

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Abdoo, Mark

Associate Commissioner for Global Policy and Strategy, OPLIA, Department of Health & Human Services

Report Year: 2023

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/ Abdoo, Mark [electronically signed on 08/09/2023 by Abdoo, Mark in Integrity.gov] - Filer received a 90 day filing extension.

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

/s/ Akbari, Asim, Certifying Official [electronically signed on 11/20/2023 by Akbari, Asim in Integrity.gov]

Other review conducted by

/s/ Taylor, Ebonie, Ethics Official [electronically signed on 11/13/2023 by Taylor, Ebonie in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 11/20/2023

Data Revised 11/13/2023

Data Revised 11/02/2023

Data Revised 10/04/2023

Data Revised 09/11/2023

Data Revised 09/02/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Irrevocable Trust	Milwaukee, Wisconsin	Trust	Trustee	7/2021	Present
2	Survivor's Revocable Trust	Milwaukee, Wisconsin	Trust	Trustee	7/2022	Present
3	Family Trust A (Irrevocable Trust)	Milwaukee, Wisconsin	Trust	Trustee	7/2022	Present

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

None

3. Filer's Employment Agreements and Arrangements

None

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank Account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Bank Account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. Bank Account #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Brokerage Account	No			
4.1	Wells Fargo Special Small Cap Value Fund Institutional Class Shares (ESPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	EIC Value Fund Institutional Class Shares (EICIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.3	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	T Rowe Price Growth Stock Fund, Inc (PRGFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.6	iShares Core MSCI Total International Stock ETF (IXUS)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.7	iShares MSCI ACWI ex US ETF (ACWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.8	Baird Short-Term Municipal Bond Fund Institutional Class Shares (BTMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	Eaton Vance Municipal Opportunities Fund Class I Shares (EMOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.10	Goldman Sachs High Yield Municipal Fund Investor Class Shares (GYIRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	Nuveen Intermediate Duration Municipal Bond Fund Class I Shares (NUVBX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.12	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	Infinity Q Diversified Alpha Fund Institutional Class Shares (IQDNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Owl Rock Capital Corporation (ORCC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Family Trust #1	No			
5.1	Met Life Insurance	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	Family Trust (Irrevocable Administrative Trust)	No			
6.1	EIC Value Fund Institutional Class Shares (EICIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
6.2	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.3	PRIMECAP Odyssey Aggressive Growth Fund (POAGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.4	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
6.5	authID Inc. Common Stock (AUID)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
