

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Fink, Dorothy A

Deputy Assistant Secretary for Office of Women's Health/OASH, Department of Health & Human Services

Report Year: 2022

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/ Fink, Dorothy A [electronically signed on 06/30/2022 by Fink, Dorothy A in Integrity.gov] - Filer received a 45 day filing extension.

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

/s/ Reed, Paul L, Certifying Official [electronically signed on 11/10/2022 by Reed, Paul L in Integrity.gov]

Other review conducted by

/s/ McClure, Chester, Ethics Official [electronically signed on 11/10/2022 by McClure, Chester in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 11/10/2022

Data Revised 11/07/2022

Data Revised 07/05/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/05/2022, McClure, Chester): Preliminary Review 7/5/22
N/A	N/A	General	<p>(11/10/2022, McClure, Chester): Filer received 45-day filing extension. Certification delayed to confirm details of numerous filer and spousal assets and transactions.</p> <p>Spouse employment (including clinical practice and research), fellowship, and honoraria are unrelated to filer's duties and create no ethics concerns. Filer must be recused from matters arising in her official duties related to NYU School of Medicine due to spousal employment. Filer has confirmed that NYU School of Medicine and Hospital for Special Surgery no longer manage or contribute to retirement plans. Thus, no on-going financial relationship/agreement for retirement plan participation.</p> <p>Filer advised that she must be recused from any from matters arising in her official duties related Alphabet Inc, Amazon, or a competitor due to holdings. Currently her duties are unrelated to these holdings. Filer advised to seek ethics guidance if a matter arises related to any of her or spouse's technology-related holdings to avoid any optics concerns. Filer and her spouse counseled to at a minimum maintain healthcare holdings below exemption levels, and to abstain from acquiring any additional healthcare, pharmaceutical, medical device, health insurance, and health-related technology assets to avoid conflict of interest concerns. Filer should manage holdings based on guidance provided in her ethics agreement upon joining HHS. Required transactions reported via Form 278-T. No reportable outside positions. No ethics concerns except as noted for spousal assets above. Edits made upon filer guidance.</p>
5.	4.13	Vang RI Est Idx Inst	(11/10/2022, McClure, Chester): Filer confirmed initial purchase during 2021 was under \$1,000 reporting requirement.

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Alcoa Corp- AA	No	\$1,001 - \$15,000		None (or less than \$201)
2	Arconic Inc- ARNC	No	\$1,001 - \$15,000		None (or less than \$201)
3	Conono Phillips- COP	No	\$1,001 - \$15,000		\$201 - \$1,000
4	Dominion Energy Inc- D	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5	Kinder Morgan Pfd- KMI A	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6	Ford Motor Co- F	No	\$1,001 - \$15,000		None (or less than \$201)
7	Adams Natural Resources Fund- PEO	No	None (or less than \$1,001)		None (or less than \$201)
8	Am FDS World G&I- CWGIX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	Brighthouse Variable Annuity	No	\$15,001 - \$50,000		None (or less than \$201)
9.1	Schroders Global Multi Asset Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.2	Brighthouse Balanced Plus Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Home Depot Inc- HD		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
11	T Rowe Price- CAP-APP Fd PRWCX		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	Vanguard Treasury Money Market- VUSSX		Yes	\$100,001 - \$250,000		None (or less than \$201)
13	Transamerica – Hospital for Special Surgery 403b		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
13.1	Vanguard Institutional Target Retirement 2045 Fund (VITLX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
14	TIAA-CREF - NYU School of Medicine 403(b)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
14.1	TIAA-CREF annuity account	See Endnote	Yes	\$100,001 - \$250,000		
14.2	Vanguard Star Fund Investor Shares VGSTX		Yes	None (or less than \$1,001)		None (or less than \$201)
14.3	Vanguard Institutional Target Retirement 2045 Fund Institutional Shares VITLX		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
14.4	Vanguard Dividend Growth Investor Shares VDIGX		Yes	None (or less than \$1,001)		None (or less than \$201)
14.5	Vanguard Extended Market Index Fund Admiral Shares VEXAX		Yes	None (or less than \$1,001)		None (or less than \$201)
14.6	Vanguard Institutional Index Fund Institutional Plus		Yes	\$15,001 - \$50,000		\$201 - \$1,000
14.7	Vanguard Extended Market Index Fund Institutional		Yes	None (or less than \$1,001)		None (or less than \$201)
14.8	Vanguard Extended Market Index Fund Institutional Plus Class		Yes	\$15,001 - \$50,000		None (or less than \$201)
15	Wal-Mart - WMT	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	FedEx Corp (FDX)	No	\$1,001 - \$15,000		None (or less than \$201)
17	Intel Corp (INTC)	No	\$1,001 - \$15,000		\$201 - \$1,000
18	Kohls Corp- KSS	No	\$1,001 - \$15,000		None (or less than \$201)
19	Lowes Companies, Inc- LOW	No	\$15,001 - \$50,000		\$201 - \$1,000
20	Magna International Inc Class A -MGA	No	\$15,001 - \$50,000		\$201 - \$1,000
21	TJX Cos Inc (TJX)	No	\$15,001 - \$50,000		\$201 - \$1,000
22	Walt Disney Co (DIS)	No	\$1,001 - \$15,000		None (or less than \$201)
23	Bed Bath & Beyond Inc (BBBY)	No	None (or less than \$1,001)		None (or less than \$201)
24	Raytheon Technology- RTX	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
25	Howmet Aerospace (HWM)	No	\$1,001 - \$15,000		None (or less than \$201)
26	Viacom CBS	No	None (or less than \$1,001)		None (or less than \$201)
27	AT&T	No	\$1,001 - \$15,000		None (or less than \$201)
28	Blackrock Innovation and Growth Fund (BIGZ)	No	\$1,001 - \$15,000		None (or less than \$201)
29	529 College Savings Plan--DC		\$1,001 - \$15,000		

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Hospital for Special Surgery	New York, New York	I will not participate in employer-sponsored defined contribution option of this 403(b) plan after my separation.	3/2017
2	New York University School of Medicine	New York, New York	I will not participate in employer-sponsored defined contribution option of this 403(b) plan after my separation.	8/2014

