

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hill, Alice

Deputy Administrator for Resilience, Federal Emergency Management Agency, Department of Homeland Security

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Homeland Security and Governmental Affairs
-

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/ Hill, Alice [electronically signed on 08/10/2021 by Hill, Alice 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/ O'Connor, Michael, Certifying Official [electronically signed on 03/09/2022 by O'Connor, Michael in Integrity.gov]

Other review conducted by

/s/ DelVecchio, Faith, Ethics Official [electronically signed on 02/09/2022 by DelVecchio, Faith in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/11/2022 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	Council on Foreign Relations	Washington, District of Columbia	Non-Profit	Senior Fellow	9/2019	Present	
2	Munich Re North America	See Endnote	Princeton, New Jersey	Corporation	Member of Board of Directors	1/2017	Present
3	Hoover Institution	Palo Alto, California	University/College	Research Fellow	12/2016	8/2019	
4	Council on Strategic Risks	Washington, District of Columbia	Non-Profit	Board Member	2/2018	Present	
5	McKinsey & Company	Washington, District of Columbia	Corporation	Senior Advisor	3/2021	Present	
6	Harbor (25 MP Corporation)	Los Angeles, California	Corporation	Advisory Board Member	5/2020	Present	
7	One Concern, Inc.	Palo Alto, California	Corporation	Advisory Board Member	1/2017	Present	
8	Alice Hill Resilience Consulting, LLC	Washington, District of Columbia	Consulting LLC	Sole Proprietor	1/2021	Present	
9	National Cathedral School	Washington, District of Columbia	Private Educational Institution	Board Member and Chair	7/2012	6/2019	
10	Environmental Defense Fund	Washington, District of Columbia	Non-Profit	Board of Trustees Member	7/2018	Present	

