

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

Filer's Information

RUSH, CHRISTOPHER

Senior Advisor for Innovation & Improvement, Department of Education

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ RUSH, CHRISTOPHER [electronically signed on 08/11/2022 by RUSH, CHRISTOPHER in Integrity.gov] - Filer received a 90 day filing extension.

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).

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	New Classrooms Innovation Partners	See Endnote	New York, New York	Non-Profit	Chief Program Officer	4/2012	Present
2	Arbor Brothers		New York, New York	Non-Profit	Board Member	9/2018	Present
3	New Classrooms Innovation Partners		New York, New York	Non-Profit	Director	4/2012	Present
4	Obodo Collective		Las Vegas, Nevada	Non-Profit	Director	6/2020	2/2021
5	Alliance for Decision Education		Bala Cynwyd, Pennsylvania	Non-Profit	Director	3/2017	2/2021
6	Transcend Education		New York, New York	Non-Profit	Advisory Board Member	10/2015	2/2021
7	Always Be Learning (ABL) Schools		San Francisco, California	Corporation	Advisory Board Member	3/2016	2/2021
8	ReUp Education		San Francisco, California	Corporation	Advisory Board Member	2/2015	2/2021
9	On Plan LLC		South Orange, New Jersey	Corporation	Sole Member	6/2006	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New Classrooms Innovation Partners	N/A		Salary/Sabbatical Payments	\$222,234

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	New Classrooms Innovation Partners, 403(b) plan:	No			
2.1	Vanguard Target Retirement 2045 Fund Investor Class Shares (VTIVX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	IRA #1:	No			
3.1	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Nucor Corp. (NUE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	The Southern Co. (SO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Archer-Daniels-Midland Co. (ADM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Schwab International Equity ETF (SCHF)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.9	Vanguard Global ex-US Real Estate Index Fund ETF Shares (VNQI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.11	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.12	Kinder Morgan, Inc. (KMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	PPL Corp. (PPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	Pilgrim's Pride Corp. (PPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	PetMed Express, Inc. (PETS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.19	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.20	Evergy, Inc. (EVRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.21	Service Corp. International (SCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.23	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.24	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.25	First Interstate BancSystem, Inc. (Montana) (FIBK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.26	AT&T, Inc. (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.27	Cabot Oil & Gas Corp. (COG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.28	Northwest Natural Holding Co. (NWN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.29	Granite Construction, Inc. (GVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.30	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.31	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.32	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.33	Lowe's Cos., Inc. (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.34	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.35	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.36	InterDigital, Inc. (IDCC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.37	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.38	Pinnacle West Capital Corp. (PNW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.39	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.40	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.41	Dow, Inc. (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.42	iShares TIPS Bond ETF (TIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.43	NorthWestern Corp. (NWE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.44	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.45	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.46	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.47	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.48	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.49	Amgen Inc. (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.50	L3Harris Technologies, Inc. (LHX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.51	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.52	Charles River Laboratories International, Inc. (CRL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.53	Contura Energy, Inc. (CTRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.54	CVS Health Corp. (CVS)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.55	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.56	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.57	Schwab US TIPS ETF (SCHP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.58	iShares 0-5 Year High Yield Corporate Bond ETF (SHYG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	IRA #2:	No			
4.1	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Monster Beverage Corp. (MNST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Valero Energy Corp. (VLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.5	Nucor Corp. (NUE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.6	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.8	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	On Plan LLC (Rental Property Management and Honorariums)	N/A	None (or less than \$1,001)	Rent or Royalties	\$15,001 - \$50,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	On Plan LLC		South Orange, New Jersey	My business will remain active during my appointment and serves as the management company for my rental property and through which my spouse and I receive honoraria.	6/2006
2	New Classrooms Innovation Partners		New York, New York	I will continue to participate in this defined contribution plan (403(b) plan). The plan sponsor will make further contributions while I continue to receive sabbatical leave payments.	4/2012
3	New Classrooms Innovation Partners	See Endnote	New York, New York	Pursuant to my employment agreement as an executive level employee, I will receive sabbatical payments from the firm starting on March 22, 2021, through September 22, 2024.	4/2012

