



United States Department of State

Washington, D.C. 20520

August 24, 2021

Mr. Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, NW
Suite 500
Washington DC, 20005

Dear. Mr. Rounds:

The purpose of this letter is to forward the attached supplement to Mr. Kaplan's Ethics Agreement dated July 30, 2021 and amendments to his Nominee Public Financial Disclosure Report (278e) dated April 23, 2021. Mr. Kaplan explains in his letter dated August 19, 2021, that he inadvertently misstated the values of three assets on his Nominee Public Financial Disclosure Report: Sequoia Cap US Venture 2010 Fund, LP; Sequoia Cap US Venture Partners XIV; and Sequoia Cap US Venture Partners XV.

According to Mr. Kaplan, the correct entries for these three funds are as follows:

Part 6

#	Description	EIF	Value	Income Type	Income Amount
22.7	Sequoia Cap US Venture 2010 Fund (Q), LP	Y	\$1,000,001-\$5,000,000		None (or less than \$201)
22.8	Sequoia Cap US Venture Partners XIV (Q)	Y	1,000,001-\$5,000,000		None (or less than \$201)
22.9	Sequoia Cap US Venture Partners XV (Q)	Y	\$250,001-\$500,000		None (or less than \$201)

As the Alternate Designated Agency Ethics official of the U.S. Department of State, I have reviewed the updated information contained in the supplements and amendment and based upon my review of these and the prior commitments made by Mr. Kaplan in his previously transmitted Ethics Agreement, I continue to believe that Mr. Kaplan is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

A handwritten signature in black ink, appearing to read "David P. Huitema", with a long, sweeping horizontal flourish extending to the right.

David P. Huitema
Assistant Legal Adviser and Alternate Designated
Agency Ethics Official
U.S. Department of State

August 19, 2021

David P. Huitema
Assistant Legal Adviser and Alternate Designated
Agency Ethics Official
U.S. Department of State
2100 C St, NW
Washington, DC 20005

Re: Amendment to Financial Disclosure Report of Jonathan Kaplan

Dear Mr. Huitema:


The purpose of this letter is to correct inadvertent errors in the financial disclosure report that I signed on April 23, 2021. In my initial disclosure, I disclosed the incorrect value of 3 items: Sequoia Cap US Venture 2010 Fund(Q), LP, Sequoia Cap US Venture Partners XIV (Q), and Sequoia Cap US Venture Partners XV (Q). The entries below reflect the correct value of each of these funds.

The items identified below are amended, as follows:

Part 6

#	Description	EIF	Value	Income Type	Income Amount
22.7	Sequoia Cap US Venture 2010 Fund (Q), LP	Y	\$1,000,001-\$5,000,000		None (or less than \$201)
22.8	Sequoia Cap US Venture Partners XIV (Q)	Y	1,000,001-\$5,000,000		None (or less than \$201)
22.9	Sequoia Cap US Venture Partners XV (Q)	Y	\$250,001-\$500,000		None (or less than \$201)

I understand that this amendment will be attached to my financial disclosure report and released upon request with that report.