6.6	Adobe, Inc. (ADBE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.7	Alphabet, Inc. (GOOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.9	American Express Co. (AXP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.10	Ameriprise Financial, Inc. (AMP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.11	Autodesk, Inc. (ADSK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.12	AutoZone, Inc. (AZO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.13	Avery Dennison Corp. (AVY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.14	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.15	Best Buy Co., Inc. (BBY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.16	Broadcom, Inc. (AVGO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.17	CDW Corp. (CDW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.18	Chevron Corp. (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.19	Cintas Corp. (CTAS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.20	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.21	Citizens Financial Group Inc. Common Stock (CFG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.22	ConocoPhillips (COP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.23	Cummins, Inc. (CMI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.24	Dell Technologies, Inc. (DELL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.25	Digital Realty Trust, Inc. (DLR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.26	Elevance Health Inc. Common Stock (ELV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.27	Fifth Third Bancorp (FITB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.28	Generac Holdings, Inc. (GNRC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.29	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.30	IDEX Corp. (IEX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.31	International Business Machines Corp. (IBM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.32	Intuit, Inc. (INTU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.33	Jabil, Inc. (JBL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.34	Jacobs Engineering Group Inc. Common Stock (J)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.35	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.36	Juniper Networks, Inc. (JNPR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.37	lululemon athletica, Inc. (LULU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.38	Masco Corp. (MAS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.39	Mastercard, Inc. (MA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.40	Match Group, Inc. (MTCH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.41	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.42	Morgan Stanley	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.43	NVIDIA Corp. (NVDA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.44	NVR, Inc. (NVR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.45	ON Semiconductor Corp. (ON)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.46	ONEOK, Inc. (OKE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.47	Oracle Corp. (ORCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.48	Parker-Hannifin Corp. (PH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.49	Phillips 66 (PSX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.50	Progressive Corp. (PGR)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.51	QUALCOMM, Inc. (QCOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.52	Raytheon Technologies Corporation Common Stock (RTX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.53	S&P Global, Inc. (SPGI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.54	SBA Communications Corp. (SBAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.55	Schlumberger NV (SLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.56	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.57	ServiceNow, Inc. (NOW)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.58	Shopify Inc. Class A Subordinate Voting Shares (SHOP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.59	Tapestry Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.60	TE Connectivity