

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

Filer's Information

Luger, Andrew M

United States Attorney for the District of Minnesota, Department of Justice - Executive Office for United States Attorneys

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on the Judiciary
-

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/ Luger, Andrew M [electronically signed on 08/24/2021 by Luger, Andrew M 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/ Lofthus, Lee, Certifying Official [electronically signed on 11/19/2021 by Lofthus, Lee in Integrity.gov]

Other review conducted by

/s/ Macklin, Jay, Ethics Official [electronically signed on 11/16/2021 by Macklin, Jay in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 11/30/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Jones Day	Minneapolis, Minnesota	Law Firm	Partner	5/2017	Present
2	Family Revocable Trust #1	Hennepin County, Minnesota	Trust	Trustee	6/2010	Present
3	Family Revocable Trust #2	Hennepin County, Minnesota	Trust	Trustee	6/2010	Present
4	Family Irrevocable Trust #1	Hennepin County, Minnesota	Trust	Trustee	6/2010	Present
5	Family Irrevocable Trust #2	Hennepin County, Minnesota	Trust	Trustee	6/2010	Present
6	The Fund for Legal Aid	Minneapolis, Minnesota	Non-Profit	Board Member	1/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Jones Day (law firm)	N/A		Partnership Share	\$4,200,000
2	Jones Day capital account	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Jones Day Pension (will receive approximately \$2,750 per month at 65) (value not readily ascertainable)	N/A			None (or less than \$201)
4	Jones Day Defined Contribution Plan- AML Retirement	No			
4.1	Jones Day 2025 Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
5	IRA Rollover	No			
5.1	Brookfield Asset Management Inc. (BAM)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.2	iShares Trust - iShares Russell 3000 ETF (IWV)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.3	American Tower Corporation (AMT)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.4	Danaher Corp. (DHR)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.5	Berkshire Hathaway Inc. (BRKB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.6	Alphabet Inc. (GOOGL)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.7	Pure Cycle Corporation (PCYO)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.8	Special Opportunities Fund (SPE)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.9	Albemarle Corp (ALB)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.10	Spyglass Growth Fund Institutional Class Shares (SPYGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.11	iShares Russell 1000 Growth ETF (IWF)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.12	Innovator LoupFrontier Tech ETF (LOUP)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.13	BlackRock Health Sciences Trust II (BMEZ)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.14	Dermtech Inc (DMTK)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.15	Fate Therapeutics, Inc. (FATE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.16	Vistagen Therapeutics Inc (VTGN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.17	CyberOptics Corp. (CYBE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.18	Vontier Corporation (VNT)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.19	AquaBounty Technologies, Inc. (AQB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.20	SunOpta Inc (STKL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.21	Spring Valley Acquisition (SV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.22	Brookfield Asset Management Reinsurance Partners Ltd. (BAMR)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.23	Northern Oil & Gas, Inc. (NOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.24	Pomona Investment Fund CI I	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.25	Grayscale Bitcoin Trust BTC (GBTC)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.26	KraneShares CSI China Internet ETF (KWEB)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	IRA	No			
6.1	Delaware Emerging Markets Fund Class R6 Shares (DEMZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	iShares MSCI Emerging Markets Min Vol Factor (EEMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	iShares Russell Mid-Cap ETF (IWR)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.5	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.6	iShares MSCI EAFE Min Vol Factor ETF (EFAV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.7	ClearBridge Small Cap Growth Fund Class IS Shares (LMOIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.8	Neuberger Berman International Equity Fund Institutional Class Shares (NBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.9	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.10	Vanguard FTSE Developed Markets Index Fund ETF (VEA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.11	Cohen & Steers Preferred Securities and Income Fund, Inc Class I Shares (CPXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	Columbia High Yield Bond Fund Institutional 3 Class Shares (CHYYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.13	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.15	PIMCO High Yield Fund Institutional Class Shares (PHIYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.16	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Jones Day Anticipated Partnership Share	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
8	Jones Day Anticipated Partnership Bonus	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Jones Day	Minneapolis, Minnesota	Pursuant to my partnership agreement, I will receive refund of my capital account before assuming duties as U.S. Attorney.	5/2017