Sincerely,

Jonathan Kaplan

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Kaplan, Jonathan

Ambassador to the Republic of Singapore, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Kaplan, Jonathan [electronically signed on 04/23/2021 by Kaplan, Jonathan 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/ Huitema, David, Certifying Official [electronically signed on 08/06/2021 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 08/12/2021 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	EducationSuperHighway	San Francisco, California	Non-Profit	Chairperson	2/2012	Present
2	Culinary Institute of America	Hyde Park, New York	University/College	Trustee	10/2016	Present
3	T4a.org	San Francisco, California	Non-Profit	Director	1/2013	Present
4	Pop Sugar, Inc.	San Francisco, California	Corporation	Director	4/2006	4/2019
5	Joint Revocable Trust	San Francisco, California	Trust	Trustee	9/2005	Present
6	Family Member's Trust	San Francisco, California	Trust	Trustee	9/2005	Present
7	Filer's Revocable Trust	San Francisco, California	Trust	Trustee	10/2020	Present
8	SKC Partners	San Francisco, California	Investment Partnership	Partner	11/2005	Present
9	Riverwood Capital Management	Menlo Park, California	Corporation	Advisor	9/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	GROUP NINE MEDIA, Inc. (Media Business), Vested NSO options	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	IRA MBG	No			
2.1	BlackRock Global Allocation Fund, Inc. Institutional (MALOX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	IRA JEK	No			
3.1	Vanguard Total Bond Market Index Fund Admiral (VBTLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Jewish Community Center of San Francisco, defined contribution plan	No			
4.1	Vanguard Target Retirement 2035 Fund Investor (VTTHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Roadster (E-Commerce Business), restricted stock	N/A	\$250,001 - \$500,000		None (or less than \$201)
6	Volta Industries (EV Charging Business), restricted stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	Vivino (E-Commerce Business), restricted vested stock options	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	FishSix RC (Food Service), Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	FishSix RC (Food Service), Vested Options	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Riverwood Capital Management, advisory services	N/A		Advisory Fees	\$10,799

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Jewish Community Center of San Francisco	San Francisco, California	I continue to participate in this defined contribution plan but the plan sponsor no longer makes contributions.	8/2014

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Group Nine Media, Inc.	New York, New York	I will retain my vested stock options.	4/2006
3	Roadster	San Francisco, California	I will retain my restricted stock.	6/2016
4	Volta Industries	San Francisco, California	I will retain my restricted stock.	6/2016
5	Vivino	San Francisco, California	I will retain my vested stock options.	9/2014
6	FishSix RC	San Francisco, California	I will retain my stock and vested stock options.	11/2011

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Riverwood Capital Management	Menlo Park, California	Advisory Services

