

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

## Filer's Information

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Finegan, Philip Cole

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

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/ Finegan, Philip Cole [electronically signed on 05/15/2023 by Finegan, Philip Cole 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/ Sarah Wasserbly, for James E. Macklin, Certifying Official [electronically signed on 07/11/2023 by Sarah Wasserbly, for James E. Macklin in Integrity.gov]

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Other review conducted by

/s/ Johnson, Michael C, Ethics Official [electronically signed on 05/31/2023 by Johnson, Michael C in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/09/2023 by Granahan, Megan in Integrity.gov]

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Hogan Lovells US LLP	Denver, Colorado	Law Firm	Equity Partner	2/2007	11/2021
2	Family Trust #1	See Endnote	Trust	Trustee	4/2013	Present
3	Palace Lofts Condo Association	Denver, Colorado	Homeowner's Association	Board Member	4/2020	9/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rollover IRA	No			
1.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.2	Fidelity Contrafund Class K Shares (FCNKX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.3	Fidelity U.S. Bond Index (FXNEX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.4	PIMCO Total Return Fund Institutional Class (PTTRX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.5	Princeton Private Investments Access Fund Class I	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.6	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Hogan Lovells US LLP, cash balance pension plan	N/A	\$50,001 - \$100,000	Distribution	\$20,125
3	Traditional IRA	No			
3.1	U.S. bank (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	U.S. Equity Closed-End, 32 (FOGERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Pruco Life Insurance Variable Annuity	No	\$500,001 - \$1,000,000		None (or less than \$201)
3.3.1	T Rowe Price Large-Cap Growth Fund Investor Class Share (TRGOX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.3.2	AST BlackRock / Loomis Sayles Bond Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3.3	AST Mid-cap Value Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3.4	AST Mid-Cap Growth Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	2015 Fund LLC (Private Equity Funds)	No	\$100,001 - \$250,000		None (or less than \$201)
4.1	Acon Equity Fund IV, LP (underlying assets are not ascertainable)	No			
4.2	AEP IV BioMatrix AIV, LP (underlying assets are not ascertainable)	No			
4.3	LCM Healthcare Fund I, LP (underlying assets are not ascertainable)	No			
4.4	Camden Partners Strategic Fund VI, LP Alpine Investors VI, LP (underlying assets are not ascertainable)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.5	ABS Capital Partners VIII, LP (underlying assets are not ascertainable)	No			
4.6	KSL Partners V, LP (underlying assets are not ascertainable)	No			
4.7	Mountaingate Capital Fund 1, LP (underlying assets are not ascertainable)	No			
4.8	Riverstone Global Energy & Power Fund VI, LP (underlying assets are not ascertainable)	No			
4.9	Alpine Investors VI, LP (underlying assets are not ascertainable)	No			
5	Hogan Lovells US LLP, cash balance pension plan anticipated contribution	N/A	\$15,001 - \$50,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Hogan Lovells US LLP	Denver, Colorado	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	2/2007
2	Hogan Lovells US LLP	Denver, Colorado	I will continue to participate in my Cash Balance Pension Plan with the firm. Following my departure, a final contribution will be made to the Cash Balance Plan on my behalf using money deducted from funds that would otherwise be due to me. That contribution will be prorated based on my time with the firm, through the date of my resignation. The firm will then distribute my Cash Balance Plan balance to me; it will provide distribution paperwork within 30 days of my departure, and the distribution will be processed within 10 business days of my return of executed forms.	2/2007

#### 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	ICF International			Consulting Fees	
2	SEP IRA	No			
2.1	First Trust Capital Strength Portfolio Series 47 (FEAONX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2	First Trust First Trust Dividend & Income Port 75 (FDJYBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3	First Trust U.S. Equity Closed-end Portfolio Series 33 (FJRFCX )	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	First Trust U.S. Equity Closed-end Portfolio Series 37 (FLQDFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	First Trust Capital Strength Portfolio Series 48 (FYDLAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	First Trust Capital Strength Portfolio Series 52 (FUVXMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	First Trust Dividend & Income Select Closed-End Portfolio Series 76 (FENBHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	First Trust Dividend & Income Select Closed-End Portfolio Series 87 (FWLMUX )	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	First Trust Dividend & Income Select Closed-End Portfolio Series 37 (FLQDFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	First Trust SMID Capital Strength Portfolio Series 45 (FGITNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	First Trust Capital Strength Portfolio Series 56	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	SMID Capital Strength Portfolio Series 49	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	City and County of Denver			Consulting Fees	