Ltd. (TEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.61	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.62	United Rentals, Inc. (URI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.63	Veeva Systems, Inc. (VEEV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.64	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.65	Zoetis, Inc. (ZTS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.66	Artisan International Value Fund Institutional Shares (APHKX)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.67	iShares MSCI ACWI ex US ETF (ACWX)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
6.68	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
6.69	Atlassian Corporation Plc Class A Ordinary Shares (TEAM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.70	Equinor ASA (EQNR)	No	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.71	NXP Semiconductors N.V. Common Stock (NXPI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.72	Rio Tinto Plc Common Stock (RIO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.73	Sociedad Quimica y Minera S.A. Common Stock (SQM)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.74	TotalEnergies SE (TTE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.75	VALE S.A. American Depositary Shares Each Representing one common share (VALE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.76	Arkansas Tech University 05/01/2025 3.000%	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.77	ATHENS PA AREA SCH 4.00 04/15/2026 4.000%	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.78	Baird Short-Term Municipal Bond Fund Institutional Class Shares (BTMIX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
6.79	Beckville TX Independent School District 08/15/2030 5.000%	No	\$15,001 - \$50,000	Dividends Interest	\$201 - \$1,000
6.80	BlackRock Credit Allocation Income Trust (BTZ)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.81	Clay County MO School District #40 Excelsior Springs 03/01/2035 5.000% Call 03/01/2030 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.82	Dane Cnty Wis 06/01/2024 3.000% Call 07/19/2023 100.00	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.83	DAYTON OH 4.00 12/01/2025 4.000%	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.84	District Columbia 06/01/2035 4.000% Call 06/01/2026 100.00	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.85	East Bernard Tex Indpt Sch Dist 08/01/2024 4.000%	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.86	Elk Grove Village Ill 01/01/2027 5.000%	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.87	Elk Grove Village Ill 01/01/2029 5.000% Call 01/01/2027 100.00	No	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
6.88	Fishers in Redev 5.000% 7/15/29 07/15/2029 5.000% Call 07/15/2027 100.00	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.89	Goldman Sachs High Yield Municipal Fund Institutional Shares (GHYIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.90	Indianapolis Ind Loc Pub Impt 02/01/2028 5.000% Call 02/01/2024 100.00	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.91	Jackson Cnty MO 03/01/2032 5.000% Call 03/01/2024 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.92	Kentucky Association of Counties 02/01/2024 5.000%	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.93	Kentucky Association of Counties 02/01/2024 5.000% Pre-Refunded 02/01/2024 100.00	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.94	Kettle Moraine Sch Dist Wis 04/01/2026 3.000% Call 04/01/2025 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.95	Limestone Cnty Ala Wtr & Swr A 12/01/2028 4.250% Call 12/01/2026 100.00	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.96	Maricopa Cnty Ariz Uni Sch Dis 07/01/2025 2.750%	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.97	Memphis TN Elec