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	New York University School of Medicine (Physician)	N/A		salary, bonus	
2	Paul and Daisy Soros Fellowship - 2021			Honorarium	\$250
3	Roth IRA First Republic Inv Mgt Moderate Growth FRIM	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4	TIAA/CREF-403B	Yes			
4.1	Vanguard Midcap	Yes	None (or less than \$1,001)		None (or less than \$201)
4.2	Vanguard PRIMECAP	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	Vanguard Capital Opportunity	Yes	None (or less than \$1,001)		None (or less than \$201)
4.4	Vanguard Small-Cap Growth	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	TIAA Real Estate	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Vanguard Inflation Prot Sec	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Vanguard GNMA	Yes	None (or less than \$1,001)		None (or less than \$201)
4.8	Vanguard Target 40	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.9	TIAA Traditional	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Vang Ttl Bd Mkt Idx Ins	Yes	None (or less than \$1,001)		None (or less than \$201)
4.11	Vang Ttl Bd Mkt Idx InsPI	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	Vang Extended Mkt Idx Ins	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.13	Vang RI Est Idx Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Vang US Growth Adm	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.15	VAN Extend Mkldx Inst PI	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.16	Vanguard Extended Market Index Fund Institutional Plus Class	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	NYU School of Medicine Retiree Medical Savings Account	Yes			
5.1	TIAA-CREF Lifecycle 2040	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	Individual Brokerage Account	No			
6.1	Alphabet Inc (GOOGL)	No	\$15,001 - \$50,000		None (or less than \$201)
6.2	Amazon.com, Inc. (AMZN)	No	\$50,001 - \$100,000		\$2,501 - \$5,000
6.3	Apple, Inc. (AAPL)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.4	Boeing Co (BA)	No	None (or less than \$1,001)		None (or less than \$201)
6.5	Coupa Software, Inc. (COUP)	No	None (or less than \$1,001)		None (or less than \$201)
6.6	NVIDIA Corp. (NVDA)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.7	salesforce.com, inc. (CRM)	No	None (or less than \$1,001)		None (or less than \$201)
6.8	Veeva Systems, Inc. (VEEV)	No	\$1,001 - \$15,000		None (or less than \$201)
6.9	Visa, Inc. (V)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.10	Digital Turbine (APPS)	No	None (or less than \$1,001)		None (or less than \$201)
6.11	Palantir (PLTR)	No	None (or less than \$1,001)		\$201 - \$1,000
6.12	PayPal Holdings, Inc. (PYPL)	No	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.13	Pinterest (PINS)	No	None (or less than \$1,001)		\$1,001 - \$2,500
6.14	Quantumscape (QS)	No	None (or less than \$1,001)		None (or less than \$201)
6.15	Shopify (SHOP)	No	\$1,001 - \$15,000		\$1,001 - \$2,500
6.16	Square Inc (SQ)	No	None (or less than \$1,001)		None (or less than \$201)
6.17	Tesla (TSLA)	No	\$15,001 - \$50,000		\$1,001 - \$2,500
6.18	Twilio (TWLO)	No	\$1,001 - \$15,000		None (or less than \$201)
6.19	Fireeye Inc (FEYE)	No	None (or less than \$1,001)		None (or less than \$201)
6.20	Lovesac (LOVE)	No	None (or less than \$1,001)		None (or less than \$201)
6.21	Teradyne, Inc. (TER)	No	None (or less than \$1,001)		None (or less than \$201)
6.22	The Trade Desk (TTD)	No	\$1,001 - \$15,000		None (or less than \$201)
6.23	Ambarella, Inc. (AMBA)		\$1,001 - \$15,000		
6.24	Applied Materials, Inc. (AMAT)	No	\$1,001 - \$15,000		None (or less than \$201)
6.25	Applovin Corp	No	\$1,001 - \$15,000		
6.26	Atkore International Group, Inc. (ATKR)	No	\$1,001 - \$15,000		
6.27	Bank of America Corp. (BAC)	No	\$1,001 - \$15,000		
6.28	ConocoPhillips (COP)	No	\$1,001 - \$15,000		
6.29	Crowdstrike Hldgs	No	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.30	Digital Ocean Hldgs INC	No	\$1,001 - \$15,000		
6.31	Ford Motor Co. (F)	No	\$1,001 - \$15,000		
6.32	Fortinet, Inc. (FTNT)	No	\$1,001 - \$15,000		
6.33	Global E Online LTD	No	\$1,001 - \$15,000		
6.34	HubSpot, Inc. (HUBS)	No	\$1,001 - \$15,000		
6.35	JP Morgan Chase Co	No	\$1,001 - \$15,000		
6.36	KLA Corp. (KLAC)	No	\$1,001 - \$15,000		
6.37	MaxLinear, Inc. (MXL)	No	\$1,001 - \$15,000		
6.38	MongoDB, Inc. (MDB)	No	\$1,001 - \$15,000		
6.39	Paycom Software, Inc. (PAYC)	No	\$1,001 - \$15,000		
6.40	Perficient, Inc. (PRFT)	No	\$1,001 - \$15,000		
6.41	Roku, Inc. (ROKU)	No	\$1,001 - \$15,000		
7	TIAA/CREF-457B	Yes			
7.1	Vanguard Target 40	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8	Fidelity 403B	Yes			
8.1	Vanguard Inst TR 2045	Yes	\$1,001 - \$15,000		
8.2	Vanguard Vmmr-FED Mmkt	Yes	\$50,001 - \$100,000		
9	Citigroup, Inc. (C)	No	\$1,001 - \$15,000		None (or less than \$201)
10	529 College Savings Plan-- NY		\$1,001 - \$15,000		

