

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Vidal, Katherine

Under Secretary for Intellectual Property and Director, U.S. Patent & Trademark Office, Department of Commerce

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on the Judiciary
-

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Vidal, Katherine [electronically signed on 08/30/2021 by Vidal, Katherine in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Williams, Gaye, Certifying Official [electronically signed on 10/29/2021 by Williams, Gaye in Integrity.gov]

Other review conducted by

/s/ Osterman, Richard, Ethics Official [electronically signed on 10/29/2021 by Osterman, Richard in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 10/29/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Winston & Strawn LLP		Menlo Park, California	Law Firm	Partner	4/2017	Present
2	Family Trust		Portola Valley, California	Trust	Trustee	9/2015	Present
3	Fly M Ranch LLC	See Endnote	Portola Valley, California	LLC	Managing Member	2/2013	12/2020
4	Southwest Polo LLC	See Endnote	Tempe, Arizona	LLC	Managing Member	5/2015	Present
5	Stern4 LLC	See Endnote	Tempe, Arizona	LLC	Managing Member	12/2020	Present
6	Disruptive Multimedia, Inc. d/b/a Superphone(R)	See Endnote	New York, New York	Corporation	Board Member	3/2018	Present
7	Silicon Valley Holdings, LLC	See Endnote	Portola Valley, California	LLC	Managing Member	9/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Winston & Strawn LLP	N/A		Partnership Share	\$4,826,847
2	Winston & Strawn LLP capital account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	Winston & Strawn 401K Account	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Vanguard Target 2035	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Winston & Strawn Retirement Account	No			
4.1	Vanguard Target 2035	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	Winston & Strawn LLP Anticipated Partnership Share	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
6	Lockheed Martin Pension; value not readily ascertainable; defined benefit plan, Eligible for \$8.54/month or one-time lump sum payment of \$1904.40 November 1, 2028	N/A			None (or less than \$201)
7	Winston & Strawn Cash Balance Plan	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	Fly M Ranch LLC, Real property and ranch assets	N/A	None (or less than \$1,001)		None (or less than \$201)
9	IRA	No			
9.1	IMGN Immunogen	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	LGF'B LionsGate Entertainment	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3	QRTEA Qurate	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.4	SWK Stanley Black and Decker	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.5	DRI Darden Restaurants	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.6	DISCA Discovery	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.7	MCHP Microchip	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.8	AMCX AMC networks	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.9	LYFT LYFT	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.10	DNOW Now Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.11	MTCH Match Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.12	LBRDK Liberty Broadband C class	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.13	NUAN Nuance Communications	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.14	LSXMK Liberty Media SiriusXM stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.15	EMR Emerson Electric	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.16	GD General Dynamics	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.17	SON Sonoco	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.18	PNR Pentair	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.19	COLM Columbia Sportswear	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.20	NEM Newmont Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.21	IP International Paper	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.22	CREE Cree systems	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.23	AMGN Amgen	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.24	WY Weyerhaeuser	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.25	IONS Ionis Pharmaceuticals	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.26	FCX Freeport McMoran	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.27	VMW VMware Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.28	DIS Disney	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.29	MDT Medtronic	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.30	NICE Nice LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.31	HOG Harley Davidson	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.32	PXD Pioneer Natural Resources	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.33	DE Deere	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.34	ETN Eaton	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.35	STT State Street	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.36	BASFY BASF SE	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.37	CTSH Cognizant Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.38	BUD Anheiser Busch	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.39	WDAY Workday	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.40	BABA Alibaba	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.41	AVGO Broadcom	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.42	SRE Sempra	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.43	FIS Fidelity National	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.44	SE Sea Limited	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.45	DD Dupont Nemours	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.46	ALC Alcon	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.47	PNC PNC Financial	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.48	TOELY Tokyo Electron	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.49	RTX Raytheon	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.50	CFR Cullen Frost Bankers	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.51	FEYE Fireeye	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.52	DLB Dolby Labs	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.53	HEINY Heineken	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.54	ISNPY Intesa Sanpaolo	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.55	UPS UPS	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.56	OCDDY Ocado	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.57	FITB Fifth Third Bancorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.58	CMA Comerica	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.59	DOCU Docusign	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.60	ADP ADP systems	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.61	DTEGY Deutsche Telekom	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.62	MONOY Monotaro	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.63	CTXS Citrix	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.64	CRNC Cerence	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.65	BMY Bristol Meyers Squib	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.66	KHC Kraft Heinz	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.67	DUK Duke Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.68	ZION Zion Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.69	AKAM Akamai	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.70	MMM 3M	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.71	GH Guardian	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.72	LRLCY L'Oreal	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.73	SDVKY Sandvik	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.74	ECL Ecolab	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.75	IBM IBM	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.76	TJX TJ Maxx	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.77	GIS General Mills	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.78	APTV Aptiv	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.79	AEP American Electric Power	