

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

Filer's Information

Uhlmann, David

Assistant Administrator for Enforcement and Compliance Assurance, Environmental Protection Agency

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Environment and Public Works
-

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

/s/ Uhlmann, David [electronically signed on 05/06/2021 by Uhlmann, David in Integrity.gov]

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

/s/ Fugh, Justina, Certifying Official [electronically signed on 06/24/2021 by Fugh, Justina in Integrity.gov]

Other review conducted by

/s/ Fugh, Justina, Ethics Official [electronically signed on 06/24/2021 by Fugh, Justina in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/30/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	University of Michigan	Ann Arbor, Michigan	University/College	Jeffrey F. Liss Professor from Practice	7/2007	Present	
2	University of Michigan	Ann Arbor, Michigan	University/College	Director, Environmental Law and Policy Program	7/2007	Present	
3	Larry D. Thompson, LLC, Independent Compliance Monitor and Auditor for VW	Atlanta, Georgia	LLC	Counselor to the Monitor	4/2017	9/2020	
4	Family Trust	Monson, Maine	Trust	Trustee	5/2017	Present	
5	National Conference of Bar Examiners	Madison, Wisconsin	Non-Profit	Criminal Law and Procedure Drafting Committee Member	4/2014	Present	
6	Gerson Lehrman Group	See Endnote	New York, New York	Expert Network	Consultant	6/2010	2/2021
7	Guidepoint Global	See Endnote	New York, New York	Expert Network	Consultant	6/2010	7/2020
8	Coleman Research Group	See Endnote	New York, New York	Expert Network	Consultant	6/2010	6/2019

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of Michigan	N/A		Salary	\$352,415

