	See Endnote	N/A			
10.2	SAGF II Partners		No	\$15,001 - \$50,000		None (or less than \$201)
10.2.1	South Asia Growth Fund II		No			
10.2.1.1	ESDS Systems	See Endnote	N/A			
10.2.1.2	Prince Pipes	See Endnote	N/A			
10.2.1.3	Seedworks	See Endnote	N/A			
10.3	GEF Compost Manager		No			
10.3.1	GEF Compost Fund		No			
10.3.1.1	Gro-Well Brands	See Endnote	N/A			
10.3.1.2	Pacific Topsoils	See Endnote	N/A			
10.3.1.3	Map #2, LLC	See Endnote	N/A			
10.4	Bluesource Capital Partners		No			
10.4.1	Bluesource Capital Fund		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.4.1.1	Bluesource	See Endnote	N/A			
10.5	GEF ESDS Partners		No			
10.5.1	ESDS Systems	See Endnote	N/A			
10.6	GEF Water Partners		No	None (or less than \$1,001)		None (or less than \$201)
10.6.1	GEF Water Fund		No			
10.6.1.1	EnviroMix	See Endnote	N/A			
10.6.1.2	Digital Water, LLC	See Endnote	N/A			
11	GEF ESDS Partners	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
11.1	ESDS Systems	See Endnote	N/A			
12	GEF Compost Partners, LLC	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
12.1	GEF Compost Fund		No			
12.1.1	Gro-Well Brands	See Endnote	N/A			
12.1.2	Pacific Topsoils	See Endnote	N/A			
12.1.3	Map #2, LLC	See Endnote	N/A			
13	GEF Compost Manager	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
13.1	GEF Compost Fund		No			
13.1.1	Gro-Well	See Endnote	N/A			
13.1.2	Pacific Topsoils	See Endnote	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.1.3	Map #2, LLC	See Endnote	N/A			
14	SAGF II Partners	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
14.1	South Asia Growth Fund II		No			
14.1.1	Prince Pipes	See Endnote	N/A			
14.1.2	Seedworks	See Endnote	N/A			
14.1.3	ESDS Systems	See Endnote	N/A			