Sys 4.000% 12/01/34 12/01/2034 4.000% Call 12/01/2026 100.00	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.98	Milton WI Sch Dist 03/01/2031 4.000% Call 03/01/2027 100.00	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.99	Minn St Retirement Sys Bldg General Purpose Rev 20 06/01/2024 4.000% Call 07/09/2023 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.100	New Berlin Wis Go Str Impt Streets/Highways G/O 20 06/01/2024 3.000% Call 07/19/2023 100.00	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.101	New York City Transitional Finance Authority Future Tax Secured Revenue 11/01/2026 5.000%	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.102	Nuveen Div Adv Muni Income	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.103	Oak Harbor WA 4.00 12/01/2039 4.000% Call 12/01/2032 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.104	Pierce Cnty Wash Sch Dist No Primary/Secondary Edu 12/01/2024 4.000% Call 07/09/2023 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.105	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.106	SAN ANTONIO TX WTR 5.00 05/15/2030 5.000% Call 11/15/2029 100.00	No	\$50,001 - \$100,000	Interest	\$201 - \$1,000
6.107	San Felipe Del TX 5.00 08/15/2029 5.000% Call 08/15/2027 100.00	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.108	Santa Barbara Ca 04/01/2027 5.000%	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.109	South Bullock Cty AL 5.00 01/01/2024 5.000%	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.110	St Cloud Minn Indpt Sch Dist N 02/01/2027 5.000% Call 02/01/2025 100.00	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.111	T Rowe Price Summit Municipal Intermediate Fund (PRSMX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.112	United Indpt Sch Dist Tex 08/15/2030 5.000% Pre-Refunded 08/15/2025 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.113	Utah Tran Auth Sales Tax Rev 12/15/2027 3.000% Call 06/15/2026 100.00	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.114	WISCONSIN ST TRANSP 5.00 07/01/2030 5.000% Call 07/01/2027 100.00	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.115	Owl Rock Capital Corporation Common Stock (ORCC)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
6.116	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.117	Infinity Q Diversified Alpha Fund Institutional Class Shares (IQDNX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.118	Cohen & Steers REIT & Preferred Income Fund, Inc (RNP)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.119	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.120	Principal Diversified Real Asset Fund Institutional Class Shares (PDRDX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6.121	Goldman Sachs Financial Square Government Fund Cash Management Class Shares (GVCXX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	iShares MSCI ACWI Ex US ETF	Purchase	04/22/2022	\$50,001 - \$100,000
2	Primecap Odyssey Aggr Grth	Purchase	04/22/2022	\$50,001 - \$100,000
3	Principal MidCap Fund-Ins	Purchase	04/22/2022	\$50,001 - \$100,000
4	Allspring Special Small Cap Value Inst	Sale	04/22/2022	\$100,001 - \$250,000
5	Goldman Sachs H/Y Muni Fd-Ir	Sale	04/22/2022	\$15,001 - \$50,000
6	Putnam Ultra Short Duration Income Y	Sale	04/22/2022	\$1,001 - \$15,000
7	Dexcom Inc	Sale	04/25/2022	\$1,001 - \$15,000
8	West Fargo N D	Sale	05/02/2022	\$15,001 - \$50,000
9	Blue Owl Capital Corporation	Purchase	05/03/2022	\$15,001 - \$50,000
10	Principal MidCap Fund-Ins	Purchase	05/03/2022	\$15,001 - \$50,000
11	Putnam Ultra Short Duration Income Y	Sale	05/03/2022	\$50,001 - \$100,000
12	Broadcom Inc	Purchase	05/16/2022	\$1,001 - \$15,000
13	East West Bancorp Inc	Purchase	05/16/2022	\$1,001 - \$15,000
14	Equinor Asa Spons ADR	Purchase	05/16/2022	\$1,001 - \$15,000