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	PELTON INTERACTIVE INC CL A	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Apple (APPL)	N/A	\$250,001 - \$500,000	Capital Gains	\$5,001 - \$15,000
3	ISHARES U S OIL & GAS EXPLORATION & PRODUCTION ETF	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4	BARCLAYS IPATH B S&P ETN	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
5	Amazon.com, Inc. (AMZN)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
6	Affirm (AFRM)	N/A	\$500,001 - \$1,000,000	Capital Gains	None (or less than \$201)
7	Merck & Co., Inc. (MRK)	N/A	\$100,001 - \$250,000	Capital Gains	None (or less than \$201)
8	NVIDIA Corp. (NVDA)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
9	Noodles & Co. (NDLS)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
10	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
11	Potbelly Corp. (PBPB)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12	Zoom Info (ZI)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13	Dropbox, Inc. (DBX)	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
14	Lyft, Inc. (LYFT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
15	BARCLAYS BANK PLC IPATH SERIES B S&P GSCI CRUDE OIL ETN UNSOLICITED	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Snap, Inc. (SNAP)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
17	U.S. bank #3 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
18	U.S. bank #2 (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
19	U.S. bank #1 (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
20	U.S. brokerage #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
21	Personal Loan to Mr. Chun	N/A	\$50,001 - \$100,000		None (or less than \$201)
22	Joint Revocable Trust	No			
22.1	Berkeley Lights Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
22.2	U.S. Brokerage #1 (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
22.3	Eventbrite, Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
22.4	GS Merchant Banking Access Fund 2006, LP	Yes	\$15,001 - \$50,000		None (or less than \$201)
22.5	Liquid 2 Ventures, LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
22.6	Riverwood Capital Partners, LP	Yes	\$50,001 - \$100,000		None (or less than \$201)
22.7	Sequoia Cap US Venture 2010 Fund (Q), LP	Yes	None (or less than \$1,001)		None (or less than \$201)
22.8	Sequoia Cap US Venture Partners XIV (Q)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.9	Sequoia Cap US Venture Partners XV (Q)	Yes	\$50,001 - \$100,000		None (or less than \$201)
23	Family Member's Trust	No			
23.1	Baillie Gifford Emerging Markets K	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
23.2	DoubleLine Total Return Bond I	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
23.3	DWS RREEF Real Assets Fund I	Yes	\$100,001 - \$250,000		\$201 - \$1,000
23.4	Fiera Capital International Equity	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
23.5	Kayne Anderson Renewable Infrastructure Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
23.6	PIMCO Short Asset Investment Inst.	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
23.7	Vanguard 500 Index Admiral	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
23.8	Vanguard CA Interm-Term Tax-Exempt Adm	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
23.9	Vanguard FTSE All-Wld ex-US Idx Adm.	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
23.10	Vanguard Ltd-Term Tx-Ex Adm.	Yes	\$250,001 - \$500,000		\$201 - \$1,000
23.11	Vanguard Total Bond Market Index Adm.	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
23.12	Vanguard Total Stock Mkt Idx Adm.	Yes	\$100,001 - \$250,000		\$201 - \$1,000
24	Benchmark Founders Fund VII, LP	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	Benchmark Founders Fund VIII, LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
26	U.S. Brokerage #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27	U.S. Brokerage #4 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
28	DoubleLine Total Return Bond I	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
29	DWS RREEF Real Assets Fund I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
30	Eagle MLP Strategy I	Yes	None (or less than \$1,001)		\$201 - \$1,000
31	Elastic NV	N/A	\$250,001 - \$500,000		None (or less than \$201)
32	Fiera Capital International Equity	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
33	Guardant Health, Inc.	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
34	HighBrook Income Property Fund II, L.P.	Yes	\$1,001 - \$15,000		None (or less than \$201)
35	JPMorgan Alerian MLP ETN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
36	Kayne Anderson Renewable Infrastructure Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
37	Kayne Anderson Renewable Infrastructure Partners, L.P.	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
38	Longleaf Partners Small-Cap	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39	Metropolitan West Total Return Bd I	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
40	MongoDB Inc.	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
41	PIMCO Short Asset Investment Inst.	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
42	Schwab Government Money Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
43	Snap Inc	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
44	Square Inc.	N/A	\$100,001 - \$250,000	Capital Gains	\$100,001 - \$1,000,000
45	Uber Technologies Inc.	N/A	\$250,001 - \$500,000	Capital Gains	\$1,000,001 - \$5,000,000
46	Vanguard 500 Index Admiral	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
47	Vanguard CA Interm-Term Tax-Exempt Adm	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
48	Vanguard FTSE All-Wld ex-US Idx Adm.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
49	Vanguard Ltd-Term Tx-Ex Adm.	Yes	\$250,001 - \$500,000		\$201 - \$1,000
50	SKC Partners (Farallon Capital Partners LP - withdrawn LP interest)	No	\$1,001 - \$15,000	K-1 Income	\$7,873
51	Aperio managed account	No			
51.1	3M Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.2	Abbott Laboratories	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.3	AbbVie Inc.	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
51.4	Abiomed Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.5	Accenture	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.6	Adecco Sa ADR (HR Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.7	Adobe Systems	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.8	Advanced Micro Devices	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.9	AES Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.10	Agilent Technologies	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.11	Alcon, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.12	Alibaba Group Holding Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.13	Align Technology Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.14	Alphabet Inc. A	N/A	\$15,001 - \$50,000		None (or less than \$201)
51.15	Amazon.com Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
51.16	American Express Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.17	AMG River Road Dividend All Cap Value I	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
51.18	Amgen Inc.	N/A	\$1,001 - \$15,000		
51.19	Analog Devices Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.20	Anglo American PLC ADR (Mining Company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.21	Anheuser-Busch InBev	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
51.22	Anhui Conch Cement Co. Ltd. (Cement Manufacturer)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.23	Ansys Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.24	Anthem Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.25	Apple Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