6. Other Assets and Income

None

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	QFIN 360 DIGITECH INC. FUNSPONSORED ADR 1 ADR REPS ORD SHS	Sale	07/06/2021	\$1,001 - \$15,000
2	Riot Blockchain, Inc. (RIOT)	Purchase	07/06/2021	\$1,001 - \$15,000
3	Riot Blockchain, Inc. (RIOT)	Sale	07/08/2021	\$1,001 - \$15,000
4	SOFI SOFI TECHNOLOGIES INC	Purchase	07/22/2021	\$1,001 - \$15,000
5	FVRR FIVERR INTERNTNL LTD	Purchase	07/23/2021	\$1,001 - \$15,000
6	Riot Blockchain, Inc. (RIOT)	Purchase	07/26/2021	\$1,001 - \$15,000
7	FVRR FIVERR INTERNTNL LTD	Purchase	07/26/2021	\$1,001 - \$15,000
8	SOFI SOFI TECHNOLOGIES INC	Sale	07/29/2021	\$1,001 - \$15,000
9	FVRR FIVERR INTERNTNL LTD	Purchase	07/30/2021	\$1,001 - \$15,000
10	Marathon Patent Group, Inc. (MARA)	Purchase	01/04/2021	\$1,001 - \$15,000
11	Generac Holdings, Inc. (GNRC)	Purchase	01/11/2021	\$1,001 - \$15,000
12	Fiserv, Inc. (FISV)	Purchase	01/05/2021	\$1,001 - \$15,000
13	International Business Machines Corp. (IBM)	Purchase	01/05/2021	\$1,001 - \$15,000
14	eXp World Holdings, Inc. (EXPI)	Purchase	01/08/2021	\$1,001 - \$15,000
15	The Lovesac Co. (LOVE)	Sale	01/08/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	The Lovesac Co. (LOVE)	Purchase	01/11/2021	\$1,001 - \$15,000
17	Teradyne, Inc. (TER)	Sale	01/11/2021	\$1,001 - \$15,000
18	Marathon Patent Group, Inc. (MARA)	Sale	01/11/2021	\$1,001 - \$15,000
19	Cowen, Inc. (COWN)	Purchase	01/14/2021	\$1,001 - \$15,000
20	Pinterest, Inc. (PINS)	Purchase	01/14/2021	\$1,001 - \$15,000
21	Pinterest, Inc. (PINS)	Sale	01/14/2021	\$1,001 - \$15,000
22	3D Systems Corp. (DDD)	Purchase	01/14/2021	\$1,001 - \$15,000
23	Fiserv, Inc. (FISV)	Sale	01/14/2021	\$1,001 - \$15,000
24	FuelCell Energy, Inc. (FCEL)	Purchase	01/19/2021	\$1,001 - \$15,000
25	NIO INC (NIO)	Purchase	01/19/2021	\$1,001 - \$15,000
26	Citigroup, Inc. (C)	Sale	01/20/2021	\$1,001 - \$15,000
27	Invesco Solar ETF (TAN)	Purchase	01/21/2021	\$1,001 - \$15,000
28	International Business Machines Corp. (IBM)	Sale	01/25/2021	\$1,001 - \$15,000
29	Rada Elec Inds (RADA)	Purchase	01/25/2021	\$1,001 - \$15,000
30	Overstock.com, Inc. (OSTK)	Purchase	01/25/2021	\$1,001 - \$15,000
31	Coupa Software, Inc. (COUP)	Sale	01/25/2021	\$1,001 - \$15,000
32	Cowen, Inc. (COWN)	Sale	01/20/2021	\$1,001 - \$15,000
33	Bed Bath & Beyond, Inc. (BBBY)	Sale	01/14/2021	\$1,001 - \$15,000
34	Viacom (VIAC)	Sale	01/13/2021	\$1,001 - \$15,000
35	Square, Inc. (SQ)	Sale	01/25/2021	\$1,001 - \$15,000
36	Boeing Co (BA)	Purchase	01/28/2021	\$1,001 - \$15,000
37	360 Digitech Inc (QFIN)	Purchase	01/25/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	salesforce.com, inc. (CRM)	Purchase	01/25/2021	\$1,001 - \$15,000
39	Palantir Technologies (PLTR)	Purchase	01/25/2021	\$1,001 - \$15,000
40	International Business Machines Corp. (IBM)	Purchase	01/26/2021	\$1,001 - \$15,000
41	Marathon Patent Group, Inc. (MARA)	Sale	01/27/2021	\$1,001 - \$15,000
42	Rada Elec Inds LTD (RADA)	Sale	01/29/2021	\$1,001 - \$15,000
43	360 Digitech Inc (QFIN)	Sale	01/29/2021	\$1,001 - \$15,000
44	Overstock.com, Inc. (OSTK)	Sale	01/29/2021	\$1,001 - \$15,000
45	360 Digitech Inc (QFIN)	Purchase	02/01/2021	\$1,001 - \$15,000
46	Invesco Solar ETF (TAN)	Sale	02/01/2021	\$1,001 - \$15,000
47	ARK Next Generation Internet ETF (ARKW)	Purchase	02/01/2021	\$1,001 - \$15,000
48	The ExOne Co. (XONE)	Purchase	02/02/2021	\$1,001 - \$15,000
49	The Lovesac Co. (LOVE)	Sale	02/02/2021	\$1,001 - \$15,000
50	iShares Global Clean Energy ETF (ICLN)	Purchase	02/02/2021	\$1,001 - \$15,000
51	FireEye, Inc. (FEYE)	Sale	02/03/2021	\$1,001 - \$15,000
52	Loral Space & Communications, Inc. (LORL)	Purchase	02/04/2021	\$1,001 - \$15,000
53	Fiverr International LTD (FVRR)	Purchase	02/04/2021	\$1,001 - \$15,000
54	salesforce.com, inc. (CRM)	Sale	02/09/2021	\$1,001 - \$15,000
55	Palantir Technologies (PLTR)	Sale	02/10/2021	\$1,001 - \$15,000
56	NVIDIA Corp. (NVDA)	Sale	02/09/2021	\$1,001 - \$15,000
57	iShares Global Clean Energy ETF (ICLN)	Sale	02/10/2021	\$1,001 - \$15,000
58	BAIDU Inc (BIDU)	Purchase	02/10/2021	\$1,001 - \$15,000
59	Skyworks Solutions, Inc. (SWKS)	Purchase	02/10/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
60	Riot Blockchain, Inc. (RIOT)	Purchase	02/11/2021	\$1,001 - \$15,000
61	Palantir Technologies (PLTR)	Purchase	02/11/2021	\$1,001 - \$15,000
62	Abcellera Biologics (ABCL)	Purchase	02/16/2021	\$1,001 - \$15,000
63	Palantir Technologies (PLTR)	Sale	02/16/2021	\$1,001 - \$15,000
64	Abcellera Biologics (ABCL)	Sale	02/18/2021	\$1,001 - \$15,000
65	NIO INC (NIO)	Sale	02/22/2021	\$1,001 - \$15,000
66	Bigcommerce hldgs inc (BIGC)	Purchase	02/23/2021	\$1,001 - \$15,000
67	BAIDU Inc (BIDU)	Sale	02/25/2021	\$1,001 - \$15,000
68	The ExOne Co. (XONE)	Sale	02/25/2021	\$1,001 - \$15,000
69	Northern Oil & Gas, Inc. (NOG)	Purchase	02/24/2021	\$1,001 - \$15,000
70	ARK Next Generation Internet ETF (ARKW)	Sale	02/25/2021	\$1,001 - \$15,000
71	PTC, Inc. (PTC)	Purchase	02/25/2021	\$1,001 - \$15,000
72	FIVERR international ltd (FVRR)	Sale	02/25/2021	\$1,001 - \$15,000
73	360 Digitech Inc (QFIN)	Sale	02/26/2021	\$1,001 - \$15,000
74	Riot Blockchain, Inc. (RIOT)	Sale	02/25/2021	\$1,001 - \$15,000
75	FIVERR international ltd (FVRR)	Purchase	02/26/2021	\$1,001 - \$15,000
76	Palantir Technologies (PLTR)	Sale	02/26/2021	\$1,001 - \$15,000
77	3D Systems Corp. (DDD)	Sale	03/04/2021	\$1,001 - \$15,000
78	eXp World Holdings, Inc. (EXPI)	Sale	03/05/2021	\$1,001 - \$15,000
79	The Trade Desk, Inc. (TTD)	Purchase	03/04/2021	\$1,001 - \$15,000