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank (cash) #1	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	U.S. bank (cash) #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. bank money market account (cash) #1	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	U.S. bank money market account (cash) #2	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	Lincoln Choice Plus Annuity	No			
5.1	LVIP Dimensional US Equity MV	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.2	LVIP Blended LrgCap Growth MV Large Cap	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.3	LVIP Blended Mid Cap MV U.S. Mid Cap	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	LVIP Delaware Bond Fixed Income	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	Delaware Diversified Income Fixed Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Lincoln Choice Plus Annuity	No			
6.1	LVIP Clearbridge QS Select Large Cap	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.2	LVIP BlkRk Dividend Value MV	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.3	LVIP Blended Mid Cap MV	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.4	LVIP Dimensional/VG Total Bnd	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	LVIP Delaware Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	The Expert Press Inc. (data and software services)	No			
7.1	Deke North Inc. (acts as a cost center for contract software development)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	Mobile Accord Inc.(providing business consulting services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Lincoln Plus Variable Annuity	No			
9.1	LEVEL ADVANTAGE B-SHARE, 6 Year S&P 500 20% Protection	N/A	\$250,001 - \$500,000		None (or less than \$201)
10	CP Block A Member LLC (Commercial Real estate and parking operations located in Denver, CO, Interest of 0.8992810%)	N/A	\$250,001 - \$500,000		None (or less than \$201)
11	Fasken Oil & Ranch Ltd. (Oil and Gas Lease) Midland, TX	N/A	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Prudential Premier Variable Annuity	No			
12.1	AST T. Rowe Price Large-Cap Growth Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
12.2	AST Mid-Cap Growth Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
12.3	AST Mid-Cap Value Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
12.4	AST BlackRock/Loomis Sayles Bond	Yes	\$50,001 - \$100,000		None (or less than \$201)
13	RMA Account:	No			
13.1	U.S. bank (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.2	Capital Strength, 48 (FYDLAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	U.S. Equity Closed-End, 32 (FOGERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.4	Diversified High Income Closed-End, 40 (FPQJOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.5	Dividend & Income Select Closed-End, 82 (FSPYUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.6	SMid Capital Strength, 48 (FQTZNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.7	Municipal Income Select, Closed-End, 116 (FBEKTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.8	Covered Call Select Closed-End, 81 (FQCIXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Managed Investment Account #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.1	Fidelity Government Cash Reserves	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.2	Agilent Technologies, Inc. (A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.3	Apple Inc.	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
14.4	AbbVie, Inc. (ABBV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.5	Adobe Systems Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.6	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.7	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.8	Amphenol Corporation (APH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.9	Broadcom, Inc. (AVGO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14.10	CDW Corp. (CDW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.11	Copart Inc. Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.12	Charles River Laboratories International, Inc. (CRL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.13	CISCO SYSTEMS INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.14	CINTAS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.15	COGNIZANT TECHNOLOGY SOLUTIONS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.16	CHEVRON CORP NEW COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.17	DICKS SPORTING GOODS	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.18	ELECTRONIC ARTS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.19	ESTEE LAUDER COMPANIES INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.20	EPAM SYS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.21	FASTENAL COM STK	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.22	FACEBOOK INC-CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.23	FISERV INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.24	ALPHABET INC CAP STK CL C	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
14.25	GLOBAL PAYMENTS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.26	HOME DEPOT INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.27	INTERNATIONAL BUS MACH CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.28	IPG PHOTONICS CORPORATION COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.29	IQVIA HLDGS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.30	JPMORGAN CHASE & CO	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
14.31	KLA CORP COM NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.32	COCA-COLA CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14.33	LITHIA MTRS INC CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.34	LULULEMON ATHLETICA INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.35	MASTERCARD	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.36	MONSTER BEVERAGE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.37	METTLER-TOLEDO	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.38	NORDSON CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.39	NETFLIX INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.40	NIKE INC CLASS B COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.41	INSPERITY INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.42	OLD DOMINION FREIGHT	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.43	ONEMAIN HLDGS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.44	PAYCOM SOF1WARE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.45	PFIZER INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14.46	PHILIP MORRIS	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
