

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

Filer's Information

Fox, Radhika

Assistant Administrator for the Office of Water, Environmental Protection Agency

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

Principal Deputy Assistant Administrator, Office of Water (1/2021 - 6/2021)

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/ Fox, Radhika [electronically signed on 09/11/2022 by Fox, Radhika in Integrity.gov] - Filer received a 90 day filing extension.

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

/s/ Fugh, Justina, Certifying Official [electronically signed on 10/14/2022 by Fugh, Justina in Integrity.gov]

Other review conducted by

/s/ Fugh, Justina, Ethics Official [electronically signed on 10/14/2022 by Fugh, Justina in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 12/12/2022

Data Revised 12/06/2022

Data Revised 12/04/2022

Data Revised 12/02/2022

Data Revised 10/13/2022

Data Revised 10/12/2022

Data Revised 10/10/2022

Data Revised 09/30/2022

Data Revised 09/18/2022

Data Revised 09/17/2022

Data Revised 09/12/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	US Water Alliance	Washington, District of Columbia	Non-Profit	Chief Executive Officer	9/2015	1/2021
2	Jobs to Move America	Los Angeles, California	Non-Profit	Member, Board of Directors	12/2018	1/2021
3	PolicyLink	Oakland, California	Non-Profit	Member, Board of Directors	11/2015	1/2021
4	Aspen Institute	Washington, District of Columbia	Non-Profit	Co-Chair, Water Forum	5/2019	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Water Alliance, Washington, DC	N/A		Salary, Bonus, Unused Leave	\$348,460
2	Roth IRA				
2.1	Schwab U.S. Broad Market ETF (SCHB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Vanguard Mid-Cap Index Fund ETF (VO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Vanguard Total Stock Market Index Fund ETF Shares (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. Water Alliance, 401(k) plan				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Vanguard Target Retirement 2040 Fund Investor Shares (VFORX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	U.S. Water Alliance	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the employer ceased making contributions upon my separation.	1/2017