80	Square, Inc. (SQ)	Purchase	03/04/2021	\$1,001 - \$15,000
81	Loral Space & Communications, Inc. (LORL)	Sale	03/04/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
82	FuelCell Energy, Inc. (FCEL)	Sale	03/05/2021	\$1,001 - \$15,000
83	Apple, Inc. (AAPL)	Purchase	03/05/2021	\$1,001 - \$15,000
84	Shopify Inc (SHOP)	Sale	03/05/2021	\$1,001 - \$15,000
85	Shopify Inc (SHOP)	Purchase	03/05/2021	\$1,001 - \$15,000
86	TechTarget, Inc. (TTGT)	Purchase	03/05/2021	\$1,001 - \$15,000
87	PTC, Inc. (PTC)	Purchase	03/05/2021	\$1,001 - \$15,000
88	Technologies Inclass A (PLTR)	Sale	03/05/2021	\$1,001 - \$15,000
89	Shoals Technologies (SHLS)	Purchase	03/05/2021	\$1,001 - \$15,000
90	Infineon Tech (IFNNY)	Purchase	03/08/2021	\$1,001 - \$15,000
91	Fiverr International LTD (FVRR)	Sale	03/08/2021	\$1,001 - \$15,000
92	Teradyne, Inc. (TER)	Sale	03/08/2021	\$1,001 - \$15,000
93	Lam Research Corp. (LRCX)	Purchase	03/08/2021	\$1,001 - \$15,000
94	Northern Oil & Gas, Inc. (NOG)	Sale	03/08/2021	\$1,001 - \$15,000
95	Loral Space & Communications, Inc. (LORL)	Sale	03/08/2021	\$1,001 - \$15,000
96	Skyworks Solutions, Inc. (SWKS)	Sale	03/08/2021	\$1,001 - \$15,000
97	Ingersoll Rand, Inc. (IR)	Purchase	03/08/2021	\$1,001 - \$15,000
98	Infineon Tech (IFNNY)	Purchase	03/08/2021	\$1,001 - \$15,000
99	Polaris Inc. (PII)	Purchase	03/08/2021	\$1,001 - \$15,000
100	Generac Holdings, Inc. (GNRC)	Purchase	03/08/2021	\$1,001 - \$15,000
101	Pinterest, Inc. (PINS)	Sale	03/08/2021	\$1,001 - \$15,000
102	Infineon Tech (IFNNY)	Sale	03/10/2021	\$1,001 - \$15,000
103	Polaris Inc. (PII)	Purchase	03/10/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
104	Square, Inc. (SQ)	Purchase	03/09/2021	\$1,001 - \$15,000
105	Bigcommerce Hldgs Inc (BIGC)	Sale	03/08/2021	\$1,001 - \$15,000
106	Lam Research Corp. (LRCX)	Purchase	03/11/2021	\$1,001 - \$15,000
107	Palantir Technologies (PLTR)	Purchase	03/11/2021	\$1,001 - \$15,000
108	Palantir Technologies (PLTR)	Purchase	03/15/2021	\$1,001 - \$15,000
109	salesforce.com, inc. (CRM)	Sale	03/15/2021	\$1,001 - \$15,000
110	Williams-Sonoma, Inc. (WSM)	Purchase	03/15/2021	\$1,001 - \$15,000
111	Palantir Technologies (PLTR)	Sale	03/16/2021	\$1,001 - \$15,000
112	TechTarget, Inc. (TTGT)	Sale	03/16/2021	\$1,001 - \$15,000
113	Ingersoll Rand, Inc. (IR)	Sale	03/16/2021	\$1,001 - \$15,000
114	Shopify (SHOP)	Sale	03/16/2021	\$1,001 - \$15,000
115	Pinterest, Inc. (PINS)	Purchase	03/17/2021	\$1,001 - \$15,000
116	Five9, Inc. (FIVN)	Purchase	03/17/2021	\$1,001 - \$15,000
117	Five9, Inc. (FIVN)	Sale	03/18/2021	\$1,001 - \$15,000
118	Shoals Technologies (SHLS)	Sale	03/18/2021	\$1,001 - \$15,000
119	International Business Machines Corp. (IBM)	Purchase	03/18/2021	\$1,001 - \$15,000
120	Polaris Inc. (PII)	Sale	03/18/2021	\$1,001 - \$15,000
121	Oracle Corp. (ORCL)	Purchase	03/18/2021	\$1,001 - \$15,000
122	PTC, Inc. (PTC)	Sale	03/18/2021	\$1,001 - \$15,000
123	Pinterest, Inc. (PINS)	Sale	03/18/2021	\$1,001 - \$15,000
124	Apple, Inc. (AAPL)	Sale	03/18/2021	\$1,001 - \$15,000
125	Square, Inc. (SQ)	Sale	03/18/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
126	Pinterest, Inc. (PINS)	Purchase	03/19/2021	\$1,001 - \$15,000
127	Lam Research Corp. (LRCX)	Purchase	03/18/2021	\$1,001 - \$15,000
128	PTC, Inc. (PTC)	Purchase	03/22/2021	\$1,001 - \$15,000
129	Digital Turbine, Inc. (APPS)	Sale	03/24/2021	\$1,001 - \$15,000
130	Evolus, Inc. (EOLS)	Purchase	03/24/2021	\$1,001 - \$15,000
131	Generac Holdings, Inc. (GNRC)	Sale	03/25/2021	\$1,001 - \$15,000
132	Pinterest, Inc. (PINS)	Sale	03/25/2021	\$1,001 - \$15,000
133	JP Morgan Chase (JPM)	Purchase	03/25/2021	\$1,001 - \$15,000
134	Koss Corp (KOSS)	Purchase	03/25/2021	\$1,001 - \$15,000
135	Generac Holdings, Inc. (GNRC)	Purchase	03/25/2021	\$1,001 - \$15,000
136	Coupa Software, Inc. (COUP)	Purchase	03/25/2021	\$1,001 - \$15,000
137	Palantir Technologies (PLTR)	Purchase	03/25/2021	\$1,001 - \$15,000
138	Pinterest, Inc. (PINS)	Purchase	03/25/2021	\$1,001 - \$15,000
139	Digital Turbine, Inc. (APPS)	Sale	03/26/2021	\$1,001 - \$15,000
140	International Business Machines Corp. (IBM)	Purchase	03/25/2021	\$1,001 - \$15,000
141	JP Morgan Chase (JPM)	Purchase	03/26/2021	\$1,001 - \$15,000
142	Pinterest, Inc. (PINS)	Sale	03/26/2021	\$1,001 - \$15,000
143	Lam Research Corp. (LRCX)	Purchase	03/29/2021	\$1,001 - \$15,000
144	Pinterest, Inc. (PINS)	Purchase	03/29/2021	\$1,001 - \$15,000
145	Square, Inc. (SQ)	Purchase	03/30/2021	\$1,001 - \$15,000
146	Evolus, Inc. (EOLS)	Sale	03/30/2021	\$1,001 - \$15,000
147	Apartment Investment & Management Co. (AIV)	Purchase	03/31/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
148	Palantir Technologies (PLTR)	Sale	04/01/2021	\$1,001 - \$15,000
149	The Hackett Group, Inc. (HCKT)	Sale	04/14/2021	\$1,001 - \$15,000
150	Cerence Inc (CRNC)	Purchase	04/01/2021	\$1,001 - \$15,000
151	KOSS Corp (KOSS)	Sale	04/08/2021	\$1,001 - \$15,000
152	Apartment Investment & Management Co. (AIV)	Sale	04/08/2021	\$1,001 - \$15,000
153	Roku, Inc. (ROKU)	Purchase	04/08/2021	\$1,001 - \$15,000
154	The Hackett Group, Inc. (HCKT)	Purchase	04/08/2021	\$1,001 - \$15,000
155	Upwork, Inc. (UPWK)	Purchase	04/14/2021	\$1,001 - \$15,000
156	Boeing Co (BA)	Sale	04/19/2021	\$1,001 - \$15,000
157	Roku, Inc. (ROKU)	Sale	04/20/2021	\$1,001 - \$15,000
158	Caterpillar, Inc. (CAT)	Purchase	04/20/2021	\$1,001 - \$15,000
159	Generac Holdings, Inc. (GNRC)	Purchase	04/19/2021	\$1,001 - \$15,000
160	Pinterest, Inc. (PINS)	Purchase	04/22/2021	\$1,001 - \$15,000
