

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

Filer's Information

Rice, Susan E

Assistant to the President and Domestic Policy Advisor, White House - Biden-Harris Administration

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/ Rice, Susan E [electronically signed on 05/10/2022 by Rice, Susan E 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).

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	SERice LLC	Washington, District of Columbia	Author/Speaking Business	President	4/2017	Present
2	American University, School of International Service	Washington, District of Columbia	University/College	Distinguished Visiting Research Fellow	3/2017	1/2021
3	Netflix Corporation	Los Gatos, California	Corporation	Director	3/2018	1/2021
4	Harvard University Belfer Center	Cambridge, Massachusetts	University/College	Non-Resident Senior Fellow	9/2017	1/2021
5	Amplo Partners I, LLC	Spring, Texas	Corporation	Board Partner	8/2018	1/2021
6	Amplo Partners II, LLC	Spring, Texas	Corporation	Board Partner	8/2018	1/2021
7	Rice Cameron Family Foundation		Charitable Foundation	Trustee	12/2006	Present
8	Cameron Family Trust 2012		Trust	Trustee	1/2012	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SERice LLC	No			
1.1	Latham and Watkins (1/12/21)	N/A		Speaker's fee	\$25,000
2	SEP-IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	UBS BANK DEPOSIT ACCOUNT	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.2	UBS Select Government Investor Fund (SGEXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	BENEFICIARY IRA	No			
3.1	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.4	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.5	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.6	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.7	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.9	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.10	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.11	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.12	UBS BANK DEPOSIT ACCOUNT	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
3.15	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.17	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	WisdomTree Japan Hedged SmallCap Equity Fund (DXJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.21	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	SUSAN BENEFICIARY IRA #2	No		cash distributions	\$42,793
4.1	UBS BANK USA DEP ACCT	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.2	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.3	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.5	iShares TIPS Bond ETF (TIP)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.6	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.7	US TREAS INFLO PROT BOND	N/A	\$15,001 - \$50,000		\$201 - \$1,000
4.8	iShares MSCI ACWI ETF (ACWI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.9	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.10	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.11	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.12	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.13	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.14	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.15	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.16	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5	THE BROOKINGS INSTITUTION TIAA-CREF RETIREMENT	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	CREF Stock Class R2 (QCSTPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	CREF Growth R2 (QCGRPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	CREF GLOBAL EQUITIES (QCGLPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	TIAA REAL ESTATE (QREARX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	CREF BOND MARKET R2 (QCBMPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	CREF SOCIAL CHOICE R2 (QCSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Amplo Partners I, LLC, carried interest, (value not readily ascertainable): granted assignee interest -- an LLC percentage of .4854% and capital percentage of 0.0%	See Endnote	N/A		None (or less than \$201)
7	Amplo Partners II, LLC, carried interest (value not readily ascertainable): granted an assignee interest -- LLC percentage of .58% and capital percentage of 0.0%	See Endnote	N/A		None (or less than \$201)
