

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Brown, Michael

Under Secretary for Acquisition and Sustainment, Department of Defense

Other Federal Government Positions Held During the Preceding 12 Months:

Director, Defense Innovation Unit, Department of Defense (9/2018 - Present)

Names of Congressional Committees Considering Nomination:

- Committee on Armed Services
-

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/ Brown, Michael [electronically signed on 02/24/2021 by Brown, Michael 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/ Thompson, Scott F, Certifying Official [electronically signed on 04/14/2021 by Thompson, Scott F in Integrity.gov]

Other review conducted by

/s/ Thompson, Scott F, Ethics Official [electronically signed on 04/14/2021 by Thompson, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/16/2021 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	Asimily Corporation	See Endnote	Mountain View, California	Corporation	Director	1/2017	Present
2	Bockus Brown Family Foundation	See Endnote	Palo Alto, California	Non-Profit	Chairman & Secretary	11/2007	Present
3	Berklee College of Music	See Endnote	Boston, Massachusetts	University/College	Trustee	3/2013	Present
4	Family Revocable Trust		Palo Alto, California	Trust	Co-Trustee	3/1992	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Asimily Corporation (private company); preferred stock owned	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	SEP/Traditional IRA		No			
2.1	SPDR S&P 500 ETF Trust (SPY)		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2	American Funds American High-Income Trust Class A Shares (AHITX)		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	American Funds American New Perspective (ANWPX)		Yes	\$250,001 - \$500,000		None (or less than \$201)
2.4	Fidelity Advisor Limited Term Bond Fund Class A Shares (FDIAX)		Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Fidelity Extended Market Index Fund (FSMAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.6	PIMCO Income Fund Class A Shares (PONAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Rollover IRA	No			
3.1	American Funds American Balanced Fund Class A Shares (ABALX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	American Funds Capital Income Builder Class A Shares (CAIBX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.3	American Funds Capital World Bond Fund Class A Shares (CWBFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	American Funds American High-Income Trust Class A Shares (AHITX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.5	PIMCO Income Fund Class A Shares (PONAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Asimily Corporation (private company); vested stock options	See Endnote	N/A	\$15,001 - \$50,000	None (or less than \$201)
5	Asimily (private company) unvested stock options (value not readily ascertainable)	See Endnote	N/A		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Asimily Corporation (private company)	Mountain View, California	The 4-year vesting schedule means a grant of 225,900 options will be fully vested in June, 2021. Currently, 44/48 of this grant are vested options. I will forfeit my unvested stock options upon separation. I will retain my vested stock options.	6/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Asimily Corporation (private company) stock options	Mountain View, California	Board Director