161	The Trade Desk, Inc. (TTD)	Sale	04/22/2021	\$1,001 - \$15,000
162	CrowdStrike Hldgs Inc (CRWD)	Purchase	04/22/2021	\$1,001 - \$15,000
163	Upwork, Inc. (UPWK)	Sale	04/22/2021	\$1,001 - \$15,000
164	Pinterest, Inc. (PINS)	Sale	04/22/2021	\$1,001 - \$15,000
165	Williams-Sonoma, Inc. (WSM)	Sale	04/22/2021	\$1,001 - \$15,000
166	iShares Russell 2000 Value ETF (IWN)	Purchase	04/23/2021	\$1,001 - \$15,000
167	Generac Holdings, Inc. (GNRC)	Purchase	04/26/2021	\$1,001 - \$15,000
168	Bloom Energy Corporation (BE)	Purchase	04/26/2021	\$1,001 - \$15,000
169	PTC, Inc. (PTC)	Sale	04/29/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
170	Caterpillar, Inc. (CAT)	Purchase	04/29/2021	\$1,001 - \$15,000
171	Aptiv PLC (APTV)	Purchase	04/29/2021	\$1,001 - \$15,000
172	Fastenal Co. (FAST)	Purchase	04/29/2021	\$1,001 - \$15,000
173	Twilio, Inc. (TWLO)	Sale	04/29/2021	\$1,001 - \$15,000
174	CrowdStrike Hldgs Inc (CRWD)	Purchase	04/30/2021	\$1,001 - \$15,000
175	Square, Inc. (SQ)	Sale	04/29/2021	\$1,001 - \$15,000
176	Lam Research Corp. (LRCX)	Sale	04/29/2021	\$1,001 - \$15,000
177	Cerence Inc (CRNC)	Sale	04/30/2021	\$1,001 - \$15,000
178	PayPal Holdings, Inc. (PYPL)	Sale	04/30/2021	\$1,001 - \$15,000
179	AT&T, Inc. (T)	Purchase	05/20/2021	\$1,001 - \$15,000
180	Coupa Software, Inc. (COUP)	Sale	05/06/2021	\$1,001 - \$15,000
181	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	05/03/2021	\$1,001 - \$15,000
182	Shopify (SHOP)	Purchase	05/04/2021	\$1,001 - \$15,000
183	Alphabet, Inc. (GOOGL)	Purchase	05/04/2021	\$1,001 - \$15,000
184	Alphabet, Inc. (GOOGL)	Purchase	05/06/2021	\$1,001 - \$15,000
185	Fastenal Co. (FAST)	Sale	05/06/2021	\$1,001 - \$15,000
186	Capital One Financial Corp. (COF)	Purchase	05/06/2021	\$1,001 - \$15,000
187	CrowdStrike Hldgs Inc (CRWD)	Sale	05/10/2021	\$1,001 - \$15,000
188	Bloom Energy Corporation (BE)	Sale	05/11/2021	\$1,001 - \$15,000
189	CrowdStrike Hldgs Inc (CRWD)	Purchase	05/11/2021	\$1,001 - \$15,000
190	The Trade Desk, Inc. (TTD)	Sale	05/10/2021	\$1,001 - \$15,000
191	Bloom Energy Corporation (BE)	Purchase	05/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
192	Shopify (SHOP)	Purchase	05/11/2021	\$1,001 - \$15,000
193	Apple, Inc. (AAPL)	Purchase	05/11/2021	\$1,001 - \$15,000
194	Twilio, Inc. (TWLO)	Sale	05/13/2021	\$1,001 - \$15,000
195	Generac Holdings, Inc. (GNRC)	Sale	05/12/2021	\$1,001 - \$15,000
196	Palantir Technologies (PLTR)	Purchase	05/11/2021	\$1,001 - \$15,000
197	Twin Disc, Inc. (TWIN)	Purchase	05/13/2021	\$1,001 - \$15,000
198	CrowdStrike Hldgs Inc (CRWD)	Purchase	05/13/2021	\$1,001 - \$15,000
199	Generac Holdings, Inc. (GNRC)	Purchase	05/13/2021	\$1,001 - \$15,000
200	Shopify (SHOP)	Purchase	05/13/2021	\$1,001 - \$15,000
201	The Walt Disney Co. (DIS)	Purchase	05/14/2021	\$1,001 - \$15,000
202	Coinbase Global Inc (COIN)	Purchase	05/18/2021	\$1,001 - \$15,000
203	Apple, Inc. (AAPL)	Sale	05/18/2021	\$1,001 - \$15,000
204	iShares Russell 2000 Value ETF (IWN)	Sale	05/18/2021	\$1,001 - \$15,000
205	Alphabet, Inc. (GOOGL)	Purchase	05/18/2021	\$1,001 - \$15,000
206	RingCentral, Inc. (RNG)	Purchase	05/20/2021	\$1,001 - \$15,000
207	Shopify (SHOP)	Sale	05/18/2021	\$1,001 - \$15,000
208	Workday, Inc. (WDAY)	Purchase	05/20/2021	\$1,001 - \$15,000
209	Twin Disc, Inc. (TWIN)	Sale	05/21/2021	\$1,001 - \$15,000
210	360 Digitech Inc (QFIN)	Purchase	06/01/2021	\$1,001 - \$15,000
211	Danaos Corp (DAC)	Purchase	06/11/2021	\$1,001 - \$15,000
212	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Sale	06/04/2021	\$1,001 - \$15,000
213	MongoDB, Inc. (MDB)	Purchase	06/04/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
214	Eurodry LTD (EDRY)	Purchase	06/07/2021	\$1,001 - \$15,000
215	MongoDB, Inc. (MDB)	Purchase	06/07/2021	\$1,001 - \$15,000
216	Quantumscape Corp Class A (QS)	Purchase	06/07/2021	\$1,001 - \$15,000
217	Oracle Corp. (ORCL)	Purchase	06/14/2021	\$1,001 - \$15,000
218	Caperpillar Inc (CAT)	Sale	06/17/2021	\$1,001 - \$15,000
219	Oracle Corp. (ORCL)	Sale	06/17/2021	\$1,001 - \$15,000
220	Aptiv PLC (APTV)	Sale	06/15/2021	\$1,001 - \$15,000
221	The Walt Disney Co. (DIS)	Sale	06/18/2021	\$1,001 - \$15,000
222	Workday, Inc. (WDAY)	Purchase	06/18/2021	\$1,001 - \$15,000
223	360 Digitech Inc (QFIN)	Purchase	06/18/2021	\$1,001 - \$15,000
224	Asana Inc (ASAN)	Purchase	06/21/2021	\$1,001 - \$15,000
225	Avery Dennison Corp. (AVY)	Purchase	06/21/2021	\$1,001 - \$15,000
226	Square, Inc. (SQ)	Purchase	06/21/2021	\$1,001 - \$15,000
227	Coinbase Global Inc (COIN)	Purchase	06/22/2021	\$1,001 - \$15,000
228	360 Digitech Inc (QFIN)	Sale	06/21/2021	\$1,001 - \$15,000
229	Eurodry LTD (EDRY)	Sale	06/22/2021	\$1,001 - \$15,000
230	Generac Holdings, Inc. (GNRC)	Sale	06/24/2021	\$1,001 - \$15,000
231	MongoDB, Inc. (MDB)	Purchase	06/24/2021	\$1,001 - \$15,000
232	Antero Resources Corp. (AR)	Purchase	06/25/2021	\$1,001 - \$15,000
233	Appian Corporation (APPN)	Purchase	06/28/2021	\$1,001 - \$15,000
234	Altair Engineering, Inc. (ALTR)	Purchase	06/25/2021	\$1,001 - \$15,000
235	Capital One Financial Corp. (COF)	Sale	06/28/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
236	Generac Holdings, Inc. (GNRC)	Purchase	06/28/2021	\$1,001 - \$15,000
237	Chargepoint Hldgs Inc (CHPT)	Purchase	06/29/2021	\$1,001 - \$15,000
238	Danaos Corp (DAC)	Sale	06/28/2021	\$1,001 - \$15,000
239	JPMorgan Chase & Co. (JPM)	Sale	06/29/2021	\$1,001 - \$15,000
240	MongoDB, Inc. (MDB)	Purchase	06/29/2021	\$1,001 - \$15,000
241	MDB MONGODB INC CLASS A	Purchase	07/01/2021	\$1,001 - \$15,000