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.80	NSRGY Nestle	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.81	FLS Flowserve	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.82	UBER Uber Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.83	ABB ABB LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.84	ABBV Abbvie	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.85	NXPI NXP Semiconductors	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.86	ULTA Ulta Beauty	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.87	LLY Eli Lilly	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.88	STNE Stoneco	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.89	AXP American Express	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.90	SCHW Charles Schwab	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.91	TTE Totalenergies	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.92	MTB M&T Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.93	TMVWY Teamviewer	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.94	MNST Monster Beverage	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.95	CPB Campbell Soup	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.96	CVS CVS Pharma	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.97	MTB M&T Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.98	PANW Palo Alto Networks	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.99	COP Conoco Phillips	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.100	EXC Exelon	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.101	CLLNY Cellnex	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.102	T AT&T	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.103	ETR Entergy	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.104	NTDOY Nintendo	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.105	NJDCY Nidec	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.106	HD Home Depot	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.107	ASML ASML Holdings	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.108	SPLK Splunk	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.109	WRDLY Worldline	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.110	KBCSY KBC group	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.111	TEAM Atlassian	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.112	TRV Travelers	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.113	WDC Western Digital	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.114	EQIX Equinix	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.115	AAP Advance Auto Parts	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.116	INFO IHS Markit	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.117	GRUB Grubhub	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.118	WMT Walmart	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.119	KO Cocoa Cola	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.120	GWW Grainger	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.121	ADYFY Adyen	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.122	NBIX Neurocrine Biosciences	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.123	SSDOY Shiseido	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.124	D Dominion Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.125	TMSNY Temenos	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.126	ABG Asbury Automotive Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.127	FANG Diamondback Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.128	BRK.B Berkshire Hathaway	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.129	CMPGY Compass Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.130	LHX L3Harris Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.131	CSCO Cisco Systems	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.132	MRK Merck	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.133	CMCSA Comcast	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.134	TGT Target	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.135	BURBY Burberry	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.136	CP Canadian Pacific Railway	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.137	QCOM Qualcomm	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.138	AMADY Amadeus IT Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.139	TMO Thermo Fisher Scientific	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.140	TEL TE Connectivity	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.141	BAC Bank of America Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.142	BIIB Biogen	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.143	VRTX Vertex Pharma	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.144	GVDNY Givaudan	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.145	HIG Hartford Financial Services	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.146	IDEXY Industria De Diseno	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.147	ATLKY Atlas Copco	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.148	LW Lamb Weston	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.149	CAG Conagra Brands	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.150	CHD Church & Dwight	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.151	DXC DCX Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.152	AKAM Akami	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.153	FANUY Fanuc	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.154	ESTC Elastic	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.155	KEY Keycorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.156	HII Huntington Ingalls	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.157	EADSY Airbus	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.158	36962G3P7 General Electric Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.159	TRI Thomson Reuters	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.160	CRH CRH PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.161	QLYS Qualys	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.162	29379VBU6 Enterprise Products Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.163	GPC Genuine Parts	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.164	BAH Booz Allen Hamilton	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.165	RCRUY Recruti Holdings	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.166	SNA Snap-on	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.167	HOCPY Hoya Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.168	ZTS Zoetis	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.169	31359MGK3 Fannie Mae Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.170	STX Seagate Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.171	WSM Williams Sonoma	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.172	LGRDY Legrand	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.173	3140X7AV1 Fannie Mae Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.174	ADDYY Adidas	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.175	BNPQY BNP Paribas	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.176	TWTR Twitter	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.177	CRM Salesforce	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.178	ETSY Etsy	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.179	RTOKY Rentokil Initial	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.180	TTWO Take Two Interactive	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.181	SYF Synchrony Financial	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.182	JNJ Johnson and Johnson	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.183	MKC McCormick	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.184	EDPFY EDP Energias	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.185	JCI Johnson Controls	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.186	ENTG Entegris Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.187	PEAK Healthpeak	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.188	AAPL Apple	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.189	TLPFY Teleperformance	