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
11	Family Revocable Trust #1		Washington, District of Columbia	Trust	Trustee	2/2016	Present
12	Family Revocable Trust #2		Washington, District of Columbia	Trust	Trustee	2/2016	Present
13	American Modern Insurance Group	See Endnote	Cincinnati, Ohio	Corporation	Member of Board of Directors	1/2017	Present
14	Hartford Steam Boiler Inspection and Insurance Company	See Endnote	Hartford, Connecticut	Corporation	Member of Board of Directors	1/2017	Present
15	Crisis Response Journal		London, United Kingdom, Outside U.S.	Corporation	Advisory Panel Member	6/2019	Present
16	The Rockefeller Foundation, The Bellagio Center		Bellagio, Italy, Outside U.S.	Non-Profit	Fellow	2/2019	2/2019
17	The Princeton Excess & Surplus Lines Insurance Company	See Endnote	Princeton, New Jersey	Corporation	Member of Board of Directors	1/2017	Present
18	American Alternative Insurance Corporation	See Endnote	Princeton, New Jersey	Corporation	Member of Board of Directors	1/2017	Present
19	Bridgeway Insurance Company	See Endnote	Princeton, New Jersey	Corporation	Member of Board of Directors	1/2017	Present
20	Munich Reinsurance America, Inc.	See Endnote	Princeton, New Jersey	Corporation	Member of Board of Directors	1/2017	Present
21	American Modern Home Insurance Company	See Endnote	Cincinnati, Ohio	Corporation	Member of Board of Directors	1/2017	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
22	American Modern Property and Casualty Insurance Company	See Endnote	Cincinnati, Ohio	Corporation	Member of Board of Directors	1/2017	Present
23	American Family Home Insurance Company	See Endnote	Cincinnati, Ohio	Corporation	Member of Board of Directors	1/2017	Present
24	American Modern Insurance Company of Florida, Inc.	See Endnote	Cincinnati, Ohio	Corporation	Member of Board of Directors	1/2017	Present
25	American Southern Home Insurance Company	See Endnote	Cincinnati, Ohio	Corporation	Member of Board of Directors	1/2017	Present
26	Family Trust #3		Jackson, Wyoming	Trust	Trustee	6/2016	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Council on Foreign Relations	N/A		Salary and Bonus	\$358,615
2	IRA #1 - Inherited	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Fidelity GNMA Fund (FGMNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Brandywine Global Bond Fund (GOBAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Templeton Global Bond Fund (TGBAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Vanguard Dividend Appreciation ETF (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Vanguard International Stock All World X-US (VEU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	Vanguard S&P 500 ETF (VOO)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.8	Vanguard Growth ETF (VUG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.9	Vanguard Small Cap ETF (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	iShares TIPS ETF (TIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Vanguard Short Term Bond ETF (BSV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	Vanguard Short Term Treasury ETF (VGSH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Vanguard Corporate Bond ETF (VCSH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Munich Re North America (Insurance and reinsurance)	N/A		Director Fees	\$225,000
4	IRA #2 - Rollover	No			
4.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	Royce Pennsylvania Small Cap Mutual Fund (PENNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	Fidelity GNMA Fund (FGMNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Brandywine Global Bond Fund (GOBAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.5	Templeton Global Bond Fund (TGBAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	Vanguard Inflation Protected Bond Fund (VAIPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	iShares Clean Energy ETF (ICLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	iShares Core Emerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.9	Financial Sector ETF (XLF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Vanguard Intl Developed Market ETF (VEA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.11	Vanguard International Small Cap ETF (VSS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	Vanguard Small Cap ETF (VB)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.13	Vanguard Short Term Bond ETF (BSV)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.14	Vanguard Short Term Treasury ETF (VGSH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.15	Vanguard Short Term Corp Bond ETF (VCSH)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.16	Allegion (ALLE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.17	Accenture (ACN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.18	Alcon (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.19	Chubb (CB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.20	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.21	Alphabet (GOOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.22	Amazon.com (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.23	American Express (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.24	Anheuser Busch (BUD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.25	Apple (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.26	Automatic Data Processing (ADP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.27	Biogen (BIIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.28	Canadian National Railway (CNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.29	Carrier (CARR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.30	Cisco Systems (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.31	Clorox (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.32	Colgate (CL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.33	Danaher (DHR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.34	Disney (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.35	Ecolab (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.36	Facebook (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.37	F5 Networks (FFIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.38	Fortive (FTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.39	General Mills (GIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.40	Gilead (GILD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.41	Intel (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.42	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.43	LVMH (LVMUY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.44	Estee Lauder (EL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.45	McCormick (MKC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.46	McDonalds (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.47	Microsoft (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.48	Nestle (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.49	NextEra (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.50	Northern Trust (NTRS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.51	Novartis (NVS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.52	Nutrien (NTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.53	Otis (OTIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.54	PayPal (PYPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.55	Pepsi (PEP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.56	Pfizer (PFE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.57	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.58	Raytheon (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.59	Roche (RHHBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.60	Rogers Communications (RCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.61	Salesforce (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.62	Starbucks (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.63	TJX (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.64	3M (MMM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.65	Tiffany (TIF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.66	Travelers (TRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.67	Union Pacific (UNP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.68	UPS (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.69	Verizon (VZ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.70	Vontier (VNT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.71	Walmart (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.72	Xilinx (XLNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.73	Xylem (XYL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.74	Zoetis (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.75	Boston Properties (BXP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Los Angeles County Defined Contribution Plan 401(k)	No			
5.1	2025 Savings Fund	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
6	"The Fight for Climate After Covid-19" Oxford University Press (value not readily ascertainable)	N/A		advance	\$10,000
7	Asian Development Bank - 12/20	N/A		honorarium	\$1,500
8	Naval War College - 1/7/21	N/A		honorarium	\$1,000
9	University of Rhode Island - 6/17/21	N/A		honorarium	\$1,000
10	University of Illinois - 4/19/21	N/A		honorarium	\$1,000
11	Northwestern University - 4/30/20	N/A		honorarium	\$300
12	Harbor (25 MP Corporation) (resilience technology), Stock options (value not readily ascertainable) 150 stock options, strike price \$1.00. Will vest in annual 1/4 tranches each May, concluding on May 28, 2025, exp. 5/28/2031.	N/A			None (or less than \$201)
13	One Concern, Inc. (resilience technology), vested stock options	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Stanford University 457b retirement account	No			
14.1	Vanguard Target Date Fund 2020	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	Middle East Broadcast Network - 4/21	N/A		honorarium	\$250
16	Los Angeles County deferred Compensation 457 (B)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.1	Horizons 2025 fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
17	Council on Foreign Relations defined contribution plan	No			
17.1	TIAA-CREF Lfcycle Idx 2020	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.2	TIAA Lfcycle 2020	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	"Building a Resilient Tomorrow," Oxford University Press (value not readily ascertainable)	N/A			None (or less than \$201)
19	Naval War College - 5/19/21	N/A		honorarium	\$800
20	Middle East Broadcast Network - 2/21	N/A		honorarium	\$250
21	University of Virginia, anticipated honorarium - 8/23/21	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	One Concern Inc, stock options (value not readily ascertainable), 209 unvested shares, strike \$1.48, options vest every month for 1/48th of the total options granted, exp. 5/14/28.	N/A			None (or less than \$201)
23	Harbor (25 MP Corporation), vested stock options (value not readily ascertainable), 12.5 shares vested at \$0.01 per share strike price in May 2021.	N/A			None (or less than \$201)
24	Harbor (25 MP Corporation) stock options (value not readily ascertainable) 37.5 stock options, strike price \$.01 per share. Will vest in annual 1/4 tranches each May, concluding on May 28, 2024, exp 5/28/2030.	N/A			None (or less than \$201)
25	Alice Hill Resilience Consulting, LLC	No			
25.1	McKinsey & Company	N/A		Consulting Fees	\$21,620