51.26	Applied Materials	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.27	ArcBest Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.28	Arcelor Mittal SA ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.29	Arista Networks Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.30	ASML Holding NV ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.31	Astellas Pharmaceuticals Inc. ADR, (Pharmaceuticals Manufacturer)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.32	AT&T Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51.33	Atmos Energy Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.34	AutoDesk Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.35	Automatic Data Processing Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.36	AutoZone Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.37	AvalonBay Communities, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.38	Baillie Gifford Emerging Markets K	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
51.39	Baker (Michael) Corporation Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.40	Banco Bradesco SA ADR (Financial Services Company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.41	Bank Of America Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.42	Barrick Gold Corporation	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.43	Becton Dickinson & Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.44	Berkshire Hathaway B	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.45	Biogen Idec Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.46	BlackRock Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.47	Boeing Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.48	Booking Holdings Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.49	Boston Beer	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.50	Bristol-Myers Squibb	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.51	Broadcom Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.52	BYD Company Ltd. (Manufacturing Company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.53	Cadence Design Systems	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.54	Cap Gemini SA ADR (Consulting, technology, professional, and outsourcing services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.55	Caterpillar Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.56	Cemex SAB de CV ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.57	Charles Schwab Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.58	Charter Communications	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.59	Chevron Corp.	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
51.60	Chubb Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.61	Chunghwa Telecom Co. Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.62	Cigna Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.63	Citizens Financial Group Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.64	Clorox Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.65	Cognex Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.66	Comcast Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.67	Commerzbank AG ADR (Commercial banking services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.68	Compass Group PLC ADR (Food and support services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.69	ConAgra Foods Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.70	Consolidated Edison Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.71	Copart Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.72	Corning Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.73	Costco Wholesale Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.74	Covestro AG (Manufacturer of polymers)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.75	Credicorp Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.76	CSL Ltd. (Biotechnology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.77	CSX Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.78	Cummins Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.79	CVS Caremark Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.80	D.R. Horton Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.81	Daiichi Sankyo Co. Ltd. (Pharmaceutical company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.82	Danaher Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.83	Deere & Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.84	Delta Air Lines Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.85	Digital Rlty Tr Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.86	Dollar General Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.87	Dominos Pizza Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.88	Domo Inc.	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.89	Dow Chemical	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.90	Dr. Reddy's Laboratories Ltd. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.91	Eaton Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.92	Edwards Lifesciences Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.93	Eli Lilly & Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.94	Emerson Electric Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.95	Enbridge Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51.96	Eplus Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.97	Essity AB (Personal care producer)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
51.98	Estee Lauder	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.99	Evergreen International Holdings Ltd (Clothing/Retail)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.100	Facebook Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.101	FedEx Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.102	Ferrari NV	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.103	Fidelity National Information Services Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.104	Fifth Third Bancorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.105	First Bancorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.106	Fiserv Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.107	Fortis Inc.	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
51.108	Franco-Nevada Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.109	Frasers Centrepoint F (REIT)	See Endnote	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51.110	Freeport McMoran Copper & Gold B	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.111	Fresenius Medical Care AG & Co. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.112	Fuji Heavy Industries Ltd. (Transportation Manufacturing)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.113	FUJIFILM Holdings Corp. (Conglomerate, photography, and optics)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.114	Gerdau SA ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.115	Gildan Activewear Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.116	Gilead Sciences Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.117	Glencore ADR (Commodity trading & mining)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.118	Global Payments Inc.	