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Direct Commerce Inc (financial services)	N/A		salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Irrevocable Trust: 100% beneficiary		See Endnote		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.3	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Alphabet, Inc. (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.5	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.6	BHP Group Limited	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.7	Costco Wholesale Corp. (COST)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.8	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.9	Johnson and Johnson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.10	Novartis AG	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.11	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Travelers Companies Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.13	UnitedHealth Group, Inc. (UNH)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.14	Schwab US Mid-Cap ETF (SCHM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.15	ETFMG Prime Cyber Security ETF (HACK)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.16	Invesco FTSE RAFI US 1500 Small-Mid ETF (PRFZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.18	iShares MSCI EAFE Small Cap ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.19	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.20	iShares Russell 2000 ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.21	Schwab US Small-Cap ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.22	Industrial Select Sector SPDR Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.23	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.24	Materials Select Sector SPDR Fund (XLB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.25	SPDR S&P Dividend ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.26	Technology Select Sector SPDR Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
1.27	Vanguard Emerging Markets Govt Bd Idx ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.28	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.29	Vanguard Global ex-US Real Estate Index Fd ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.30	WisdomTree International SmallCap Dividend ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.31	Matthews Asia Dividend Fund Institutional Class	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.32	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2	Irrevocable Trust #2 (50% beneficiary)	See Endnote			
2.1	NJ St Turn Authority	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.2	NJ Econ Dev Auth	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.3	NJ Econ Dev Auth	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.4	NJ Street	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.5	NJ Econ Dev Auth	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.6	NJ Turnpike Auth	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.7	NJ Econ Dev Auth	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.8	Union CN NJ	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.9	Carteret NJ	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.10	Orange Township	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.11	Alphabet, Inc. (GOOGL)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.12	Amazon.com, Inc. (AMZN)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2.13	Amgen Inc. (AMGN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.14	Anthem, Inc. (ANTM)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
2.15	Apple, Inc. (AAPL)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
2.16	Bank of America Corp. (BAC)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
2.17	Boeing Co	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.18	Capital One Financial Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.19	Caterpillar, Inc. (CAT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.20	Citigroup Inc	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.21	Comcast Corporation	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.22	Honeywell International Inc	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.23	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.24	Johnson & Johnson (JNJ)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.25	JPMorgan Chase & Co	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.26	Medtronic Plc (MDT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.27	Facebook, Inc. (FB)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.28	Metlife Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.29	Microsoft Corporation	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
2.30	NIKE, Inc. (NKE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.31	Otis Worldwide Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.32	PepsiCo, Inc. (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.33	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.34	The PNC Financial Services Group, Inc. (PNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.35	Procter & Gamble Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.36	Raytheon Technologies Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.37	Salesforce Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.38	UnitedHealth Group, Inc. (UNH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.39	Visa, Inc. (V)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
