

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Richman, Peter

Assistant Director, Mergers III, Federal Trade Commission

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Richman, Peter [electronically signed on 03/19/2019 by Richman, Peter 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/ Pankey, Lorielle L, Certifying Official [electronically signed on 05/14/2019 by Pankey, Lorielle L in Integrity.gov]

Other review conducted by

/s/ Bannon, Craig, Ethics Official [electronically signed on 05/10/2019 by Bannon, Craig in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/10/2019

Data Revised 05/09/2019

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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 | Adat Shalom Reconstructionist Congregation | N/A | | Salary | |
| 2 | Ohr Kodesh Early Childhood Center | N/A | | Salary | |

6. Other Assets and Income

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-------------|-----|-----------------------------|----------------------------|---------------------------|
| 1 | US Cash Account #1 | | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2 | US Cash Account #2 | | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3 | BIV VANGUARD INTERMEDIATE TERM BOND ETF | See Endnote | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 4 | BSV VANGUARD SHORT TERM BOND | See Endnote | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 5 | DBLTX DOUBLELINE TOTAL RETURN BOND FUND CL I | See Endnote | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 6 | EFA iShares MSCI EAFE Index | See Endnote | Yes | None (or less than \$1,001) | | \$15,001 - \$50,000 |
| 7 | EL LAUDER ESTEE COS INC A | | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 8 | ERBCX EATON VANCE RCHRD BRSTN EQUITY STRATGY FD CL C | | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9 | SGENX FIRST EAGLE GLOBAL FUND CLASS A | See Endnote | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 10 | FMDIX FRANKLIN MARYLAND TAX FREE CL C | | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 11 | IEMG ISHARES INC CORE MSCI EMERGING MKTS ETF | See Endnote | Yes | None (or less than \$1,001) | | \$5,001 - \$15,000 |
| 12 | INTC Intel Corp | | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 13 | JNJ JOHNSON AND JOHNSON COM | | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 14 | KIE SPDR S&P Insurance ETF | | Yes | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 15 | LQD ISHARES IBOXX \$ INVT GRADE CORP BD | See Endnote | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|-----------------------------------|-------------|-----|-----------------------------|---------------|---------------------------|
| 16 | MBB ISHARES MBS ETF | See Endnote | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 17 | NSC Norfolk Southern Corp | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 18 | PCY Powershares EM Sovereign Bond | See Endnote | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 19 | SBUX Starbucks Corp | | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 20 | T AT&T INC | | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 21 | TIP ISHARES TIPS BOND ETF | See Endnote | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 22 | VFH Vanguard Financials ETF | See Endnote | Yes | None (or less than \$1,001) | | \$5,001 - \$15,000 |
| 23 | VGT VANGUARD INFORMATION TECH ETF | See Endnote | Yes | None (or less than \$1,001) | | \$15,001 - \$50,000 |
| 24 | VZ VERIZON COMMUNICATNS COM | | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 25 | WFC WELLS FARGO & CO NEW DEL | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 26 | XLE SECTOR SPDR ENERGY | | Yes | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 27 | XLF SECTOR SPDR FINANCIAL | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 28 | XLI SECTOR SPDR INDUSTRIAL | | Yes | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |
| 29 | XLP SECTOR SPDR CONSMRS STPL | | Yes | \$1,001 - \$15,000 | | \$2,501 - \$5,000 |
| 30 | XLU SECTOR SPDR UTILITIES | | Yes | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 31 | XLV HEALTH CARE SELECT SPDR | | Yes | \$1,001 - \$15,000 | | \$5,001 - \$15,000 |
| 32 | XLY CONSUMER DISCRETIONARY SPDR | See Endnote | Yes | None (or less than \$1,001) | | \$5,001 - \$15,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-------------|-----|-----------------------------|-------------------|---------------------------|