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25.2	Stanford University - 3/1/21	N/A		honorarium	\$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Council on Foreign Relations	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	2/2020
2	Stanford University/Hoover Institution	Palo Alto, California	I will continue to participate in this defined contribution plan. The plan sponsor no longer makes contributions.	9/2017
3	Superior Court of California, County of Los Angeles	Los Angeles, California	I will continue to participate in this defined contribution plan (401k), but the plan sponsor no longer makes contributions.	11/1995
4	Superior Court of California, County of Los Angeles	Los Angeles, California	I will continue to participate in this defined contribution plan (457b), but the plan sponsor no longer makes contributions.	11/1995
5	Harbor (25 MP Corporation)	Los Angeles, California	I will forfeit my unvested stock options upon separation. I will retain my vested stock options.	3/2020
6	One Concern Inc.	Palo Alto, California	Upon separation, I will cease to vest in any further options and will forfeit the remainder of the scheduled options. I have three months after separation in which to exercise the vested options, after which they are no longer exercisable. I will retain my vested stock options.	5/2018
7	Alice Hill Resilience Consulting, LLC	Washington, District of Columbia	My consulting business will be inactive during my appointment and all outstanding client fees will be fixed before I enter government service.	1/2021

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	McKinsey & Company	Washington, District of Columbia	Senior Advisor
2	Munich Re North America	Princeton, New Jersey	Independent Director and for service as director for the following subsidiaries: The Princeton Excess & Surplus Lines Insurance Company, American Alternative Insurance Corporation, Bridgeway Insurance Company, Munich Reinsurance America, Inc., The Hartford Steam Boiler Inspection and Insurance Company, American Modern Home Insurance Company, American Modern Property and Casualty Insurance Company, American Family Home Insurance Company, American Modern Insurance Company of Florida, Inc., and American Southern Home Insurance Company.
3	Hoover Institution	Palo Alto, California	Research Fellow
4	Council on Foreign Relations	New York, New York	Senior Fellow