2.40	The Walt Disney Co. (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.41	3M Co	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.42	Invesco QQQ Trust Series 1	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.43	iShares MSCI USA Min Vol Factor ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.44	iShares US Aerospace & Defense ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.45	Schwab US Aggregate Bond ETF (SCHZ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.46	Schwab US Large-Cap Value ETF (SCHV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.47	Health Care Select Sector SPDR Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.48	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.49	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.50	Materials Select Sector SPDR Fund (XLB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.51	SPDR Portfolio Developed World ex-US ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.52	SPDR S&P Dividend ETF (SDY)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.53	VanEck Vectors Semiconductor ETF (SMH)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.54	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.55	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.56	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.57	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.58	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.59	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.60	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.61	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.62	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.63	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.64	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.65	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.66	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.67	WisdomTree US LargeCap Dividend Fund (DLN)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.68	WisdomTree US MidCap Dividend Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.69	Schwab Government Money Fund Sweep Class Shares (SWGXX)		\$15,001 - \$50,000		None (or less than \$201)
2.70	PIMCO Income Fund Institutional Class Shares (PIMIX)	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.71	Vanguard New Jersey Long-Term Tax-Exempt Fund Admiral Shares (VNJUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Kunamneni Properties LP #1 - 49% Ownership Interest (5%/22%/22%)	See Endnote			
3.1	AbbVie, Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.2	Williams Hart, CA	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
3.3	Chabot ETC CA	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
3.4	Chaffey CCLG District	N/A	\$15,001 - \$50,000		\$201 - \$1,000
3.5	California Street	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
3.6	California Street	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.7	San Francisco, CA	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.8	California Street	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3.9	AbbVie, Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.10	Advanced Micro Devices, Inc. (AMD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.11	Alphabet, Inc. (GOOGL)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.12	Altria Group, Inc. (MO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	Amazon.com, Inc. (AMZN)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.14	Amgen Inc. (AMGN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.15	Apple, Inc. (AAPL)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
3.16	Bank of Montreal	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.17	Boeing Co (BA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.18	Citigroup Inc	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.19	Cloudflare Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	Comcast Corporation	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.21	First Trust Dow Jones Select MicroCap Index Fund (FDM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.22	Honeywell International, Inc. (HON)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.23	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.24	Mastercard, Inc. (MA)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.25	Medtronic Plc (MDT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.26	Merck & Co., Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.27	NIKE, Inc. (NKE)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.28	NVIDIA Corporation	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.29	Otis Worldwide Corp	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
3.30	PayPal Holdings, Inc. (PYPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.31	PepsiCo, Inc. (PEP)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
3.32	QUALCOMM, Inc. (QCOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.33	Raytheon Technologies Corp	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.34	salesforce.com, inc. (CRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.35	Starbucks Corp. (SBUX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.36	Taiwan Semiconductor Mfg. Co. Ltd.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.37	Target Corporation	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.38	US Bancorp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.39	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.40	Fidelity MSCI Materials Index ETF (FMAT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.41	iShares Nasdaq Biotechnology ETF (IBB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.42	iShares MSCI Emerging Markets ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.43	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.44	Schwab International Equity ETF (SCHF)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.45	Health Care Select Sector SPDR Fund (XLV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.46	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.47	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.48	Materials Select Sector SPDR Fund (XLB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.49	SPDR Portfolio Emerging Markets ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.50	SPDR Portfolio High Yield Bond ETF (SPHY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.51	SPDR S&P Aerospace & Defense ETF	Yes	\$100,001 - \$250,000		\$201 - \$1,000