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	Cisco Systems, Inc. (CSCO)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.2	Fidelity Balanced Fund (FBALX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	Fidelity Emerging Markets Fund (FEMKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Fidelity Magellan Fund (FMAGX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.5	T Rowe Price International Discovery Fund (PRIDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	T Rowe Price International Stock Fund (PRITX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	T Rowe Price Mid-Cap Growth Fund, Inc (RPMGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.8	T Rowe Price New Asia Fund (PRASX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	T Rowe Price Value Fund, Inc (TRVLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vestaboard (private company) preferred stock See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Goldman Sachs (GS.J) Preferred Stock	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
3	Goldman Sachs GS.A Preferred Stock	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4	JPMorgan JPM.D Preferred Stock	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5	Madison Reed Preferred Stock See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
6	ISHARES MSCI USA QLTQ FAC (QUAL)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
7	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
8	SPDR S&P 500 ETF Trust (SPY)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
9	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10	Norwalk La Mirada California Zero Coupon Bond	N/A	\$250,001 - \$500,000		None (or less than \$201)
11	Benicia CA USD Zero Coupon Bond	N/A	\$100,001 - \$250,000		None (or less than \$201)
12	Newark CA USD Zero Coupon Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	William S Hart School, CA USD Zero Coupon Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Jefferson, CA USD Bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
15	Alcalanes, CA USD Zero Coupon Bond	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
16	Goleta CA Wtr Dist Bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
17	California State Genl Obligation Bond	N/A	\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000
18	San Mateo, CA USD Zero Coupon Bond	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
19	Oceanside, CA USD Bond	N/A	\$50,001 - \$100,000		None (or less than \$201)
20	Midpeninsula Regional Open Space Dist San Francisco, CA Bond	N/A	\$500,001 - \$1,000,000	Interest	\$50,001 - \$100,000
21	Newark, CA USD Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
22	U.S. Treasury - TIPS Bonds	N/A	\$5,000,001 - \$25,000,000	Interest	\$5,001 - \$15,000
23	U.S. Bank #1 Cash	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
24	MSUXX - Morgan Stanley Treasury Securities	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
25	American Funds Capital Income Builder Class A Shares (CAIBX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
26	American Funds Capital World Bond Fund Class A Shares (CWBFX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
27	American Funds Capital World Growth & Income Fund Class A Shares (CWGIX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	American Funds EuroPacific Growth Fund Class A Shares (AEPGX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
29	American Funds Growth Fund of America Class A Shares (AGTHX)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
30	American Funds Income Fund of America Class A Shares (AMECX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
31	American Funds International Growth & Income Fund Class A Shares (IGAAX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
32	American Funds Investment Company of America Class A Shares (AIVSX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
33	American Funds American Mutual Fund Class A Shares (AMRMX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
34	American Funds New Perspective Fund Class A Shares (ANWPX)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
35	Fidelity Advisor Limited Term Bond Fund Class A Shares (FDIAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
36	Fidelity Advisor New Insights Fund Class A Shares (FNIAX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
37	Fidelity Advisor Total Bond Fund Class A Shares (FEPAX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
38	PIMCO Income Fund Class A Shares (PONAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
39	U.S. Bank #2 Cash	N/A	\$50,001 - \$100,000		None (or less than \$201)
40	ABB Ltd (ABB)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
41	Abbott Laboratories (ABT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	Activision Blizzard, Inc. (ATVI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
43	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	AES Corp (AES)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
45	AIA Group (AAGIY)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
46	Airbus (EADSY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
47	Alphabet, Inc. (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
48	America Movil (AMX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
49	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	American Tower Corporation (REIT) (AMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
51	AMETEK, Inc. (AME)	N/A	\$15,001 - \$50,000		None (or less than \$201)
52	Anheuser Busch Inbev (BUD)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
53	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
54	Aon Plc (AON)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
55	Apple, Inc. (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
56	Asahi Kasei Corp (AHKSY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
57	Arthur J. Gallagher & Co. (AJG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	ASML Holding (ASML)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
59	Astrazeneca (AZN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
60	Barrick Gold (GOLD)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
61	Baxter International, Inc. (BAX)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
62	Broadcom, Inc. (AVGO)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
63	Cable One (CABO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
64	Carlsberg (CABGY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
65	Charter Communications, Inc. (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
66	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
67	Chipotle Mexican Grill, Inc. (CMG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
68	Chubb Ltd. (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
69	Cigna Corp. (CI)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
70	CME Group, Inc. (CME)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
71	CMS Energy Corp. (CMS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
73	Compagnie Fin Richemontag ADR (CFRUY)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
74	ConocoPhillips (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
75	Costco Wholesale Corp. (COST)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
76	Crown Castle International Corp. (CCI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
77	CSX Corp. (CSX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
78	Danaher Corp. (DHR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
79	Danone Sponsored ADR (DANOY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
80	Deere & Co (DE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
81	Diageo PLC (DEO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
82	DNB ASA ADR (DNHBY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
83	ENEL Societa Per Azioni ADR (ENLAY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
84	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
85	Eli Lilly & Co. (LLY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
86	Equinix (EQIX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
87	Essilor Luxottica ADR (ESLOY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
88	Estee Lauder Cos. (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
89	Exelon Corp. (EXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
90	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
91	FleetCor Technologies, Inc. (FLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
92	Fidelity National Information Services, Inc. (FIS)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
93	Genmab ADR (GMAB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
94	Gilead Sciences, Inc. (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
95	Global Payment (GPN)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