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	The New Teacher Project	N/A		salary	
2	The New Teacher Project, 403(b) plan:	No			
2.1	Vanguard Institutional Target Retirement 2050 Fund Institutional Class Shares (VTRLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	IRA #3:	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Schwab International Equity ETF (SCHF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	VanguardGlobal ex-US Real Estate Index Fund ETF Shares (VNQI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Dow, Inc. (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	AT&T, Inc. (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Interactive Brokers Group, Inc. (IBKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	Archer-Daniels-Midland Co. (ADM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	Pinnacle West Capital Corp. (PNW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	Amgen Inc. (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.15	The AES Corp. (AES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	Eastman Chemical Co. (EMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.19	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.21	Valero Energy Corp. (VLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	Service Corp. International (SCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.23	Southern Company (SO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.24	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.25	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.26	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.27	Southwest Gas Holdings, Inc. (SWX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.28	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.29	iShares 0-5 Year High Yield Corporate Bond ETF (SHYG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.30	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.31	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.32	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.33	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.34	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.35	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Acorns Investment:	No			
1.1	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Brokerage account:	No			
2.1	Kandi Technologies Group, Inc. (KNDI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Ballard Power Systems Inc. (BLDP)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Plug Power, Inc. (PLUG)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3	Betterment:	No		Dividends	\$6,056
3.1	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.2	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	Schwab US Broad Market ETF (SCHB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.4	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.5	Schwab International Equity ETF (SCHF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.6	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.7	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.9	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.10	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.11	iShares National Muni Bond ETF (MUB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.12	SPDR Nuveen Bloomberg Barclays Municipal Bond ETF (TFI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.13	iShares JPMorgan US Emerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.14	iShares Core U.S. Aggregate Bond ETF (AGG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.15	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.16	iShares Russell 2000 Value ETF (IWN)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.17	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.18	Schwab US Large-Cap Value ETF (SCHV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.19	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.20	Vanguard Emerging Markets Government Bond Index Fund ETF Shares (VWOB)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
4	Personal Capital - IND CR:	No		Dividends Capital Gains	\$16,685
4.1	Schwab International Equity ETF (SCHF)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.3	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	iShares Russell 1000 ETF (IWB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	Schwab US Small-Cap ETF (SCHA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Facebook, Inc. (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8	iShares Gold Trust (IAU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	Alphabet, Inc. (GOOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.10	Microsoft Corp. (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.11	Apple, Inc. (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.12	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.13	Fortinet, Inc. (FTNT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.14	NVIDIA Corp. (NVDA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.15	Charles River Laboratories International, Inc. (CRL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.16	Mastercard, Inc. (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.17	salesforce.com, inc. (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.18	Starbucks Corp. (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.19	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.20	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.21	Berkshire Hathaway Inc. (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.22	Illinois Tool Works, Inc. (ITW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.23	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.24	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.25	First Republic Bank (San Francisco, California) (FRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.26	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.27	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.28	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.29	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.30	iShares TIPS Bond ETF (TIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.31	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.32	L3Harris Technologies, Inc. (LHX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.33	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.34	Southern Copper Corporation (SCCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.35	Masco Corp. (MAS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.36	Uber Technologies, Inc. (UBER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.37	Pool Corp. (POOL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.38	The Kraft Heinz Co. (KHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.39	Eversource Energy (ES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.40	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.41	Twilio, Inc. (TWLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.42	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.43	Waste