15	Horizon Pharma PLC	Purchase	05/16/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	Raytheon Technologies Corp	Purchase	05/16/2022	\$1,001 - \$15,000
17	Tapestry Inc	Purchase	05/16/2022	\$1,001 - \$15,000
18	Target Corp	Purchase	05/16/2022	\$1,001 - \$15,000
19	Abbvie Inc	Sale	05/16/2022	\$1,001 - \$15,000
20	Honda Motor Ltd Spons ADR	Sale	05/16/2022	\$1,001 - \$15,000
21	JP Morgan Chase & Co	Sale	05/16/2022	\$1,001 - \$15,000
22	OshKosh Corp	Sale	05/16/2022	\$1,001 - \$15,000
23	Qorvo Inc	Sale	05/16/2022	\$1,001 - \$15,000
24	Verizon Communications	Sale	05/16/2022	\$1,001 - \$15,000
25	Align Technology Inc	Purchase	05/25/2022	\$1,001 - \$15,000
26	Intuitive Surgical Inc New	Purchase	05/25/2022	\$1,001 - \$15,000
27	S&P Global Inc	Purchase	05/25/2022	\$1,001 - \$15,000
28	Servicenow Inc Com	Purchase	05/25/2022	\$1,001 - \$15,000
29	Dexcom Inc	Sale	05/25/2022	\$1,001 - \$15,000
30	PINTEREST INC CL A	Sale	05/25/2022	\$1,001 - \$15,000
31	King Cnty Was Sch Dist No 401 Isd#401 Primary/Seco	Sale	06/01/2022	\$15,001 - \$50,000
32	Artisan Intl Value Fund-Adv	Purchase	06/02/2022	\$15,001 - \$50,000
33	Principal MidCap Fund-Ins	Purchase	06/02/2022	\$15,001 - \$50,000
34	Abbvie Inc	Purchase	06/03/2022	\$1,001 - \$15,000
35	Akamai Technologies Inc	Purchase	06/03/2022	\$1,001 - \$15,000
36	Alphabet Inc Cl A	Purchase	06/03/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	Altria Group Inc	Purchase	06/03/2022	\$1,001 - \$15,000
38	Ameriprise Financial Inc.	Purchase	06/03/2022	\$1,001 - \$15,000
39	Anthem Inc	Purchase	06/03/2022	\$1,001 - \$15,000
40	Apple Inc	Purchase	06/03/2022	\$1,001 - \$15,000
41	Avery Dennison Corp	Purchase	06/03/2022	\$1,001 - \$15,000
42	Best Buy Company Inc	Purchase	06/03/2022	\$1,001 - \$15,000
43	Bristol Myers Squibb Co	Purchase	06/03/2022	\$1,001 - \$15,000
44	Broadcom Inc	Purchase	06/03/2022	\$1,001 - \$15,000
45	Chevron Corporation	Purchase	06/03/2022	\$1,001 - \$15,000
46	Davita Inc	Purchase	06/03/2022	\$1,001 - \$15,000
47	Eastman Chemical Co	Purchase	06/03/2022	\$1,001 - \$15,000
48	F5 Networks Inc	Purchase	06/03/2022	\$1,001 - \$15,000
49	Home Depot Inc	Purchase	06/03/2022	\$1,001 - \$15,000
50	Horizon Pharma PLC	Purchase	06/03/2022	\$1,001 - \$15,000
51	Illinois Tool Works	Purchase	06/03/2022	\$1,001 - \$15,000
52	Iqvia Holdings Inc	Purchase	06/03/2022	\$1,001 - \$15,000
53	Lumentum Holdings Inc	Purchase	06/03/2022	\$1,001 - \$15,000
54	NVR Inc	Purchase	06/03/2022	\$1,001 - \$15,000
55	Qualcomm Inc	Purchase	06/03/2022	\$1,001 - \$15,000
56	Target Corp	Purchase	06/03/2022	\$1,001 - \$15,000
57	Union Pacific Corp	Purchase	06/03/2022	\$1,001 - \$15,000
58	United Rentals Inc	Purchase	06/03/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
59	Unitedhealth Group Inc	Purchase	06/03/2022	\$1,001 - \$15,000
60	Zions Bancorporation	Purchase	06/03/2022	\$1,001 - \$15,000
61	Conocophillips	Purchase	06/09/2022	\$1,001 - \$15,000
62	Dell Inc	Purchase	06/09/2022	\$1,001 - \$15,000
63	East West Bancorp Inc	Purchase	06/09/2022	\$1,001 - \$15,000
64	Alphabet Inc Cl A	Sale	06/09/2022	\$1,001 - \$15,000
65	Apple Inc	Sale	06/09/2022	\$1,001 - \$15,000
66	F5 Networks Inc	Sale	06/09/2022	\$1,001 - \$15,000
67	Lincoln Natl Corp	Sale	06/09/2022	\$1,001 - \$15,000
68	OshKosh Corp	Sale	06/09/2022	\$1,001 - \$15,000
69	Target Corp	Sale	06/09/2022	\$1,001 - \$15,000
70	Align Technology Inc	Purchase	07/01/2022	\$1,001 - \$15,000
71	Chewy Inc	Purchase	07/01/2022	\$1,001 - \$15,000
72	Costco Whsl Corp New	Purchase	07/01/2022	\$1,001 - \$15,000
73	Coupa Software Inc	Purchase	07/01/2022	\$1,001 - \$15,000
74	Lauder Estee Cos Cl-A	Purchase	07/01/2022	\$1,001 - \$15,000
75	Lululemon Athletica Inc	Purchase	07/01/2022	\$1,001 - \$15,000
76	Match Group Inc	Purchase	07/01/2022	\$1,001 - \$15,000
77	NVIDIA Corp	Purchase	07/01/2022	\$1,001 - \$15,000