| 33 | Unimproved Land San Luis Obispo, CA (Undivided Interest) | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 34 | College Investment Plan - Maryland 529: Maryland College Investment Plan Portfolio 2018 | | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 35 | College Investment Plan - Maryland 529: Maryland College Investment Plan Portfolio 2024 | | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 36 | Limited Partnership - Camarillo Gateway Ltd, Camarillo, California (limited partnership unit). Commercial real estate rental property manager. | See Endnote | No | \$15,001 - \$50,000 | Rent or Royalties | \$1,001 - \$2,500 |
| 37 | Limited Partnership - Constitution Equity Ltd, II Camarillo, California (limited partnership unit). Commercial real estate rental property manager. | See Endnote | No | \$15,001 - \$50,000 | Rent or Royalties | \$1,001 - \$2,500 |
| 38 | XLRE Real Estate Select Sector SPDR FD SHS | | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 39 | AAPL Apple Inc | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 40 | ADBE Adobe Systems Inc. | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 41 | COST Costco Wholesale Corporation - Common Stock | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 42 | IBB iShares Nasdaq Biotechnology Index Fund | | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 43 | MA Mastercard Inc | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 44 | NFLX Netflix, Inc. - Common Stock | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-------------|-----|-----------------------------|---------------|---------------------------|
| 45 | PYPL Paypal Holdings Inc. | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 46 | ZTS Zoetis Inc | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 47 | US Cash Account #3 | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 48 | US Cash Account #4 | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 49 | DIA SPDR Dow Jones Industrial Average | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 50 | IJR iShares S&P SmallCap 600 Index | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 51 | IUSG ISHARES CORE S&P US GROWTH | | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 52 | IUSV ISHARES CORE S&P US VALUE | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 53 | QQQ INVESCO | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 54 | VEA VANGUARD FTSE DEVELOPED MARKETS | | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 55 | VWO VANGUARD FTSE EMERGING MARKETS | | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 56 | US Cash Account #5 | | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 57 | US Cash Account #6 | | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 58 | ALGN Align Technology, Inc. - Common Stock | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-------------|-----|-----------------------------|---------------|---------------------------|
| 59 | CSX CSX Corp | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 60 | FDN FIRST TR EXCHANGE | See Endnote | Yes | None (or less than \$1,001) | | \$1,001 - \$2,500 |
| 61 | ISRG Intuitive Surgical Inc. | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 62 | MSFT Microsoft Corporation - Common Stock | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 63 | CRM Salesforce.com | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 64 | XLC SPDR COMM SERVICES SELECT | | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|-----------------------------------|------|----------|---------------------|
| 1 | ISHARES MSCI EAFE (EFA) | Sale | 01/31/18 | \$15,001 - \$50,000 |
| 2 | SECTOR SPDR CONSMRS STPL (XLP) | Sale | 01/31/18 | \$1,001 - \$15,000 |
| 3 | ISHARES MSCI EAFE (EFA) | Sale | 01/30/18 | \$15,001 - \$50,000 |
| 4 | SECTOR SPDR UTILITIES (XLU) | Sale | 01/31/18 | \$1,001 - \$15,000 |
| 5 | ISHARES MSCI EAFE (EFA) | Sale | 01/31/18 | \$1,001 - \$15,000 |
| 6 | ISHARES MSCI EAFE (EFA) | Sale | 01/31/18 | \$15,001 - \$50,000 |
| 7 | SECTOR SPDR UTILITIES (XLU) | Sale | 01/31/18 | \$1,001 - \$15,000 |
| 8 | VANGUARD TELECOMM SRVCS ETF (VOX) | Sale | 01/31/18 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|----------|---------------------|
| 9 | ISHARES INC CORE MSCI EMERGING MKTS.(IEMG) | Sale | 01/31/18 | \$1,001 - \$15,000 |
| 10 | CONSUMER DISCRETIONARY SPDR (XLY) | Sale | 01/31/18 | \$1,001 - \$15,000 |
| 11 | VANGUARD INTERMEDIATE TERM BOND ETF (BIV) | Purchase | 01/31/18 | \$1,001 - \$15,000 |