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.190	PWR Quanta Services	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.191	V Visa	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.192	CIEN Ciena	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.193	ICLR Icon PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.194	ADSK Autodesk	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.195	SCI Service Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.196	MAS Masco	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.197	SUI Sun Communities	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.198	TSM Taiwan Semiconductor	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.199	STE Steris PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.200	ADBE Adobe	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.201	IEX Idex	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.202	SWKS Skyworks	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.203	THG Hanover	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.204	BURL Burlington Stores	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.205	CMS CMS Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.206	EXPE Expedia	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.207	FRC First Republic Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.208	ALSN Allison Transmission	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.209	RHHBY Roche Holdings	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.210	SYNH Syneos Health	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.211	38141GXH2 Goldman Sachs Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.212	92343VDY7 Verizon Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.213	UNVR Univar Solutions	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.214	FND Floor and Decor	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.215	RJF Raymond James	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.216	TDY Teledyne Technologies	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.217	CTAS Cintas	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.218	NVDA Nvidia	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.219	LSI Life Storage	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.220	172967LP4 Citigroup Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.221	HZNP Horizon Therapeutics	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.222	LNC Lincoln	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.223	POOL Pool Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.224	LNSTY London Stock Exchange	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.225	06051GHX0 Bank Of America Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.226	DIOD Diodes	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.227	126650CX6 CVS Health Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.228	PAYC Paycom	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.229	20030NCT6 Comcast Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.230	822582BT8 Shell Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.231	CMCSA Comcast	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.232	KEYS Keysight	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.233	MPWR Monolithic Power	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.234	UHS Universal Health Services	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.235	DLTR Dollar Tree	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.236	95000U2A0 Wells Fargo Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.237	LIN Linde PLC	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.238	CRL Charles River Labs	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.239	AAGIY AIA Group	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.240	AZO Autozone	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.241	COO Cooper Companies	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.242	CPRT Copart	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.243	AEE Ameren Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.244	HTA Healthcare Trust of America	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.245	FMC FMC Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.246	RMD Resmed	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.247	NVO Novo Nordisk	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.248	CIEN Ciena	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.249	GNRC Generac Holdings	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.250	ZBRA Zebra Tech	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.251	MTD Mettler Toledo	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.252	PNFP Pinnacle Financial Partners	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.253	46647PAV8 JP Morgan Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.254	31418DVC3 Fannie Mae bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.255	DLB Dolby Labs	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.256	WST West Pharma	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.257	MSFT Microsoft	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.258	NSRGY Nestle	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.259	ASML ASML Holdings	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.260	PEG Public Service Enterprise Group	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.261	VMC Vulcan Materials	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.262	ALL Allstate	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.263	MAA MidAmerica Apartment Communities	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.264	FB Facebook	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.265	DGX Quest Diagnostics	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.266	912828P46 US Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.267	FTNT Fortinet	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.268	AMZN Amazon	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.269	91282CBR1 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.270	912810RQ3 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.271	UNH United Healthcare	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.272	91282CAZ4 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.273	31418D2V3 Fannie Mae Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.274	91282CBL4 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.275	91282CCF6 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.276	912828ZL7 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.277	912810RM2 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.278	912810SF6 Treasury Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.279	Western Asset SMASh Series C Mutual Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.280	Western Asset SMASh Series M Mutual Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.281	Western Asset SMASh Series Cor PI Cmpltn Mutual Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	Southwest Polo, LLC	No			
10.1	SWP Bank Account	N/A	\$100,001 - \$250,000		None (or less than \$201)
10.2	Residential Real Estate, Tempe, AZ	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
10.3	Residential Real Estate, Phoenix, AZ	N/A	\$250,001 - \$500,000	Rent or Royalties	\$50,001 - \$100,000
10.4	Undeveloped Land, Phoenix, AZ	N/A	\$250,001 - \$500,000		None (or less than \$201)
10.5	Residential Real Estate, Phoenix, AZ	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Winston & Strawn LLP	Menlo Park, California	Pursuant to the partnership agreement, following my withdrawal from the firm and before I enter Government service, I will receive a lump-sum payment of my capital account, with certain amounts withheld for account reconciliation and tax purposes. This payment will be calculated as of the date of my withdrawal.	4/2017
2	Winston & Strawn LLP	Menlo Park, California	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive my final partnership share distribution before I enter Government Service. The amount will be calculated as of the date of my withdrawal, based on my expected yearly draw and the percent of the year I am at the firm.	4/2021