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Larry D. Thompson, LLC, Independent Compliance Monitor and Auditor for VW	N/A		Consulting fees	\$46,325
3	University of Michigan, 401(a) Plan				
3.1	TIAA-CREF Core Bond Institutional Class (TIBDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	TIAA-CREF Core Bond Plus Institutional Class (TIBFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	TIAA-CREF International Equity Institutional Class (TCIEX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.5	TIAA-CREF Large-Cap Growth Fund Institutional Class (TILGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	TIAA-CREF Mid-Cap Growth Fund Institutional Class (TRPWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.7	TIAA-CREF S&P 500 Index Fund Institutional Class (TISPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.8	TIAA-CREF Small-Cap Blend Index Fund Institutional Class (TISBX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.9	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	University of Michigan, 403(b) Supplemental Retirement Account				
4.1	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.2	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	University of Michigan, 457(b) Deferred Compensation Plan				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	University of Michigan, 403(b) retirement Plan				
6.1	TIAA-CREF Core Bond Institutional Class (TIBDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	TIAA-CREF Core Bond Plus Institutional Class (TIBFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.3	TIAA-CREF Core Impact Bond Fund Institutional Class (TSBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	TIAA-CREF International Equity Institutional Class (TCIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	TIAA-CREF Large-Cap Growth Fund Institutional Class (TILGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	TIAA-CREF Mid-Cap Growth Fund Institutional Class (TRPWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	TIAA-CREF S&P 500 Index Fund Institutional Class (TISPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.8	TIAA-CREF Small-Cap Blend Index Fund Institutional Class (TISBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.9	TIAA-CREF Social Choice Equity Fund Institutional Class (TISCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Beneficiary IRA	No		Cash distribution for beneficiary IRA	\$2,565
7.1	BlackRock Liquidity Funds FedFund Institutional Class (TFDXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	Amazon (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.3	Home Depot (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.4	McDonalds (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.5	Nike (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.6	Coca Cola (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.7	Apple (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.8	Microsoft (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.9	Alphabet (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.10	Mastercard (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.11	JPMorgan Chase (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.12	Union Pacific (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.13	Zimmer (ZBH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.14	SLM Corp (SLM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.15	Amgen (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.16	Qualcomm (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.17	Thermo Fisher (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.18	T Rowe Price (TROW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.19	Vanguard Mid-Cap Index Fund (VO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.20	FedEx (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.21	Air Products & Chemicals (APD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.22	Linde (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.23	Salesforce (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.24	Norfolk Southern (NSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.25	Comcast (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.26	Automatic Data Processing (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.27	IShares Global Clean Energy (ICLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.28	Medtronic (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.29	Pepsico (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.30	Wells Fargo (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.31	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.32	Vanguard Small Cap ETF (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.33	Verizon (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.34	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.35	Raytheon (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.36	Takeda (TKPYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.37	Nextera Energy (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.38	Navient (NAVI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.39	iShares Core Emerging Markets (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.40	Whole Foods Mkt Inc 5.2%, bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.41	New York St Dormitory Authority, bond	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
7.42	Federal Home Loan Bank, bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	SEP-IRA				
8.1	Apple (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	Microsoft (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.3	Mastercard (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.4	Thermo Fisher (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.5	Amazon (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.6	Marriot International (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.7	Walt Disney (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.8	Equinix (EQIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.9	FedEx (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.10	Palo Alto Networks (PANW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.11	Caterpillar (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.12	Martin Marietta (MLM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.13	Broadcom (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.14	Goldman Sachs (GS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.15	Capital One (COF)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.16	Constellation Brands (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.17	Alphabet Inc Cl C (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.18	McDonalds (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.19	Leidos Holdings (LDOS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.20	iShares Global Clean Energy ETF (ICLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.21	SLM Corp (SLM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.22	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.23	Nextera Energy (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.24	Bristol Myers Squibb (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.25	JP Morgan Chase (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.26	Blackrock Inc (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.27	T Rowe Price (TROW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.28	UnitedHealth Group (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.29	Abbvie (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.30	Nike (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.31	CSX Corp (CSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.32	Yum China Holdings (YUMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.33	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.34	Alphabet Inc Cl A (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.35	Synchrony Financial (SYF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.36	Takeda Pharmaceutical (TKPYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.37	Salesforce (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.38	Amgen (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.39	Verizon (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.40	Air Products & Chemicals (APD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.41	Automatic Data Processing (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.42	Vanguard Small-Cap Index Fund ETF (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.43	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.44	Vanguard Emerging Markets Stock Index Fund ETF (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.45	Pepsico (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.46	Vanguard Mid-Cap Index Fund ETF (VO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.47	Boeing (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.48	Chevron Corp (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.49	Coca Cola (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.50	Qualcomm (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.51	AT&T (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.52	Yum! Brands (YUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.53	EOG Resources (EOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.54	Raytheon Technologies (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.55	DuPont de Nemours (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.56	Maryland Stat Community Development housing, revenue bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.57	Whole Foods Mkt, bond	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.58	Port St Lucie, FL bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.59	Grapevine, TX, economic development corps revenue bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.60	Hawaii State Department of Transportation, general obligation bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.61	Rogers County, OK, educational revenue bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.62	Graham, TX, general obligation bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.63	Richland County, SC general obligation bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.64	BlackRock Liquidity Funds FedFund Institutional Class (TFDXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9	The Atlantic, 10/7/2020	N/A		Payment for writing article	\$300
10	National Conference of Bar Examiners, 6/18/2020	N/A		Honorarium	\$3,500
11	National Conference of Bar Examiners, 10/19/2020	N/A		Honorarium	\$4,000
12	National Conference of Bar Examiners, 12/16/2020	N/A		Honorarium	\$1,000
13	National Conference of Bar Examiners, 4/28/2021	N/A		Honorarium	\$4,000
14	Gerson Lehrman Group - 4/20/20	N/A		Honorarium	\$2,150
15	Gerson Lehrman Group - 7/1/20	N/A		Honorarium	\$1,500
16	Gerson Lehrman Group - 7/8/20	N/A		Honorarium	\$1,500
17	Gerson Lehrman Group - 7/9/20	N/A		Honorarium	\$1,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	Gerson Lehrman Group - 2/17/21	N/A		Honorarium	\$2,500
19	Guidepoint Global - 7/2/20	N/A		Honorarium	\$2,500
20	Guidepoint Global - 7/15/20	N/A		Honorarium	\$7,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	University of Michigan	Ann Arbor, Michigan	I will request an unpaid leave of absence from my University of Michigan positions for one year/renewable, consistent with University policy.	5/2021
2	University of Michigan, 401(a) Retirement Plan	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	10/2007
3	University of Michigan, 403(b) Retirement Plan	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	10/2007
4	University of Michigan, 403(b) Supplemental Retirement Account	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	7/2010
5	University of Michigan, 457(b) Deferred Compensation Plan	Ann Arbor, Michigan	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions during my leave from the university.	9/2010