Management, Inc. (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.44	Dollar Tree, Inc. (DLTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.45	Sysco Corp. (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.46	Northern Trust Corp. (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.47	Chipotle Mexican Grill, Inc. (CMG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.48	Encompass Health Corp. (EHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.49	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.50	Tyler Technologies, Inc. (TYL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.51	NIKE, Inc. (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.52	Amgen Inc. (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.53	Eastman Chemical Co. (EMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.54	Newmont Corp. (NEM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.55	The Southern Co. (SO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.56	Verisk Analytics, Inc. (VRSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.57	Roper Technologies, Inc. (ROP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.58	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.59	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.60	Essential Utilities, Inc. (WTRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.61	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.62	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.63	Match Group, Inc. (MTCH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.64	Albemarle Corp. (ALB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.65	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.66	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.67	Scotts Miracle-Gro Co. (SMG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.68	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.69	Ecolab, Inc. (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.70	RLI Corp. (RLI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.71	H.B. Fuller Co. (FUL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.72	Air Products and Chemicals, Inc. (APD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.73	Nucor Corp. (NUE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.74	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.75	YETI Holdings, Inc. (YETI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.76	AES Corp (AES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.77	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.78	Stepan Co. (SCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.79	Hancock Whitney Corp. (HWC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.80	Dorman Products, Inc. (DORM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.81	Hain Celestial Group, Inc. (HAIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.82	AAON, Inc. (AAON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.83	Werner Enterprises, Inc. (WERN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.84	G-III Apparel Group Ltd. (GIII)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.85	Sanmina Corp. (SANM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.86	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.87	Ormat Technologies, Inc. (ORA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.88	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.89	Cogent Communications Holdings, Inc. (CCOI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.90	InterDigital, Inc. (IDCC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.91	Balchem Corp. (BCPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.92	Semtech Corp. (SMTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.93	Tesla, Inc. (TSLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.94	Clearwater Paper Corp. (CLW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.95	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.96	Boeing Co (BA)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
4.97	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
4.98	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.99	Darling Ingredients, Inc. (DAR)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
4.100	The Goldman Sachs Group, Inc. (GS)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
4.101	Monster Beverage Corp. (MNST)	No	\$1,001 - \$15,000		\$201 - \$1,000
4.102	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.103	Warner Brothers Discovery Inc (WBD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Personal Capital Joint Account:	No		Dividends, Capital Gains	\$1,514
5.1	Monster Beverage Corp. (MNST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	Tesla, Inc. (TSLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	Cabot Oil & Gas Corp. (COG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.5	Air Products and Chemicals, Inc. (APD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.6	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.7	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	Balchem Corp. (BCPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	ICU Medical, Inc. (ICUI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.11	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	Lowe's Companies, Inc. (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.13	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.14	Contura Energy, Inc. (CTRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	Dollar Tree, Inc. (DLTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.16	Hancock Whitney Corp. (HWC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	Interactive Brokers Group, Inc. (IBKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.19	L3Harris Technologies, Inc. (LHX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.20	NIKE, Inc. (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.21	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	Schwab US Small-Cap ETF (SCHA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.24	Schwab International Equity ETF (SCHF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.25	Scotts Miracle-Gro Co. (SMG)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
5.26	Twilio, Inc. (TWLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	Uber Technologies, Inc. (UBER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Wealthfront:	No		Dividends, Capital Gains	\$1,548
6.1	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.3	US Direct Indexing	No			
6.3.1	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.2	Alphabet, Inc. (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3.3	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.4	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.5	Wealthfront Risk Parity Fund Class W Shares (WFRPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.6	Vanguard Large-Cap Index Fund ETF Shares (VV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.8	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	Vanguard Extended Market Index Fund ETF Shares (VXF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Residential real estate, Bradley Beach, NJ	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