| 12 | MATERIALS SELECT SECTOR SPDR FUND (XLB) | Purchase | 01/31/18 | \$1,001 - \$15,000 |
| 13 | VANGUARD INFORMATION TECH ETF (VGT) | Purchase | 01/31/18 | \$1,001 - \$15,000 |
| 14 | MATERIALS SELECT SECTOR SPDR FUND (XLB) | Purchase | 01/31/18 | \$1,001 - \$15,000 |
| 15 | ISHARES TR CORE MSCI EAF ETF (IEFA) | Purchase | 01/31/18 | \$1,001 - \$15,000 |
| 16 | VANGUARD INTERMEDIATE TERM BOND ETF (BIV) | Purchase | 01/31/18 | \$1,001 - \$15,000 |
| 17 | ISHARES TR CORE MSCI EAF ETF (IEFA) | Purchase | 01/31/18 | \$15,001 - \$50,000 |
| 18 | ISHARES TR CORE MSCI EAF ETF (IEFA) | Purchase | 01/31/18 | \$15,001 - \$50,000 |
| 19 | ISHARES TR CORE MSCI EAF ETF (IEFA) | Purchase | 01/31/18 | \$15,001 - \$50,000 |
| 20 | FDN - First TR Exchange Traded Dow Jones | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 21 | FDN - First TR Exchange Traded Dow Jones | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 22 | FDN - First TR Exchange Traded Dow Jones | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 23 | FDN - First TR Exchange Traded Dow Jones | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 24 | IEFA - iShares Core MSCI EAFE ETF | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 25 | IBB - iShares Nasdaq Biotechnology | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 26 | VGT - Vanguard Information Tech ETF | Purchase | 03/08/18 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|---------------------|
| 27 | VGT - Vanguard Information Tech ETF | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 28 | VGT - Vanguard Information Tech ETF | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 29 | VGT - Vanguard Information Tech ETF | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 30 | VOX - Vanguard Telecom Services ETF | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 31 | XLB - Materials Select SPDR Fund | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 32 | XLE - Sector SPDR Energy | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 33 | XLI - Industrial Select Sector SPDR | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 34 | XLP - Sector SPDR Consumers STPL | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 35 | XLRE - Real Estate Sector SPDR | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 36 | XLRE - Real Estate Sector SPDR | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 37 | XLU - Sectr SPDR Utilities | Sale | 03/08/18 | \$1,001 - \$15,000 |
| 38 | XLV - Health Care Select SPDR | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 39 | XLY - Consumer Discretionary SPDR | Purchase | 03/08/18 | \$1,001 - \$15,000 |
| 40 | VFH - Vanguard Financials ETF | Purchase | 04/02/2018 | \$1,001 - \$15,000 |
| 41 | XLY - Consumer Discretionary SPDR | Sale | 04/02/2018 | \$1,001 - \$15,000 |
| 42 | XLY - Consumer Discretionary SPDR | Sale | 04/02/2018 | \$1,001 - \$15,000 |
| 43 | XLY - Consumer Discretionary SPDR | Sale | 04/02/2018 | \$1,001 - \$15,000 |
| 44 | VFH - Vanguard Financials ETF | Purchase | 04/02/2018 | \$1,001 - \$15,000 |
| 45 | VFH - Vanguard Financials ETF | Purchase | 04/02/2018 | \$1,001 - \$15,000 |
| 46 | DBLTX Doubleline Total Return Bond Fund | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 47 | BIV Vanguard Intermediate Term Bond ETF | Sale | 04/12/2018 | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|---------------------|
| 48 | BIV Vanguard Intermediate Term Bond ETF | Sale | 04/12/2018 | \$15,001 - \$50,000 |
| 49 | DBLTX Doubleline Total Return Bond Fund | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 50 | BIV Vanguard Intermediate Term Bond ETF | Sale | 04/12/2018 | \$1,001 - \$15,000 |
| 51 | BIV Vanguard Intermediate Term Bond ETF | Sale | 04/12/2018 | \$1,001 - \$15,000 |
| 52 | TIP ISHARES TIPS Bond ETF | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 53 | TIP ISHARES TIPS Bond ETF | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 54 | TIP ISHARES TIPS Bond ETF | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 55 | TIP ISHARES TIPS Bond ETF | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 56 | BSV Vanguard Short Term Bond | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 57 | BSV Vanguard Short Term Bond | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 58 | SHY ISHARES 1-3 Year Treasury Bond ETF | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 59 | SHY ISHARES 1-3 Year Treasury Bond ETF | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 60 | SHY ISHARES 1-3 Year Treasury Bond ETF | Purchase | 04/12/2018 | \$1,001 - \$15,000 |