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of Michigan	Ann Arbor, Michigan	Scholarship and teaching as well as program management at the University of Michigan Law School

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	Larry D. Thompson, LLC, Independent Compliance Monitor and Auditor for VW	Atlanta, Georgia	Provide counsel to the compliance monitor upon request and conduct training sessions at his direction for VW boards and senior leadership
3	National Conference of Bar Examiners	Madison, Wisconsin	Draft and review criminal law and criminal procedure questions for the multi-state bar examination
4	Gerson Lehrman Group	New York, New York	Provide opinions and analysis about environmental liabilities to investors/clients of GLG network
5	Guidepoint Global	New York, New York	Provide opinions and analysis about environmental liabilities to investors/clients of Guidepoint Global network
6	Waste Management	Houston, Texas	Served as expert witness about role of parallel proceedings in environmental cases as part of litigation of insurance dispute

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA				
1.1	Franklin Mutual Quest Fund Class Z (MQIFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	University of Michigan , 401(a) Retirement Plan				
2.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	TIAA-CREF Large-Cap Growth Fund (TILGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	TIAA-CREF Large-Cap Value Fund (TRLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	TIAA-CREF Mid-Cap Growth Fund (TRPWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	TIAA-CREF Quant Small-Cap Equity Institutional Fund (TISEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	University of Michigan, 403(b) Retirement Plan				
3.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	TIAA-CREF Large-Cap Growth Fund (TILGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	TIAA-CREF Large-Cap Value Fund (TRLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	TIAA-CREF Mid-Cap Growth Fund (TRPWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	TIAA-CREF Quant Small-Cap Equity Institutional Fund (TISEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	University of Michigan, 403(b) Supplemental Retirement Plan				
4.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	TIAA-CREF Large-Cap Growth Fund (TILGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	TIAA-CREF Large-Cap Value Fund (TRLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	TIAA-CREF Mid-Cap Growth Fund (TRPWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	TIAA-CREF Quant Small-Cap Equity Fund (TISEX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.8	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	University of Michigan, 457(b) Deferred Compensation Plan				
5.1	TIAA-CREF Core Impact Bond Fund (TSBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	TIAA-CREF International Equity Fund (TCIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	TIAA-CREF Large-Cap Value Fund (TRLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	TIAA-CREF Mid-Cap Value Fund (TIMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	TIAA-CREF Quant Small-Cap Equity Fund (TISEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	TIAA-CREF S&P 500 Index Fund (TISPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	TIAA-CREF Social Choice Equity Fund (TISCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	University of Michigan	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Domestic Bank #1 (cash account)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2	Brokerage Account				
2.1	BlackRock Liquidity FedFund (TFDXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Yum China Holdings (YUMC)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.3	Yum! Brands, Inc. (YUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Wells Fargo & Co (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
2.6	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
2.10	Target Corp. (TGT)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
2.11	Takeda Pharmaceutical (TKPYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	T. Rowe Price Group, Inc. (TROW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	SPDR S&P MidCap 400 ETF (MDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Salesforce (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.16	Palo Alto Networks, Inc. (PANW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	NIKE, Inc. (NKE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.18	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.19	Morgan Stanley (MS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.20	Mondelez International, Inc. (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.21	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.22	Mastercard, Inc. (MA)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.23	Marriott International, Inc. (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	Lockheed Martin (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	JPMorgan Chase (JPM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.26	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.28	