8	Royal Alliance:	N/A		Capital Gains Dividends	\$5,001 - \$15,000
8.1	EuroPacific Growth Fund Class A Shares (AEPGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.2	Growth Fund of America Class A Shares (AGTHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.3	American Funds Moderate Growth and Income Portfolio Class A Shares (BLPAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.4	American Funds Conservative Growth and Income Portfolio Class A Shares (INPAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.5	New World Fund, Inc Class A Shares (NEWFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.6	American FundsGlobal Growth Portfolio Class A Shares (PGGAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.7	American SMALLCAP World Fund, Inc Class A Shares (SMCWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	U.S. bank #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	U.S. bank #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
12	NV (Wealthfront 529 Plan) College Savings Plan	See Endnote	No		
13	NV (Wealthfront 529 Plan) College Savings Plan		No		
13.1	Total Stock Market Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.2	International Stock Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	Emerging Markets Stock Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.4	Dividend Stock Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.5	REIT Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.6	Corporate Bond Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.7	Emerging Markets Bond Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Re-Up Education Inc. (company focused on helping students complete college)		Sale	08/11/2021	\$1,001 - \$15,000
2	Schwab US Small-Cap ETF (SCHA)	See Endnote	Purchase	08/06/2021	\$1,001 - \$15,000
3	iShares Russell 2000 ETF (IWM)	See Endnote	Purchase	08/06/2021	\$1,001 - \$15,000
4	Schwab International Equity ETF (SCHF)	See Endnote	Purchase	06/29/2021	\$1,001 - \$15,000
5	Vanguard Emerging Markets Stock Index Fund ETF (VWO)	See Endnote	Purchase	08/06/2021	\$1,001 - \$15,000
6	Vanguard Value Index Fund ETF Shares (VTV)	See Endnote	Purchase	10/22/2021	\$1,001 - \$15,000
7	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	See Endnote	Purchase	10/22/2021	\$1,001 - \$15,000
8	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	See Endnote	Purchase	10/22/2021	\$1,001 - \$15,000
9	Vanguard Developed Markets Index Fund ETF Shares (VEA)	See Endnote	Purchase	10/22/2021	\$1,001 - \$15,000
10	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	See Endnote	Sale	10/22/2021	\$1,001 - \$15,000
11	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	See Endnote	Sale	10/22/2021	\$1,001 - \$15,000
12	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	See Endnote	Sale	10/22/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
13	iShares Core S&P Total US Stock Market ETF (ITOT)	See Endnote	Sale	10/20/2021	\$1,001 - \$15,000
14	Schwab International Equity ETF (SCHF)	See Endnote	Purchase	10/20/2021	\$1,001 - \$15,000
15	iShares Core S&P Total US Stock Market ETF (ITOT)	See Endnote	Sale	10/20/2021	\$1,001 - \$15,000
16	Schwab International Equity ETF (SCHF)	See Endnote	Purchase	10/20/2021	\$1,001 - \$15,000
17	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	See Endnote	Purchase	10/20/2021	\$1,001 - \$15,000
18	iShares Core MSCI Emerging Markets ETF (IEMG)	See Endnote	Purchase	11/29/2021	\$1,001 - \$15,000
19	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	See Endnote	Sale	11/29/2021	\$1,001 - \$15,000
20	iShares Core MSCI EAFE ETF (IEFA)	See Endnote	Purchase	11/30/2021	\$1,001 - \$15,000
21	iShares Core MSCI Emerging Markets ETF (IEMG)	See Endnote	Purchase	11/30/2021	\$1,001 - \$15,000
22	Vanguard Developed Markets Index Fund ETF Shares (VEA)	See Endnote	Sale	11/30/2021	\$1,001 - \$15,000
23	Boeing Co (BA)		Purchase	06/15/2021	\$1,001 - \$15,000
24	Tesla, Inc. (TSLA)		Purchase	05/21/2021	\$1,001 - \$15,000
25	YETI Holdings, Inc. (YETI)		Sale	05/20/2021	\$1,001 - \$15,000
26	L3Harris Technologies, Inc. (LHX)		Sale	06/15/2021	\$1,001 - \$15,000
27	Dow, Inc. (DOW)		Purchase	06/29/2021	\$1,001 - \$15,000
28	Charles River Laboratories International, Inc. (CRL)		Sale	08/05/2021	\$1,001 - \$15,000
29	Darling Ingredients, Inc. (DAR)		Purchase	08/27/2021	\$1,001 - \$15,000
30	Boeing Co (BA)		Sale	09/17/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	Dollar Tree, Inc. (DLTR)	Purchase	09/24/2021	\$1,001 - \$15,000
32	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Sale	09/13/2021	\$1,001 - \$15,000
33	iShares 0-5 Year TIPS Bond ETF (STIP)	Purchase	09/13/2021	\$1,001 - \$15,000
34	Hancock Whitney Corp. (HWC)	Sale	09/17/2021	\$1,001 - \$15,000
35	Pilgrim's Pride Corp. (PPC)	Sale	08/23/2021	\$1,001 - \$15,000
36	Schwab International Equity ETF (SCHF)	Purchase	08/30/2021	\$1,001 - \$15,000
37	iShares Core S&P Total US Stock Market ETF (ITOT)	Purchase	09/24/2021	\$1,001 - \$15,000
38	Uber Technologies, Inc. (UBER)	Purchase	08/30/2021	\$1,001 - \$15,000
39	iShares Core S&P Total US Stock Market ETF (ITOT)	Purchase	09/17/2021	\$1,001 - \$15,000
40	Boeing Co (BA)	Purchase	10/20/2021	\$1,001 - \$15,000
41	Dow, Inc. (DOW)	Purchase	10/20/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Mr. Cooper	Mortgage (investment/rental property)	\$250,001 - \$500,000	2020	2.5%	20 years
2	Truist	Mortgage on Personal Residence	\$250,001 - \$500,000	2021	2.37	20 Years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	1	I am performing a subset of the duties of this position after my appointment to support transitioning my duties to other employees.
3.	3	These sabbatical payments are owed to me by virtue of my prior employment agreement as an executive of the organization.
6.	12	No reportable underlying assets for this plan.
7.	2	Transaction was overreported (concerns an EIF).
7.	3	Transaction was overreported (concerns an EIF).
7.	4	Transaction was overreported (concerns an EIF).
7.	5	Transaction was overreported (concerns an EIF).
7.	6	Transaction involving EIF, overreporting.
7.	7	Transaction involving EIF, overreporting.
7.	8	Transaction involving EIF, overreporting.
7.	9	Transaction involving EIF, overreporting.
7.	10	Transaction involving EIF, overreporting.
7.	11	Transaction involving EIF, overreporting.
7.	12	Transaction involving EIF, overreporting.
7.	13	Transaction involving EIF, overreporting.

PART	#	ENDNOTE
7.	14	Transaction involving EIF, overreporting.
7.	15	Transaction involving EIF, overreporting.
7.	16	Transaction involving EIF, overreporting.
7.	17	Transaction involving EIF, overreporting.
7.	18	This item is an excepted investment fund and is overreported.
7.	19	This item is an excepted investment fund and is overreported.
7.	20	This item is an excepted investment fund and is overreported.
7.	21	This item is an excepted investment fund and is overreported.
7.	22	This item is an excepted investment fund and is overreported.

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).