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.119	Globe Life Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.120	Graco Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.121	Heineken ADR (Beverage manufacturer and distributor)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.122	Heineken Holding NV (Beverage manufacturer and distributor)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.123	Home Depot Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.124	Honeywell	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.125	Hong Kong Exchanges and Clearing ADR (Stock & Futures Operations)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.126	Hormel Foods Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.127	HP Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.128	Iberdrola SA ADR (Utility Company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.129	ICICI Bank Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.130	Illinois Tool Works Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.131	Infosys Technologies Ltd. (Technology & consulting)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.132	Ingles Markets Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.133	Intel Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.134	InterContinental Hotels Group PLC ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.135	Intesa Sanpaolo ADR (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.136	Intuit Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.137	Intuitive Surgical Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.138	Itau Unibanco Holding SA ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.139	Jacobs Engineering Group Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.140	Johnson & Johnson	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.141	JP Morgan Chase & Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.142	Kansas City Southern	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.143	Kao Corp. Un-sponsored ADR (Manufacture & sell consumer & chemical products)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.144	KDDI Corp. (Telecommunications)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.145	Kellogg Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.146	KeyCorp Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.147	Keysight Technologies Inc. C	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.148	KLA Tencor Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.149	Komatsu Ltd. ADR (Manufacturer of construction, mining, forestry & military equipment)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.150	Kroger Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.151	Kubota Corp. ADR (Tractor & Heavy equipment manufacturer)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.152	LAM Research	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.153	Legal & General Group (Financial services)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
51.154	Legg Mason Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
51.155	Lennar Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.156	Leonardo ADR (Aerospace)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.157	Liberty Broadband Corp. A	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.158	Linde PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.159	Lockheed Martin Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.160	Lowe's Cos Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.161	LSI Logic Corp. (Semiconductor & software)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.162	Lundin Petroleum AB (Oil & Gas)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
51.163	Macquarie Group Ltd. (Financial Services)	N/A	\$15,001 - \$50,000		None (or less than \$201)
51.164	Makita Corp. (Power tool manufacturer)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.165	MarketAxess Holdings Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.166	Marriott International Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.167	Marsh & McLennan Companies Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.168	Mastercard Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.169	McDonalds Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.170	McKesson Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.171	Medsoft.com	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.172	Medtronic Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.173	Merck & Co. Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.174	Mercury Computer Systems (Technology for Aerospace/Defense)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.175	Micron Technology Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.176	Microsoft Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
51.177	Moderna, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.178	Mondelez International Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.179	Moody's Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.180	Morgan Stanley	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.181	Motorola Solutions Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.182	MS&AD Insurance Group Holdings Inc. (Insurance)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.183	Muenchener Rueckversicherungs-Ges. AG (Financial Services)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51.184	Naspers Ltd. (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.185	National Grid Group PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.186	Nestle SA ADR (Food and Beverage)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51.187	NetApp	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.188	Netflix Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.189	NextEra Energy Resources	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.190	Nidec Corp. (Manufacturer of electric motors)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.191	Nike Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.192	Nintendo (Consumer electronics)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.193	Nokia Corp. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.194	Norfolk Southern Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.195	Northrop Grumman Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.196	Norton LifeLock Inc.	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
51.197	Novartis AG	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51.198	Novo-Nordisc ADR (Healthcare)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.199	NRG Energy Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.200	NTT Docomo Inc. ADR (Telecommunications)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
51.201	NVIDIA Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.202	O'Reilly Automotive, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.203	OKTA	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.204	ONEOK, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.205	Open Joint Stock Company Surgutneftegas (Oil and Gas)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.206	Oracle Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.207	Oversea Chinese Bankng New (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.208	Paramount Bed Holdings OrdF (Manufacturer/sales beds for medical & welfare use)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.209	Paypal Holdings Inco	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.210	Pepsico Inc Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.211	Perficient Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.212	Pfizer Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.213	Philip Morris Intl	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.214	Physicians Realty Tr	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.215	Ping An Insurance Co. of China Ltd (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.216	Plantronics Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.217	Pool Corporation	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.218	Popular Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.219	Posco	