3.52	SPDR S&P Regional Banking ETF (KRE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.53	VanEck Vectors Semiconductor ETF (SMH)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.54	VEU	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.55	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.56	Vanguard European Stock Index Fund ETF Shares (VGK)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.57	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.58	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.59	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.60	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.61	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.62	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.63	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.64	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.65	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.66	Xtrackers MSCI Europe Hedged Equity ETF (DBEU)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.67	Conestoga Small Cap Fund Investor Class Shares (CCASX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.68	Lord Abbett Growth Leaders Fund Class I Shares (LGLIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.69	Matthews Asia Dividend Fund Investor Class Shares (MAPIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.70	Parnassus Mid Cap Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.71	Schwab Fundamental US Large Company Index Fund (SFLNX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	Brokerage Account				
4.1	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
4.2	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.3	General Dynamics Corp. (GD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.4	Johnson and Johnson	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.5	JPMorgan Chase & Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.6	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.7	Mondelez International, Inc. (MDLZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.8	NIKE, Inc. (NKE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.9	Starbucks Corp. (SBUX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.10	The Coca-Cola Co. (KO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.11	Visa, Inc. (V)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.12	Charles Schwab Corporation	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.13	Health Care Select Sector SPDR Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.14	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.15	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.16	Technology Select Sector SPDR Fund (XLK)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.17	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.18	Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.19	Vanguard Growth Index Fund ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.20	Vanguard S&P Mid-Cap 400 Value Index Fund ETF Shares (IVOV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.21	Vanguard Mid-Cap Growth Index Fund ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.22	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	Kunamneni Properties LP #2 - 49% Ownership Interest (5%/22%/22%)	See Endnote			
5.1	AbbVie, Inc. (ABBV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.2	ORIX Corporation	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.3	PepsiCo, Inc. (PEP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.4	Rio Tinto plc ADR Common Stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.5	Fidelity MSCI Health Care Index ETF (FHLC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.6	Invesco S&P 500 Eql Wght ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.7	Invesco S&P 500 Eql Wght Technology ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.8	iShares MSCI EAFE ETF (EFA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.9	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.10	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.11	Industrial Select Sector SPDR Fund (XLI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.12	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.13	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.14	Technology Select Sector SPDR Fund (XLK)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.15	Invesco Municipal Opportunity Trust (VMO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.16	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.17	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.18	Harding Loevner International Equity Portfolio Institutional Class	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.19	Matthews Asia Dividend Fund Institutional Class Shares (MIPIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.20	MFS New Discovery Value Fund Class A Shares (NDVAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.21	Schwab Fundamental US Small Company Index Fund (SFSNX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	Kunamneni Properties LP #3 - 49% Ownership Interest (5%/22%/22%)	See Endnote			
6.1	Amazon.com, Inc. (AMZN)	N/A	\$250,001 - \$500,000		None (or less than \$201)
6.2	Caterpillar, Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.3	Costco Wholesale Corp. (COST)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
6.4	The Walt Disney Co. (DIS)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.5	The Home Depot, Inc. (HD)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
6.6	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.7	JPMorgan Chase & Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
6.8	Lowe`s Companies Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.9	Facebook, Inc. (FB)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.10	Microsoft Corp. (MSFT)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
6.11	NIKE, Inc. (NKE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.12	The PNC Financial Services Group, Inc. (PNC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.13	Procter & Gamble Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.14	United Parcel Service, Inc.	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.15	UnitedHealth Group, Inc. (UNH)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.16	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.17	Vertex Pharmaceuticals Incorporated	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.18	Visa, Inc. (V)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