8	Media Services Processing - AFTRA Residuals	N/A	None (or less than \$1,001)	AFTRA Residuals	\$483
9	Netflix, Inc. (NFLX), stock options	N/A	\$500,001 - \$1,000,000	Exercised Stock options	\$660,417

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Brookings Institution	WASHINGTON, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2002

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	Disney, 401(k) plan:	No			
1.1	Vanguard 500 Index Fund Institutional Select Shares (VFFSX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.2	BTC Lifepath 2025 F	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Northern Global Sustainability Index Unitized Fund (NSRIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2	Disney, defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)
3	RBC Select Balanced Portfolio - Sr. A (RBF460)	Yes	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Bank of Nova Scotia (BNS)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
2	Canadian Imperial Bank of Canada	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
3	Great West Life	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000
4	Royal Bank of Canada (RY)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
5	Toronto-Dominion Bank (TD)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
6	iShares MSCI EAFE ETF (EFA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
7	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
8	Bank of Montreal (BMO)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
9	SPDR S&P 500 ETF Trust (SPY)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
10	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11	National Bank of Canada Common (NA)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
12	iShares Core MSCI EAFE ETF (IEMG)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
13	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
14	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
17	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
18	RBC CASH ACCOUNTS (USD)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
19	RBC CASH ACCOUNTS (CDN)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
20	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
21	Vanguard Tax Managed FTSE Dev Mkt ETF (VEA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
22	UBS Bank USA Deposit Acct	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
23	Vanguard Total Stock Mkt ETF (VTI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
24	Vanguard Mid-Cap Index Fund ETF Shares (VO)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
25	Elizabethtown KY PB RV Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
26	Cumberland County ME Muni Bond	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
27	BNY Mellon Strategic Municipal Bond Fund, Inc (DSM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
28	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	Putnam Managed Municipal Income Trust (PMM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	PNC BANK ACCOUNT	N/A	\$100,001 - \$250,000		None (or less than \$201)
31	PNC BANK ACCOUNT	N/A	\$15,001 - \$50,000		None (or less than \$201)
32	PNC FOUNDATION ACCOUNT	N/A	\$100,001 - \$250,000		None (or less than \$201)
33	PNC Bank Account (LLC)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
34	PNC PERFORMANCE SELECT ACCT	N/A	\$50,001 - \$100,000		None (or less than \$201)
35	PNC PERFORMANCE SELECT	N/A	None (or less than \$1,001)		None (or less than \$201)
36	Sun Life Financial Life Insurance Life Pro	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	Washington Investment Group (passive interest in rental real estate)	N/A	\$100,001 - \$250,000	Rent or Royalties	None (or less than \$201)
38	Kelvin Creek Timber	N/A	\$500,001 - \$1,000,000	Timber sales	\$4,298
39	Merrill Lynch Brokerage Account - Cash Balance	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
40	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$25,000,001 - \$50,000,000		\$100,001 - \$1,000,000
41	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
42	iShares TIPS Bond ETF (TIP)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