| 61 | SHY ISHARES 1-3 Year Treasury Bond ETF | Purchase | 04/12/2018 | \$15,001 - \$50,000 |
| 62 | IEFA iShares Core MSCI EAFE ETF | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 63 | IEFA iShares Core MSCI EAFE ETF | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 64 | SHY iShares 1-3 Year Treasury Bond | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 65 | DBLTX Doubleline Total Return Bond Fund | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 66 | SHY iShares 1-3 Year Treasury Bond | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 67 | IEFA iShares Core MSCI EAFE ETF | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 68 | BIV Vanguard Intermediate Term Bond ETF | Sale | 06/21/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|--------------------|
| 69 | MBB iShares MBS ETF | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 70 | SHY iShares 1-3 Year Treasury Bond | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 71 | DBLTX Doubleline Total Return Bond Fund | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 72 | IEFA iShares Core MSCI EAFE ETF | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 73 | PCY INVESCO EMERGING MARKETS SOVEREIGN DEBT ETF | Sale | 06/21/2018 | \$1,001 - \$15,000 |
| 74 | IEMG iShares Core MSCI Emerging Markets ETF | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 75 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 76 | VFH Vanguard Financials ETF | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 77 | IEMG iShares Core MSCI Emerging Markets ETF | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 78 | XLI Industrial Select Sector SPDR | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 79 | BSV Vanguard Short Term Bond | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 80 | VFH Vanguard Financials ETF | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 81 | BSV Vanguard Short Term Bond | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 82 | VFH Vanguard Financials ETF | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 83 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 84 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 85 | BSV Vanguard Short Term Bond | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 86 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Purchase | 06/21/2018 | \$1,001 - \$15,000 |
| 87 | GE General Electric Co | Sale | 07/06/2018 | \$1,001 - \$15,000 |
| 88 | WFC Wells Fargo & Co | Sale | 07/06/2018 | \$1,001 - \$15,000 |
| 89 | FB Facebook, Inc. - Class A Common Stock | Purchase | 07/11/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|------------|---------------------|
| 90 | COST Costco Wholesale Corp | Purchase | 07/11/2018 | \$1,001 - \$15,000 |
| 91 | AAPL Apple Inc. | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 92 | ADBE Adobe Systems Inc | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 93 | AAPL Apple Inc. | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 94 | BSV Vanguard Short Term Bond | Sale | 07/17/2018 | \$15,001 - \$50,000 |
| 95 | ADBE Adobe Systems Inc | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 96 | BSV Vanguard Short Term Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 97 | BSV Vanguard Short Term Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 98 | BSV Vanguard Short Term Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 99 | COST Costco Wholesale Corp | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 100 | COST Costco Wholesale Corp | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 101 | DBLTX Doubleline Total Return Bond Fund | Sale | 07/17/2018 | \$15,001 - \$50,000 |
| 102 | DBLTX Doubleline Total Return Bond Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 103 | DBLTX Doubleline Total Return Bond Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 104 | DBLTX Doubleline Total Return Bond Fund | Sale | 07/18/018 | \$1,001 - \$15,000 |
| 105 | FB Facebook, Inc. - Class A Common Stock | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 106 | FB Facebook, Inc. - Class A Common Stock | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 107 | FDN First TR Exchange Traded Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 108 | FDN First TR Exchange Traded Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 109 | FDN First TR Exchange Traded Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 110 | HYG iShares iBoxx \$ High Yield Corporate Bd | Sale | 07/17/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|------------|---------------------|