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Citibank Checking Account		N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Citibank Savings Account		N/A	\$1,001 - \$15,000		None (or less than \$201)
3	TD Bank Checking Account		N/A	\$1,001 - \$15,000		None (or less than \$201)
4	TD Bank Dependent Savings Account (1)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5	TD Bank Dependent Savings Account (2)		N/A	\$1,001 - \$15,000		None (or less than \$201)
6	American 529 Global GW Port A (CPGAX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	American 529 Global GW Port C (CPGCX)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	American AMCAP 529A (CAFAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9	American AMCAP 529C (CAFCX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	American GR FD of Amer 529A (CGFAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11	American GR FD of Amer 529C (CGFCX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	American Mutual 529A (CMLAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
13	American Mutual 529C (CMLCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	MorganStanley Bank Deposit Program (BDPS) (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
15	Columbia Thermostat Fund Inst (COTZX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16	Cons Discret Sel Sect SDPR Fund (XLY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	Cons Staples Sel Sect SPDR Fund (XLP)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
18	Credit Suisse Comm Ret Str I (CRSOX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
19	EatonVance Floating Rate Income (EFT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Fidelity Invest MMKT I (FMPXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
21	First Trust Multi Cap Alpha ETF (FAD)	Yes	\$100,001 - \$250,000		None (or less than \$201)
22	First Trust US Equity Opp ETF (FPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	Goldman Sachs Hedge Ind VIP (GVIP)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
24	Health Care Sel Sect SPDR Fund (XLV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
25	Industrial Sel Sec SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
26	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
27	Invesco S&P 500 Pure Growth ETF (RPG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
28	Invesco S&P Midcap 400 Pure Growth (RFG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29	Invesco S&P Midcap 400 Pure Value (RFV)	Yes	None (or less than \$1,001)		None (or less than \$201)
30	Invesco S&P Smallcap 600 Pure (RZV)	Yes	None (or less than \$1,001)		None (or less than \$201)
31	Invesco Van Kampen SR Inc Trust (VVR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
32	iShares Core MSCI Emerging (IEMG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
33	iShares Core S&P 500 ETF (IVV)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
34	iShares Core S&P US Value (IUSV)	Yes	\$100,001 - \$250,000		None (or less than \$201)
35	iShares Edge MSCI US Momentum (MTUM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
36	iShares IBOXX HY Cor BD ETF (HYG)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37	iShares IBOXX Invest Gr Cor BD ETF (LQD)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
38	iShares MSCI USA Size Factor (SIZE)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
39	iShares Russell 1000 GRW ETF (IWF)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
40	iShares Russell 2000 ETF (IWM)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
41	iShares S&P 100 ETF (OEF)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
42	iShares Trust iShares 5-10 YR (IGIB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
43	Materials Sel Sect SPDR Fund (XLB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
44	MSPBNA Preferred Savings - QC (((YA78GU6)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
45	Pacer Trendpilot US Large Cap (PTLC)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
46	Pacer Trendpilot US Mid Cap (PTMC)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
47	SPDR DJIA Trust (DIA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
48	SPDR Gold Tr GOLD SHS (GLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
49	SPDR Portfolio S&P 500 ETF (SPLG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
50	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51	SPDR SER Trust BBG BCL 1 3 ETF (BIL)		Yes	\$1,001 - \$15,000		None (or less than \$201)
52	The Technology Sel Sec SPDR Fund (XLK)		Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
53	Vanguard Index Funds S&P 500 ETF (VOO)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
54	Vanguard Total Bond Market (BND)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
55	Voya Prime Rate Trust (PPR)		Yes	\$15,001 - \$50,000		
56	Alphabet Inc. (GOOG)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
57	Amazon Inc (AMZN)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
58	Charles River Labs Intl Inc. (CRL)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
59	Salesforce.com Inc. (CRM)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
60	GEEMF III Partners	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
60.1	Global Environment Emerging Markets Fund III		No			
60.1.1	UPC Wind China	See Endnote	N/A			
60.1.2	Red Ambiental	See Endnote	N/A			
60.1.3	Neogas do Brasil	See Endnote	N/A			
61	SACEF Partners	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
61.1	South Asia Clean Energy Fund		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61.1.1	Concord Enviro Systems	See Endnote	N/A			
61.1.2	Rishabh Electronic Systems	See Endnote	N/A			
61.1.3	Renew Power	See Endnote	N/A			
61.1.4	Shakti Pumps	See Endnote	N/A			
61.1.5	Kalkitech	See Endnote	N/A			
62	GEF Aurora Holdings	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
62.1	Aurora Flight Sciences - sales proceeds	See Endnote	N/A			
63	GECC Secondary Partners II, LLC	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
63.1	Global Environment Emerging Markets Fund III		No			
63.1.1	UPC Wind China	See Endnote	N/A			
63.1.2	Red Ambiental	See Endnote	N/A			
63.1.3	Neogas do Brasil	See Endnote	N/A			
64	GECC Secondary Partners, LLC	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
64.1	Global Environment Emerging Markets Fund		No			
64.2	Termovalle	See Endnote	N/A			
64.3	Global Environment Emerging Markets Fund II (residual real estate interests in Latin America and escrowed proceeds)		N/A			
65	GECC Secondary Partners III, LLC	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
65.1	GEF US Growth Fund II		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65.1.1	Chainalytics	See Endnote	N/A			
65.1.2	Comrent	See Endnote	N/A			
65.1.3	Derive Systems	See Endnote	N/A			
66	Stuart Barkoff IRA, c/o Millennium Trust Company		No	\$100,001 - \$250,000		
66.1	Cash		N/A	\$1,001 - \$15,000		
66.2	GEF Water Fund		No			
66.2.1	EnviroMix	See Endnote	N/A			
66.2.2	Digital Water, LLC		N/A			
67	GEF USG II Partners	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
67.1	GEF US Growth Fund II		No			
67.1.1	Chainalytics	See Endnote	N/A			
67.1.2	Comrent	See Endnote	N/A			
67.1.3	Derive Systems	See Endnote	N/A			
68	First Trust Nasd 100 Index Fd		Yes	None (or less than \$1,001)		\$15,001 - \$50,000
69	FT ENHANCED SHORT MATURITY ETF		Yes	None (or less than \$1,001)		\$201 - \$1,000
70	IISHARES 20+ YR TREASU BOND ETF		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