14.47	PNC FINANCIAL SERVICES	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.48	POOL CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.49	ROYAL DUTCH SHELL ADR	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.50	RH COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.51	STARBUCKS CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.52	SHERWIN-WILLIAMS CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.53	CONSTELLATION BRANDS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.54	AT&T INC COM USD1	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.55	TRIMBLE INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.56	THE TRADE DESK INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.57	UNITED RENTALS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.58	US BANCORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.59	WATERS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.60	WILLIAMS-SONOMA INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.61	ZOETIS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.62	BUFFALO RIDGE MET DIST COLO GO REF	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
14.63	COLORADO WTR RES & PWR DEV AUTH WTR RES	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
14.64	GRAND RIVER HOSP DIST COLO GO BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.65	LARIMER CNTY COLO CTFS PARTN CTFS	N/A	\$50,001 - \$100,000		None (or less than \$201)
14.66	PLATTE RIV PWR AUTH COLO PWR REV PWR REV	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
14.67	WELL AUGMENTATION SUBDIST CENT COLO	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
14.68	WESTERN ST COLO UNIV AUXILIARY FACS REV	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
14.69	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$5,001 - \$15,000
14.70	IBM	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
14.71	Arista Networks Inc. com	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.72	Burlington Stores, Inc. (BURL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.73	Shell PLC SPON ADS EA REP 2 ORD SHS	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.74	LPL Financial Holdings, Inc. (LPLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.75	Marriott International, Inc. (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.76	Meta Platforms Inc. Class A Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.77	Mondelez International, Inc. (MDLZ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.78	Lincoln Electric Holdings, Inc. (LECO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.79	United Parcel Service, Inc. (UPS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	Managed Investment Account #2	No			
15.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.2	BENTON & LINN CNTYS NO 509J	N/A	\$15,001 - \$50,000		None (or less than \$201)
15.3	BEXAR COUNTY TEX CTFS OF OBLIG SER.2013 A	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
15.4	CALIFORNIA STATE VAR PURP GO BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.5	CALIFORNIA STATE PUBLIC WKS BRD LEASE REV	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
15.6	CLEAR CREEK TEX INDEPENDENT SCHOOL DISTRICT UNLTD	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.7	COLORADO ST BLDG EXCELLENT SCHS TODAY	N/A	\$15,001 - \$50,000		None (or less than \$201)
15.8	FLORIDA ST BRD ED PUB ED CAP OUTLAY	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.9	KANSAS CITY MO SAN SWR SYS REV IMPT AND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.10	KATY TEXAS INDEPENDENT SCHOOL DISTRICT ULTD TAX BDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
15.11	OKLAHOMA CITY OKLA GO BDS SER. 2017	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.12	PALM BEACH COUNTY FL SCHOOL BOARD CTFS PARTN	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.13	PLANO TEXAS GO BDS SER.	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
15.14	PRINCE GEORGES COUNTY MD GO CONSOLIDATED	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.15	SANTA CRUZ CALIF CITY HIGH SCH DIST	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
15.16	TEXAS WATER DEV BRD ST	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.17	UNIVERSITY SOUTH CAROLINA ATHLETIC FACILITIES REV	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.18	WALLER TEX INDPT SCH DIST UNLTD TAX BLDG	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15.19	King and Snohomish County Wash Sch	N/A	\$15,001 - \$50,000		None (or less than \$201)
15.20	Port Seattle Wash Rev Inter Lien	N/A	\$1,001 - \$15,000		None (or less than \$201)
15.21	Indiana St. Fin. Auth Wastewater	N/A	\$15,001 - \$50,000		None (or less than \$201)
16	Brokerage Account	No			
16.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.2	ABBVIE INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.3	ACCENTURE PLC	N/A	\$15,001 - \$50,000		\$2,501 - \$5,000
16.4	ACTIVISION BLIZZARD INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.5	ADOBE SYSTEMS INCORPORATED COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.6	AIR PRODUCTS AND CHEMICALS INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.7	ALBEMARLE CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.8	ALLIANT ENERGY CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.9	ALPHABET INC CAP STK CL	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
16.10	AMAZON.COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.11	AMERICAN ELEC PWR CO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.12	AMERICAN EXPRESS CO COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.13	AMERICAN TOWER CORP NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.14	AMERIPRISE FINANCIAL INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.15	AMERISOURCEBERGEN CORPORATION COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.16	AMGEN INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.17	AMPHENOL CORP CLASS A COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.18	ANALOG DEVICES INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.19	Apple, Inc. (AAPL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
16.20	ATMOS ENERGY CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.21	Automatic Data Processing, Inc. (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.22	AUTOZONE INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.23	BAKER HUGHES COMPANY CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.24	BANK AMERICA CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.25	BERKLEY W R CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.26	BERKSHIRE HATHAWAY INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.27	BLACKROCK INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.28	BRISTOL-MYERS SQUIBB CO COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.29	BROADCOM INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.30	CAESARS ENTERTAINMENT INC NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.31	CAPITAL ONE FINANCIAL CORP COM	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