44	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
45	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
46	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
47	iShares MSCI ACWI ETF (ACWI)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
48	Invesco QQQ Trust, Series 1	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
49	UBS Bank USA - SWEEP ACCOUNT	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	PNC BANK ACCOUNT	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
51	TD Canada Trust Bank Account	No	\$1,001 - \$15,000		None (or less than \$201)
52	(VA) CollegeAmerica 529 Plan #1	No			
52.1	CollegeAmerica 529 Balanced A	Yes	\$100,001 - \$250,000		None (or less than \$201)
53	(VA) CollegeAmerica 529 Plan #2	No			
53.1	American Mutual Fund Class 529-A Shares (CMLAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
53.2	American Funds Bond Fund of America 529-A (CFAAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
53.3	Capital World Growth & Income Fund Class 529-A Shares (CWIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
53.4	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
53.5	Intermediate Bond Fund of America Class 529-A Shares (CBOAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
54	Walker & Dunlop, Inc. (WD)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
55	Brookfield Asset Management (BAM)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
56	Canadian Pacific Rail (CP)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
57	Enbridge (ENB)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
58	Canadian Tire Corporation (CDNAF)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
59	BASF (BFFAF)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
60	Bell Canada Enterprises (BCE)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
61	Diageo PLC (DEO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62	Erste Group Bank (EBKDY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
63	Novartis (NVS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
64	Telus Corp (TU)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
65	Thomson Reuters Corporation (TRI)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
66	American Tower Corporation (REIT) (AMT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
67	Apple, Inc. (AAPL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
68	Comcast Corp. (CMCSA)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
69	Johnson & Johnson (JNJ)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
70	McDonald's Corp. (MCD)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
71	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
72	Visa, Inc. (V)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
73	Roche Holdings (RHHBY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
74	Albemarle Corp. (ALB)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
75	Amgen Inc. (AMGN)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
76	Bank of America Corp. (BAC)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
77	Chevron Corp. (CVX)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
78	Cigna Corp. (CI)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
79	CSX Corp. (CSX)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
80	Intel Corp. (INTC)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
81	Kimberly-Clark Corp. (KMB)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
82	Eli Lilly & Co. (LLY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
83	Lockheed Martin Corp. (LMT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
84	Mondelez International, Inc. (MDLZ)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
85	NewMarket Corp. (NEU)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
86	Pfizer Inc. (PFE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
87	PPG Industries, Inc. (PPG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
88	S&P Global, Inc. (SPGI)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000	
89	The J. M. Smucker Co. (SJM)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500	
90	State Street Corp. (STT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000	
91	Callon Petroleum Co. (CPE)	See Endnote	N/A	\$50,001 - \$100,000	Rent or Royalties	\$15,001 - \$50,000