3	Winston & Strawn LLP	Menlo Park, California	Winston & Strawn 401K account. I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	4/2017
4	Winston & Strawn LLP	Menlo Park, California	Winston & Strawn retirement account. I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	4/2017
5	Lockheed Martin Corp.	Bethesda, Maryland	I will continue to participate in this defined benefit plan. The plan sponsor has not make further contributions since my separation and will not make further contributions.	5/1984
6	Winston & Strawn LLP	Menlo Park, California	Winston & Strawn cash balance plan. I will continue to participate in this cash balance pension plan. The plan sponsor will not make further contributions after my separation.	4/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Winston & Strawn LLP	Menlo Park, California	Law firm partner
2	The Chamberlain Group, Inc.	Oak Brook, Illinois	Served company as a law firm client
3	VMware, Inc.	Palo Alto, California	Served company as a law firm client
4	Corning Incorporated	Corning, New York	Served company as a law firm client
5	SAP America, Inc.	Newtown Square, Pennsylvania	Served company as a law firm client
6	Wells Fargo & Company	San Francisco, California	Served company as a law firm client
7	Micron Technology, Inc.	Boise, Idaho	Served company as a law firm client
8	Polycom, Inc.	San Jose, California	Served company as a law firm client
9	Airbnb, Inc.	San Francisco, California	Served company as a law firm client
10	Olympus Corporation	Tokyo, Outside U.S.	Served company as a law firm client
11	Cisco Systems, Inc.	San Jose, California	Served company as a law firm client
12	Microsoft Corporation	Redmond, Washington	Served company as a law firm client
13	Forescout Technologies Inc.	San Jose, California	Served company as a law firm client
14	Cambria Company LLC	Le Sueur, Minnesota	Served company as a law firm client
15	FedEx Corporation	Memphis, Tennessee	Served company as a law firm client

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
16	Five9 Inc.	San Ramon, California	Served company as a law firm client
17	Cloudera, Inc.	Palo Alto, California	Served company as a law firm client
18	Legrand North America LLC	West Hartford, Connecticut	Served company as a law firm client
19	Proofpoint, Inc.	Sunnyvale, California	Served company as a law firm client
20	Snap, Inc.	Santa Monica, California	Served company as a law firm client
21	William S. Price, III	Boston, Massachusetts	Served company as a law firm client
22	NetApp, Inc.	Sunnyvale, California	Served company as a law firm client
23	PayPal, Inc.	San Jose, California	Served company as a law firm client
24	Roku, Inc.	Los Gatos, California	Served company as a law firm client
25	Intuitive Surgical, Inc.	Sunnyvale, California	Served company as a law firm client
26	DoorDash, Inc.	San Francisco, California	Served company as a law firm client
27	Box, Inc.	Redwood City, California	Served company as a law firm client
28	PEAG, LLC dba JLab Audio	Carlsbad, California	Served company as a law firm client
29	Carbon, Inc.	Redwood City, California	Served company as a law firm client
30	Snowflake Computing, Inc.	Bozeman, Montana	Served company as a law firm client

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
31	Tanium, Inc.	Emeryville, California	Served company as a law firm client
32	ON Semiconductor Corp.	Phoenix, Arizona	Served company as a law firm client
33	Varian Medical Systems	Palo Alto, California	Served company as a law firm client
34	James R. Balman	Mundelein, Illinois	Served individual as a law firm client
35	Arc Medical Design	Leeds, Outside U.S.	Served company as a law firm client
36	Dell Technologies	Round Rock, Texas	Served company as a law firm client
37	HP, Inc.	Palo Alto, California	Served company as a law firm client
38	NVIDIA Corporation	Santa Clara, California	Served company as law firm client
39	T-Mobile USA, Inc.	Bellevue, Washington	Served company as law firm client
40	Revenge Rum, LLC	West Palm Beach, Florida	Served company as law firm client
41	Pinterest Inc.	San Francisco, California	Served company as law firm client
42	Spotify USA, Inc.	New York, New York	Served company as law firm client
43	Hint, Inc.	San Francisco, California	Served company as law firm client
44	Poshmark, Inc.	Redwood City, California	Served company as law firm client
45	TIAA	New York, New York	Served company as law firm client

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
46	Applied Materials, Inc.	Santa Clara, California	Served company as a law firm client
47	Plantronics, Inc.	Santa Cruz, California	Served company as a law firm client
48	Micron Semiconductor Products, Inc.;	Boise, Idaho	Served company as a law firm client
49	Micron Technology Texas, LLC	Allen, Texas	Served company as a law firm client
50	Olympus Corporation of the Americas	Center Valley, Pennsylvania	Served company as a law firm client
51	Olympus America, Inc.	Center Valley, Pennsylvania	Served company as a law firm client
52	Arc Medical Design Limited	Lees, Outside U.S.	Served Client as a law firm client
53	Keymed (Medical and Industrial Equipment) Limited	Essex, Outside U.S.	Served company as law firm client
54	Menasha Packaging Company, LLC	Neenah, Wisconsin	Served company as law firm client
55	Menasha Corporation	Neenah, Wisconsin	Served company as law firm client
56	FedEx Supply Chain, Inc.	Pittsburgh, Pennsylvania	Served company as law firm client
57	Abbott Laboratories	Chicago, Illinois	Served company as law firm client

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential Real Estate, Scottsdale, AZ	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
2	Residential Real Estate, Phoenix, AZ	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
3	Investment in Movie - Liberte through SMT Pictures LLC	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
4	Investment in Sheex (Bed product Start-up)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5	U.S. Cash -- Bank Account	N/A	\$250,001 - \$500,000		None (or less than \$201)
6	U.S. Cash -- Bank Account	N/A	\$100,001 - \$250,000		None (or less than \$201)
7	RE Premier PGIM Senior Housing VI Onshore Feeder LP	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	Ethereum (Coinbase account)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
9	Bitcoin (Coinbase account)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10	Cardano (Coinbase account)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
11	U.S. Cash -- Bank Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	U.S. Cash -- Bank Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Family Trust	No			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.1	Disruptive Multimedia, Inc. d/b/a Superphone(R), Funding investment	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
13.2	Investment in Hint Water (Beverage Company Start-up)	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.3	Blockchain Capital IV, LP	No			
