

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Walensky, Rochelle

Director, CDC, Department of Health & Human Services

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Walensky, Rochelle [electronically signed on 05/06/2023 by Walensky, Rochelle in Integrity.gov]

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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/ Olesh, Stanley, Certifying Official [electronically signed on 06/02/2023 by Olesh, Stanley in Integrity.gov]

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Other review conducted by

/s/ Olesh, Stanley, Ethics Official [electronically signed on 06/02/2023 by Olesh, Stanley in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 06/02/2023

Data Revised 06/01/2023

Data Revised 05/25/2023

Data Revised 05/24/2023

Data Revised 05/23/2023

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Massachusetts General Physicians Organization	See Endnote	Boston, Massachusetts	Multispecialty Medical Company -- Physician employee group for Mass. Gen. Hosp.	Physician	1/2001	1/2021
2	Harvard University	See Endnote	Cambridge, Massachusetts	University/College	Faculty member	1/2004	1/2021
3	G.B Non-Marital Trust (family trust)		Boston, Massachusetts	Trust	Co-Trustee	1/2006	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	DODGE & COX INCOME	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	SCH TREAS OBLIGATION MMF INVESTOR SHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	VANGUARD 500 INDEX ADMIRAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	VANGUARD INTERNATIONAL GROWTH ADM	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	VIRTUS VONTOBEL EMERGING MARKETS OPPI	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	ROYCE PENNSYLVANIA MUTUAL INVMT	Yes	None (or less than \$1,001)		None (or less than \$201)
7	SPDR S&P 500 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	ISHARES US AGGREGATE BOND INDEX	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	VANGUARD INSTITUTIONAL INDEX I	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
10	VANGUARD EXTENDED MARKET INDEX I	Yes	\$50,001 - \$100,000		None (or less than \$201)
11	VANGUARD TOTAL INTERNATIONAL STOCK INDEX I	Yes	\$100,001 - \$250,000		None (or less than \$201)
12	FIDELITY MID CAP INDEX	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	FIDELITY SMALL CAP INDEX	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	Fidelity 500 Index Fund (FXAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	ISHARES US AGGREGATE BOND INDEX	Yes	\$50,001 - \$100,000		None (or less than \$201)
16	VANGUARD INSTITUTIONAL INDEX I	Yes	\$100,001 - \$250,000		None (or less than \$201)
17	VANGUARD EXTENDED MARKET INDEX I	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	VANGUARD TOTAL INTERNATIONAL STOCK INDEX I	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	iShares Russell 1000 Growth ETF (IWF)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	iShares S&P 500 Value ETF (IVE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Dana-Farber Cancer Institute	N/A		Salary	
2	Quinne Emanuel	N/A		Consulting	
3	Dana-Farber Cancer Institute	See Endnote		Rent or Royalties	\$1,001 - \$2,500
4	SPDR S&P 500 ETF SPY	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	DODGE & COX INCOME DODIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	ISHARES MSCI EAFE ETF EFA	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	ISHARES CORE S&P MID-CAP ETF IJH	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	ISHARES S&P MID CAP 400 VALUE ETF IJJ	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	ISHARES S&P MID CAP 400 GRWTH ETF IJK	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	ISHARES CORE S&P SMALL-CAP ETF IJR	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	ISHARES S&P SMALL CAP 600 ETF IJS	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	ISHARES RUSSELL 1000 VALUE ETF IWD	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	ISHARES RUSSELL 1000 GROWTH ETF IWF	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	INVESCO GLOBAL CLEAN ENERGY ETF PBD	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	VANGUARD 500 INDEX ADMIRAL VFIAX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	VANGUARD FTSE EMERGING MARK ETF IVVWO	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	WASATCH SMALL CAP GROWTH INSTITUTIONAL WIAEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	SELECT STR FINANCIAL SELECT SPDR ETF XLF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	TECHNOLOGY SELECT SECTORS PDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	FIDELITY GROWTH COMPANY KFGCKX	Yes	\$250,001 - \$500,000		None (or less than \$201)
21	JPM SMALL CAP EQUITY JSERX	Yes	\$100,001 - \$250,000		None (or less than \$201)
22	JPM MIDCAP VALUE FLMVX	Yes	\$100,001 - \$250,000		None (or less than \$201)
23	FIDELITY US BOND INDEX FXNAX	Yes	\$100,001 - \$250,000		None (or less than \$201)