242	AR ANTERO RESOURCES COR	Sale	07/06/2021	\$1,001 - \$15,000
243	APPN APPIAN CORP 00500 CLASS A	Sale	07/01/2021	\$1,001 - \$15,000
244	QS QUANTUMSCAPE CORP CLASS A	Sale	07/06/2021	\$1,001 - \$15,000
245	CHPT CHARGEPOINT HLDGS INC CLASS A	Sale	07/06/2021	\$1,001 - \$15,000
246	VMW VMWARE INC CLASS A	Purchase	07/06/2021	\$1,001 - \$15,000
247	GNRC GENERAC HOLDINGS INC	Purchase	07/07/2021	\$1,001 - \$15,000
248	PAYC PAYCOM SOFTWARE INC	Purchase	07/09/2021	\$1,001 - \$15,000
249	VMW VMWARE INC CLASS A	Sale	07/13/2021	\$1,001 - \$15,000
250	CNXC CONCENTRIX	Purchase	07/13/2021	\$1,001 - \$15,000
251	ALTR ALTAIR ENGINEERING INC	Sale	07/14/2021	\$1,001 - \$15,000
252	IBM IBM CORP	Sale	07/13/2021	\$1,001 - \$15,000
253	DOCU DOCUSIGN INC	Purchase	07/15/2021	\$1,001 - \$15,000
254	LRCX LAM RESEARCH CORP	Sale	07/16/2021	\$1,001 - \$15,000
255	CNXC CONCENTRIX	Purchase	07/16/2021	\$1,001 - \$15,000
256	ASAN ASANA INC CLASS A	Sale	07/16/2021	\$1,001 - \$15,000
257	AVY AVERY DENNISON CORP	Sale	07/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
258	TWTR TWITTER INC	Purchase	07/19/2021	\$1,001 - \$15,000
259	UCTT ULTRA CLEAN HLDGS	Purchase	07/19/2021	\$1,001 - \$15,000
260	ASAN ASANA INC CLASS A	Purchase	07/19/2021	\$1,001 - \$15,000
261	RPD RAPID SEVEN INC	Purchase	07/20/2021	\$1,001 - \$15,000
262	APPN APPIAN CORP 00500 CLASS A	Purchase	07/20/2021	\$1,001 - \$15,000
263	PAYC PAYCOM SOFTWARE INC	Purchase	07/23/2021	\$1,001 - \$15,000
264	TWTR TWITTER INC	Sale	07/23/2021	\$1,001 - \$15,000
265	CNXC CONCENTRIX	Sale	07/26/2021	\$1,001 - \$15,000
266	GNRC GENERAC HOLDINGS INC	Sale	07/29/2021	\$1,001 - \$15,000
267	COIN COINBASE GLOBAL INC	Sale	07/29/2021	\$1,001 - \$15,000
268	AMZN AMAZON.COM INC	Sale	07/30/2021	\$1,001 - \$15,000
269	EXP EAGLE MATERIALS INC	Purchase	07/30/2021	\$1,001 - \$15,000
270	SQ SQUARE INC CLASS A	Sale	07/30/2021	\$1,001 - \$15,000
271	CX CEMEX SAB DE C V FSPONSORED ADR1 ADR REPS 10 ORD SHS	Purchase	07/30/2021	\$1,001 - \$15,000
272	PYPL PAYPAL HOLDINGS INCORPOR	Sale	07/30/2021	\$1,001 - \$15,000
273	KLAC KLA CORP	Purchase	07/30/2021	\$1,001 - \$15,000
274	BA BOEING CO	Purchase	08/27/2021	\$1,001 - \$15,000
275	ASAN ASANA INC CLASS A	Sale	08/26/2021	\$1,001 - \$15,000
276	ASAN ASANA INC CLASS A	Purchase	08/27/2021	\$1,001 - \$15,000
277	RIOT RIOT BLOCKCHAIN I N C	Sale	08/26/2021	\$1,001 - \$15,000
278	LRCX LAM RESEARCH CORP	Purchase	08/26/2021	\$1,001 - \$15,000
279	BA BOEING CO	Sale	08/26/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
280	RNG RINGCENTRAL INC CLASS A	Sale	08/26/2021	\$1,001 - \$15,000
281	ADSK AUTODESK INC	Purchase	08/26/2021	\$1,001 - \$15,000
282	ACLS AXCELIS TECHNOLOGIES	Purchase	08/25/2021	\$1,001 - \$15,000
283	FTNT FORTINET INC	Purchase	08/24/2021	\$1,001 - \$15,000
284	TTD THE TRADE DESK INC CLASS A	Sale	08/24/2021	\$1,001 - \$15,000
285	LRCX LAM RESEARCH CORP	Purchase	08/23/2021	\$1,001 - \$15,000
286	BA BOEING CO	Purchase	08/23/2021	\$1,001 - \$15,000
287	TGT TARGET CORP	Purchase	08/20/2021	\$1,001 - \$15,000
288	ADSK AUTODESK INC	Purchase	08/20/2021	\$1,001 - \$15,000
289	BA BOEING CO	Sale	08/20/2021	\$1,001 - \$15,000
290	MARA MARATHON DIGITAL HLDGS I	Purchase	08/20/2021	\$1,001 - \$15,000
291	KLAC KLA CORP	Purchase	08/20/2021	\$1,001 - \$15,000
292	ADBE ADOBE INC	Purchase	08/20/2021	\$1,001 - \$15,000
293	LRCX LAM RESEARCH CORP	Sale	08/20/2021	\$1,001 - \$15,000
294	FVRR FIVERR INTERNTNL LTD F	Sale	08/13/2021	\$1,001 - \$15,000
295	CX CEMEX SAB DE C V FSPONSORED ADR 1 ADR REPS 10 ORD SHS	Sale	08/17/2021	\$1,001 - \$15,000
296	ETSY ETSY INC	Sale	08/13/2021	\$1,001 - \$15,000
297	UCTT ULTRA CLEAN HLDGS	Sale	08/12/2021	\$1,001 - \$15,000
298	PRFT PERFICIENT INC	Purchase	08/12/2021	\$1,001 - \$15,000
299	TGT TARGET CORP	Purchase	08/12/2021	\$1,001 - \$15,000
300	GOOGL ALPHABET INC. CLASS A	Purchase	08/04/2021	\$1,001 - \$15,000
301	JPM JPMORGAN CHASE & CO	Purchase	08/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
302	AMZN AMAZON.COM INC	Purchase	08/03/2021	\$1,001 - \$15,000
303	ETSY ETSY INC	Purchase	08/03/2021	\$1,001 - \$15,000
304	SQ SQUARE INC CLASS A	Purchase	08/03/2021	\$1,001 - \$15,000
305	KLA KLA CORP	Purchase	08/03/2021	\$1,001 - \$15,000
306	WDAY WORKDAY INC CLASS A	Sale	08/02/2021	\$1,001 - \$15,000
307	FVRR FIVERR INTERNTNL LTD F	Sale	08/02/2021	\$1,001 - \$15,000
308	PYPL PAYPAL HOLDINGS INCORPOR	Sale	08/02/2021	\$1,001 - \$15,000
309	CNXC CONCENTRIX	Sale	08/02/2021	\$1,001 - \$15,000
310	FTNT FORTINET INC	Purchase	08/02/2021	\$1,001 - \$15,000
311	APPN APPIAN CORP 00500 CLASS A	Sale	08/02/2021	\$1,001 - \$15,000
312	GOOGL ALPHABET INC. CLASS A	Purchase	08/02/2021	\$1,001 - \$15,000
313	ATKR ATKORE INC	Purchase	08/02/2021	\$1,001 - \$15,000
314	DOCU DOCUSIGN INC	Purchase	08/02/2021	\$1,001 - \$15,000
315	FAS DIREXION DAILY FINANCIAL BULL 3X ETF	Purchase	09/28/2021	\$1,001 - \$15,000
316	LRCX LAM RESEARCH CORP	Sale	09/28/2021	\$1,001 - \$15,000
317	FANG DIAMONDBACK ENERGY	Purchase	09/27/2021	\$1,001 - \$15,000
318	JOBY JOBY AVIATION INC F	Purchase	09/23/2021	\$1,001 - \$15,000
319	FTNT FORTINET INC	Purchase	09/28/2021	\$1,001 - \$15,000
320	DT DYNATRACE INC	Purchase	09/23/2021	\$1,001 - \$15,000
321	SNAP SNAP INC CLASS A	Purchase	09/24/2021	\$1,001 - \$15,000
322	ADBE ADOBE INC	Purchase	09/22/2021	\$1,001 - \$15,000
323	ACLS AXCELIS TECHNOLOGIES	Sale	09/21/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
324	VXX IPATH SERIES B S&P 500 VIX SHORT-TERM FUTURES ETN	Sale	09/21/2021	\$1,001 - \$15,000
