

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Neiman, Brent

Assistant Secretary for International Finance and Development, Department of the Treasury

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Finance
-

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/ Neiman, Brent [electronically signed on 05/04/2021 by Neiman, Brent 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/ Sonfield, Brian, Certifying Official [electronically signed on 08/11/2021 by Sonfield, Brian in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 08/13/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Chicago, Booth School of Business	See Endnote	Chicago, Illinois	University/College	Professor of Economics	7/2016	Present
2	The Initiative on Global Markets, University of Chicago, Booth School of Business		Chicago, Illinois	Research Center	Co-Director	7/2019	Present
3	International Economics Initiative, Becker Friedman Institute for Economics, University of Chicago		Chicago, Illinois	Research Center	Director	7/2017	Present
4	American Economic Review		Pittsburgh, Pennsylvania	Academic Journal	Associate Editor	1/2017	Present
5	Quarterly Journal of Economics		Cambridge, Massachusetts	Academic Journal	Associate Editor	1/2014	Present
6	Journal of International Economics		Amsterdam, Netherlands, Outside U.S.	Academic Journal	Associate Editor	1/2013	Present
7	Neiman Family LLC	See Endnote	Highland Park, Illinois	Corporation	Co-Managing Member	12/2005	Present
8	Beacon Capital Partners	See Endnote	Boston, Massachusetts	Corporation	Consultant	7/2020	Present
9	Irrevocable Family Trust #1		Highland Park, Illinois	Trust	Co-Trustee	1/2002	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of Chicago	N/A		Salary	\$727,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Roth IRA	No			
2.1	Vanguard FTSE EM (VWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Rollover IRA	No			
3.1	ISHARES MSCI JAPAN (EWJ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Vanguard FTSE EM (VWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Vanguard FTSE Europe (VGK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	University of Chicago CRP (TIAA)	No			
4.1	Vanguard Extended Market Index Fund Institutional Plus Class (VEMPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	Vanguard Institutional Index Fund Institutional Plus (VIIIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.3	Vanguard Institutional Target Retirement 2040 Institutional (VIRSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Vanguard Total International Stock Index Institutional Plus (VTPSX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5	University of Chicago SRP (TIAA)	No			
5.1	Vanguard Institutional Index Fund Institutional Plus (VIIIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.2	Vanguard Institutional Target Retirement 2040 Institutional (VIRSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	University of Chicago 457(B) (TIAA)	No			
6.1	Vanguard Institutional Index Fund Institutional Plus (VIIIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	Vanguard Institutional Target Retirement 2040 Institutional (VIRSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	National Bureau of Economic Research MPP (TIAA)	No			
7.1	CREF Global Equities R2 (QCGLPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	Beacon Capital Partners	N/A		Consultant and presenter	\$11,400
9	National Bureau of Economic Research International Trade Policy Conference - 9/11/2020	N/A		Paper included in conference; Honorarium split with another co-author	\$500
10	Congressional Budget Office - 11/8/2019	See Endnote	N/A	Participation at Academic Advisory Meeting	\$1,000
11	Federal Reserve Bank of Cleveland - anticipated honorarium	N/A	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	University of Chicago	Chicago, Illinois	I will take an unpaid, one-year leave of absence from my tenured faculty position with the Booth School of Business. Pursuant to school policy, I can request an additional one-year extension. Although the policy does not apply, I will take an unpaid leave of absence from my director positions with the Booth School of Business' Initiative on Global Markets and the International Economics Initiative of the University's Becker Friedman Institute for Economics during my one-year leave of absence from my tenured faculty position. If my leave from my tenured faculty position is extended further by the University, my leave from both director positions will be extended for the same amount of time.	5/2021
2	University of Chicago CRP (TIAA)	Chicago, Illinois	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions during my leave of absence.	7/2008
3	University of Chicago SRP (TIAA)	Chicago, Illinois	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions during my leave of absence.	7/2008
4	University of Chicago 457(B) (TIAA)	Chicago, Illinois	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions during my leave of absence.	7/2008
5	National Bureau of Economic Research MPP (TIAA)	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2011
6	University of Chicago	Chicago, Illinois	Pursuant to an agreement I individually reached with the University of Chicago, I have obtained a 10-year mortgage for my primary residence. Pursuant to the terms of the agreement, as long as I retain my position with the university I will be entitled to retain this mortgage. However, should I resign or be suspended, I will need to repay the mortgage. With the prior written approval of the School, leaves of absence of up to 12 months per absence would not be considered a termination/suspension of my employment. If I am granted an extension of my leave of absence, I will either refinance the mortgage with a different lender, pay market rate for the period of my government service, or pay off the mortgage.	10/2016