13.3.1	Upshot Technologies, Inc -- Warrant to Purchase Tokens (real-time price feeds for NFTs) (The fund manager will not provide additional details regarding the warrant terms, including the price, the number of tokens that can be purchased, any expiration date and what tokens the fund or I get to buy)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.2	TRM Labs, Inc. (fka Frenli, Inc.) -- Series A-1 (Blockchain intelligence)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.3	Grin (Blockchain Capital Account)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.4	Messari Holding, Inc. -- Series Seed Preferred (bringing transparency to the cryptoeconomy)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.5	Oasis Protocol Foundation Ltd. Lockup (Blockchain Capital Account)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.6	Oasis Protocol Foundation Ltd. Lockup (Blockchain Capital Account)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.7	Hafen, LLC (fka Harbor Platform, Inc.) -- Class A Member Units (streamlines alternative investment onboarding and processing, investor management, and unlocks controlled liquidity options)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.8	Risk Labs Tokens Released (Blockchain Capital Account)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.9	Oasis Protocol Foundation Ltd. (Blockchain Capital Account)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.3.10	Messari Holding, Inc. -- Series Seed-1 Preferred (bringing transparency to the cryptoeconomy)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.11	Avanti Financial Group, Inc. -- Class 1-B Common Stock (serves as a compliant bridge between digital assets and the U.S. dollar payments system)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.12	Amalgamated Token Services Inc. (Coinlist) -- Series Seed Preferred (token services)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.3.13	Nervos CKByte (Blockchain Capital Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.14	Stardust Cards Corporation -- Simple Agreement for Future Equity (enables adding NFTs to games)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.15	Datamined LLC (dba Kindred) -- Convertible Promissory Note (cryptocurrency related company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.16	Upshot Technologies, Inc -- Series Seed Preferred (real-time price feeds for NFTs)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.17	Accesscoin, LLC (Tari) -- Simple Agreement for Future Tokens (digital assets focused blockchain protocol)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.18	Upshot Technologies, Inc -- Series A Preferred (real-time price feeds for NFTs)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.19	TRM Labs, Inc. (fka Frenli, Inc.) -- Series A-3 (Blockchain intelligence)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.20	Securitize Inc. -- Series B2 Preferred (unlocking broader access to alternative investments by enabling private businesses to raise capital from investors)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.3.21	Bitwise Asset Management, Inc. -- Series A-3 Preferred (Cryptocurrency Index and Beta Fund Provider)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.22	Securitize Inc. -- Common Stock (unlocking broader access to alternative investments by enabling private businesses to raise capital from investors)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.23	Libra Networks II LLC (dba Diem Association) -- Convertible Investment Securities (global payment system and financial infrastructure)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.24	Bitwise Asset Management, Inc. -- Series B-1 Preferred (Cryptocurrency Index and Beta Fund Provider)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.25	TRM Labs, Inc. (fka Frenli, Inc.) -- Series A-4 (Blockchain intelligence)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.26	Ozone Networks, Inc. -- Series B Preferred (digital marketplace for crypto collectibles)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.27	Securitize Inc. -- Series B1 Preferred (unlocking broader access to alternative investments by enabling private businesses to raise capital from investors)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.28	Risk Labs Tokens Lockup (Blockchain Capital Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.29	Ozone Networks, Inc. -- Common Stock (digital marketplace for crypto collectibles)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.30	Anchor Labs, Inc. -- Series C Preferred (engages in the operation and development of a crypto-native custodian platform)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.31	High Fidelity, Inc. -- Series D Preferred (Spacial audio API)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.3.32	Securitize Inc. -- Series A Preferred (unlocking broader access to alternative investments by enabling private businesses to raise capital from investors)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.33	Accesscoin, LLC (Tari) -- Simple Agreement for Future Equity (digital assets focused blockchain protocol)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3.34	Risk Labs Tokens Lockup (Blockchain Capital Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.35	Coinbase Global, Inc. (acquired Bison Trails) - - Common Stock - Holdback (platform for buying, selling and trading crypto currency)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.36	Circle Internet Financial Limited -- Series E Preferred (crypto finance company)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.37	Stacks (Blockstack Token) (Blockchain Capital Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.38	RADAR -- Series A Preferred (crypto exchange)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.39	Ozone Networks, Inc. -- Series A-3 (digital marketplace for crypto collectibles)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.40	Anchor Labs, Inc. -- Series B Preferred (engages in the operation and development of a crypto-native custodian platform)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.41	Bitwise Asset Management, Inc. -- Series A-1 Preferred (Cryptocurrency Index and Beta Fund Provider)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3.42	Ozone Networks, Inc. -- Series A-2 (digital marketplace for crypto collectibles)	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.3.43	Nexus Mutual (Blockchain Capital Account)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.3.44	Ethereum (Blockchain Capital Account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.3.45	USD Coin (Blockchain Capital Account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.3.46	Coinbase Global, Inc. (acquired Bison Trails) - - Common Stock (platform for buying, selling and trading crypto currency)	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.3.47	Bitcoin (Blockchain Capital Account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.3.48	IGO Company, LLC -- Class B Membership Interest (via ownership of BC Coinbase, LLC) (exploration and mining company)	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.4	Operator Collective Fund, Q, L.P.	Yes	\$50,001 - \$100,000		None (or less than \$201)
13.5	GILROY CALIF PUB FACS FING AUTH WASTEWATER REV-A RATE:N/A/AA 4.000% DUE:2027-08-01 Ref: 21488082 SEC ID: J3V25	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.6	TI Texas Instruments	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.7	Anne Arundel C Be 5000 22Oc01	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.8	COST COSTCO WHOLESALE CORP NEWRef: 34630740 SEC ID: ABR08	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.9	OSK Oshkosh Corp	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.10	GREATER ORLANDO AVIATION AUTH ORLANDO FLA ARPT FACS REV RATE:AA3/AA- 5.000% DUE:2031-10-01 Ref: 09249402 SEC ID: F25EF	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.11	GREATER ORLANDO AVIATION AUTH ORLANDO FLA ARPT FACS REV RATE:AA3/AA- 5.000% DUE:2031-10-01 Ref: 27584334 SEC ID: F25EF	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.12	MASSACHUSETTS ST RATE:AA1/AA 5.000% DUE:2035-04-01 Ref: 27543056 SEC ID: DXU50	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.13	UNITED STATES TREASURY NOTE RATE:AAA/N/A 2.625% DUE:2029-02-15 Ref: 04919801 SEC ID: A3D0M	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.14	CMCSA Comcast Corp (New) Class A	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.15	MT DIABLO CALIF UNI SCH DIST SER-G RATE:AA3/N/A 3.000% DUE:2025-08-01 Ref: 21465791 SEC ID: C435Q	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.16	ALLE Allegion Pub Ltd Co	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.17	NEW HAVEN CALIF UNI SCH DIST RATE:AA3/N/A 4.000% DUE:2024-08-01 Ref: 21403533 SEC ID: FU9J2	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.18	BENICIA UNIFIED SCH DIST SER-A RATE:AA3/N/A 5.000% DUE:2024-08-01 Ref: 21429354 SEC ID: CTM92	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.19	FLORIDA ST BRD ED LOTTERY REV REF-B RATE:AA3/AAA 5.000% DUE:2024-07-01 Ref: 00294381 SEC ID: A44GT	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.20	ALLE Allegion Pub Ltd Co	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.21	ANNE ARUNDEL CNTY MD CONSOLIDATED