325	TGT TARGET CORP	Purchase	09/20/2021	\$1,001 - \$15,000
326	NEE NEXTERA ENERGY INC	Purchase	09/20/2021	\$1,001 - \$15,000
327	RPD RAPID SEVEN INC	Sale	09/20/2021	\$1,001 - \$15,000
328	JPM JP Morgan Chase & Co	Sale	09/20/2021	\$1,001 - \$15,000
329	ASAN ASANA INC CLASS A	Purchase	09/20/2021	\$1,001 - \$15,000
330	TGT TARGET CORP	Sale	09/20/2021	\$1,001 - \$15,000
331	PATH UIPATH INC	Sale	09/20/2021	\$1,001 - \$15,000
332	VXX IPATH SERIES B S&P 500 VIX SHORT-TERM FUTURES ETN	Purchase	09/20/2021	\$1,001 - \$15,000
333	EXP EAGLE MATERIALS INC	Sale	09/17/2021	\$1,001 - \$15,000
334	ASAN ASANA INC CLASS A	Purchase	09/16/2021	\$1,001 - \$15,000
335	AMAT APPLIED MATERIALS	Purchase	09/15/2021	\$1,001 - \$15,000
336	UVXY PROSHARES ULTRA VIX SHORT-TERM FUTURES ETF	Sale	09/14/2021	\$1,001 - \$15,000
337	PAG PENSKE AUTOMOTIVE GR	Purchase	09/16/2021	\$1,001 - \$15,000
338	MARA MARATHON DIGITAL HLDGS I	Sale	09/14/2021	\$1,001 - \$15,000
339	AVTR AVANTOR INC	Sale	09/14/2021	\$1,001 - \$15,000
340	UVXY PROSHARES ULTRA VIX SHORT-TERM FUTURES ETF	Purchase	09/14/2021	\$1,001 - \$15,000
341	AVTR AVANTOR INC	Purchase	09/14/2021	\$1,001 - \$15,000
342	BA BOEING CO	Sale	09/10/2021	\$1,001 - \$15,000
343	ADSK AUTODESK INC	Sale	09/10/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
344	AMAT APPLIED MATERIALS	Purchase	09/09/2021	\$1,001 - \$15,000
345	Generac Holdings, Inc. (GNRC)	Purchase	08/30/2021	\$1,001 - \$15,000
346	UIPATH INC (PATH)	Purchase	08/30/2021	\$1,001 - \$15,000
347	International Business Machines Corp. (IBM)	Sale	08/30/2021	\$1,001 - \$15,000
348	Alphabet, Inc. (GOOGL)	Sale	08/30/2021	\$1,001 - \$15,000
349	SHOP SHOPIFY INC FCLASS A	Sale	10/26/2021	\$1,001 - \$15,000
350	FNKO FUNKO INC	Sale	10/19/2021	\$1,001 - \$15,000
351	ALB ALBEMARLE CORP	Purchase	10/25/2021	\$1,001 - \$15,000
352	IBM IBM CORP	Sale	10/22/2021	\$1,001 - \$15,000
353	PTLO PORTILLOS INC	Purchase	10/22/2021	\$1,001 - \$15,000
354	UPST UPSTART HLDGS INC	Purchase	10/19/2021	\$1,001 - \$15,000
355	SNAP SNAP INC CLASS A	Sale	10/22/2021	\$1,001 - \$15,000
356	TGH TEXTAINER GROUP HLDG F	Purchase	10/15/2021	\$1,001 - \$15,000
357	COIN COINBASE GLOBAL INC	Purchase	10/15/2021	\$1,001 - \$15,000
358	TGLS TECNOGLASS INC F	Purchase	10/07/2021	\$1,001 - \$15,000
359	FNKO FUNKO INC	Purchase	10/04/2021	\$1,001 - \$15,000
360	PAG PENSKE AUTOMOTIVE GR	Sale	11/30/2021	\$1,001 - \$15,000
361	HUBS HUBSPOT INC	Purchase	11/23/2021	\$1,001 - \$15,000
362	STLD STEEL DYNAMICS INC	Sale	11/30/2021	\$1,001 - \$15,000
363	GGPI GORES GUGGENHEIM INC CLASS A	Sale	11/29/2021	\$1,001 - \$15,000
364	CLF CLEVELAND-CLIFFS INC	Sale	11/30/2021	\$1,001 - \$15,000
365	FANG DIAMONDBACK ENERGY	Sale	11/29/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
366	PTLOPORTILLOS INC	Purchase	11/24/2021	\$1,001 - \$15,000
367	SQ SQUARE INC CLASS A	Purchase	11/23/2021	\$1,001 - \$15,000
368	STLD STEEL DYNAMICS INC	Purchase	11/23/2021	\$1,001 - \$15,000
369	PTLO PORTILLOS INC	Sale	11/23/2021	\$1,001 - \$15,000
370	SITM SITIME CORP	Purchase	11/22/2021	\$1,001 - \$15,000
371	HUBS HUBSPOT INC	Purchase	11/23/2021	\$1,001 - \$15,000
372	CLF CLEVELAND-CLIFFS INC	Purchase	11/22/2021	\$1,001 - \$15,000
373	DT DYNATRACE INC	Sale	11/22/2021	\$1,001 - \$15,000
374	DOCU DOCUSIGN INC	Sale	11/22/2021	\$1,001 - \$15,000
375	FANG DIAMONDBACK ENERGY	Purchase	11/22/2021	\$1,001 - \$15,000
376	ASAN ASANA INC CLASS A	Sale	11/22/2021	\$1,001 - \$15,000
377	PLTR PALANTIR TECHNOLOGIES INCLASS A	Sale	11/22/2021	\$1,001 - \$15,000
378	RIVN RIVIAN AUTOMOTIVE INC CLASS A	Sale	11/22/2021	\$1,001 - \$15,000
379	PYPL PAYPAL HOLDINGS INCORPOR	Sale	11/22/2021	\$1,001 - \$15,000
380	UPST UPSTART HLDGS INC	Sale	11/19/2021	\$1,001 - \$15,000
381	EQR EQUITY RESIDENTIAL REIT	Sale	11/19/2021	\$1,001 - \$15,000
382	SONO SONOS INC	Purchase	11/19/2021	\$1,001 - \$15,000
383	GE GENERAL ELECTRIC CO	Sale	11/19/2021	\$1,001 - \$15,000
384	FANG DIAMONDBACK ENERGY	Sale	11/19/2021	\$1,001 - \$15,000
385	GGPI GORES GUGGENHEIM INC CLASS A	Purchase	11/15/2021	\$1,001 - \$15,000
386	DOCU DOCUSIGN INC	Purchase	11/12/2021	\$1,001 - \$15,000
387	MDB MONGODB INC CLASS A	Purchase	11/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
388	FAS DIREXION DAILY FINANCIALBULL 3X ETF	Sale	11/12/2021	\$1,001 - \$15,000
389	UPST UPSTART HLDGS INC	Purchase	11/12/2021	\$1,001 - \$15,000
390	MDB MONGODB INC CLASS A	Sale	11/11/2021	\$1,001 - \$15,000
391	TGT TARGET CORP	Sale	11/10/2021	\$1,001 - \$15,000
392	HUBS HUBSPOT INC	Purchase	11/10/2021	\$1,001 - \$15,000
393	DT DYNATRACE INC	Purchase	11/11/2021	\$1,001 - \$15,000
394	RIVN RIVIAN AUTOMOTIVE INC CLASS A	Purchase	11/10/2021	\$1,001 - \$15,000
395	DOCU DOCUSIGN INC	Sale	11/10/2021	\$1,001 - \$15,000
396	GE GENERAL ELECTRIC CO	Purchase	11/10/2021	\$1,001 - \$15,000
397	F FORD MOTOR CO	Purchase	11/10/2021	\$1,001 - \$15,000
398	DT DYNATRACE INC	Sale	11/10/2021	\$1,001 - \$15,000
399	UPST UPSTART HLDGS INC	Sale	11/10/2021	\$1,001 - \$15,000
400	F FORD MOTOR CO	Purchase	11/09/2021	\$1,001 - \$15,000
401	ASAN ASANA INC CLASS A	Sale	11/08/2021	\$1,001 - \$15,000
402	EQR EQUITY RESIDENTIAL REIT	Purchase	11/08/2021	\$1,001 - \$15,000
403	VLD VELO3D INC	Sale	11/08/2021	\$1,001 - \$15,000
404	MP MP MATERIALS CORP	Purchase	11/08/2021	\$1,001 - \$15,000
405	GNRC GENERAC HOLDINGS INC	Sale	11/04/2021	\$1,001 - \$15,000
406	UPST UPSTART HLDGS INC	Purchase	11/04/2021	\$1,001 - \$15,000
407	TGH TEXTAINER GROUP HLDG F	Sale	11/04/2021	\$1,001 - \$15,000