96	GoDaddy, Inc. (GDDY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
97	HEICO Corporation (HEI'A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
98	Hilton Worldwide Holdings, Inc. (HLT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
99	Honeywell International, Inc. (HON)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
100	Humana, Inc. (HUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
101	Industria De Diseno Textil (IDEXY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
102	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
103	Intercontinental Exchange, Inc. (ICE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
104	Jack Henry & Associates (JKHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
105	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
106	Kering SA ADR (PPRUY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
107	Keyance Corp (KYCCF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
108	KLA Corp. (KLAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
109	Koninklijke KPN N.V. ADR (PHG)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
110	Linde Plc (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
111	L Oreal ADR (LRLCY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
112	London Stock Exchange Group ADR (LNSTY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
113	LVMH Moet Hennessy (LVMUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
114	Marsh & McLennan Cos (MMC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
115	Merck & Co., Inc. (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
116	Microsoft Corp. (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
117	Mondelez International, Inc. (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
118	Moody's Corp. (MCO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
119	MSCI, Inc. (MSCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
120	Nestle ADR (NSRGY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
121	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
122	Neurocrine Biosciences, Inc. (NBIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
123	NIKE, Inc. (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
124	Norfolk Southern Corp. (NSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
125	Northrop Grumman Corp. (NOC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
126	Novonordisk ADR (NVO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
127	Pernod Ricard ADR (PDRDY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
128	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
129	Philip Morris International, Inc. (PM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
130	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
131	Reckitt Bensicker ADR (RBGLY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
132	Royal Caribbean Cruises Ltd. (RCL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
133	Koninklijke KPN N.V. ADR (KKPNY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
134	Ryanair Holdings ADR (RYAAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
135	Safran (SAFRY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
136	SAP AG (SAP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
137	Seagen (SGEN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
138	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
139	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
140	Shin Etsu Chem Co ADR (SHECY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
141	SMC Corp (SMECF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
142	State Street Corp. (STT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
143	Taiwan Semiconductor Mfg Co ADR (TSM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
144	Tencent Holdings ADR (TCEHY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
145	Terumo Corp ADR (TRUMY)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
146	TransDigm Group, Inc. (TDG)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
147	Truist Financial (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
148	UBS Group AG (UBS)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
149	United Health Group (UNH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
150	Visa, Inc. (V)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
151	Wabtec (WAB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
152	Waste Connections (WCN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
153	Waste Management, Inc. (WM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
154	Yum! Brands, Inc. (YUM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
155	U.S. bank accounts -sweep (cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
156	Aberdeen International Sustainable Leaders Fund Class I (JIEIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
157	Matthews Asian Growth & Income Fund (MACSX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
158	U.S. Bank #3 Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)
159	U.S. Bank #4 Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
160	Lending Club Loan Portfolio	See Endnote	N/A	\$500,001 - \$1,000,000	Interest	\$50,001 - \$100,000
161	Disruptive Innovation Fund	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
162	2.3% owner of Solar Compounds (Private Company)	See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
163	Summit Ventures VI-A	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
164	Mineral Acquisition Partners (MAP92-96) Funds dba as Map Energy	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
165	Mineral Acquisition Partners (MAP 2004) dba MAP Energy	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
166	Mineral Acquisition Partners (MAP 2006) dba MAP Energy	See Endnote	Yes	\$50,001 - \$100,000		None (or less than \$201)
167	Mineral Acquisition Partners (MAP 2009) dba MAP Energy	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
168	Tala (private company) preferred stock	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
169	B&M European Value ADR (BMRRY)		N/A	\$15,001 - \$50,000		None (or less than \$201)
170	Beigene, Ltd (BGNE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
171	Discover Financial Services (DFS)		N/A	\$15,001 - \$50,000		None (or less than \$201)
172	Vanguard TTL World Stock Index (VT)		Yes	None (or less than \$1,001)		None (or less than \$201)
173	Analog Devices, Inc. (ADI)		N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
174	The Bank of New York Mellon Corporation (BK)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
175	Boeing Co (BA)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
176	BWX Technologies, Inc. (BWXT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
177	The Coca-Cola Co. (KO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
178	Electronic Arts, Inc. (EA)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
179	Enbridge (ENB)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
180	EOG Resources, Inc. (EOG)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
181	Equifax, Inc. (EFX)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
182	Hdfc Bank Ltd (HDB)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
183	Hormel Foods Corp. (HRL)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
184	Huntington Bancshares, Inc. (HBAN)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
185	iShares MSCI ACWI ETF (ACWI)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
186	Jardine Matheson Holdings Ltd (JMHL)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
187	Las Vegas Sands Corp. (LVS)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
188	Naspers Ltd (NPSNY)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
189	Nutrien Ltd (NTR)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
190	Old Dominion Freight Line, Inc. (ODFL)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
191	Schlumberger NV (SLB)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
192	ServiceNow (NOW)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
193	Shionogi & Co (SGIOF)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
194	Softbank Corp (SFTBY)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
195	Texas Instruments Incorporated (TXN)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
196	Vertex Pharmaceuticals, Inc. (VRTX)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
197	Vodafone (VOD)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
198	Vtech Holdings Ltd (VTKLY)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
199	Wells Fargo & Co (WFC)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
200	Wynn Resorts Ltd. (WYNN)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
201	US Venture Partners VIII-A	See Endnote	Yes	None (or less than \$1,001)	\$15,001 - \$50,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase VISA	Credit Card	\$10,001 - \$15,000	2021	18%	Revolving