92	Silver Creek Oil and Gas	See Endnote	N/A	\$1,001 - \$15,000	Rent or Royalties	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	UBS Select Gov't Investor Fund (SGEXX)	Sale	04/08/2021	\$15,001 - \$50,000
2	Amazon (AMZN)	Sale	04/12/2021	\$15,001 - \$50,000
3	Adobe Inc (ADBE)	Sale	04/12/2021	\$15,001 - \$50,000
4	Apple Inc (AAPL)	Sale	04/12/2021	\$15,001 - \$50,000
5	Bristol Myers Squibb (BMY)	Sale	04/12/2021	\$15,001 - \$50,000
6	Chevron (CVX)	Sale	04/12/2021	\$15,001 - \$50,000
7	CostCo (COST)	Sale	04/12/2021	\$15,001 - \$50,000
8	Clorox (CLX)	Sale	04/12/2021	\$50,001 - \$100,000
9	Alphabet Inc Cl A (GOOGL)	Sale	04/12/2021	\$50,001 - \$100,000
10	Deere and CO (DE)	Sale	04/12/2021	\$15,001 - \$50,000
11	ROBO Global Robotics & Aut Index ETF (ROBO)	Sale	04/12/2021	\$15,001 - \$50,000
12	Dow Inc (DOW)	Sale	04/12/2021	\$15,001 - \$50,000
13	Dupont De Nemours Inc (DD)	Sale	04/12/2021	\$15,001 - \$50,000
14	Corteva	Sale	04/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	IShares US Aerospace & Defense ETF (ITA)	Sale	04/12/2021	\$15,001 - \$50,000
16	International Business Machines (IBM)	Sale	04/12/2021	\$15,001 - \$50,000
17	Johnson & Johnson (JNJ)	Sale	04/12/2021	\$15,001 - \$50,000
18	JP Morgan Chase & Co Preferred (JPM.PRG)	Sale	04/12/2021	\$15,001 - \$50,000
19	Kraft Heinz Co (KHC)	Sale	04/12/2021	\$15,001 - \$50,000
20	Kimberley Clark Corp (KMB)	Sale	04/12/2021	\$15,001 - \$50,000
21	Abbvie Inc (ABBV)	Sale	04/12/2021	\$1,001 - \$15,000
22	Microsoft (MSFT)	Sale	04/12/2021	\$50,001 - \$100,000
23	Marriott Intl (MAR)	Sale	04/12/2021	\$1,001 - \$15,000
24	Mondelez (MDLZ)	Sale	04/12/2021	\$1,001 - \$15,000
25	Medtronic (MDT)	Sale	04/12/2021	\$15,001 - \$50,000
26	Zoetis Inc (ZTS)	Sale	04/12/2021	\$15,001 - \$50,000
27	Pfizer (PFE)	Sale	04/12/2021	\$15,001 - \$50,000
28	Procter&Gamble (PG)	Sale	04/12/2021	\$50,001 - \$100,000
29	Prudential Financial (PRU)	Sale	04/12/2021	\$15,001 - \$50,000
30	Salesforce (CRM)	Sale	04/12/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	State Street Corp (STT)	Sale	04/12/2021	\$15,001 - \$50,000
32	United Parcel Service (UPS)	Sale	04/12/2021	\$15,001 - \$50,000
33	Viatis (VTRS)	Sale	04/12/2021	\$1,001 - \$15,000
34	Disney - ESOP (DIS)	Sale	04/14/2021	\$250,001 - \$500,000
35	WP Carey Inc REIT (WPC)	Sale	04/12/2021	\$15,001 - \$50,000
36	Mineral Rights - Oil leases	Sale	05/13/2021	\$100,001 - \$250,000
37	WALKER DUNLOP	Sale	07/12/2021	\$100,001 - \$250,000
38	NETFLIX	Sale	06/25/2021	\$1,000,001 - \$5,000,000
39	NETFLIX	Sale	07/14/2021	\$50,001 - \$100,000
40	CANADIAN PACIFIC RAILWAY CP	Sale	07/13/2021	Over \$1,000,000
41	ENBRIDGE INC. ENB	Sale	07/13/2021	Over \$1,000,000
42	BROOKFIELD ASSET MANAGEMENT BAM.A	Sale	07/13/2021	Over \$1,000,000
43	ENBRIDGE INC. ENB	Sale	07/14/2021	\$500,001 - \$1,000,000
44	CANADIAN PACIFIC RAILWAY CP	Sale	07/14/2021	\$1,000,001 - \$5,000,000
45	CANADIAN TIRE CORP CTC.A	Sale	07/14/2021	\$50,001 - \$100,000
46	BROOKFIELD ASSET MANAGEMENT BAM.A	Sale	07/14/2021	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
47	THOMSON REUTERS TRI	Sale	07/14/2021	\$50,001 - \$100,000
48	CANADIAN TIRE CORP CTC.A	Sale	07/14/2021	\$250,001 - \$500,000
49	BELL CANADA ENTERPRISES BCE	Sale	07/14/2021	\$50,001 - \$100,000
50	TELUS CORP TU	Sale	07/14/2021	\$100,001 - \$250,000
51	ISHARES INC MSCI CDA INDEX ETF EWC	Sale	07/14/2021	\$500,001 - \$1,000,000
52	JOHNSON & JOHNSON JNJ	Sale	07/14/2021	\$1,000,001 - \$5,000,000
53	COMCAST CORP CMCSA	Sale	07/14/2021	\$250,001 - \$500,000
54	MCDONALDS CORP MCD	Sale	07/14/2021	\$250,001 - \$500,000
55	APPLE AAPL	Sale	07/14/2021	\$500,001 - \$1,000,000
56	MICROSOFT CORP MSFT	Sale	07/14/2021	\$500,001 - \$1,000,000
57	VISA INC V	Sale	07/14/2021	\$250,001 - \$500,000
58	AMERICAN TOWER CORP (REIT) AMT	Sale	07/14/2021	\$100,001 - \$250,000
59	ERSTE GROUP BANK EBKDY	Sale	07/14/2021	\$15,001 - \$50,000
60	BASF SE. BFFAF	Sale	07/14/2021	\$15,001 - \$50,000
61	AMADEUS IT GROUP	Sale	07/14/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
62	NOVARTIS AG NVS	Sale	07/14/2021	\$15,001 - \$50,000
63	ROCHE HOLDINGS AG RHHBY	Sale	07/14/2021	\$50,001 - \$100,000
64	DIAGEO DEO	Sale	07/14/2021	\$15,001 - \$50,000
65	ICON PLC ICLR	Sale	07/14/2021	\$100,001 - \$250,000
66	VIATRIS VTRS	Sale	07/16/2021	\$1,001 - \$15,000