16.32	CARMAX INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.33	CATERPILLAR INC COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.34	Cboe Global Markets, Inc. (CBOE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.35	CENTENE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.36	CHEVRON CORP NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.37	CHIPOTLE MEXICAN GRILL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.38	CHUBB LIMITED COM NPV	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.39	CIGNA CORP NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.40	CISCO SYSTEMS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.41	CME GROUP INC COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.42	COCA-COLA CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.43	CONSTELLATION ENERGY CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.44	CORTEVA INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.45	COSTCO WHOLESALE CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.46	COSTCO WHOLESALE CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.47	COTERRA ENERGY INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.48	CONSTELLATION ENERGY CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.49	CORTEVA INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.50	COSTCO WHOLESALE CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.51	COTERRA ENERGY INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.52	CROWN CASTLE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.53	CSX CORP COM	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
16.54	DANAHER CORPORATION COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.55	DEERE & CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.56	DISNEY WALT CO COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.57	DOLLAR GEN CORP NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.58	DOVER CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.59	DOW INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.60	DTE ENERGY CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.61	DUKE ENERGY CORP NEW COM NEW ISIN	N/A	\$1,001 - \$15,000		\$201 - \$1,000
16.62	ELECTRONIC ARTS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.63	ELEVANCE HEALTH INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.64	ELI LILLY AND CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.65	ENTERGY CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.66	EOG RESOURCES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.67	EQUINIX INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.68	ETSY INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.69	EXELON CORP COM NPV	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.70	EXXON MOBIL CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.71	FEDEX CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.72	FISERV INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.73	FMC CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.74	FORTIVE CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.75	GENERAL DYNAMICS CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.76	GENERAL ELECTRIC CO COM NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.77	HALLIBURTON CO COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.78	HARTFORD FINANCIAL SERVICES GRP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.79	HEALTHPEAK PROPERTIES INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.80	HOLOGIC INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.81	HOME DEPOT INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.82	HONEYWELL INTERNATIONAL INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.83	HUNTINGTON BANCSHARES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.84	IDEXX LABORATORIES INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.85	ILLINOIS TOOL WORKS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.86	INTERNATIONAL FLAVORS & FRAGRANCES COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.87	INTUIT INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.88	IQVIA HLDGS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.89	JOHNSON &JOHNSON COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.90	JPMORGAN CHASE & CO	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.91	KEYSIGHT TECHNOLOGIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.92	KIMBERLY-CLARK CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.93	LAM RESEARCH CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.94	LINDE PLC COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.95	LOCKHEED MARTIN CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.96	LOWES COMPANIES INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.97	MARSH &MCLENNAN COMPANIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.98	MASCO CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.99	MASTERCARD INCORPORATED CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.100	MCDONALD S CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.101	MERCK &CO. INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.102	MICROCHIP TECHNOLOGY INC.	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.103	MICROSOFT CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.104	MONDELEZ INTL INC COM NPV	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.105	MONSTER BEVERAGE CORP NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.106	MOODYS CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.107	MORGAN STANLEY COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.108	NETFLIX INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.109	NEXTERA ENERGY INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.110	NIKE INC CLASS B COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.111	NORFOLK SOUTHN CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.112	NORTHROP GRUMMAN CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.113	NUCOR CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.114	NVIDIA CORPORATION COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.115	OCCIDENTAL PETE CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.116	OLD DOMINION FREIGHT LINE INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.117	ORACLE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.118	OREILLY AUTOMOTIVE INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.119	