| 111 | HYG iShares iBoxx \$ High Yield Corporate Bd | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 112 | HYG iShares iBoxx \$ High Yield Corporate Bd | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 113 | IBB iShares Nasdaq Biotechnology Index Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 114 | IBB iShares Nasdaq Biotechnology Index Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 115 | IEFA iShares Core MSCI EAFE ETF | Sale | 07/18/2018 | \$15,001 - \$50,000 |
| 116 | IBB iShares Nasdaq Biotechnology Index Fund | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 117 | IEFA iShares Core MSCI EAFE ETF | Sale | 07/18/2018 | \$15,001 - \$50,000 |
| 118 | IEFA iShares Core MSCI EAFE ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 119 | IEI iShares Barclays 3-7 Year Treasury Bond | Sale | 07/17/2018 | \$15,001 - \$50,000 |
| 120 | IEI iShares Barclays 3-7 Year Treasury Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 121 | IEI iShares Barclays 3-7 Year Treasury Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 122 | IEI iShares Barclays 3-7 Year Treasury Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 123 | IEMG iShares Core MSCI Emerging Markets ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 124 | IEMG iShares Core MSCI Emerging Markets ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 125 | IEMG iShares Core MSCI Emerging Markets ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 126 | IJR iShares S&P SmallCap 600 Index | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 127 | IJR iShares S&P SmallCap 600 Index | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 128 | IJR iShares S&P SmallCap 600 Index | Purchase | 07/18/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|------------|----------------------|
| 129 | IJR iShares S&P SmallCap 600 Index | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 130 | IJR iShares S&P SmallCap 600 Index | Purchase | 07/18/2018 | \$15,001 - \$50,000 |
| 131 | IUSG ISHARES CORE S&P U.S. GROWTH ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 132 | IUSG ISHARES CORE S&P U.S. GROWTH ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 133 | IUSG ISHARES CORE S&P U.S. GROWTH ETF | Purchase | 07/18/2018 | \$15,001 - \$50,000 |
| 134 | IUSG ISHARES CORE S&P U.S. GROWTH ETF | Purchase | 07/18/2018 | \$15,001 - \$50,000 |
| 135 | IUSG ISHARES CORE S&P U.S. GROWTH ETF | Purchase | 07/18/2018 | \$15,001 - \$50,000 |
| 136 | IUSV ISHARES CORE S&P US VALUE ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 137 | IUSV ISHARES CORE S&P US VALUE ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 138 | IUSV ISHARES CORE S&P US VALUE ETF | Purchase | 07/18/2018 | \$15,001 - \$50,000 |
| 139 | IUSV ISHARES CORE S&P US VALUE ETF | Purchase | 07/18/2018 | \$50,001 - \$100,000 |
| 140 | IUSV ISHARES CORE S&P US VALUE ETF | Purchase | 07/18/2018 | \$50,001 - \$100,000 |
| 141 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Sale | 07/17/2018 | \$15,001 - \$50,000 |
| 142 | KIE SPDR S&P Insurance ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 143 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 144 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 145 | LQD iShares iBoxx \$ Invest Grade Corp Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|------|------------|---------------------|
| 146 | MBB iShares Barclays MBS Bond | Sale | 07/17/2018 | \$1,001 - \$15,000 |
| 147 | MBB iShares Barclays MBS Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 148 | MBB iShares Barclays MBS Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 149 | MBB iShares Barclays MBS Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 150 | NFLX NetFlix Inc | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 151 | NFLX NetFlix Inc | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 152 | PCY INVESCO EMERGING MARKETS SOVEREIGN ... | Sale | 07/17/2018 | \$1,001 - \$15,000 |
| 153 | PCY INVESCO EMERGING MARKETS SOVEREIGN ... | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 154 | PCY INVESCO EMERGING MARKETS SOVEREIGN ... | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 155 | PCY INVESCO EMERGING MARKETS SOVEREIGN ... | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 156 | PGX INVESCO PREFERRED ETF | Sale | 07/17/2018 | \$1,001 - \$15,000 |