2	Jones Day	Minneapolis, Minnesota	Pursuant to my partnership agreement, I will receive a final partnership distribution. This payment will be based solely on the firm's earnings through the date of my withdrawal from the partnership and will be paid before I assume the duties of U.S. Attorney. Jones Day may withhold certain amounts from my partnership share distribution for account reconciliation and tax purposes. Any excess amounts withheld by the firm that end up not being used for account reconciliation and tax purposes will be refunded to me no later than 5 years after my departure.	5/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Jones Day	Minneapolis, Minnesota	I may receive a bonus at the discretion of the firm management committee. If I am awarded a bonus, I will receive it prior to assuming the duties of the position of U.S. Attorney or I will forfeit it.	5/2017
4	Jones Day	Minneapolis, Minnesota	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	5/2017
5	Jones Day	Minneapolis, Minnesota	I will continue to participate in this defined benefit plan.	5/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Jones Day	Minneapolis, Minnesota	Partner
2	Abbott Laboratories	Chicago, Illinois	Legal Services (client of Jones Day)
3	The Big Ten Conference	Chicago, Illinois	Legal Services (client of Jones Day)
4	Koch Industries	Wichita, Kansas	Legal Services (client of Jones Day)
5	One confidential client is not disclosed because of Minnesota bar rule 1.6(a) = 1 corporation. Subject to non-public investigation.	St. Paul, Minnesota	Legal Services (client of Jones Day)
6	Two confidential clients are not disclosed because of Minnesota bar rule 1.6(a) = 2 corporations. Subject to non-public investigation.	Minneapolis, Minnesota	Legal Services (client of Jones Day)
7	One confidential client is not disclosed because of Minnesota bar rule 1.6(a) = 1 corporation. Subject to non-public investigation.	Minneapolis, Minnesota	Legal Services (client of Jones Day)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
8	One confidential client is not disclosed because of Minnesota bar rule 1.6(a) = 1 corporation. Subject to non-public investigation.	St. Paul, Minnesota	Legal Services (client of Jones Day)
9	On Location Events	New York, New York	Legal Services (client of Jones Day)
10	Broadcom, Inc.	Irvine, California	Legal Services (client of Jones Day)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	General Mills Pension	N/A	\$15,001 - \$50,000	Retirement payments	
2	General Mills 401(k)	No			
2.1	General Mills Diversified U.S. Equity Fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.2	General Mills Equity Index Fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3	IRA	No			
3.1	Fuller & Thaler Behavioral Small-Cap Equity Fund Class R6 Shares (FTHFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Delaware Emerging Markets Fund Class R6 Shares (DEMZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	iShares Russell Mid-Cap ETF (IWR)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	iShares Russell 2000 ETF (IWM)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.6	iShares MSCI EAFE Min Vol Factor ETF (EFAV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.7	ClearBridge Small Cap Growth Fund Class IS Shares (LMOIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.8	Neuberger Berman International Equity Fund Institutional Class Shares (NBIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.9	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.10	Vanguard FTSE Developed Markets Index Fund ETF (VEA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.11	Cohen & Steers Preferred Securities and Income Fund, Inc Class I Shares (CPXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	Columbia High Yield Bond Fund Institutional 3 Class Shares (CHYYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	PIMCO High Yield Fund Institutional Class Shares (PHIYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.17	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Tapestry/Summerfield LP (Apt Bldgs; St. Cloud, MN)	N/A	\$50,001 - \$100,000	Rent or Royalties	\$2,501 - \$5,000
2	Pheasant Ridge LLC (Apt Bldg; St. Cloud, MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$2,501 - \$5,000
3	Oakwood Heights LP (Apt Bldg; St. Cloud, MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500
4	Four Seasons Estate LP (Apt Bldg; Sartell, MN)	N/A	\$15,001 - \$50,000	Rent or Royalties	\$5,001 - \$15,000
5	Geneva Place LP (Apt Bldg; Sauk Rapids, MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500
6	Wingate Realty LP (Apt Bldg; New Hope, MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$2,501 - \$5,000
7	Country Acres Estate LP (Apt Bldg; Sartell, MN)	N/A	\$15,001 - \$50,000	Rent or Royalties	\$2,501 - \$5,000
8	U.S. bank (cash accounts)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
9	Country Acres Estate LP (Apt Bldg; Sartell, MN)	N/A	\$15,001 - \$50,000	Rent or Royalties	\$2,501 - \$5,000
10	Family Revocable Trust #1	No			
10.1	Brokerage Account #1	No			