78	S&P Global Inc	Purchase	07/01/2022	\$1,001 - \$15,000
79	Sherwin Williams Co	Purchase	07/01/2022	\$1,001 - \$15,000
80	Shopify Inc	Purchase	07/01/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
81	Zoetis Inc CI A	Purchase	07/01/2022	\$1,001 - \$15,000
82	Alphabet Inc CI C	Sale	07/01/2022	\$1,001 - \$15,000
83	Amazon.com Inc	Sale	07/01/2022	\$1,001 - \$15,000
84	Autodesk Inc.	Sale	07/01/2022	\$1,001 - \$15,000
85	IDEX Corp	Sale	07/01/2022	\$1,001 - \$15,000
86	Mastercard Inc CI A	Sale	07/01/2022	\$1,001 - \$15,000
87	Microsoft Corp	Sale	07/01/2022	\$1,001 - \$15,000
88	NXP Semiconductors NV	Sale	07/01/2022	\$1,001 - \$15,000
89	Roper Industries Inc New	Sale	07/01/2022	\$1,001 - \$15,000
90	SBA Communications Corp CI A	Sale	07/01/2022	\$1,001 - \$15,000
91	Thermo Fisher Scientific Inc	Sale	07/01/2022	\$1,001 - \$15,000
92	Florida St Brd Governors Fla A	Sale	07/01/2022	\$15,001 - \$50,000
93	iShares MSCI ACWI Ex US ETF	Purchase	07/06/2022	\$15,001 - \$50,000
94	Principal MidCap Fund-Ins	Purchase	07/06/2022	\$15,001 - \$50,000
95	Baird Short-Term Municipal Bond Instl	Sale	07/06/2022	\$100,001 - \$250,000
96	Putnam Ultra Short Duration Income Y	Sale	07/06/2022	\$1,001 - \$15,000
97	iShares Core S&P 500 ETF	Purchase	07/11/2022	\$50,001 - \$100,000
98	iShares MSCI ACWI Ex US ETF	Purchase	07/11/2022	\$15,001 - \$50,000
99	Beckville TX Independent School District	Purchase	07/12/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
100	Clark Cnty Wash	Sale	07/14/2022	\$15,001 - \$50,000
101	New York City Transitional Finance Authority Future Tax Secured	Purchase	07/15/2022	\$15,001 - \$50,000
102	Clay County MO School District #40 Excelsior Springs	Purchase	07/20/2022	\$15,001 - \$50,000
103	Align Technology Inc	Purchase	08/08/2022	\$1,001 - \$15,000
104	Edwards Lifesciences Corp	Purchase	08/08/2022	\$1,001 - \$15,000
105	Roper Industries Inc New	Purchase	08/08/2022	\$1,001 - \$15,000
106	Brown Forman Corp. Cl. B	Sale	08/08/2022	\$1,001 - \$15,000
107	L3Harris Technologies Inc	Sale	08/08/2022	\$1,001 - \$15,000
108	Altria Group Inc	Purchase	04/21/2022	\$1,001 - \$15,000
109	Amgen Inc	Purchase	08/10/2022	\$1,001 - \$15,000
110	Autozone Inc	Purchase	08/10/2022	\$1,001 - \$15,000
111	Bristol Myers Squibb Co	Purchase	08/10/2022	\$1,001 - \$15,000
112	Chevron Corporation	Purchase	08/10/2022	\$1,001 - \$15,000
113	Citizens Financial Group Inc	Purchase	08/10/2022	\$1,001 - \$15,000
114	Conocophillips	Purchase	08/10/2022	\$1,001 - \$15,000
115	Dell Inc	Purchase	08/10/2022	\$1,001 - \$15,000
116	East West Bancorp Inc	Purchase	08/10/2022	\$1,001 - \$15,000
117	Elevance Health Inc	Purchase	08/10/2022	\$1,001 - \$15,000
118	Equinor Asa Spons ADR	Purchase	08/10/2022	\$1,001 - \$15,000
119	Fifth Third Bancorp	Purchase	08/10/2022	\$1,001 - \$15,000
120	Horizon Pharma PLC	Purchase	08/10/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
121	Jacobs Engineering Group Inc	Purchase	08/10/2022	\$1,001 - \$15,000
122	Masco Co	Purchase	06/03/2022	\$1,001 - \$15,000
123	on Semiconductor Corp	Purchase	09/15/2022	\$1,001 - \$15,000
124	Phillips 66	Purchase	08/10/2022	\$1,001 - \$15,000
125	Pulte Homes Inc	Purchase	08/10/2022	\$1,001 - \$15,000
126	Raytheon Technologies Corp	Purchase	08/10/2022	\$1,001 - \$15,000
127	Rio Tinto PLC ADR	Purchase	08/10/2022	\$1,001 - \$15,000
128	Shell PLC ADR	Purchase	08/10/2022	\$1,001 - \$15,000
129	TotalEnergies SE	Purchase	08/10/2022	\$1,001 - \$15,000
130	Vale S A Sponsored ADR	Purchase	08/10/2022	\$1,001 - \$15,000
131	Verizon Communications	Purchase	08/10/2022	\$1,001 - \$15,000
132	Zions Bancorporation	Purchase	08/10/2022	\$1,001 - \$15,000
133	Alphabet Inc Cl A	Sale	08/10/2022	\$1,001 - \$15,000
134	Ameriprise Financial Inc.	Sale	08/10/2022	\$1,001 - \$15,000
135	Apple Inc	Sale	08/10/2022	\$1,001 - \$15,000