6.19	Carillon Scout Mid Cap Fund Class I Shares (UMBMX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.20	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.21	Health Care Select Sector SPDR Fund (XLV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.22	Invesco QQQ Trust Series 1	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.23	Matthews Asia Dividend Fund Investor Class Shares (MAPIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.24	PRIMECAP Odyssey Aggressive Growth Fund (POAGX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.25	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.26	Industrial Select Sector SPDR Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.27	SPDR S&P Insurance ETF (KIE)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.28	Vanguard Small-Cap Index Fund ETF Shares (VB)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.29	Vanguard Mid-Cap Index Fund ETF Shares (VO)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.30	Vanguard Growth Index Fund ETF		Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.31	Vanguard Materials Index Fund ETF Shares (VAW)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.32	Vanguard Information Technology Index Fund ETF Class Shares (VGT)		Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.33	Vanguard Industrials Index Fund ETF Class Shares (VIS)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.34	Vanguard Real Estate Index Fund ETF Shares (VNQ)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.35	Vanguard Pacific Stock Index Fund ETF		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.36	Vanguard Developed Markets Index Fund ETF		Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.37	Meta Platforms, Inc (FB)	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
7	Irrevocable Trust #3 (50% beneficiary)	See Endnote				
7.1	Amazon.com, Inc. (AMZN)		N/A	\$15,001 - \$50,000		None (or less than \$201)
7.2	Costco Wholesale Corp. (COST)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.3	Goldman Sachs Group Inc (GS)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.4	JPMorgan Chase & Co	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.5	Novartis AG	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.6	OneMain Holdings, Inc. (OMF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.7	Fidelity MSCI Communication Services Index ETF (FCOM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.8	First Trust NYSE Arca Biotechnology Index Fund (FBT)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.9	First Trust NASDAQ-100 Ex-Technology Sector Idx Fd	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.10	iShares Micro-Cap ETF (IWC)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.11	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.12	iShares Russell 2000 ETF (IWM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.13	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.14	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.15	Materials Select Sector SPDR Fund (XLB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.16	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.17	SPDR S&P Regional Banking ETF (KRE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.18	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.19	Technology Select Sector SPDR Fund (XLK)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.20	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.21	Invesco Municipal Opportunity Trust (VMO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.22	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.23	Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.24	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.25	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.26	WisdomTree US MidCap Dividend Fund (DON)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
7.27	Matthews Asia Dividend Fund Institutional Class Shares (MIPIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.28	Vanguard Equity-Income Fund Admiral Shares	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Invesco S&P 500 Equal Weight Utilities ETF (RYU)	Sale	02/22/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	Chevron Corporation (CVX)	Sale	02/22/2021	\$15,001 - \$50,000
3	Vanguard Growth Index Fund ETF Shares (VUG)	Purchase	02/22/2021	\$1,001 - \$15,000
4	Vanguard Dividend Appreciation Index Fund ETF Shares (VIG)	Purchase	02/22/2021	\$15,001 - \$50,000
5	Berkshire Hathaway Inc. (BRK-B)	Sale	04/29/2021	\$15,001 - \$50,000
6	Utilities Select Sector SPDR Fund (XLU)	Sale	04/29/2021	\$15,001 - \$50,000
7	Fidelity MSCI Utilities Index ETF (FUTY)	Sale	04/12/2021	\$1,001 - \$15,000
8	Vanguard Emerging Markets Government Bond Index Fund ETF Shares (VWOB)	Purchase	04/20/2021	\$1,001 - \$15,000
9	Medtronic plc (MDT)	Purchase	01/29/2021	\$1,001 - \$15,000
10	Carrier Global Corporation (CARR)	Sale	02/02/2021	\$15,001 - \$50,000
11	Xtrackers MSCI Europe Hedged Equity ETF (DBEU)	Sale	02/02/2021	\$15,001 - \$50,000
12	Bank of America Corporation (BAC)	Sale	03/18/2021	\$15,001 - \$50,000
13	PepsiCo, Inc. (PEP)	Sale	03/26/2021	\$15,001 - \$50,000
14	The Travelers Companies, Inc. (TRV)	Sale	04/16/2021	\$15,001 - \$50,000
15	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Sale	05/07/2021	\$15,001 - \$50,000
16	AbbVie Inc. (ABBV)	Purchase	04/20/2021	\$1,001 - \$15,000
17	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	04/20/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
18	Vanguard California Intermediate-Term Tax-Exempt Fund Admiral Shares (VCADX)	See Endnote	Sale	04/29/2021	\$50,001 - \$100,000
19	iShares California Muni Bond ETF (CMF)	See Endnote	Sale	04/29/2021	\$15,001 - \$50,000
20	Fidelity MSCI Utilities Index ETF (FUTY)	See Endnote	Sale	04/29/2021	\$1,001 - \$15,000