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
7	University of Chicago Educational Assistance Plan	Chicago, Illinois	Pursuant to school policy, the University pays 50% of the tuition at the University of Chicago Laboratory Schools for my children. During my leave of absence, I will not receive this benefit after the first year.	9/2013
8	University of Chicago Group Life Insurance	Chicago, Illinois	Pursuant to school policy, the University pays the full cost for basic term life insurance during the first year of my leave of absence. If I am granted an extension of my leave of absence, I will pay the full premiums (both University and employee share) if I continue to participate in the basic life insurance plan.	7/2008
9	University of Chicago	Chicago, Illinois	Pursuant to school policy, I have the option to continue my medical, dental, vision, long-term disability, and supplemental term life insurance during my leave of absence for up to 24 months. I also have the option to continue personal accident insurance for the first year of my leave of absence. For all of these benefits, I would be required to set up a direct pay option and would have to pay market rates.	7/2008

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of Chicago	Chicago, Illinois	Professor of Economics
2	Beacon Capital Partners	Boston, Massachusetts	Consultant and Presenter
3	Seminarium Internacional's Latin American CFO Program	Santiago, Chile, Outside U.S.	Taught for one day as part of an Executive Education Program through the University of Chicago. These programs were marketed, organized, and billed by the University of Chicago and the teaching occurred on the University of Chicago's campus in Chicago. All payments for this teaching were included in gross pay from the University of Chicago. Other than the teaching itself, there was no direct interaction with the source.