136	Avery Dennison Corp	Sale	08/10/2022	\$1,001 - \$15,000
137	Bank Amer Corp	Sale	08/10/2022	\$1,001 - \$15,000
138	Broadcom Inc	Sale	08/10/2022	\$1,001 - \$15,000
139	Davita Inc	Sale	08/10/2022	\$1,001 - \$15,000
140	Eastman Chemical Co	Sale	08/10/2022	\$1,001 - \$15,000
141	F5 Networks Inc	Sale	08/10/2022	\$1,001 - \$15,000
142	Iqvia Holdings Inc	Sale	08/10/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
143	Lincoln Natl Corp	Sale	08/10/2022	\$1,001 - \$15,000
144	NVR Inc	Sale	08/10/2022	\$1,001 - \$15,000
145	Sempra Energy	Sale	08/10/2022	\$1,001 - \$15,000
146	Target Corp	Sale	08/10/2022	\$1,001 - \$15,000
147	United Rentals Inc	Sale	08/10/2022	\$1,001 - \$15,000
148	Unitedhealth Group Inc	Sale	08/10/2022	\$1,001 - \$15,000
149	American Express Co	Purchase	08/25/2022	\$1,001 - \$15,000
150	CVS Health Corp	Purchase	08/25/2022	\$1,001 - \$15,000
151	Dell Inc	Purchase	08/25/2022	\$1,001 - \$15,000
152	Tapestry Inc	Purchase	08/25/2022	\$1,001 - \$15,000
153	Abbvie Inc	Sale	08/25/2022	\$1,001 - \$15,000
154	Akamai Technologies Inc	Sale	08/25/2022	\$1,001 - \$15,000
155	Bristol Myers Squibb Co	Sale	08/25/2022	\$1,001 - \$15,000
156	Equinor Asa Spons ADR	Sale	08/25/2022	\$1,001 - \$15,000
157	Horizon Pharma PLC	Sale	08/25/2022	\$1,001 - \$15,000
158	Lincoln Natl Corp	Sale	08/25/2022	\$1,001 - \$15,000
159	Putnam Ultra Short Duration Income Y	Sale	09/12/2022	\$15,001 - \$50,000
160	Autodesk Inc.	Purchase	09/14/2022	\$1,001 - \$15,000
161	Cintas Corp	Sale	09/14/2022	\$1,001 - \$15,000
162	L3Harris Technologies Inc	Sale	09/14/2022	\$1,001 - \$15,000
163	Sherwin Williams Co	Sale	09/14/2022	\$1,001 - \$15,000
164	Ameriprise Financial Inc.	Purchase	09/15/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
165	Cummins Inc	Purchase	09/15/2022	\$1,001 - \$15,000
166	CVS Health Corp	Purchase	09/15/2022	\$1,001 - \$15,000
167	Eastman Chemical Co	Purchase	09/15/2022	\$1,001 - \$15,000
168	Equinor Asa Spons ADR	Purchase	09/15/2022	\$1,001 - \$15,000
169	Lumentum Holdings Inc	Purchase	09/15/2022	\$1,001 - \$15,000
170	Phillips 66	Purchase	09/15/2022	\$1,001 - \$15,000
171	United Rentals Inc	Purchase	09/15/2022	\$1,001 - \$15,000
172	Abbvie Inc	Sale	09/15/2022	\$1,001 - \$15,000
173	Bristol Myers Squibb Co	Sale	09/15/2022	\$1,001 - \$15,000
174	Horizon Pharma PLC	Sale	09/15/2022	\$1,001 - \$15,000
175	Illinois Tool Works	Sale	09/15/2022	\$1,001 - \$15,000
176	Progressive Corp Ohio	Sale	09/15/2022	\$1,001 - \$15,000
177	Qorvo Inc	Sale	09/15/2022	\$1,001 - \$15,000
178	Zions Bancorporation	Sale	09/15/2022	\$1,001 - \$15,000
179	Atlassian Corporation PLC A	Purchase	09/29/2022	\$1,001 - \$15,000
180	Coupa Software Inc	Sale	09/29/2022	\$1,001 - \$15,000
181	GENERAC HOLDINGS INC	Purchase	10/20/2022	\$1,001 - \$15,000
182	Sherwin Williams Co	Sale	10/20/2022	\$1,001 - \$15,000
183	GENERAC HOLDINGS INC	Purchase	10/21/2022	\$1,001 - \$15,000
184	Sherwin Williams Co	Sale	10/21/2022	\$1,001 - \$15,000
185	GENERAC HOLDINGS INC	Purchase	10/26/2022	\$1,001 - \$15,000
186	Edwards Lifesciences Corp	Purchase	10/28/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
187	GENERAC HOLDINGS INC	Purchase	10/28/2022	\$1,001 - \$15,000
188	Sherwin Williams Co	Sale	10/28/2022	\$1,001 - \$15,000
189	GENERAC HOLDINGS INC	Purchase	11/01/2022	\$1,001 - \$15,000
190	Sherwin Williams Co	Sale	11/01/2022	\$1,001 - \$15,000
191	Sherwin Williams Co	Sale	11/03/2022	\$1,001 - \$15,000
192	American Express Co	Purchase	11/15/2022	\$1,001 - \$15,000
193	Bristol Myers Squibb Co	Purchase	11/15/2022	\$1,001 - \$15,000
194	CVS Health Corp	Purchase	11/15/2022	\$1,001 - \$15,000
195	East West Bancorp Inc	Purchase	11/15/2022	\$1,001 - \$15,000
196	Jacobs Engineering Group Inc	Purchase	11/15/2022	\$1,001 - \$15,000
197	Unitedhealth Group Inc	Purchase	11/15/2022	\$1,001 - \$15,000