ORGANON & CO COMMON STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.120	PACCAR INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.121	PACKAGING CORP OF AMERICA COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.122	PARKER-HANNIFIN CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.123	PEPSICO INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.124	PFIZER INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.125	PHILIP MORRIS INTERNATIONAL INC COM NPV	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.126	PHILLIPS 66 COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.127	PIONEER NATURAL RESOURCES CO COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.128	PROCTER AND GAMBLE CO COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.129	PROLOGIS INC. COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.130	PRUDENTIAL FINANCIAL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.131	PUBLIC STORAGE COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.132	QUALCOMM, Inc. (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.133	Raymond James Financial, Inc. (RJF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.134	RAYTHEON TECHNOLOGIES CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.135	ROPER TECHNOLOGIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.136	S&P GLOBAL INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.137	SBA COMMUNICATIONS CORP NEW CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.138	SCHWAB CHARLES CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.139	SEMPRA COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.140	SHERWIN-WILLIAMS CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.141	SKYWORKS SOLUTIONS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.142	SMUCKER J M CO COM NEW	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.143	SNAP-ON INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.144	STARBUCKS CORP COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.145	SYNOPSYS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.146	TARGET CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.147	TERADYNE INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.148	TEXAS INSTRUMENTS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.149	TEXTRON INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.150	THERMO FISHER SCIENTIFIC INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.151	TJX COMPANIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.152	TRACTOR SUPPLY CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.153	TRANSDIGM GROUP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.154	Tyson Foods, Inc. (TSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.155	UDR, Inc. (UDR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.156	UDR, Inc. (UDR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.157	ULTA BEAUTY INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.158	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.159	UNITED PARCEL SERVICE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.160	UNITEDHEALTH GROUP INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.161	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.162	VENTAS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.163	VERTEX PHARMACEUTICALS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.164	VISA INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.165	WABTEC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.166	WALMART INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.167	WASTE MANAGEMENT INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.168	WEC ENERGY GROUP INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.169	WELLS FARGO CO NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.170	WELLTOWER INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.171	WEYERHAEUSER CO MTN BE COM NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.172	WILLIAMS COS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.173	WILLIS TOWERS WATSON PLC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.174	YUM! BRANDS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.175	ZOETIS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.176	AFLAC INC COM	N/A	None (or less than \$1,001)		\$201 - \$1,000
16.177	Citrix Systems, Inc. (CTXS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
16.178	DR HORTON INC	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
16.179	EATON CORP PLC	N/A	None (or less than \$1,001)		\$201 - \$1,000
16.180	XCEL ENERGY INC COM	N/A	None (or less than \$1,001)		\$201 - \$1,000
16.181	METLIFE INC COM	N/A	None (or less than \$1,001)		\$201 - \$1,000
17	Family Trust #2	No			
17.1	Pegasus Rino Owner, LLC (hotel property)	N/A	\$100,001 - \$250,000		None (or less than \$201)
18	Family Trust #3				
18.1	Prudential (Whole life Insurance)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
19	Paired LLC (organization for startup leaders) Denver, CO	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	Mineral Lease (Midland County, Texas)	N/A	\$1,001 - \$15,000		\$2,501 - \$5,000
21	Resource Management Account	No			
21.1	First Trust Global Equity Income Closed-End, 74	Yes	\$1,001 - \$15,000		None (or less than \$201)
21.2	First Trust SMid Capital Strength, 53	Yes	\$1,001 - \$15,000		None (or less than \$201)
21.3	First Trust Diversified High Income Closed-End, 49	Yes	\$1,001 - \$15,000		None (or less than \$201)
21.4	First Trust Dividend & Income Select Closed-End, 96	Yes	\$1,001 - \$15,000		None (or less than \$201)
21.5	First Trust Diversified High Income Closed-End, 52	Yes	\$15,001 - \$50,000		None (or less than \$201)
21.6	First Trust Dividend & Income Select Closed-End, 98	Yes	\$1,001 - \$15,000		None (or less than \$201)
21.7	First Trust Covered Call Select Closed-End, 81	Yes	\$1,001 - \$15,000		None (or less than \$201)
21.8	First Trust SMid Capital Strength 51	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Princeton Private Investments Access	Purchase	03/15/2022	\$1,001 - \$15,000
2	Pimco Total Return Instl	Purchase	02/16/2022	\$500,001 - \$1,000,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank	Capital Loan for Equity Interest held in Hogan Lovells	\$500,001 - \$1,000,000	2007	2.3%	Annual, interest only; upon my resignation from the firm, I would simply return my equity interest to the firm and the loan would be terminated.
2	Vectra Bank		\$250,001 - \$500,000	2022	4.625%	3 years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	2	Underlying assets are not reportable.

# 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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