24	FIDELITY INTERNATIONAL INDEX FSPSX	Yes	\$100,001 - \$250,000		None (or less than \$201)
25	FIDELITY 500 Index FXAIX	Yes	\$250,001 - \$500,000		None (or less than \$201)
26	FIDELITY CONTRAFUND class K FCNKX	Yes	\$50,001 - \$100,000		None (or less than \$201)
27	FIDELITY EXTENDED MARKET INDEX FSMAX	Yes	\$15,001 - \$50,000		None (or less than \$201)
28	FIDELITY INTERNATIONAL INDEX FSPSX	Yes	\$15,001 - \$50,000		None (or less than \$201)
29	FIDELITY FREEDOM 2035 class k FSNUX	Yes	\$15,001 - \$50,000		None (or less than \$201)
30	FIDELITY US BOND INDEX FXNAX	Yes	\$50,001 - \$100,000		None (or less than \$201)
31	FIDELITY 500 INDEX FXAIX	Yes	\$100,001 - \$250,000		None (or less than \$201)
32	VANGUARD TOTAL BOND INDEX VBTLX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	VANGUARD DEVELOPED MARKETS INDEX VTMGX	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	EATON VANCE LARGE CAP VALUE EILVX	Yes	\$15,001 - \$50,000		None (or less than \$201)
35	TECHNOLOGY SELECT SECTOR SPDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	ISHARES S&P SMLL CAP 600GRTH ETF IJT	Yes	\$1,001 - \$15,000		None (or less than \$201)
37	SELECT STR FINANCIAL SELECT SPDR ETF XLF	Yes	\$1,001 - \$15,000		None (or less than \$201)
38	ISHARES RUSSELL 1000 GROWTH ETF IWF	Yes	\$50,001 - \$100,000		None (or less than \$201)
39	ISHARES S&P MID CAP 400 VALUE ETF IJJ	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	ISHARES CORE S&P MID-CAP ETF IJH	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	ISHARES S&P MID CAP 400 GRWTH ETF IJK	Yes	\$1,001 - \$15,000		None (or less than \$201)
42	Unlicensed patents (value not ascertainable)	See Endnote	N/A		None (or less than \$201)
43	Red Queen Therapeutics			Consulting	
44	Lytica Therapeutics			Consulting	
45	BAKX Therapeutics			Consulting	
46	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$50,001 - \$100,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		None (or less than \$201)
49	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
50	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	ISHARES Core US Aggregate Bond ETF IV (AGG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
52	iShares S&P 500 Value ETF (IVE)	Yes	\$50,001 - \$100,000		None (or less than \$201)
53	iShares S&P Small-Cap 600 Value ETF (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
54	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$15,001 - \$50,000		None (or less than \$201)
55	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
56	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
57	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		None (or less than \$201)
58	Vanguard Target Retirement 2035 Fund Investor Class Shares (VTTHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
59	TIAA-CREF Lifecycle 2030 Fund Premier Class Shares (TCHPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
60	Schwab Municipal Money Fund Investor Class Shares (SWTXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ISHARES S&P 500 VALUE ETF IVE	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	ISHARES S&P 500 GROWTH ETF IVW	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	SPDR S&P DIVIDEND ETF SDY	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	ISHARES SHORT TREASURY BOND ETF SHV	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	TECHNOLOGY SELECT SECTOR SPDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	ISHARES CORE S&P SMALL-CAP ETF IJR	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	ISHARES CORE S&P MID-CAP ETF IJH	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	VANGUARD 500 INDEX ADM SH VFIAX	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	TECHNOLOGY SELECT SECTORS SPDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	VANGUARD SHORT-TERM INVESTMENT-GRADE INV SH VFSTX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	VICTORY MUNDER MULTI-CAP CI A MNNAX	Yes	None (or less than \$1,001)		None (or less than \$201)
13	ISHARES RUSSELL 3000 ETF IWV	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	ISHARES CORE US AGGREGATE BOND ETF AGG	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	ISHARES S&P 500 GROWTH ETF IVW	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	ISHARES CORE S&P SMALL-CAP ETF IJR	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	ISHARES CORE S&P MID-CAP ETF IJH	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	ISHARES MSCI EAFE ETF EFA	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	ISHARES US REAL ESTATE ETF IYR	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	SPDR S&P 500 ETF SPY	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	ISHARES RUSSELL 3000 ETF IWV	Yes	\$50,001 - \$100,000		None (or less than \$201)
22	ISHARES RUSSELL 1000 VALUE ETF IWD	Yes	\$50,001 - \$100,000		None (or less than \$201)
23	ISHARES CORE S&P MID-CAP ETF IJH	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	ISHARES S&P SMALL CAP 600 ETF IJS	Yes	\$15,001 - \$50,000		None (or less than \$201)