10.1.1	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.2	Vistagen Therapeutics Inc (VTGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.3	Fate Therapeutics, Inc. (FATE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.4	Dermtech Inc (DMTK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.5	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.6	Vontier Corporation (VNT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.7	CyberOptics Corp. (CYBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.8	Spyglass Growth Fund Institutional Class Shares (SPYGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.1.9	Innovator LoupFrontier Tech ETF (LOUP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.1.10	AquaBounty Technologies, Inc. (AQB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.11	SunOpta Inc (STKL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.12	Spring Valley Acquisition (SV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.13	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.14	Northern Oil & Gas, Inc. (NOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.15	Albemarle Corp. (ALB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.16	Pure Cycle Corp. (PCYO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.17	Brookfield Asset Management Reinsurance Partners Ltd.(BAMR)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.18	Rondure New World Fund Institutional Class Shares (RNWIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.1.19	KraneShares CSI China Internet ETF (KWEB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.1.20	Brookfield Asset Mgmt Inc (BAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.1.21	Grayscale Bitcoin Trust BTC (GBTC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.1.22	BlackRock Health Sciences Trust II (BMEZ)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.1.23	Special Opportunities Fund, Inc (SPE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.2	Brokerage Account #2	No			
10.2.1	Fuller & Thaler Behavioral Small-Cap Equity Fund Class R6 Shares (FTHFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.2.2	Delaware Emerging Markets Fund Class R6 Shares (DEMZX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.2.3	iShares MSCIEmerging Markets ETF (EEM)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.2.4	iShares Russell Mid-Cap ETF (IWR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
10.2.5	iShares Russell 2000 ETF (IWM)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10.2.6	iShares MSCI EAFE Min Vol Factor ETF (EFAV)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.2.7	ClearBridge Small Cap Growth Fund Class IS Shares (LMOIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.2.8	Neuberger Berman International Equity Fund Institutional Class Shares (NBIIIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.9	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10.2.10	SPDR S&P 500 ETF Trust (SPY)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10.2.11	Vanguard FTSE Developed Markets Index Fund ETF (VEA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10.2.12	Delaware National High-Yield Municipal Bond Fund Institutional Class Shares (DVHIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.2.13	Eaton Vance National Municipal Income Fund Institutional Shares (EIHMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.2.14	Fidelity Advisor Intermediate Municipal Income Fund Class Z Shares (FIQZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2.15	Nuveen Limited Term Municipal Bond Fund Class I Shares (FLTRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2.16	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10.2.17	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.18	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.19	Cohen & Steers Preferred Securities and Income Fund, Inc Class I Shares (CPXIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10.2.20	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.21	Wells Fargo & Co. (WFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.2.22	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.23	Procter & Gamble Co. (PG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.2.24	JPMorgan Chase & Co. (JPM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.2.25	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.2.26	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.2.27	Costco Wholesale Corp. (COST)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.2.28	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.2.29	The TJX Cos., Inc. (TJX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.2.30	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.2.31	Union Pacific Corp. (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.2.32	Lowe's Cos., Inc. (LOW)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
10.2.33	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.2.34	McKesson Corp. (MCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2.35	Microsoft Corp. (MSFT)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
10.2.36	Alphabet, Inc. (GOOG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.2.37	Alphabet, Inc. (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.38	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
10.2.39	Broadcom, Inc. (AVGO)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.2.40	Cigna Corp. (CI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.2.41	The Walt Disney Co. (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.2.42	FedEx Corp. (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2.43	Gilead Sciences, Inc. (GILD)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
10.2.44	Honeywell International, Inc. (HON)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