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
4	Cheung Kong GSB's Advanced Management Program	Beijing, China, Outside U.S.	Taught for one day as part of an Executive Education Program through the University of Chicago. These programs were marketed, organized, and billed by the University of Chicago and the teaching occurred on the University of Chicago's campus in Chicago. All payments for this teaching were included in gross pay from the University of Chicago. Other than the teaching itself, there was no direct interaction with the source.
5	China Construction Bank	Beijing, China, Outside U.S.	Taught for one day as part of an Executive Education Program through the University of Chicago. These programs were marketed, organized, and billed by the University of Chicago and the teaching occurred on the University of Chicago's campus in Chicago. All payments for this teaching were included in gross pay from the University of Chicago. Other than the teaching itself, there was no direct interaction with the source.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kaplan, Inc.	N/A		Salary and bonus	
2	Kaplan DSP	No			
2.1	Vanguard Institutional Target Retirement 2045 Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Jones Day SSP	No			
3.1	Jones Day 2040 Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
4	Graham Holdings, unvested restricted stock units	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	Graham Holdings Company, Cash Balance Retirement Program	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Graham Holdings Company, Secure Retirement Account	N/A	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Investment account #1	No			
1.1	Vanguard FTSE All-World ex-US Index Fund ETF (VEU)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.2	Vanguard FTSE Emerging Markets Index Fund ETF (VWO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.3	Vanguard S&P 500 ETF (VOO)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.4	Vanguard Small-Cap Growth Index Fund ETF (VBK)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2	Investment account #2	No			
2.1	Vanguard FTSE All-World ex-US Index Fund ETF (VEU)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.2	Vanguard FTSE Emerging Markets Index Fund ETF (VWO)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2.3	Vanguard S&P 500 ETF (VOO)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2.4	Vanguard Small-Cap Growth Index Fund ETF (VBK)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3	Investment account #3	No			
3.1	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.2	Vanguard European Stock Index Fund ETF Shares (VGK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.3	Vanguard Pacific Stock Index Fund Vanguard FTSE Pacific ETF Shares (VPL)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.5	Neuberger Berman Sustainable Equity Fund Investor Class Shares (NBSRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.6	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.7	Wells Fargo C&B Large Cap Value Fund Class A Shares (CBEAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	Wells Fargo C&B Mid Cap Value Fund Class A Shares (CBMAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Irrevocable Family Trust #2	No			
4.1	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5	Irrevocable Family Trust #3	No			
5.1	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
6	Nevada 529 College Savings Plan #1	No			
6.1	Vanguard Aggressive Growth Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	Nevada 529 College Savings Plan #2	No			
7.1	Vanguard Aggressive Growth Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Hirsch Family Partners LP	No			
8.1	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
8.2	U.S. brokerage account #1 (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	ALPHABET INC-CL A (GOOGL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.4	ALPHABET INC-CL C (GOOG)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
8.5	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
8.6	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
8.7	Bank of America Corp. (BAC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.8	CHARTER COMMUNICATIONS INC-A (CHTR)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.9	FACEBOOK INC-CLASS A (FB)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.10	FIDELITY 500 INDEX-INST PRM (FXAIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.11	Honeywell International, Inc. (HON)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.12	Linde Plc (LIN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.13	LOWE'S COS INC (LOW)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.14	Mastercard, Inc. (MA)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.15	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$2,501 - \$5,000
8.16	MORGAN STANLEY (MS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.17	NVIDIA Corp. (NVDA)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.18	PayPal Holdings, Inc. (PYPL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.19	SIX CIRCLES US UNCONSTR EQ (CUSUX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.20	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.21	Texas Instruments Incorporated (TXN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.22	Union Pacific Corp. (UNP)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.23	UnitedHealth Group, Inc. (UNH)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.24	Vertex Pharmaceuticals, Inc. (VRTX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.25	WELLS FARGO & CO (WFC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.26	EDGEWOOD GROWTH FUND-INST (EGFIX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
8.27	FIDELITY INTL INDX-INST PRM (FSPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.28	ISHARES MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
8.29	JPMorgan BetaBuilders Canada ETF (BBCA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.30	SIX CIRCLES INTL UNCON EQ (CIUEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.31	JPMorgan BetaBuilders Europe ETF (BBEU)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.32	JPMorgan BetaBuilders Japan ETF (BBJP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.33	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.34	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.35	SIX CIRCLES TAX AW U/S DUR (CUTAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.36	SIX CIRCLES TAX AWARE BND (CBTAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.37	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.38	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.39	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.40	BlackRock High Yield Bond Portfolio Class K Shares (BRHYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.41	Lord Abbett High Yield Fund Class F3 Shares (LHYOX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.42	SIX CIRCLES CREDIT OPPORT (CRDOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.43	Accenture shares, (ACN.PLC)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.44	Adobe Shares, ADBE	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.45	American Funds INTL VNTG, AIVGX	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8.46	Broadcom shares, AVGO	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