198	Zions Bancorporation	Purchase	11/15/2022	\$1,001 - \$15,000
199	Alphabet Inc Cl A	Sale	11/15/2022	\$1,001 - \$15,000
200	Apple Inc	Sale	11/15/2022	\$1,001 - \$15,000
201	Autozone Inc	Sale	11/15/2022	\$1,001 - \$15,000
202	Conocophillips	Sale	11/15/2022	\$1,001 - \$15,000
203	Davita Inc	Sale	11/15/2022	\$1,001 - \$15,000
204	Dell Inc	Sale	11/15/2022	\$1,001 - \$15,000
205	F5 Networks Inc	Sale	11/15/2022	\$1,001 - \$15,000
206	Lumentum Holdings Inc	Sale	11/15/2022	\$1,001 - \$15,000
207	Phillips 66	Sale	11/15/2022	\$1,001 - \$15,000
208	Qualcomm Inc	Sale	11/15/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
209	Rio Tinto PLC ADR	Sale	11/15/2022	\$1,001 - \$15,000
210	TotalEnergies SE	Sale	11/15/2022	\$1,001 - \$15,000
211	Vale S A Sponsored ADR	Sale	11/15/2022	\$1,001 - \$15,000
212	Public Fin Auth Wis Rev	Sale	11/15/2022	\$15,001 - \$50,000
213	Atlassian Corporation PLC A	Purchase	11/22/2022	\$1,001 - \$15,000
214	Match Group Inc	Purchase	11/22/2022	\$1,001 - \$15,000
215	Intuitive Surgical Inc New	Sale	11/22/2022	\$1,001 - \$15,000
216	Sherwin Williams Co	Sale	11/22/2022	\$1,001 - \$15,000
217	DAYTON OH 4.00	Purchase	11/22/2022	\$15,001 - \$50,000
218	Abbvie Inc	Purchase	11/30/2022	\$1,001 - \$15,000
219	Citigroup Inc Dep Sh 6.5%	Purchase	11/30/2022	\$1,001 - \$15,000
220	Conocophillips	Purchase	11/30/2022	\$1,001 - \$15,000
221	Cummins Inc	Purchase	11/30/2022	\$1,001 - \$15,000
222	East West Bancorp Inc	Purchase	11/30/2022	\$1,001 - \$15,000
223	Jabil Circuit Inc	Purchase	11/30/2022	\$1,001 - \$15,000
224	Juniper Networks Inc	Purchase	11/30/2022	\$1,001 - \$15,000
225	Oneok Inc	Purchase	11/30/2022	\$1,001 - \$15,000
226	Sociedad Quimica Minera S	Purchase	11/30/2022	\$1,001 - \$15,000
227	Best Buy Company Inc	Sale	11/30/2022	\$1,001 - \$15,000
228	Eastman Chemical Co	Sale	11/30/2022	\$1,001 - \$15,000
229	Elevance Health Inc	Sale	11/30/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
230	Equinor Asa Spons ADR	Sale	11/30/2022	\$1,001 - \$15,000
231	F5 Networks Inc	Sale	11/30/2022	\$1,001 - \$15,000
232	Jacobs Engineering Group Inc	Sale	11/30/2022	\$1,001 - \$15,000
233	Lumentum Holdings Inc	Sale	11/30/2022	\$1,001 - \$15,000
234	Open Text Corp	Sale	11/30/2022	\$1,001 - \$15,000
235	Pulte Homes Inc	Sale	11/30/2022	\$1,001 - \$15,000
236	Target Corp	Sale	11/30/2022	\$1,001 - \$15,000
237	Unitedhealth Group Inc	Sale	11/30/2022	\$1,001 - \$15,000
238	SAN ANTONIO TX WTR 5.00	Purchase	12/01/2022	\$15,001 - \$50,000
239	L3Harris Technologies Inc	Sale	12/02/2022	\$1,001 - \$15,000
240	Adobe Sys Inc	Purchase	12/08/2022	\$1,001 - \$15,000
241	Servicenow Inc Com	Purchase	12/08/2022	\$1,001 - \$15,000
242	Citigroup Inc Dep Sh 6.5%	Purchase	12/15/2022	\$1,001 - \$15,000
243	Fifth Third Bancorp	Purchase	12/15/2022	\$1,001 - \$15,000
244	Jabil Circuit Inc	Purchase	12/15/2022	\$1,001 - \$15,000
245	Juniper Networks Inc	Purchase	12/15/2022	\$1,001 - \$15,000
246	on Semiconductor Corp	Purchase	12/15/2022	\$1,001 - \$15,000
247	Sociedad Quimica Minera S	Purchase	12/15/2022	\$1,001 - \$15,000
248	Broadcom Inc	Sale	12/15/2022	\$1,001 - \$15,000
249	Iqvia Holdings Inc	Sale	12/15/2022	\$1,001 - \$15,000
250	Pulte Homes Inc	Sale	12/15/2022	\$1,001 - \$15,000
251	United Rentals Inc	Sale	12/15/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
252	Zions Bancorporation	Sale	12/15/2022	\$1,001 - \$15,000
253	Adams 12 Five Star Schs Colo Primary/Secondary Edu	Sale	12/15/2022	\$1,001 - \$15,000
254	AutoZone, Inc. (AZO)	Purchase	04/21/2022	\$1,001 - \$15,000
255	Adobe, Inc. (ADBE)	Sale	07/01/2022	\$1,001 - \$15,000
256	JPMorgan Chase & Co. (JPM)	Sale	04/21/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase Bank	Credit Card	\$15,001 - \$50,000	2019	15.49%	Revolving

9. Gifts and Travel Reimbursements

None

Endnotes

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).