71	ISHARES 3-7 YR TREASURY BD ETF		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
72	ISHARES 7-10 YR TREASRY BD ETF		Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
73	ISHARES CORE U.S. AGGREGATE	Yes	None (or less than \$1,001)		\$201 - \$1,000
74	ISHARES EDGE MSCI US QLTQ FAC	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
75	ISHARES INTERM-TERM COR BD ETF	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
76	ISHARES TIPS BOND ETF	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
77	ISHARES TRUST ISHARES 1-5 YE	Yes	None (or less than \$1,001)		\$201 - \$1,000
78	Newmont Corp. (NEM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
79	SCHWAB INTL EQUITY ETF	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
80	SCHWAB US SMALL-CAP ETF	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
81	SPDR Portfolio Long Term Treasury ETF (SPTL)	Yes	None (or less than \$1,001)		\$201 - \$1,000
82	SPDR Portfolio Short Term Treasury ETF (SPTS)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
83	Utilities Select Sector SPDR Fund (XLU)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
84	Vanguard Intermediate Term Gov	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
85	Aon Plc (AON)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
86	Abbott Laboratories (ABT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
87	AES Corp (AES)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
88	Albemarle Corp. (ALB)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
89	Amazon.com, Inc. (AMZN)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
90	Amgen Inc. (AMGN)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
91	Apple, Inc. (AAPL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
92	Archer-Daniels-Midland Co. (ADM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
93	Berkshire Hathaway Inc. (BRKB)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
94	California Water Service Group (CWT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
95	Chipotle Mexican Grill, Inc. (CMG)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
96	The Coca-Cola Co. (KO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
97	Comcast Corp. (CMCSA)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
98	Costco Wholesale Corp. (COST)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
99	CVS Health Corp. (CVS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
100	Dollar Tree, Inc. (DLTR)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
101	Duke Energy Corp. (DUK)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
102	Eastman Chemical Co. (EMN)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
103	Ecolab, Inc. (ECL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
104	Encompass Health Corp. (EHC)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
105	Essential Utilities	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
106	Eversource Energy (ES)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
107	Facebook, Inc. (FB)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
108	First Republic Bank (San Francisco, California) (FRC)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
109	Fortinet, Inc. (FTNT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
110	Honeywell International, Inc. (HON)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
111	Illinois Tool Works, Inc. (ITW)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
112	Invesco S&P 500 High Beta ETF (SPHB)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
113	iShares Gold Trust (IAU)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
114	iShares International Treasury Bond ETF (IGOV)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
115	iShares MSCI EAFE International Index Fund Investor P Class Shares (BTMPX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
116	Johnson & Johnson (JNJ)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
117	JP Morgan	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
118	Lowe's Companies	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
119	Mastercard, Inc. (MA)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
120	Match Group, Inc. (MTCH)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
121	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
122	Netflix, Inc. (NFLX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
123	NextEra Energy, Inc. (NEE)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
124	NIKE, Inc. (NKE)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
125	Northern Trust Corp. (NTRS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
126	NVIDIA Corp. (NVDA)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
127	PayPal Holdings, Inc. (PYPL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
128	Pfizer Inc. (PFE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
129	Pool Corp. (POOL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
130	Procter & Gamble Co. (PG)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
131	salesforce.com, inc. (CRM)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
132	The Sherwin-Williams Co. (SHW)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
133	The Southern Co. (SO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
134	Southern Copper	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
135	Starbucks Corp. (SBUX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
136	Stepan Co. (SCL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
137	Scotts Miracle-Gro Co. (SMG)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
138	Twilio, Inc. (TWLO)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
139	Tyler Technologies, Inc. (TYL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
140	Uber Technologies, Inc. (UBER)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
141	United Parcel Service, Inc. (UPS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
142	UnitedHealth Group, Inc. (UNH)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
143	Vanguard FTSE All-World ex US Index Fund Admiral Class Shares (VFWAX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
144	Vanguard FTSE Emerging Markets ETF	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
145	vanguard global ex-us	Yes	None (or less than \$1,001)		\$201 - \$1,000
146	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
147	Vanguard Short-Term Bond Index Fund Admiral Shares (VBIRX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
148	Verisk Analytics, Inc. (VRSK)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
149	Verizon Communications, Inc. (VZ)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
150	Walmart, Inc. (WMT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
151	The Walt Disney Co. (DIS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
152	PIMCO Real Return Fund Class A Shares (PRTNX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
153	Vanguard 500 Index Fund Investor Shares (VFINX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
154	VanguardGlobal Wellington Fund Investor Shares (VGWLX)	Yes	None (or less than \$1,001)		\$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	MorganStanley	Personal Loan	\$100,001 - \$250,000	2020	3.65	Revolving
2	GEF Compost Partners	Capital Commitment	\$50,001 - \$100,000	2020	N/A	N/A
3	Bluesource Capital Fund	Capital Commitment	\$15,001 - \$50,000	2018	N/A	N/A
4	GEF Water Fund	Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
5	GEF Latam Fund II-S	Capital Commitment	\$15,001 - \$50,000	2019	N/A	N/A
6	South Asia Growth Partners II	Capital Commitment	\$15,001 - \$50,000	2018	N/A	N/A