8.47	Citigroup shares, C	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.48	Chubb shares, CB		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.49	Salesforce, CRM		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.50	Diamond hill LS Fund, DIAYX		Yes	None (or less than \$1,001)		\$201 - \$1,000
8.51	Dodge & Cox Income, DODIX		Yes	None (or less than \$1,001)		\$201 - \$1,000
8.52	Fidelity National Information Services, Inc. (FIS)		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
8.53	Home Depot, HD		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.54	iShares 7-10 yr treasury, IEF		Yes	None (or less than \$1,001)		\$201 - \$1,000
8.55	JPM Global Research Enhanced Fund, JEIYX		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
8.56	JPM Intermediate Tax Free Bond Fund, JITZX		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8.57	Eli Lilly, LLY		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
8.58	PGIM High Yield Fund Class R6 Shares (PHYQX)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8.59	American Funds T/E Bond fund, TFEBX		Yes	None (or less than \$1,001)		\$201 - \$1,000
8.60	Interest in commercial real estate, Elk Grove Village, IL	See Endnote	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
9	Neiman Family LLC	See Endnote	No			
9.1	Fidelity 500 Index Fund (FXAIX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.2	SIX CIRCLES US UNCONSTR EQ (CUSUX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
9.3	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
9.4	Fidelity International Index Fund (FSPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.5	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
9.6	JPMorgan BetaBuilders Canada ETF (BBCA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.7	SIX CIRCLES INTL UNCON EQ (CIUEX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.8	JPMorgan BetaBuilders Europe ETF (BBEU)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9.9	JPMorgan BetaBuilders Japan ETF (BBJP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.10	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.11	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.12	U.S. brokerage account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.13	SIX CIRCLES TAX AWARE BND (CBTAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.14	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.15	Schwab Short-Term US Treasury ETF (SCHO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.16	PGIM High Yield Fund Class R6 Shares (PHYQX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.17	SIX CIRCLES CREDIT OPPORT (CRDOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.18	Blackrock National Muni, BNMLX	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.19	Blackrock High Yield Bond Portfolio, BRHYX	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9.20	JP Morgan High Yield, JHYUX	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.21	Lord Abbett High Yield Fund, LHYOX	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.22	Lord Abbett Short Duration Income, LOLDX	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.23	JPM Intermediate Tax Free Bond Fund, JITZX	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.24	JPM Tax Aware Equity, JPELX	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
9.25	American Funds T/E bond Fund, TFEBX	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.26	MFS INTL INTRINSIC VALUE-R6. MINJX	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.27	NEUBERGER BERMAN LONG SH-INS	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.28	CRM Long short Opportunities, CRIHX	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.29	Prime cap odyssey stock fund, POSKX	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.30	iShares 7-10 yr treasury, IEF	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.31	IShares 3-7 yr treasury, etf, IEI		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9.32	JPM GL RES ENH IDX FD - USD - R6, JEIYX		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
9.33	JPM HIGH YIELD FD - USD - R6, JHYUX		Yes	None (or less than \$1,001)		\$201 - \$1,000
9.34	PIMCO income fund, PIMIX		Yes	None (or less than \$1,001)		\$201 - \$1,000
9.35	PIMCO Mortgage Opportunities and Bond Fund, PMZIX		Yes	None (or less than \$1,001)		\$201 - \$1,000
10	U.S. bank #1 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
11	U.S. bank #2 (cash)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
12	Irrevocable Family Trust #4	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
13	Irrevocable Family Trust #5	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
14	Irrevocable Family Trust #6	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
15	Irrevocable Family Trust #7	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
16	Irrevocable Family Trust #1		No			
16.1	The Northwestern Mutual Life Insurance Company, whole life		N/A	\$250,001 - \$500,000		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	JP Morgan	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2016	2.375%	10 Year ARM
2	University of Chicago	Mortgage on Personal Residence	\$100,001 - \$250,000	2016	0%	10 Years
3	Citibank	Credit Card	\$10,001 - \$15,000	2021	19.99%	revolving

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	Made a chaired professor in July 2019.
1.	7	Neiman Family LLC was terminated on June 30, 2021.
1.	8	Agreement terminated on June 4, 2021.
2.	10	Payment received in 2020.

PART	#	ENDNOTE
6.	8.60	Valuation is calculated based on a market cap rate for 2020 per CBRE.
6.	9	Includes holdings in trusts that are reported at lines 12 to 15. Neiman Family LLC was terminated on June 30, 2021.
6.	11	Combines values of accounts held by filer and spouse at same bank.
6.	12	Holdings of this trust are reported at line 9. The trust was dissolved subsequent to the date of filing.
6.	13	Holdings of this trust are reported at line 9. The trust was dissolved subsequent to the date of filing.
6.	14	Holdings of this trust are reported at line 9. The trust was dissolved subsequent to the date of filing.
6.	15	Holdings of this trust are reported at line 9. The trust was dissolved subsequent to the date of filing.

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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