| 157 | PGX INVESCO PREFERRED ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 158 | PGX INVESCO PREFERRED ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 159 | SHY iShares Barclays 1-3 Year Treasury Bond | Sale | 07/17/2018 | \$15,001 - \$50,000 |
| 160 | SHY iShares Barclays 1-3 Year Treasury Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 161 | SHY iShares Barclays 1-3 Year Treasury Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 162 | SHY iShares Barclays 1-3 Year Treasury Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 163 | TIP iShares Barclays TIPS Bond | Sale | 07/17/2018 | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|------------|-------------------------|
| 164 | TIP iShares Barclays TIPS Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 165 | TIP iShares Barclays TIPS Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 166 | TIP iShares Barclays TIPS Bond | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 167 | VEA VANGUARD FTSE DEVELOPED MARKETS ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 168 | VEA VANGUARD FTSE DEVELOPED MARKETS ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 169 | VEA VANGUARD FTSE DEVELOPED MARKETS ETF | Purchase | 07/18/2018 | \$15,001 - \$50,000 |
| 170 | VEA VANGUARD FTSE DEVELOPED MARKETS ETF | Purchase | 07/18/2018 | \$15,001 - \$50,000 |
| 171 | VEA VANGUARD FTSE DEVELOPED MARKETS ETF | Purchase | 07/18/2018 | \$50,001 - \$100,000 |
| 172 | VFH Vanguard Financials ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 173 | VFH Vanguard Financials ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 174 | VGT Vanguard Information Tech ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 175 | VFH Vanguard Financials ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 176 | VGT Vanguard Information Tech ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 177 | VGT Vanguard Information Tech ETF | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 178 | VWO VANGUARD FTSE EMERGING MARKETS ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 179 | VWO VANGUARD FTSE EMERGING MARKETS ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 180 | VWO VANGUARD FTSE EMERGING MARKETS ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 181 | VWO VANGUARD FTSE EMERGING MARKETS ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|------------|--------------------|
| 182 | XLB MATERIALS SELECT SECTOR SPDR FUND | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 183 | VVO VANGUARD FTSE EMERGING MARKETS ETF | Purchase | 07/18/2018 | \$1,001 - \$15,000 |
| 184 | XLB MATERIALS SELECT SECTOR SPDR FUND | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 185 | XLB MATERIALS SELECT SECTOR SPDR FUND | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 186 | XLE SECTOR SPDR ENERGY | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 187 | XLE SECTOR SPDR ENERGY | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 188 | XLI Industrial Select Sector SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 189 | XLI Industrial Select Sector SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 190 | XLI Industrial Select Sector SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 191 | XLP Sector SPDR Consrms STPL | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 192 | XLP Sector SPDR Consrms STPL | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 193 | XLP Sector SPDR Consrms STPL | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 194 | XLRE Real Estate Select Sector SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 195 | XLRE Real Estate Select Sector SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 196 | XLRE Real Estate Select Sector SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 197 | XLU Sector SPDR Utilities | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 198 | XLU Sector SPDR Utilities | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 199 | XLV Health Care Select SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 200 | XLV Health Care Select SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 201 | XLV Health Care Select SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|--------------|---------------------|
| 202 | XLY Consumer Discretionary SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 203 | XLY Consumer Discretionary SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 204 | XLY Consumer Discretionary SPDR | Sale | 07/18/2018 | \$1,001 - \$15,000 |