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.29	iShares Global Clean Energy ETF (ICLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.30	International Business Machines (IBM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	Intel (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.32	Coca-Cola (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.33	Citigroup (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.34	Caterpillar (CAT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.35	Capital One Financial Corp. (COF)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.36	Broadcom (AVGO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.37	AT&T (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.38	Apple (AAPL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.39	Amgen (AMGN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.40	American Express (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.41	Amazon (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.42	Alphabet (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.43	Alphabet (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.44	Align Technology (ALGN)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
2.45	Air Products and Chemicals (APD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.46	Michigan State Housing Development, bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.47	Michigan St Housing Development, bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.48	Madison District, MI, bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.49	Kalamazoo MI Public Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.50	Dearborn MI, bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.51	Brown City MI Cmnty, bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
2.52	McKesson Corp. (MCK)	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.53	Altria Group, Inc. (MO)	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.54	Phillips 66 (PSX)	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.55	Chevron Corp. (CVX)	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.56	Union Pacific Corp. (UNP)	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3	Michigan Education Savings Program					
3.1	Fixed Income Option	Yes		\$1,001 - \$15,000		None (or less than \$201)
3.2	US Equity Index	Yes		\$15,001 - \$50,000		None (or less than \$201)
3.3	Principal Plus Interest Option	Yes		\$1,001 - \$15,000		None (or less than \$201)
4	Family Trust					
4.1	461 acres of land, farmhouse, barn, and wagon house, Monson, ME	N/A		\$500,001 - \$1,000,000		None (or less than \$201)
4.2	75 acres and boat house, Monson Pond, ME	N/A		\$50,001 - \$100,000		None (or less than \$201)
4.3	US Domestic Bank #1 (cash account)	N/A		\$1,001 - \$15,000		None (or less than \$201)
4.4	US Domestic Bank #2 (cash account)	N/A		\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	J P Morgan Chase	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2020	2.875	30
2	J P Morgan Chase	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2020	2.875	30
3	Pentagon Federal Credit Union	See Endnote	Exercised Line of Credit	\$15,001 - \$50,000	2020	3.75	15
4	Pentagon Federal Credit Union	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2013	2.938	30
5	Wells Fargo Home Mortgage	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2016	3.375	30
6	American Express		Credit Card	\$15,001 - \$50,000	2021	15.74	Revolving
7	Wells Fargo Home Mortgage	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2019	3.125	30
8	Camden National Bank	See Endnote	Exercised Line of Credit	\$50,001 - \$100,000	2020	4.00	20

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	6	Not an employee, paid on a project basis
1.	7	Not an employee, paid on a project basis
1.	8	Not an employee, paid on a project basis
2.	7.41	Revenue bond for medical facilities
6.	2.52	We sold all shares in this company during the reporting period
6.	2.53	We sold all shares in this company during the reporting period
6.	2.54	We sold all shares in this company during the reporting period
6.	2.55	We sold all shares in this company during the reporting period
6.	2.56	We sold all shares in this company during the reporting period
8.	1	Mortgage on filer's principal residence in Ann Arbor, Michigan
8.	2	Mortgage on filer's vacation home in New Buffalo, Michigan
8.	3	HELOC on filer's principal residence in Ann Arbor, Michigan
8.	4	Pentagon Federal Credit Union mortgage on filer's principal residence in Ann Arbor, Michigan, which was paid in full when filer refinanced with JP Morgan Chase in July 2020.
8.	5	Wells Fargo Home Mortgage on filer's vacation home in New Buffalo, Michigan, which was paid in full when filer refinanced with JP Morgan Chase in July 2020.
8.	7	Borrower is Family Trust, which is responsible for all payments. Mortgage is secured by trust property in Monson, Maine. Filer co-signed note in individual capacity and as trustee.

PART	#	ENDNOTE
8.	8	HELOC for renovations to properties held by the Family Trust, which is responsible for all payments. Filer co-signed note in individual capacity and as trustee.

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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