25	VANGUARD FTSE ALL WORLD EX US ETF VEU	Yes	\$15,001 - \$50,000		None (or less than \$201)
26	ISHARES US REAL ESTATE ETF IYR	Yes	\$15,001 - \$50,000		None (or less than \$201)
27	VANGUARD US GROWTH INVESTOR VWUSX	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	ISHARES RUSSELL 2000 ETF IWM		Yes	\$15,001 - \$50,000		None (or less than \$201)
29	ISHARES S&P MID CAP 400 GRWTH ETF IJK		Yes	\$15,001 - \$50,000		None (or less than \$201)
30	OAKMARK INSTITUTIONAL OANMX		Yes	\$1,001 - \$15,000		None (or less than \$201)
31	WASATCH SMALL CAP GROWTH INSTITUTIONAL WIAEX		Yes	\$1,001 - \$15,000		None (or less than \$201)
32	AILERON THERAPEUTICS INC (ALRN) (spousal holding)		N/A	\$1,001 - \$15,000		None (or less than \$201)
33	U.S. Bank Account (Cash Account 1)		N/A	\$250,001 - \$500,000		None (or less than \$201)
34	U.S. Bank Account (Cash Account 2)		N/A	\$50,001 - \$100,000		None (or less than \$201)
35	Brookline Bank (Joint and children's savings and checking)		N/A	\$15,001 - \$50,000		None (or less than \$201)
36	529 Plan #1 - Invesco Moderate College Portfolio A		Yes	None (or less than \$1,001)		None (or less than \$201)
37	529 Plan #2 - Invesco Moderate College Portfolio A		Yes	\$1,001 - \$15,000		None (or less than \$201)
38	529 Plan #3 - Invesco Moderate College Portfolio A		Yes	\$50,001 - \$100,000		None (or less than \$201)
39	BAKX Therapeutics, Inc (spousal holding)	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
40	iShares 0-5 Year High Yield Corporate Bond ETF (SHYG)		Yes	\$1,001 - \$15,000		None (or less than \$201)
41	SPDR Bloomberg Barclays Investment Grade Floating Rate ETF (FLRN)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
43	iShares S&P Small-Cap 600 Growth ETF (IJT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
44	iShares US Real Estate ETF (IYR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
45	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	iShares S&P 100 ETF (OEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	iShares Russell 1000 Growth ETF (IWF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
48	iShares Russell 3000 ETF (IWV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
49	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
50	iShares S&P Small-Cap 600 Value ETF (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	iShares Russell 1000 Value ETF (IWD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
52	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
53	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
54	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
55	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
56	Schwab Municipal Money Fund Investor Class Shares (SWTXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
57	iShares Short-Term National Muni Bond ETF (SUB)	Yes	\$100,001 - \$250,000		None (or less than \$201)
58	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	iShares Core S&P Mid-Cap ETF (IJH)	Sale	04/06/2022	\$1,001 - \$15,000
2	iShares S&P Small-Cap 600 Value ETF (IJS)	Sale	04/06/2022	\$1,001 - \$15,000
3	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	04/12/2022	\$1,001 - \$15,000
4	ISHARES CORE US AGGREGATE BOND ETF (AGG)	Purchase	04/12/2022	\$1,001 - \$15,000
5	iShares Core MSCI EAFE ETF (IEFA)	Purchase	04/12/2022	\$1,001 - \$15,000
6	iShares 1-3 Year Treasury Bond ETF (SHY)	Purchase	04/12/2022	\$1,001 - \$15,000
7	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Purchase	12/20/2022	\$1,001 - \$15,000
8	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Purchase	12/21/2022	\$100,001 - \$250,000
9	Schwab Municipal Money Fund Investor Class Shares (SWTXX)	Purchase	12/21/2022	\$100,001 - \$250,000
10	iShares Short-Term National Muni Bond ETF (SUB)	Purchase	12/21/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Purchase	12/20/2022	\$1,001 - \$15,000
12	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Purchase	12/20/2022	\$1,001 - \$15,000
13	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Purchase	12/20/2022	\$1,001 - \$15,000
14	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Purchase	01/05/2023	\$1,001 - \$15,000
15	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	Sale	12/20/2022	\$100,001 - \$250,000
16	Virtus Vontobel Emerging Markets Opportunities Fund Class I Shares (HIEMX)	Sale	12/20/2022	\$1,001 - \$15,000
17	Schwab Municipal Money Fund Investor Class Shares (SWTXX)	Purchase	12/20/2022	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Quinn Emanuel	Santa Cruz, California	Spouse travel reimbursement	2071

## Endnotes

PART	#	ENDNOTE
1.	1	Leave of Absence ended January 2023
1.	2	Leave of Absence ended January 2023
5.	3	patents
5.	42	Including patents divested from per EA
6.	39	early-stage drug development



# 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).

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