408	LCID LUCID GROUP INC	Purchase	11/01/2021	\$1,001 - \$15,000
409	UPST UPSTART HLDGS INC	Purchase	11/03/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
410	RIOT RIOT BLOCKCHAIN I N C	Purchase	11/01/2021	\$1,001 - \$15,000
411	NEE NEXTERA ENERGY INC	Sale	11/04/2021	\$1,001 - \$15,000
412	Adams Natural Resources Fund (PEO)	Sale	12/15/2021	\$1,001 - \$15,000
413	Blackrock Innovation and Growth Fund (BIGZ)	Purchase	12/15/2021	\$1,001 - \$15,000
414	GLBE GLOBAL-E ONLINE LTD F	Purchase	12/27/2021	\$1,001 - \$15,000
415	ADBE ADOBE INC	Sale	12/20/2021	\$1,001 - \$15,000
416	TWLO TWILIO INC CLASS A	Purchase	12/23/2021	\$1,001 - \$15,000
417	HUBS HUBSPOT INC	Purchase	12/21/2021	\$1,001 - \$15,000
418	PAYC PAYCOM SOFTWARE INC	Purchase	12/21/2021	\$1,001 - \$15,000
419	ROKU ROKU I N C CLASS A	Purchase	12/20/2021	\$1,001 - \$15,000
420	PAYC PAYCOM SOFTWARE INC	Sale	12/20/2021	\$1,001 - \$15,000
421	ROKU ROKU I N C CLASS A	Purchase	12/17/2021	\$1,001 - \$15,000
422	APP APPLOVIN CORP CLASS A	Purchase	12/17/2021	\$1,001 - \$15,000
423	AMBA AMBARELLA INC F	Purchase	12/17/2021	\$1,001 - \$15,000
424	DOCN DIGITALOCEAN HLDGS INC	Purchase	12/17/2021	\$1,001 - \$15,000
425	SITM SITIME CORP	Purchase	12/17/2021	\$1,001 - \$15,000
426	HUBS HUBSPOT INC	Purchase	12/17/2021	\$1,001 - \$15,000
427	TSLA TESLA INC	Sale	12/16/2021	\$1,001 - \$15,000
428	ADBE ADOBE INC	Purchase	12/16/2021	\$1,001 - \$15,000
429	HUBS HUBSPOT INC	Purchase	12/16/2021	\$1,001 - \$15,000
430	ADBE ADOBE INC	Sale	12/16/2021	\$1,001 - \$15,000
431	HUBS HUBSPOT INC	Sale	12/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
432	DOCN DIGITALOCEAN HLDGS INC	Sale	12/16/2021	\$1,001 - \$15,000
433	COP CONOCOPHILLIPS	Purchase	12/16/2021	\$1,001 - \$15,000
434	WDAY WORKDAY INC CLASS A	Sale	12/16/2021	\$1,001 - \$15,000
435	SITM SITIME CORP	Sale	12/16/2021	\$1,001 - \$15,000
436	AMAT APPLIED MATERIALS	Purchase	12/15/2021	\$1,001 - \$15,000
437	DOCN DIGITALOCEAN HLDGS INC	Purchase	12/15/2021	\$1,001 - \$15,000
438	AMAT APPLIED MATERIALS	Sale	12/15/2021	\$1,001 - \$15,000
439	ALB ALBEMARLE CORP	Sale	12/15/2021	\$1,001 - \$15,000
440	BAC BANK OF AMERICA CORP	Purchase	12/16/2021	\$1,001 - \$15,000
441	JPM JPMORGAN CHASE & CO	Purchase	12/14/2021	\$1,001 - \$15,000
442	TSLA TESLA INC	Sale	12/14/2021	\$1,001 - \$15,000
443	MXL MAXLINEAR INC	Purchase	12/14/2021	\$1,001 - \$15,000
444	DOCN DIGITALOCEAN HLDGS INC	Sale	12/14/2021	\$1,001 - \$15,000
445	TWLO TWILIO INC CLASS A	Purchase	12/14/2021	\$1,001 - \$15,000
446	PRFT PERFICIENT INC	Purchase	12/13/2021	\$1,001 - \$15,000
447	CRWD CROWDSTRIKE HLDGS INC	Purchase	12/13/2021	\$1,001 - \$15,000
448	RIOT RIOT BLOCKCHAIN I N C	Sale	12/13/2021	\$1,001 - \$15,000
449	SQ BLOCK INC CLASS A	Sale	12/13/2021	\$1,001 - \$15,000
450	CRWD CROWDSTRIKE HLDGS INC	Purchase	12/13/2021	\$1,001 - \$15,000
451	SHOP SHOPIFY INC FCLASS A	Sale	12/10/2021	\$1,001 - \$15,000
452	DOCN DIGITALOCEAN HLDGS INC	Purchase	12/09/2021	\$1,001 - \$15,000
453	SONO SONOS INC	Sale	12/09/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
454	COIN COINBASE GLOBAL INC	Sale	12/09/2021	\$1,001 - \$15,000
455	PTLO PORTILLOS INC	Sale	12/09/2021	\$1,001 - \$15,000
456	TGLS TECNOGLASS INC F	Sale	12/09/2021	\$1,001 - \$15,000
457	LCID LUCID GROUP INC	Sale	12/08/2021	\$1,001 - \$15,000
458	SITM SITIME CORP	Purchase	12/06/2021	\$1,001 - \$15,000
459	ALB ALBEMARLE CORP	Purchase	12/03/2021	\$1,001 - \$15,000
460	MP MP MATERIALS CORP	Sale	12/03/2021	\$1,001 - \$15,000
461	DOCN DIGITALOCEAN HLDGS INC	Purchase	12/02/2021	\$1,001 - \$15,000
462	Vanguard Star Fund Investor Shares VGSTX	Sale	03/31/2021	\$15,001 - \$50,000
463	Vanguard Institutional Target Retirement 2045 Fund Institutional Shares VITLX	Purchase	03/31/2021	\$15,001 - \$50,000
464	Vanguard Dividend Growth Investor Shares VDIGX	Sale	03/31/2021	\$15,001 - \$50,000
465	Vanguard Extended Market Index Fund Admiral Shares VEXAX	Sale	04/19/2021	\$1,001 - \$15,000
466	Vanguard Institutional Index Fund Institutional Plus VIEIX	Purchase	03/31/2021	\$15,001 - \$50,000
467	Vanguard Extended Market Index Fund Institutional	Purchase	04/19/2021	\$1,001 - \$15,000
468	Vanguard Extended Market Index Fund Institutional	Sale	11/04/2021	\$15,001 - \$50,000
469	Vanguard Extended Market Index Fund Institutional Plus Class	Purchase	11/04/2021	\$15,001 - \$50,000
470	529 College Savings Plan--DC	Purchase	12/20/2021	\$1,001 - \$15,000
471	Vanguard Total Bond Market Index Fund Institutional Vang Ttl Bd Mkt Idx Ins	Purchase	03/31/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
472	Vanguard Total Bond Market Index Fund Institutional Vang Ttl Bd Mkt Idx Ins	Sale	11/04/2021	\$1,001 - \$15,000
473	Vang Ttl Bd Mkt Idx InsPI	Purchase	11/04/2021	\$1,001 - \$15,000
474	Vang Extended Mkt Idx Ins	Purchase	03/31/2021	\$1,001 - \$15,000
475	Vang Extended Mkt Idx Ins	Sale	11/04/2021	\$15,001 - \$50,000
476	Vang US Growth Adm	Purchase	03/31/2021	\$50,001 - \$100,000
477	VAN Extend Mkldx Inst PI	Purchase	11/04/2021	\$15,001 - \$50,000
478	529 College Savings Plan-- NY	Purchase	12/17/2021	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	14.1	Employer and employee contributions to Employee Vesting Account.

PART	#	ENDNOTE
2.	15	Filer confirmed value of Wal-Mart stock and advised to maintain value below the \$15,000 exemption level to avoid ethics concerns.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

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

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