| 205 | FDN First Tr Exchange Traded FD Dow Jones | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 206 | IEFA iShares Core MSCI EAFE ETF | Sale | 07/19/2018 | \$15,001 - \$50,000 |
| 207 | IBB iShares Nasdaq Biotechnology | Purchase | 07/19.8/2018 | \$1,001 - \$15,000 |
| 208 | IEMG iShares Core MSCI Emerging Markets ETF | Sale | 07/19/2018 | \$1,001 - \$15,000 |
| 209 | KIE SPDR S&P Insurance ETF | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 210 | VFH Vanguard Financials ETF | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 211 | VGT Vanguard Information Tech ETF | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 212 | XLB Materials Select SPDR Fund | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 213 | XLI Industrial Select Sector SPDR | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 214 | XLE Sector SPDR Energy | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 215 | XLP Sector SPDR Consrms STPL | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 216 | XLRE Real Estate Select SPDR FD | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 217 | XLU Sector SPDR Utilities | Purchase | 07/19/2018` | \$1,001 - \$15,000 |
| 218 | XLV Health Care Select SPDR | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 219 | XLY Consumer Discretionary SPDR | Purchase | 07/19/2018 | \$1,001 - \$15,000 |
| 220 | XLY Consumer Discretionary SPDR | Purchase | 08/29/2018 | \$1,001 - \$15,000 |
| 221 | FDN First Tr Exchange Traded Dow Jones | Purchase | 08/29/2018 | \$1,001 - \$15,000 |
| 222 | VGT Vanguard Information Tech ETF | Sale | 08/21/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|------------|---------------------|
| 223 | XLY Consumer Discretionary SPDR | Sale | 10/22/2018 | \$1,001 - \$15,000 |
| 224 | XLC Comm SVS Select Sector SPDR | Purchase | 10/22/2018 | \$1,001 - \$15,000 |
| 225 | IUSG ISHARES CORE S&P US GROWTH ETF | Sale | 11/05/2018 | \$1,001 - \$15,000 |
| 226 | IUSV ISHARES CORE S&P US VALUE ETF | Sale | 11/05/2018 | \$1,001 - \$15,000 |
| 227 | XLY Consumer Discretionary SPDR | Sale | 11/30/2018 | \$1,001 - \$15,000 |
| 228 | XLRE Real Estate Select SPDR | Sale | 11/30/2018 | \$1,001 - \$15,000 |
| 229 | VFH Vanguard Financials ETF | Sale | 11/30/2018 | \$1,001 - \$15,000 |
| 230 | XLP Sector SPDR Consumers STPL | Sale | 11/30/2018 | \$1,001 - \$15,000 |
| 231 | XLI Industrial Select Sector SPDR | Sale | 11/30/2018 | \$1,001 - \$15,000 |
| 232 | XLV Health Care Select SPDR | Sale | 11/30/2018 | \$1,001 - \$15,000 |
| 233 | VGT Vanguard Information Tech ETF | Sale | 11/30/2018 | \$1,001 - \$15,000 |
| 234 | FDN FIRST TRUST DOW JONES INTERNET INDEX FUND | Sale | 12/20/2018 | \$1,001 - \$15,000 |
| 235 | QQQ INVESCO QQQ TR SER 1 | Purchase | 12/20/2018 | \$15,001 - \$50,000 |
| 236 | VGT VANGUARD INFORMATION TECH ETF | Sale | 12/20/2018 | \$15,001 - \$50,000 |
| 237 | XLB MATERIALS SELECT SECTOR SPDR | Sale | 12/20/2018 | \$1,001 - \$15,000 |
| 238 | DIA SPDR Dow Jones Industrial Average | Purchase | 12/20/2018 | \$15,001 - \$50,000 |
| 239 | XLY CONSUMER DISCRETIONARY SPDR | Sale | 12/20/2018 | \$1,001 - \$15,000 |
| 240 | XLF FINANCIAL SELECT SECTOR SPDR ETF | Purchase | 12/20/2018 | \$15,001 - \$50,000 |
| 241 | VFH VANGUARD FINANCIALS ETF | Sale | 12/20/2018 | \$15,001 - \$50,000 |

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|----|------------------|
| 6. | 3 | No longer held |
| 6. | 4 | No longer held |
| 6. | 5 | No longer held |
| 6. | 6 | No longer held |
| 6. | 9 | Swap for Class C |
| 6. | 11 | No longer held |
| 6. | 15 | No longer held |
| 6. | 16 | No longer held |
| 6. | 18 | No longer held |
| 6. | 21 | No longer held |
| 6. | 22 | No longer held |
| 6. | 23 | No longer held |

| PART | # | ENDNOTE |
|------|----|--|
| 6. | 25 | No longer held |
| 6. | 32 | No longer held |
| 6. | 36 | Only underlying asset is commercial real estate in Camarillo, California |
| 6. | 37 | Only underlying asset is commercial real estate in Camarillo, California |
| 6. | 39 | No longer held |
| 6. | 40 | No longer held |
| 6. | 41 | No longer held |
| 6. | 43 | No longer held |
| 6. | 44 | No longer held |
| 6. | 45 | No longer held |
| 6. | 46 | No longer held |
| 6. | 58 | No longer held |
| 6. | 59 | No longer held |
| 6. | 60 | No longer held |
| 6. | 61 | No longer held |
| 6. | 62 | No longer held |
| 6. | 63 | No longer held |

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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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