67	S&P GLOBAL INC. SPGI	Sale	07/16/2021	\$1,000,001 - \$5,000,000
68	STATE STREET CORP STT	Sale	07/16/2021	\$15,001 - \$50,000
69	SMUCKER JM CO NEW	Sale	07/16/2021	\$50,001 - \$100,000
70	PFIZER INC PFE	Sale	07/16/2021	\$15,001 - \$50,000
71	PHILLIPS 66 PSX	Sale	07/16/2021	\$1,001 - \$15,000
72	PPG INDUSTRIES PPG	Sale	07/16/2021	\$50,001 - \$100,000
73	NEWMARKET CORP NEU	Sale	07/16/2021	\$15,001 - \$50,000
74	MONDELEZ INTL. MDLZ	Sale	07/16/2021	\$15,001 - \$50,000
75	MICROSOFT CORP MSFT	Sale	07/16/2021	\$100,001 - \$250,000
76	LOCKHEED MARTIN. LMT	Sale	07/16/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
77	LILLY ELI & CO LLY	Sale	07/16/2021	\$15,001 - \$50,000
78	KIMBERLY CLARK CORP KMB	Sale	07/16/2021	\$15,001 - \$50,000
79	INTEL CORP. INTC	Sale	07/16/2021	\$15,001 - \$50,000
80	CIGNA CORP. CI	Sale	07/16/2021	\$15,001 - \$50,000
81	EXXON MOBIL CORP. XOM	Sale	07/16/2021	\$1,001 - \$15,000
82	CHEVRON CORP. CVX	Sale	07/16/2021	\$1,001 - \$15,000
83	CLOVIS ONCOLOGY CLVS	Sale	07/16/2021	\$1,001 - \$15,000
84	CSX CORPORATION CSX	Sale	07/16/2021	\$15,001 - \$50,000
85	BRISTOL MYERS SQUIBB CO BMY	Sale	07/16/2021	\$1,001 - \$15,000
86	BANK OF AMERICA CORP. BAC	Sale	07/16/2021	\$50,001 - \$100,000
87	AMGEN INC. AMBN	Sale	07/16/2021	\$15,001 - \$50,000
88	ALBEMARLE	Sale	07/16/2021	\$100,001 - \$250,000
89	ISHARES INC MSCI CDA INDEX ETF EWC	Sale	07/12/2021	\$100,001 - \$250,000
90	ISHARES INC MSCI CDA INDEX ETF EWC	Sale	07/12/2021	Over \$1,000,000
91	ISHARES INC MSCI CDA INDEX ETF EWC	Sale	07/12/2021	Over \$1,000,000
92	NETFLIX COM INC (NFLX)	Sale	08/27/2021	\$50,001 - \$100,000
93	iShares TIPS Bond ETF (TIP)	Purchase	05/26/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
94	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Purchase	05/26/2021	\$50,001 - \$100,000
95	SPDR S&P 500 ETF Trust (SPY)	Purchase	05/26/2021	\$50,001 - \$100,000
96	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	05/26/2021	\$15,001 - \$50,000
97	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	05/26/2021	\$50,001 - \$100,000
98	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	05/26/2021	\$50,001 - \$100,000
99	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	05/26/2021	\$50,001 - \$100,000
100	VUG	Purchase	05/26/2021	\$50,001 - \$100,000
101	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Purchase	05/26/2021	\$50,001 - \$100,000
102	VANGUARD FTSE DEVELOPED MKT ETF (VEA)	Purchase	05/26/2021	\$50,001 - \$100,000
103	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Purchase	05/26/2021	\$50,001 - \$100,000
104	iShares MSCI ACWI ETF (ACWI)	Purchase	05/26/2021	\$50,001 - \$100,000
105	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	05/27/2021	\$50,001 - \$100,000
106	NORTHERN GLOBAL SUSTAINABILITY INDEX UNITIZED FUND (NSRIX)	Purchase	04/16/2021	\$250,001 - \$500,000
107	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Purchase	08/24/2021	\$250,001 - \$500,000
108	SPDR S&P 500 ETF Trust (SPY)	Purchase	08/24/2021	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
109	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	08/24/2021	\$250,001 - \$500,000
110	iShares TIPS Bond ETF (TIP)	Purchase	08/24/2021	\$100,001 - \$250,000
111	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	08/24/2021	\$100,001 - \$250,000
112	iShares MSCI ACWI ETF (ACWI)	Purchase	08/24/2021	\$100,001 - \$250,000
113	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Purchase	08/24/2021	\$100,001 - \$250,000
114	VANGUARD FTSE DEVELOPED MARKET ETF (VEA)	Purchase	08/24/2021	\$100,001 - \$250,000
115	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Purchase	08/24/2021	\$100,001 - \$250,000
116	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	08/24/2021	\$250,001 - \$500,000
117	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	08/24/2021	\$250,001 - \$500,000
118	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/24/2021	\$50,001 - \$100,000
119	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	08/24/2021	\$250,001 - \$500,000
120	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	07/12/2021	\$100,001 - \$250,000
121	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	07/12/2021	\$5,000,001 - \$25,000,000
122	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	07/14/2021	\$1,000,001 - \$5,000,000