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	American University	N/A		salary, bonus	
2	American University 403(b)	No			
2.1	Fidelity FCNKX FID CONTRA FUND	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.2	Fidelity MWTSX Metwest TOT RTN	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	IRA #3	No			
3.1	Fidelity FCNTX Contrafund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Fidelity FGOVX Government	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3	Fidelity FICDX Canada	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	Fidelity FMAGX Magellan	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.5	Fidelity FOSFX Overseas	Yes	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	FOREST PARK MOBILE HOME PARK LP	No			
1.1	Residential Real Estate, Manassas, VA	N/A	\$50,001 - \$100,000	Rent or Royalties	\$5,001 - \$15,000
2	DEVONSHIRE SQUARE LP	No			
2.1	Residential Real Estate, Falls Church, VA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
3	WAPLES MOBILE HOME PARK LP	No			
3.1	Residential Real Estate, Fairfax, VA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
4	JEFFERSON MANOR SHOPPING CENTER LP	No			
4.1	Commercial Real Estate, Alexandria, VA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
5	WOODLEE TERRACE APARTMENTS LP	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	Residential Real Estate, Woodbridge, VA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
6	Family Revocable Trust #1	No			
6.1	Fidelity Treasury Money Market Fund Fidelity Treasury Money Market (FZFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.2	DWS International Growth Fund Class S Shares (SCOBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.3	First Eagle Global Fund Class A Shares (SGENX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.4	Fidelity GNMA Fund (FGMNX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.5	Brandywine GLOBAL -Global Opportunities Bond Fund Class A Shares (GOBAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.6	TEMPLETON GLOBAL BOND ADVISOR	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.7	ALPS REIT Dividend Dogs ETF (RDOG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.8	ISHARES S&P GLOBAL TECHNOLOGY SECTOR	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.9	ISHARES TR GL CLEAN ENE E	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	ISHARES INC CORE MSCI EMERGING MARKETS	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.11	Financial Select Sector SPDR Fund (XLF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.12	VanEck Vectors Agribusiness ETF (MOO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.13	VANGUARD SPECIALIZED FUNDS DIV APP ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.14	VANGUARD ADMIRAL FUNDS INC S&P SMALLCAP	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.15	VANGUARD TAX-MANAGED INTL FD FTSE DEV MKT	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.16	VANGUARD INTL EQUITY INDEX FDS FTSE SMCAP	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.17	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.18	WISDOM TR US HIGH DIVIDEND	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.19	VANGUARD BD INDEX FDS SHORT TRM BOND	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.20	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.21	VANGUARD SCOTTSDALE FDS SHORT TERM CORPORATE BOND INDEX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.22	Allegion Plc (ALLE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.23	ACCENTURE PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.24	ALCON INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.25	CHUBB LIMITED COM NPV	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.26	AT&T	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.27	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.28	Air Products and Chemicals, Inc. (APD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.29	Alphabet, Inc. (GOOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.30	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.31	American Express Co. (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.32	ANHEUSER-BUSCH INBEV SA/NV	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.33	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Capital Gains	\$201 - \$1,000
6.34	Automatic Data Processing, Inc. (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.35	Biogen Inc. (BIIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.36	Cigna Corp. (CI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.37	CANADIAN NATL RY CO COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.38	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.39	Clorox Co (CLX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.40	Colgate-Palmolive Co. (CL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.41	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.42	The Walt Disney Co. (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.43	Dominion Energy, Inc. (D)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.44	Ecolab, Inc. (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.45	Facebook, Inc. (FB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.46	F5 Networks, Inc. (FFIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.47	Fortive Corp. (FTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.48	General Mills, Inc. (GIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.49	Gilead Sciences, Inc. (GILD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.50	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.51	LVMH MOET HENNESSY LOUIS VUITTON	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.52	Estee Lauder Cos. (EL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.53	McCormick & Co., Inc. (MKC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.54	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.55	Merck & Co., Inc. (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.56	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.57	NextEra Energy, Inc. (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.58	Northern Trust Corp. (NTRS)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.59	NOVARTIS AG	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.60	NUTRIEN LTD COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.61	ORGANON & CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.62	PayPal Holdings, Inc. (PYPL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.63	PepsiCo, Inc. (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.64	Pfizer Inc. (PFE)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
6.65	RAYTHEON TECHNOLOGIES	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.66	ROCHE HOLDINGS ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.67	ROGERS COMMUNICATIONS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.68	salesforce.com, inc. (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.69	Starbucks Corp. (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.70	3M Co. (MMM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.71	The Travelers Cos., Inc. (TRV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.72	Union Pacific Corp. (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.73	United Parcel Service, Inc. (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.74	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.75	Xilinx, Inc. (XLNX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.76	XYLEM	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.77	Zoetis, Inc. (ZTS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.78	UNITED STATES TREAS NTS	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.79	Tiffany & Co. (TIF)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