10.2.45	Intuit, Inc. (INTU)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.2.46	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.2.47	Otis Worldwide Corp (OTIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2.48	The PNC Financial Services Group, Inc. (PNC)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.2.49	PayPal Holdings, Inc. (PYPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.2.50	PepsiCo, Inc. (PEP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.2.51	Philip Morris International, Inc. (PM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.2.52	T. Rowe Price Group, Inc. (TROW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.53	Blackstone Alternative Multi-Strategy Fund Class I Shares (BXMIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10.2.54	Chubb Ltd. (CB)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.2.55	DuPont de Nemours, Inc. (DD)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.2.56	Dow, Inc. (DOW)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.2.57	iShares MSCI Emerging Markets Min Vol Factor	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.58	EOG Resources, Inc. (EOG)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.2.59	Goldman Sachs Absolute Return Tracker Fund Institutional Class Shares (GJRTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.60	John Hancock Seaport Long/Short Fund Class I Shares (JSFDX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.61	SPDR S&P MidCap 400 ETF (MDY)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.62	MFS International New Discovery Fund Class I Shares (MWNIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.2.63	PIMCO CommoditiesPLUS Strategy Fund Institutional Class Shares (PCLIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.64	PIMCO Dynamic Bond Fund Institutional Class Shares (PFIUX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.2.65	PIMCO Dynamic Bond Fund Class I-2 Shares (PUCPX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10.2.66	Schlumberger NV (SLB)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.67	United Technologies Corp. (UTX)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
11	Family Revocable Trust #2	No			
11.1	Fuller & Thaler Behavioral Small-Cap Equity Fund Class R6 Shares (FTHFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.2	Columbia Dividend Income Fund Institutional 3 Class Shares (CDDYX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.3	Delaware Emerging Markets Fund Class R6 Shares (DEMZX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11.4	iShares S&P 100 ETF (OEF)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
11.5	iShares Select Dividend ETF (DVY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.6	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.7	iShares MSCI EAFE ETF (EFA)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11.8	iShares Russell Mid-Cap ETF (IWR)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
11.9	iShares Russell 2000 ETF (IWM)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11.10	iShares MSCI EAFE Min Vol Factor ETF (EFAV)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.11	ClearBridge Small Cap Growth Fund Class IS Shares (LMOIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.12	Neuberger Berman International Equity Fund Institutional Class Shares (NBIIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.13	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.14	SPDR S&P 500 ETF Trust (SPY)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11.15	SPDR S&P MidCap 400 ETF (MDY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11.16	Cohen & Steers Preferred Securities and Income Fund, Inc Class I Shares (CPXIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.17	Columbia High Yield Bond Fund Institutional 3 Class Shares (CHYYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.18	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.19	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.20	PIMCO High Yield Fund Institutional Class Shares (PHIYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.21	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.22	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.23	Bank of America Feeder Fund	No			
11.23.1	Blackstone Life Sciences V Access Fund LP	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.24	Arbitrage Fund Class I Shares (ARBNX)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.25	Blackstone Alternative Multi-Strategy Fund Class I Shares (BXMIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.26	iShares MSCI Emerging Markets Min Vol Factor	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.27	SPDR S&PEmerging Markets Small Cap ETF (EWX)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.28	Goldman Sachs Absolute Return Tracker Fund Institutional Class Shares (GJRTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.29	John Hancock Seaport Long/Short Fund Class I Shares (JSFDX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.30	MFS International New Discovery Fund Class I Shares (MWNIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.31	PIMCO International Bond Fund (Unhedged) Institutional Class Shares (PFUIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.32	PIMCO Dynamic Bond Fund Class I-2 Shares (PUCPX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.33	Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.34	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
12	Brokerage Account #1	No			
12.1	General Mills, Inc. (GIS)	N/A	Over \$1,000,000	Dividends	\$15,001 - \$50,000
13	Brokerage Account #2	No			
13.1	General Mills, Inc. (GIS)	N/A	Over \$1,000,000	Dividends	\$15,001 - \$50,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of America	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2016	2.625%	30 year (adjustable rate)
2	Bank of America	Capital Comittment	\$50,001 - \$100,000	2020	0	on demand

9. Gifts and Travel Reimbursements

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

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.

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