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	My role as a Director of Asimily pre-dates my role as the Director of the Defense Innovation Unit but is completely unrelated. Asimily is a venture-backed startup whose business is a software platform for risk assessment of connected devices for hospitals and clinics. Asimily has no federal customers and is completely un-related to DoD.
1.	2	My wife and I are officers of the Bockus Brown Family Foundation which supports our philanthropic interests.
1.	3	Uncompensated position
2.	1	I'm an investor and Director at Asimily, a risk assessment platform company for connected medical devices. Asimily has no federal customers. This relationship predates my government service.

PART	#	ENDNOTE
2.	4	Asimily stock options were awarded in my capacity as an advisor to the CEO and began vesting in June, 2017 on a four-year vesting schedule with 1/48 of those shares vesting monthly. As of February 24, 2021, the value of vested stock options are the 44/48 months for which I have vested options x the 225,900 option grant. These are valued at the difference between the option strike price and the current 409A Fair Market Value of Asimily's common stock.
2.	5	I received a grant of 225,900 options to purchase common stock in June, 2017. As of this filing, I vested 44/48 of this option grant or 207,075 shares. The unvested 18,825 shares has a value of \$0 since they have not been earned. The strike price is \$.01 and the Board approved 409A Fair Market Value of these options as determined by independent audit is \$.21. Unvested stock options expire 12 months after their vesting date if unexercised.
6.	1	Vestaboard is a private company focused on digital signage.
6.	5	Madison Reed is an organic, safe hair color business aimed at consumers.
6.	160	Lending Club is a platform that connects individual lenders and borrowers. My investment is a loan portfolio which Lending Club manages automatically according to risk parameters I set. Returns are interest payments aggregated for the portfolio of loans for the year. I have no knowledge of the individual borrowers.
6.	161	Filer is a limited partner in the Disruptive Innovation Fund, a private equity fund comprised of the following assets: Artemis--a software solutions business targeted at insurance & financial services CSA Medical--develops an interventional liquid nitrogen spray cryotherapy Gusto--payroll software for small business BioLite--enables people to power themselves off-grid incl. lighting and camp stoves LeasePilot--scalable digital solution for commercial real estate licensing, InnRoad--property management and hotel reservation system Astoria Solutions--digital technologies to enable workflow management in hazardous environments The EIF category for each underlying asset is N/A. I have no knowledge of each holding's value in the fund.
6.	162	Solar Compounds is my father-in-law's business which is a specialty chemicals and adhesives company in Linden, NJ. He is liquidating the business; operations have ceased and the property has been sold. This is an estimate of the remaining value once all obligations and contingencies have been accounted for as the business winds down. This 2.3% interest in the business is held by my wife as a passive investor; she does not hold a position with the company and is not compensated by the company.
6.	163	Summit Ventures VI Fund is a private equity fund which is being sold by Summit Partners. This is an estimate of the residual value of my interest as one of the limited partners. According to the fund manager, this residual value is mostly cash and the value of the remaining escrow pending liquidation is <\$1000.
6.	164	Mineral Acquisition Partners aggregates oil and gas leases and offers these to limited partners.

PART	#	ENDNOTE
6.	165	Mineral Acquisition Partners aggregates oil and gas leases and offers these to limited partners.
6.	166	Mineral Acquisition Partners aggregates oil and gas leases and offers these to limited partners.
6.	167	Mineral Acquisition Partners aggregates oil and gas leases and offers these to limited partners.
6.	168	Tala is a cybersecurity business ensuring that applications have not been tampered with by malicious actors.
6.	201	US Venture Partners is a venture capital fund in which I am a limited partner. This fund was liquidated in 2020 and the residual value is 0.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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