6.80	Nordstrom, Inc. (JWN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.81	Hexcel Corp. (HXL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.82	Sensient Technologies Corp. (SXT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.83	VONTIER CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.84	CARRIER GLOBAL	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.85	VanguardPacific Stock Index FundVanguard FTSEPacific ETF Shares (VPL)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
6.86	Otis Worldwide Corporation (OTIS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.87	Boston Properties, Inc. (BXP)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.88	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.89	Viatis Inc. (VTRS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.90	iShares Global Consumer Staples ETF (KXI)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.91	SPDR S&P Global Natural Resources ETF (GNR)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
7	U.S. bank account #1 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	Family Revocable Trust #2	No			
8.1	Fidelity Treasury Money Market Fund (FZFXX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
8.2	First Eagle Global Class A (SGENX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8.3	Harbor INTL INST (HAINX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.4	Royce Pennsylvania Mutual INVST Class (PENNX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.5	Brandywine Global GLBL OPPOR BD CL A (GOBAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.6	Templeton Global Bond Advisor Class (TGBAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.7	Vanguard Inflation Protected SEC ADM CL (VAIPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.8	ALPS ETF TR REIT Divide Dogs (RDOG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.9	Invesco Exchange Traded FD TR Water Res ETF (PHO)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.10	iShares S&P Global Technology Sector Index Fund (IXN)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.11	iShares TR NASDAQ Biotech (IBB)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.12	iShares TR GL Clean ENE ETF (ICLN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.13	iShares INC Core MSCI Emerging MKTS ETF (IEMG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.14	Select Sector SPDR Trust Amex Financial (XLF)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
8.15	Vaneck Vectors ETF TR Agribusiness ETF (MOO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.16	Vanguard Specialized Funds DIV APP ETF (VIG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.17	Vanguard Admiral FDS INC S&P Smallcap 600 (VIOO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.18	Vanguard Tax-Managed INTL FD FTSE DEV MKT (VEA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.19	Vanguard INTL Equity Index FDS FTSE SMCAP (VSS)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.20	Vanguard Small-Cap Index Fund (VB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.21	WisdomTree TR US High Dividend (DHS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.22	Vanguard BD Index FDS Short TRM Bond (BSV)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
8.23	Vanguard Short Term Treasury ETF (VGSH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.24	Vanguard Scottsdale FDS Vanguard (VCSH)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8.25	SPDR Gold TR Gold SHS (GLD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.26	Allegion PLC ORD SHS (ALLE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.27	Accenture PLC (ACN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.28	Alcon (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.29	Chubb Limited COM NPV (CB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.30	Abbott Laboratories (ABT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.31	Abbvie INC COM USD0.01 (ABBV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.32	Air Products and Chemicals INC (APD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.33	Alphabet INC CAP STK CI C (GOOG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.34	Alphabet INC CAP STK CI A (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.35	Anheuser-Busch Inbev SA/NV ADR EAH REP 1 (BUD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.36	Apple INC COM USD0.00001 (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.37	Automatic Data Processing INC COM (ADP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.38	Biogen INC COM USD0.0005 (BIIB)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.39	Cigna Corp New COM (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.40	Canadian NATL RY CO COM (CNI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.41	Cisco Systems INC (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.42	Clorox CO COM USD1.00 (CLX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.43	Coca-Cola CO (KO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.44	Colgate-Palmolive CO COM USD1.00 (CL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.45	Danaher Corporation COM (DHR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.46	Diageo ADR Each REPR 4 ORD GBX28.935185 (DEO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.47	Disney Walt Co COM (DIS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.48	Dominion Energy INC COM (D)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.49	Ecolab INC (ECL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.50	Facebook INC-Class A (FB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.51	F5 Networks INC (FFIV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.52	Fortive Corp COM (FTV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.53	General Mills INC COM USD0.10 (GIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.54	Intel Corp COM USD0.001 (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.55	Johnson & Johnson COM USD1.00 (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.56	LVMH MOET Hennessy Louis Vuitton ADR (LVMUY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.57	Estee Lauder Companies INC COM (EL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.58	Manulife Financial Corp COM NPV (MFC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.59	Mastercard Incorporated CL A (MA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.60	Mccormick & Company INC COM NPV (MKC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.61	Mcdonalds S Corp (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.62	Merck & CO. INC (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.63	Microsoft Corp (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.64	Mondelez INTL INC COM USD0.01 (MDLZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.65	Nestle ADR (NSRGY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.66	Nextera Energy INC COM USD0.01 (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.67	Northern Trust Corp COM USD1.666 (NTRS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.68	Novartis AG Sponsored ADR (NVS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.69	Nutrien LTD COM NPV (NTR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.70	Paypal HLDGS INC COM (PYPL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.71	Pepsico INC (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