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
5.	2.1	Allocated value & income is not ascertainable for underlying entities

PART	#	ENDNOTE
5.	2.1.1	Developing projects and providing advisory services to clients in the voluntary and compliance environmental markets (e.g., carbon offset services)
5.	3	Allocated value & income is not ascertainable for underlying entities
5.	3.1	Developing projects and providing advisory services to clients in the voluntary and compliance environmental markets (e.g., carbon offset services)
5.	4.1	Allocated value & income is not ascertainable for underlying entities
5.	4.1.1	Wastewater treatment facility products
5.	4.1.2	Wastewater treatment facility management software
5.	5	Allocated value & income is not ascertainable for underlying entities
5.	5.1	Wastewater treatment facility products
5.	5.2	Wastewater treatment facility products
5.	6.1	Allocated value & income is not ascertainable for underlying entities
5.	6.1.1	Energy-efficient lighting in Brazil
5.	6.1.2	Industrial batteries
5.	6.1.3	Waste-to-energy facilities in Brazil
5.	7	Allocated value & income is not ascertainable for underlying entities
5.	7.1	Energy-efficient lighting in Brazil
5.	7.2	Waste-to-energy facilities in Brazil
5.	7.3	Industrial batteries
5.	10	Allocated values not ascertainable for most underlying holdings of the Carried Interest acct.
5.	10.1.1.1	Energy-efficient lighting in Brazil
5.	10.1.1.2	Industrial batteries
5.	10.1.1.3	Waste-to-energy facilities in Brazil

PART	#	ENDNOTE
5.	10.2.1.1	Cloud data center in India with patented energy-saving technology
5.	10.2.1.2	Manufacturer & distributor of water pipes & fittings in India
5.	10.2.1.3	Provides hybrid seeds to farmers in India & Philippines
5.	10.3.1.1	Organic waste recycling (SW US)
5.	10.3.1.2	Provides soils and mulches by diverting organic waste from landfills
5.	10.3.1.3	Industrial real estate (properties used by Pacific Topsoils)
5.	10.4.1.1	Developing projects and providing advisory services to clients in the voluntary and compliance environmental markets (e.g., carbon offset services)
5.	10.5.1	Cloud data center in India with patented energy-saving technology
5.	10.6.1.1	Wastewater treatment facility products
5.	10.6.1.2	Wastewater treatment facility products
5.	11	Allocated value is not ascertainable for underlying entities
5.	11.1	Cloud data center in India with patented energy-saving technology
5.	12	Allocated values not ascertainable for underlying entities
5.	12.1.1	Organic waste recycling (SW US)
5.	12.1.2	Provides soils and mulches by diverting organic waste from landfills
5.	12.1.3	Industrial real estate (land used by Pacific Topsoil)
5.	13	Allocated values not ascertainable for underlying entities
5.	13.1.1	Organic waste recycling (SW US)
5.	13.1.2	Provides soils and mulches by diverting organic waste from landfills
5.	13.1.3	Industrial real estate (land used by Pacific Topsoil)
5.	14	Allocated values not ascertainable for underlying entities
5.	14.1.1	Manufacturer & distributor of water pipes & fittings in India

PART	#	ENDNOTE
5.	14.1.2	Provides hybrid seeds to farmers in India & Philippines
5.	14.1.3	Cloud data center in India with patented energy-saving technology
6.	56	sold
6.	57	sold
6.	58	sold
6.	59	sold
6.	60	Allocated values cannot be ascertained for underlying entities
6.	60.1.1	Wind Power generation in China
6.	60.1.2	Waste management in Mexico
6.	60.1.3	natural gas transportation in Brazil
6.	61	Allocated values not ascertainable for underlying entities
6.	61.1.1	Wastewater recycling
6.	61.1.2	Electronic testing equipment
6.	61.1.3	Solar and wind production in India
6.	61.1.4	Water pumps in India
6.	61.1.5	Power generation facility management software
6.	62	Allocated value not ascertainable for underlying entities
6.	62.1	Unmanned aerial vehicles. (Aurora was sold in 2017 but awaiting to receive certain corporate tax refunds)
6.	63	Allocable values not ascertainable for underlying entities
6.	63.1.1	Wind Power generation in China
6.	63.1.2	Waste management in Mexico
6.	63.1.3	oil and natural gas in Brazil

PART	#	ENDNOTE
6.	64	Allocable values for underlying holdings not ascertainable
6.	64.2	thermal power generation company in Colombia
6.	65	Allocable values for underlying holdings not ascertainable
6.	65.1.1	Business supply chain management services
6.	65.1.2	Load testing services for power generating facilities
6.	65.1.3	Automotive fleet management software
6.	66.2.1	Value difficult to ascertain. Wastewater treatment facility products
6.	67	Allocable values not ascertainable for underlying entities
6.	67.1.1	Business supply chain management services
6.	67.1.2	Load testing services for power generating facilities
6.	67.1.3	Automotive fleet management software

# 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.

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