GEN IMPT GENL OBLIG RATE:AA1/AAA 5.000% DUE:2022-10-01 Ref: 09268359 SEC ID: EM4R5	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.22	FORT BEND CNTY TEX RATE:AA1/N/A 5.000% DUE:2023-03-01 Ref: 06233556 SEC ID: D30YF	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.23	MASSACHUSETTS BAY TRANSN AUTH MASS SALES TAX REV RATE:AA2/AA 5.000% DUE:2026-07-01 Ref: 00270266 SEC ID: CR81E	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.24	METROPOLITAN TRANSN AUTH NY REV-B-1 RATE:MIG2/SP2 5.000% DUE:2022-05-15 Ref: 32181126 SEC ID: E554D	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.25	BALDWIN PARK CALIF UNI SCH DIST RATE:AA3/N/A 4.000% DUE:2025-08-01 Ref: 21484504 SEC ID: H95UN	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.26	WISCONSIN ST TRANSN REV-A RATE:N/A/AA+ 5.000% DUE:2021-07-01 Ref: 00268618 SEC ID: CQ88A	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.27	OSK Oshkosh Corp	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.28	COST Costco Wholesale Corp New	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.29	CHRW Ch Robinson Worldwide Inc New	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.30	POMONA CALIF UNI SCH DIST SER-A RATE:N/A/AA 5.000% DUE:2025-08-01 Ref: 21440808 SEC ID: D8ZB1	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.31	RIVERSIDE CALIF UNI SCH DIST SER-A RATE:AA2/AA- 5.000% DUE:2027-08-01 Ref: 21445794 SEC ID: E6S28	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.32	UNIVERSITY MINN GENL OBLIG SER-A RATE:AA1/AA 5.000% DUE:2029-04-01 Ref: 09123264 SEC ID: BP3F4	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.33	UNIVERSITY MINN GENL OBLIG SER-A RATE:AA1/AA+ 5.000% DUE:2029-04-01 Ref: 27543790 SEC ID: BP3F4	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.34	WACO TEX ID 04-01-19 RATE:AA1/AA+ 5.000% DUE:2027-02-01 Ref: 03233369 SEC ID: EP81Q	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.35	WACO TEX ID 04-01-19 RATE:AA1/AA+ 5.000% DUE:2027-02-01 Ref: 21619131 SEC ID: EP81Q	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.36	NEW YORK N Y GENL OLBIG SER L-6 ID 04-23-08 RATE:W/R/AA 5.000% DUE:2031-04-01 Ref: 09194338 SEC ID: E7AX3	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.37	NEW YORK N Y GENL OLBIG SER L-6 ID 04-23-08 RATE:W/R/AA 5.000% DUE:2031-04-01 Ref: 27525164 SEC ID: E7AX3	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.38	PFLUGERVILLE TEX INDPT SCH DIST SER-A PSF-GTD ID 03-15-19 RATE:AAA/AAA 5.000% DUE:2033-02-15 Ref: 04752012 SEC ID: BKZ84	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.39	PFLUGERVILLE TEX INDPT SCH DIST SER-A PSF-GTD ID 03-15-19 RATE:AAA/AAA 5.000% DUE:2033-02-15 Ref: 23019208 SEC ID: BKZ84	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.40	VIRGINIA COLLEGE BLDG AUTH VA EDL FACS REV-A RATE:AA1/AA+ 5.000% DUE:2031-02-01 Ref: 03215007 SEC ID: C55UK	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.41	VIRGINIA COLLEGE BLDG AUTH VA EDL FACS REV-A RATE:AA1/AA+ 5.000% DUE:2031-02-01 Ref: 21618566 SEC ID: C55UK	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.42	SOUTHERN CALIF PUB PWR AUTH REV RATE:N/A/AA- 5.000% DUE:2024-07-01 Ref: 18212344 SEC ID: GB57B	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.43	VIRGINIA COLLEGE BLDG AUTH VA EDL FACS R RATE:AA1/AA+ 5.000% DUE:2023-09-01 Ref: 06005102 SEC ID: C9B9N	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.44	VIRGINIA COLLEGE BLDG AUTH VA EDL FACS R RATE:AA1/AA+ 5.000% DUE:2023-09-01 Ref: 24582421 SEC ID: C9B9N	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.45	GOOG Alphabet Inc Cl A	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.46	Virginia Colle Be 5000 23Sp01	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.47	Wells Fargo Corebuilder Shares (WFCMX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
13.48	CMCSA Comcast Corp (New) Class A	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.49	GOOG Alphabet Inc Cl C	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.50	CMCSA Comcast Corp (New) Class A	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.51	NEW YORK N Y GENL OLBIG SER L-6 ID 04-23-08 RATE:W/R/AA 5.000% DUE:2031-04-01 Ref: 09276406 SEC ID: E7AX3	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.52	PFLUGERVILLE TEX INDPT SCH DIST SER-A PSF-GTD ID 03-15-19 RATE:AAA/AAA 5.000% DUE:2033-02-15 Ref: 04956106 SEC ID: BKZ84	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.53	UNIVERSITY MINN GENL OBLIG SER-A RATE:AA1/AA 5.000% DUE:2029-04-01 Ref: 09297678 SEC ID: BP3F4	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.54	WACO TEX ID 04-01-19 RATE:AA1/AA+ 5.000% DUE:2027-02-01 Ref: 03403575 SEC ID: EP81Q	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.55	AXP American Express Co	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.56	VIRGINIA COLLEGE BLDG AUTH VA EDL FACS REV-A RATE:AA1/AA+ 5.000% DUE:2031-02-01 Ref: 03401524 SEC ID: C55UK	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.57	OREGON ST GENERAL OBLIGATION REF SERIES-F RATE:AA1/AA+ 5.000% DUE:2021-05-01 Ref: 12256902 SEC ID: BBE93	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.58	OREGON ST GENERAL OBLIGATION REF SERIES-F RATE:AA1/AA+ 5.000% DUE:2021-05-01 Ref: 12380023 SEC ID: BBE93	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.59	OREGON ST GENERAL OBLIGATION REF SERIES-F RATE:AA1/AA+ 5.000% DUE:2021-05-01 Ref: 30743801 SEC ID: BBE93	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.60	VIRGINIA COLLEGE BLDG AUTH VA EDL FACS R RATE:AA1/AA+ 5.000% DUE:2023-09-01 Ref: 06281223 SEC ID: C9B9N	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.61	Virginia Colle Be 5000 *31Fb01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.62	Waco Tex Be 5000 27Fb01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.63	TI Texas Instruments	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.64	PPG Ppg Industries Inc	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.65	ALXN Alexion Pharm Inc	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.66	University Min Be 5000 29Ap01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.67	New York N Y Be 5000 *31Ap01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.68	Pflugerville T Be 5000 *33Fb15	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
13.69	ALLE Allegion Pub Ltd Co	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
13.70	Fort Bend Cnty Be 5000 23Mh01	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.71	New York N Y Be 5000 *31Ap01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.72	Pflugerville T Be 5000 *33Fb15	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.73	University Min Be 5000 29Ap01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.74	Virginia Colle Be 5000 23Sp01	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.75	Virginia Colle Be 5000 *31Fb01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.76	Waco Tex Be 5000 27Fb01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.77	MTB M&T Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.78	FANG Diamondback Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.79	CAG Conagra Brands	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.80	DXC DXC Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.81	LW Lamb Weston	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.82	BRKS Brooks Automation	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.83	SNA Snap-on	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.84	PXD Pioneer Natural Resources	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.85	GPC Genuine Parts	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.86	KEY Keycorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.87	UNVR Univar Solutions	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.88	SYF Synchrony Financial	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.89	PWR Quanta Services	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.90	ABG Asbury Automotive Group	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.91	TDY Teledyne Technologies	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.92	SCI Service Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.93	COLM