8.72	Pfizer INC (PFE)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.73	Procter and Gamble CO COM (PG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.74	Raytheon Technologies Corp (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.75	Republic Services INC (RSG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.76	Roche Holdings ADR (RHHBY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.77	Salesforce.com INC COM USD0.001 (CRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.78	Starbucks Corp COM USD0.001 (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.79	TJX Companies INC (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.80	Teva Pharmaceutical Industries SPON ADS (TEVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.81	3M CO (MMM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.82	Tiffany & CO (TIF)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
8.83	Travelers Companies INC COM STK NPV (TRV)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.84	Unilever PLC SPON ADR NEW (UL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.85	Union PAC Corp COM (UNP)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.86	United Parcel Service INC (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.87	Verizon Communications INC (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.88	Viatis INC COM (VTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.89	Vontier Corporation COM (VNT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.90	Walmart INC COM (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.91	Xilinx, Inc. (XLNX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.92	Xylem INC COM USD0.01 (XYL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.93	Zoetis INC (ZTS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.94	United States Treasury Notes	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.95	Boston Properties INC COM (BXP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.96	EPR Properties (EPR)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
8.97	Hexcel Corp. (HXL)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
8.98	Nordstrom, Inc. (JWN)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
8.99	Carrier Global Corporation (CARR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.100	Otis Worldwide Corp (OTIS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
8.101	Vanguard Real Estate ETF (VNQ)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
8.102	Kimberly-Clark Corp. (KMB)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
8.103	SPDR S&PGlobal Natural Resources ETF (GNR)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
8.104	Organon & Co. (OGN)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
9	M.S. Trust	No			
9.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	Alphabet Inc Class C (GOOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.3	Amazon Com Inc (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.4	American Express Co (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.5	Apple Inc (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.6	Automatic Data Processing (ADP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.7	Biogen Incorporated (BIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.8	Boston Properties Inc (BXP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.9	Cisco Systems Inc (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.10	Clorox Co (CLX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.11	Colgate Palmolive Co (CL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.12	Danaher Corp (DHR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.13	Walt Disney Co (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.14	Dominion Energy Inc (D)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.15	Ecolab Inc (ECL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.16	Facebook Inc-A (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.17	F5 Networks Inc (FFIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.18	Fortive Corporation (FTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.19	General Mills Inc (GIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.20	Gilead Sciences Inc (GILD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.21	Intel Corp (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.22	iShares Global Clean Energy (ICLN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.23	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.24	Estee Lauder Companies CL A (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.25	McCormick & Co - Non-Voting Shares (MKC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.26	McDonald's Corp (MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.27	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.28	Nextera Energy Inc (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.29	Northern Trust Corp (NTRS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.30	Paypal Holdings Inc (PYPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.31	Pepsico Inc (PEP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.32	Pfizer Inc (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.33	Procter & Gamble Co (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.34	Raytheon Technologies Corp (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.35	Salesforce Com Inc (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.36	SPDR Financial Sector ETF (XLF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.37	Starbucks Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.38	TJX Companies Inc (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.39	3M Co (MMM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.40	Tiffany & Co (TIF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.41	Travelers Cos Inc (TRV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.42	Union Pacific Corp (UNP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.43	Unified Parcel Service-CL B (UPS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.44	Verizon Communications Inc (VZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.45	Viatis Inc (VTRS)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.46	Vontier Corp (VNT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.47	XILINX (XLNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.48	Xylem Inc (XYL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.49	Zoetis Inc (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.50	Allegion PLC (ALLE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.51	Accenture PLC Class A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.52	The Royce Funds Pennsylvania Mutual Fund (PENNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.53	Vanguard Domestic Small-Cap ETF (VB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.54	Anheuser-Busch INBEV Spons ADR (BUD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.55	Canadian Natl Railway Co (CNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.56	LVMH Moet Hennessy-Unspons ADR (LVMUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.57	Nestle SA-Spons ADR (NSRGY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.58	Novartis AG-Sponsored ADR (NVS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.59	Nutrien Ltd (NTR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.60	Roche Holding Ltd - Spons ADR (RHHBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.61	Rogers Communications Inc-B (RCI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.62	Vanguard Intl Growth Fund - Admiral (VWILX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.63	Vanguard FTSE All World Ex-US ETF Small Cap (VSS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.64	Chubb Limited (CB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.65	iShares Core MSCI Emerging Mkts ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.66	U.S. Treasury Notes	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.67	Vanguard S-T Inv Grade Fund (VFSUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.68	Vanguard S-T Corp Bond ETF (VCSH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.69	LM Brandywine Global Bond Fund (GOBSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.70	Templeton Global Bond Fund (TGBAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.71	Federated Govt Obligations Fund (GOIXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.72	Hexcel Corp. (HXL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.73	Carrier Global Corp (CARR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
9.74	iShares Global Consumer Staples ETF (KXI)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.75	Otis Worldwide Corp (OTIS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
9.76	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10	A.S. Trust	No		Cash distributions	\$23,000
10.1	U.S. bank #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	Global X MSCI Next Emerging (EMFM)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.3	iShares MSCI EAFE (EFA)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10.4	iShares MSCI Emerging Mkts (EEM)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10.5	iShares NAT MUN BN (MUB)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10.6	iShares S TRM NAT MUN BN (SUB)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
10.7	iShares S&P Mid-Cap 400 G (IJK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.8	iShares S&P Mid-Cap 400 V (IJJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.9	iShares S&P Small Cap 600 V (IJS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.10	iShares Small Cap 600 G (IJT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.11	iShares US basic Materials (IYM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
10.12	SPDR DJ Wilshire Global REA (RWO)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.13	Vanguard Dividend Appreciation (VIG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
10.14	Vanguard Growth ETF (VUG)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
10.15	Vanguard Value ETF (VTV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11	E.S. 1966 Trust	No		Cash distributions	\$63,000
11.1	U.S. bank #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.2	Global X MSCI Next Emerging (EMFM)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.3	iShares MSCI EAFE (EFA)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11.4	iShares MSCI Emerging Mkts (EEM)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11.5	iShares NAT MUN BN (MUB)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
11.6	iShares S TRM NAT MUN BN (SUB)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
11.7	iShares S&P Mid-Cap 400 G (IJK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.8	iShares S&P Mid-Cap 400 V (IJJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.9	iShares S&P Small Cap 600 V (IJS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.10	iShares Small Cap 600 G (IJT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.11	iShares US basic Materials (IYM)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.12	SPDR DJ Wilshire Global REA (RWO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11.13	Vanguard Dividend Appreciation (VIG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
11.14	Vanguard Growth ETF (VUG)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
11.15	Vanguard Value ETF (VTV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
12	E.S. 1976 Trust	No		Cash distributions	\$43,000
12.1	U.S. bank #4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.2	Global X MSCI Next Emerging (EMFM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.3	iShares MSCI EAFE (EFA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
12.4	iShares MSCI Emerging Mkts (EEM)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.5	iShares NAT MUN BN (MUB)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.6	iShares S TRM NAT MUN BN (SUB)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.7	iShares S&P Mid-Cap 400 G (IJK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.8	iShares S&P Mid-Cap 400 V (IJJ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.9	iShares S&P Small Cap 600 V (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.10	iShares Small Cap 600 G (IJT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.11	iShares US basic Materials (IYM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.12	SPDR DJ Wilshire Global REA (RWO)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.13	Vanguard Dividend Appreciation (VIG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
12.14	Vanguard Growth ETF (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
12.15	Vanguard Value ETF (VTV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
13	Racquette Flow, S Corporation	No			
13.1	undeveloped land, Elizabethtown, NY	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.2	U.S. bank #5 (cash)	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	Chase Bank	Credit Card	\$15,001 - \$50,000	2014	23.99	revolving

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	2	Subsidiary of Munich Re.
1.	13	Subsidiary of Munich Re
1.	14	Subsidiary of Munich Re
1.	17	Subsidiary of Munich Re North America
1.	18	Subsidiary of Munich Re North America.
1.	19	Subsidiary of Munich Re North America.
1.	20	Subsidiary of Munich Re North America.
1.	21	Subsidiary of American Modern Insurance Group.

PART	#	ENDNOTE
1.	22	Subsidiary of American Modern Insurance Group.
1.	23	Subsidiary of American Modern Insurance Group.
1.	24	Subsidiary of American Modern Insurance Group.
1.	25	Subsidiary of American Modern Insurance Group.

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).