21	Exxon Mobil Corporation (XOM)	See Endnote	Sale	04/29/2021	\$15,001 - \$50,000
22	Utilities Select Sector SPDR Fund (XLU)	See Endnote	Sale	04/29/2021	\$15,001 - \$50,000
23	Invesco California AMT-Free Municipal Bond ETF (PWZ)	See Endnote	Sale	04/29/2021	\$50,001 - \$100,000
24	Meta Platforms Inc (FB)		Purchase	10/29/2021	\$15,001 - \$50,000
25	JPMorgan Chase & Co. (JPM)		Purchase	10/29/2021	\$15,001 - \$50,000
26	Starbucks Corp. (SBUX)		Purchase	11/02/2021	\$15,001 - \$50,000
27	Visa, Inc. (V)		Purchase	11/02/2021	\$15,001 - \$50,000
28	Chevron Corp (CVX)		Sale	09/20/2021	\$50,001 - \$100,000
29	Berkshire Hathaway (BRKB)		Sale	08/27/2021	\$1,001 - \$15,000
30	Fidelity MSCI Communications Services (FCOM)		Sale	08/27/2021	\$1,001 - \$15,000
31	Fidelity MSCI Financials Index (FNCL)		Sale	08/25/2021	\$1,001 - \$15,000
32	Exxon Mobil (XOM)		Sale	09/20/2021	\$15,001 - \$50,000
33	Financial Select Sector SPDR (XLF)		Sale	08/27/2021	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
34	Vanguard Communications Services (VOX)		Sale	08/27/2021	\$1,001 - \$15,000
35	Vanguard Financials Index Fund ETF (VFH)		Sale	08/27/2021	\$100,001 - \$250,000
36	Vanguard Utilities Index Fund ETF (VPU)		Sale	08/27/2021	\$1,001 - \$15,000
37	Berkshire Hathaway (BRKB)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
38	Chevron Corp (CVX)	See Endnote	Sale	09/20/2021	\$15,001 - \$50,000
39	Vanguard Utilities Index Fund ETF (VPU)	See Endnote	Sale	08/27/2021	\$15,001 - \$50,000
40	Fidelity MSCI Financials Index (FNCL)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
41	Fidelity MSCI Communications Services (FCOM)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
42	Vanguard Financials Index Fund ETF (VFH)	See Endnote	Sale	08/27/2021	\$15,001 - \$50,000
43	Vanguard Communications Services (VOX)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
44	Select Sector Financial ETF (XLF)	See Endnote	Sale	09/08/2021	\$1,001 - \$15,000
45	Berkshire Hathaway (BRKB)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
46	Chevron Corp (CVX)	See Endnote	Sale	09/20/2021	\$15,001 - \$50,000
47	Vanguard Utilities Index Fund ETF (VPU)	See Endnote	Sale	08/27/2021	\$15,001 - \$50,000
48	Fidelity MSCI Financials Index (FNCL)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
49	Fidelity MSCI Communications Services (FCOM)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
50	Vanguard Financials Index Fund ETF (VFH)	See Endnote	Sale	08/27/2021	\$15,001 - \$50,000
51	Vanguard Communications Services (VOX)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
52	Select Sector Financial ETF (XLF)	See Endnote	Sale	08/27/2021	\$1,001 - \$15,000
53	Charles Schwab US MC ETF (SCHM)		Sale	09/14/2021	\$15,001 - \$50,000
54	General Dynamics (GD)		Sale	09/16/2021	\$15,001 - \$50,000
55	Nike (NKE)		Sale	09/14/2021	\$15,001 - \$50,000
56	Vanguard Mid Cap ETF (VO)		Sale	09/14/2021	\$15,001 - \$50,000
57	Select Sector Health Care ETF (XLV)	See Endnote	Purchase	09/08/2021	\$1,001 - \$15,000
58	Vanguard Dividend ETF (VIG)	See Endnote	Purchase	09/08/2021	\$15,001 - \$50,000
59	Vanguard Information Technology ETF (VGT)	See Endnote	Purchase	09/08/2021	\$15,001 - \$50,000
60	Apple Inc (AAPL)	See Endnote	Purchase	09/08/2021	\$1,001 - \$15,000
61	Visa Inc (V)	See Endnote	Purchase	09/08/2021	\$1,001 - \$15,000
62	Select Sector Health Care ETF (XLV)	See Endnote	Purchase	09/08/2021	\$1,001 - \$15,000
63	Vanguard Dividend ETF (VIG)	See Endnote	Purchase	09/08/2021	\$15,001 - \$50,000
64	Vanguard Growth ETF (VUG)	See Endnote	Purchase	09/08/2021	\$15,001 - \$50,000
65	Vanguard Information Technology ETF (VGT)	See Endnote	Purchase	09/08/2021	\$15,001 - \$50,000
66	Vanguard Midcap ETF (VO)	See Endnote	Purchase	09/08/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Pennymac		Mortgage on Personal Residence	\$250,001 - \$500,000	2021	3.125	30 year fixed rate
2	Chase Bank	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2013	3.75%	30 years
3	SoFi	See Endnote	Personal Loan	\$50,001 - \$100,000	2021	8.2%	3 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	1	Filer is the 100% beneficiary of this trust.
6.	2	The reported values are the total values in the Irrevocable Trust. Filer has a 50% interest in each of the trust's assets.
6.	3	The reported values are the total values in the Limited Partnership. Filer has a 5% limited partnership interest and each of filer's dependent children have 22% limited partnership interests in the total assets. Filer has a 49% imputed interest in the Limited Partnership
6.	5	The reported values are the total values in the Limited Partnership. Filer has a 5% limited partnership interest and each of the the Filer's dependent children have 22% limited partnership interest in the total assets. Filer has a 49% imputed interest in the Limited Partnership
6.	6	Reported values are total values in the Limited Partnership. Filer has a 5% limited partnership interest and each of the Filer's dependent children have 22% limited partnership interest in the total values. Filer has a 49% imputed interest in the Limited Partnership

PART	#	ENDNOTE
6.	6.37	Asset #1
6.	7	The reported values are the total values in the Irrevocable Trust. Filer has a 50% interest in each of the assets in the trust
7.	18	Sale from Limited Partnership.
7.	19	Sale from limited partnership.
7.	20	Sale from limited partnership.
7.	21	Sale from limited partnership.
7.	22	Sale from limited partnership.
7.	23	Sale from limited partnership.
7.	37	Child #1
7.	38	Child #1
7.	39	Child #1
7.	40	Child #1
7.	41	Child #1
7.	42	Child #1
7.	43	Child #1
7.	44	Child #1
7.	45	Child #2
7.	46	Child #2
7.	47	Child #2
7.	48	Child #2
7.	49	Child #2
7.	50	Child #2

PART	#	ENDNOTE
7.	51	Child #2
7.	52	Child #2
7.	57	Child #1
7.	58	Child #1
7.	59	Child #1
7.	60	Child #2
7.	61	Child #2
7.	62	Child #2
7.	63	Child #2
7.	64	Child #2
7.	65	Child #2
7.	66	Child #2
8.	2	Loan paid off in full in 2021.
8.	3	Loan paid in full in 2021.

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

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