Columbia Sportswear	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.94	SWKS Skyworks	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.95	PEAK Healthpeak	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.96	NBIX Neurocrine Biosciences	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.97	ETSY Etsy	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.98	TTWO Take Two Interactive	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.99	LSI Lifestorage	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.100	HII Huntington Ingalls	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.101	IEX Idex	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.102	WSM Williams Sonoma	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.103	ENTG Entegris	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.104	EXPE Expedia	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.105	MAS Masco	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.106	ALSN Allison Transmission	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.107	MKC McCormick	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.108	BAH Booz Allen Hamilton	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.109	SYNH Syneos Health	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.110	STE Steris PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.111	RJF Raymond James	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.112	FND Floor and Decor	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.113	QLYS Qualys	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.114	AKAM Akamai	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.115	CMS CMS Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.116	COO Cooper Companies	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.117	CHD Church & Dwight	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.118	THG Hanover	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.119	CIEN Ciena	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.120	FRC First Republic Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.121	CTAS Cintas	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.122	BURL Burlington Stores	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.123	PAYC Paycom	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.124	HZNP Horizon Therapeutics	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.125	MPWR Monolithic Power	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.126	ZBRA Zebra Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.127	KEYS Keysight	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.128	DLTR Dollar Tree	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.129	DIOD Diodes	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.130	UHS Universal Health Services	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.131	POOL Pool Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.132	CPRT Copart	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.133	LNC Lincoln	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.134	CRL Charles River Labs	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.135	SUI Sun Communities	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.136	MTD Mettler Toledo	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.137	AEE Ameren Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.138	GNRC Generac Holdings	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.139	AZO Autozone	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.140	FMC FMC Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.141	HTA Healthcare Trust of America	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.142	RMD Resmed	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.143	DLB Dolby Labs	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.144	WST West Pharma	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.145	PNFP Pinnacle Financial Partners	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.146	FTNT Fortinet	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.147	PEG Public Service Enterprise Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.148	ALL Allstate	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.149	VMC Vulcan Materials	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.150	MAA MidAmerica Apartment Communities	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.151	DGX Quest Diagnostics	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.152	PATH UiPath	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.153	NTNX Nutanix	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.154	VMW VMware, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.155	BMRN Biomarin	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.156	ETN Eaton	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.157	373385CF8 California Municipal Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.158	04780MVP1 Georgia Municipal Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.159	WDAY Workday	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.160	TSCO Tractor Supply	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.161	68609TKD9 Oregon Municipal Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.162	DXCM Dexcom	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.163	7599113A6 Goldman Sachs Dynamic Municipal Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.164	392274Y91 Florida Municipal Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.165	NXPI NXP Semiconductor	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.166	977123Q50 Wisconsin Municipal Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.167	67766WZA3 Ohio State Municipal Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.168	SE Sea limited	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.169	ALC Alcon	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.170	UBER Uber Tech	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.171	APTV Aptiv	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.172	AAP Advance Auto Parts	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.173	575579QF7 Massachusetts Municipal Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.174	576049W97 Virginia Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.175	MNST Monster Beverage	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.176	ASML ASML Holdings	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.177	FIS Fidelity National	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.178	SPLK Splunk	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.179	ECL Ecolab	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.180	GWW Grainger	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.181	EQIX Equinix	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.182	HON Honeywell	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.183	ULTA Ulta Beauty	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.184	41423PBW6 Texas Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.185	CVS CVS Pharma	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.186	TEAM Atlassian	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.187	64966QHA1 Illinois Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.188	PANW Palo Alto Networks	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.189	419791D47 Hawaii Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.190	575896KR5 Massachusetts Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.191	WBA Walgreens	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.192	EWBC EastWest Bancorp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.193	UPS UPS	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.194	DIS Disney	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.195	6678253M3 Texas Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.196	MUFG Mitsubishi	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.197	INFO HIS Markit	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.198	HD Home Depot	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.199	147056DY8 North Carolina Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.200	93974DXU7 