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.220	Premier, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.221	Procter & Gamble Co Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.222	Progressive Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.223	ProLogis	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.224	Prudential PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.225	PT Bank Mandiri Persero TBK (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.226	PTelekomunikasi Indonesia	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.227	Qualcomm Inc Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.228	Range Resources Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.229	Raytheon Technologies Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.230	Reckitt Benckiser Group (Consumer Goods Producer)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.231	Relx Plc Sponsored Adr	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.232	Renault S A (Automobile manufacturer)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.233	Ribbon Communications Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.234	Roche Holdings ADR (Healthcare)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51.235	Roper Industries Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.236	Ross Stores	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.237	Royal Bank Of Canada	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.238	Ryanair Holdings Plc	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.239	S & P Global Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.240	Salesforce.com	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.241	Sanofi-Aventis	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.242	SBA Communications Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.243	Sekisui House Ltd (Homebuilder)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.244	ServiceNow, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.245	Sherwin-Williams Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.246	Shinhan Financial Group Co. Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.247	Shiseido Co Ltd (Cosmetic/Personal Care producer)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.248	SK Telecom Co. Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.249	Softbank Corp. (Conglomerate/Holding Company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.250	Sony Corp.	N/A	\$15,001 - \$50,000		None (or less than \$201)
51.251	Southern Company	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.252	Starbucks Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.253	Stellantis N.V.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.254	STMicroelectronics	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.255	Stryker Corp Common Common	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.256	SVB Financial Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.257	Svenska Cellulosa B (Distributor/whole of wood products)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
51.258	Svenska Handelsbanken A (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.259	Swedbank AB (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.260	Swisscom AG (Telecommunications)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
51.261	T-Mobile US, Inc. Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.262	T. Rowe Price Group, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.263	Taiwan Semiconductor	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
51.264	Target Corp Com Stk	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.265	Technitrol Inc. (Electrical supply store)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.266	Teck Resources Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.267	Tencent Holdings Adr (Technology/communications)	N/A	\$15,001 - \$50,000		None (or less than \$201)
51.268	Tesla Motors, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.269	Texas Instruments Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.270	The Coca-Cola Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.271	Thermo Fisher Scientific, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.272	Timken Company	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.273	TJX Companies Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.274	Tokio Marine Adr (Holding company primarily insurance)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.275	Toronto-Dominion Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.276	Toto Ltd Adr (Toilet Manufacturer)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.277	Tractor Supply Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.278	Trane Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.279	Truist Financial Corporation	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.280	TTEC Holdings, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.281	Twilio Inc Cl A	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.282	UniCredit S.p.A. Unsponsored ADR (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.283	Union Pacific Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.284	United Health Care	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.285	United Parcel Service	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.286	Unitil Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.287	US Bancorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.288	Vale SA	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.289	Valeo Spon Adr (Automotive supplier)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.290	Verizon Communications	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.291	Vinci SA Adr (Concessions & construction)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.292	Visa Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.293	W. P. Carey Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.294	Wal-Mart Stores Inc Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.295	Walgreens Boots Alliance	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.296	Walt Disney Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.297	Waste Management Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.298	Wells Fargo & Co New Com Stk	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.299	Wipro Ltd Sponsored ADR 1 Sh	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.300	Workday, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.301	Wyndham Hotels & Resorts Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.302	Xylem Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.303	Zayo Group Holdings (Holding company/communications)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51.304	Zillow Group Inc A	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.305	Zoetis Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
51.306	Zoom Video Communications	N/A	\$1,001 - \$15,000		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	First Republic Bank	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2020	2.650	30 years
2	Farallon Capital Partners	Investment Fund	\$15,001 - \$50,000	2007	N/A	N/A
3	GS Merchant Banking Access Fund 2006	Investment Fund	\$50,001 - \$100,000	2007	N/A	N/A
4	HighBrook Income Property Fund II	Investment Fund	\$15,001 - \$50,000	2015	N/A	N/A
5	Sequoia Cap U.S. Venture Partners XV	Venture Capital Investment Fund	\$15,001 - \$50,000	2014	N/A	N/A

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	51.109	Invests in: Australia, Singapore, China, Thailand, Europe, Vietnam, Japan, New Zealand, Indonesia, and Malaysia

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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