123	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	07/13/2021	Over \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
124	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Purchase	07/13/2021	\$100,001 - \$250,000
125	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	06/11/2021	\$250,001 - \$500,000
126	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Sale	05/10/2021	\$1,001 - \$15,000
127	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Sale	11/18/2021	\$50,001 - \$100,000
128	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Sale	12/17/2021	\$100,001 - \$250,000
129	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Sale	12/17/2021	\$50,001 - \$100,000
130	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	06/11/2021	\$50,001 - \$100,000
131	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	06/01/2021	\$15,001 - \$50,000
132	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	06/01/2021	\$15,001 - \$50,000
133	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Purchase	08/20/2021	\$15,001 - \$50,000
134	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Purchase	05/21/2021	\$1,001 - \$15,000
135	iShares Russell Mid-Cap Value ETF (IWS)	Purchase	04/23/2021	\$1,001 - \$15,000
136	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Purchase	10/22/2021	\$1,001 - \$15,000
137	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Purchase	03/19/2021	\$1,001 - \$15,000
138	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Purchase	12/14/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
139	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Purchase	05/21/2021	\$1,001 - \$15,000
140	WisdomTree Japan Hedged Equity Fund (DXJ)	Purchase	12/31/2021	\$1,001 - \$15,000
141	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Purchase	12/30/2021	\$1,001 - \$15,000
142	Silver Creek & Callon Petroleum Operating Company	Sale	05/28/2021	\$100,001 - \$250,000
143	iShares TIPS Bond ETF (TIP)	Purchase	05/26/2021	\$50,001 - \$100,000
144	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Purchase	05/26/2021	\$50,001 - \$100,000
145	iShares MSCI ACWI ETF (ACWI)	Purchase	05/26/2021	\$50,001 - \$100,000
146	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	05/26/2021	\$15,001 - \$50,000
147	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Purchase	05/26/2021	\$50,001 - \$100,000
148	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	05/26/2021	\$50,001 - \$100,000
149	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	05/26/2021	\$50,001 - \$100,000
150	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	05/26/2021	\$50,001 - \$100,000
151	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Purchase	05/26/2021	\$50,001 - \$100,000
152	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	05/26/2021	\$50,001 - \$100,000
153	SPDR S&P 500 ETF Trust (SPY)	Purchase	05/26/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
154	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	05/26/2021	\$50,001 - \$100,000
155	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	05/27/2021	\$50,001 - \$100,000
156	Florida State Board of ED Muni Bond	Sale	06/01/2021	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	All fees and payments for speeches and public appearances, books, opinion writing, residuals and travel are received by SERice LLC.
2.	6	Amplo Partners I, LLC portfolio companies are: Robinhood (financial services); Andela (software); Fundbox (small business lending); Doxel (AI for construction); Two Chairs (teletherapy); Helm.ai (autonomous driving AI); Parsley Health (healthcare); Mark 43 (public safety software); Locale (apartment-hotel); Freightwalla (digital freight forwarding); Travelperk (business travel software); and 1 Concern (emergency response technology).

PART	#	ENDNOTE
2.	7	Amplo Partners II, LLC portfolio companies are: Robinhood (financial services); Legalpad (immigration/visa technology); BharatPe (digital payments); Kriya Therapeutics (gene therapy); Lightyear (business telecom/IT); Wizehire (small business recruiting platform); Sokowatch (retail); and Sharesies (investment platform).
6.	91	Asset was sold in May 2021.
6.	92	Asset was sold in May 2021.

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).