Washington Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.201	229831JB9 Texas Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.202	JPM JP Morgan	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.203	ELS Equity Lifestyle Properties	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.204	235308YY3 Texas Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.205	SUI Sun Communities	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.206	PSX Phillips 66	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13.207	254845QP8 Washington DC Water Municipal Fund	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.208	040664AK0 Arizona Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.209	QCOM Qualcomm	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.210	182494GZ1 NY Municipal bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.211	COG Cabot Oil and Gas	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.212	082023MY5 California Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.213	CBSH Commerce Bancshares	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.214	CFR Cullen Frost Bankers	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.215	ADBE Adobe	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.216	TMO Thermo Fisher Scientific	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.217	UNH United Healthcare	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.218	NVS Novartis	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.219	645002E85 California Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.220	CRM Salesforce	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.221	NVDA Nvidia	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.222	418420FM2 Michigan Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.223	TSN Tyson Foods	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.224	89453PG37 Texas Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.225	GD General Dynamics	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.226	7170956V0 Texas Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.227	54641CAD7 Louisiana Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.228	621196K29 California Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.229	ELAN Elanco Animal Health	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.230	CSHTX AB Taxable Mutual Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.231	235241SX5 Texas Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.232	91282CAE1 US Treasury Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.233	CB Chubb	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.234	RPM RPM International	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.235	V Visa	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.236	64966MZS1 New York Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.237	29270CV93 Washington Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.238	64971XKE7 NY Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.239	AMGN Amgen	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13.240	KO Cocoa Cola	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13.241	AMP Ameriprise	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.242	TWTR Twitter	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.243	MDT Medtronic	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.244	CINF Cincinnati Financial	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.245	PNC PNC Financial	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.246	92778VDV7 Virginia Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
13.247	HON Honeywell	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.248	058219UW4 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
13.249	ALC Alcon	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.250	PG Proctor Gamble	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.251	PYPL Paypal	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.252	PH Parker Hannafin	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.253	13032UUW6 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
13.254	MGDDY Michelin	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.255	CTVA Corteva	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.256	MLM Martin Marietta	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.257	AAPL Apple	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.258	CCI Crown Castle	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.259	XYL Xylem	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.260	MSFT Microsoft	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.261	732098KH0 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.262	QCOM Qualcomm	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.263	MCHP Microchip	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.264	JCI Johnson Controls	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.265	SONY Sony Corp	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.266	769059YM2 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
13.267	13063CW71 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
13.268	LEN Lennar	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.269	7417015H5 Maryland Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
13.270	83421JEU5 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
13.271	84247PKU4 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
13.272	COF Capital One Financial	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.273	ANSS Ansys	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.274	FB Facebook	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.275	545624RS9 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.276	882724SY4 Texas Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
13.277	AMZN Amazon	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.278	ADBE Adobe	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.279	930864BS1 North Carolina Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
13.280	376061AE7 California Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
13.281	DHR Danaher	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.282	MISHX AB Municipal Income Fund	Yes	\$1,001 - \$15,000		\$15,001 - \$50,000
14	Investment (Convertible Note) in Korvata, Inc. (Start-up focused on helping food and beverage companies reduce their use of nitrous oxide gases in products)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
15	Schwab 529 Savings Plan	No			
15.1	Aggressive Growth (Index) -- Schwab Fund Code 19668	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.2	Moderately Aggressive Growth (Index) -- Schwab Fund Code 19667	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.3	Moderately Conservative Growth (Index) -- Schwab Fund Code 19671	Yes	\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM	
1	Morgan Stanley	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2021	2.35	30 year	
2	Morgan Stanley	Exercised Line of Credit	\$250,001 - \$500,000	2021	1.5	1 Year; matures 3/20/22	
3	Morgan Stanley	Exercised Line of Credit	\$100,001 - \$250,000	2021	1.75	3 year; matures 3/25/2024	
4	Citibank	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2018	3.125	10/1 Arm; 30 Year	
5	Lakeview	Mortgage (investment/rental property)	\$100,001 - \$250,000	2020	3.5	15 Years	
6	Lakeview	Mortgage (investment/rental property)	\$100,001 - \$250,000	2020	3.5	15 Year	
7	Citibank	See Endnote	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2018	4	10/1 ARM

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	3	California LLC that is now dissolved. The LLC owned horse properties and participated in horse/ranch/boarding activities. All assets have been sold and no net profit was made requiring disclosure. LLC was dissolved in 2020.
1.	4	LLC owns and rents property.
1.	5	Formed LLC in Arizona in 12/2020. LLC does not yet conduct activity and does not have any assets.
1.	6	Field of Business: Smart-texting application
1.	7	LLC has never conducted activity or owned assets. My position ended in September 2021 with the dissolution of the LLC.
8.	7	mortgage paid off during the reporting period

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).
