

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Otting, Joseph M

Comptroller of the Currency, Department of the Treasury

Date of Termination: 05/29/2020

Other Federal Government Positions Held During the Preceding 12 Months:

Acting Director of the Federal Housing Finance Agency (1/2019 - 4/2019)

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/ Otting, Joseph [electronically signed on 08/09/2020 by Otting, Joseph in Integrity.gov] - Filer received a 85 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/ Sonfield, Brian, Certifying Official [electronically signed on 09/23/2020 by Sonfield, Brian in Integrity.gov]

Other review conducted by

/s/ Dickey, Jennifer, Ethics Official [electronically signed on 09/16/2020 by Dickey, Jennifer in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 10/05/2020 by Granahan, Megan in Integrity.gov]

Data Revised 10/02/2020

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	Ocean Blvd, LLC: Commercial property, residential property, golf course, spa and tennis facility, Las Vegas, NV	See Endnote	No		
1.1	SHGC, LLC: Commercial property, residential property, golf course, spa and tennis facility		No		
1.2	Southern Highlands Golf Club LLC, Las Vegas, NV		No	\$5,000,001 - \$25,000,000	Dividends Capital Gains \$50,001 - \$100,000
1.3	Spa at Southern Highlands, LLC (Spa and tennis facility), Las Vegas, NV		No	\$1,000,001 - \$5,000,000	None (or less than \$201)
1.4	Southern Highlands Golf Club, LLC (golf club) Las Vegas NV		No	\$15,001 - \$50,000	None (or less than \$201)
1.5	Southern Highlands Golf Club 2011, LLC		No	None (or less than \$1,001)	None (or less than \$201)
1.6	Golf Operations, Inc: Golf course operations entity, Las vegas, NV		No	\$1,001 - \$15,000	None (or less than \$201)
1.7	SHGC Villas, LLC: Residential real estate development entity, Las Vegas, NV		No	\$15,001 - \$50,000	\$201 - \$1,000
2	Lake Blvd, LLC		No		
2.1	Residential Rental: Trussell, Las Vegas, NV		No	\$250,001 - \$500,000	Rent or Royalties \$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Residential Rental: Canon Perdido, Las Vegas, NV	No	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
4	Residential Rental: Trussell, Las Vegas, NV	No	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
5	Residential Rental: Livorno, Las Vegas, NV	No	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
6	Residential Rental: WhiteHills, Las Vegas, NV	No	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
7	Residential Rental: Del Rudini, Las Vegas, NV	No	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
8	Residential Rental: Del Rudini, Las Vegas, NV	No	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
9	Residential Rental: Del Rudini, Las Vegas, NV	No	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
10	Residential Rental: Cupecoy, Las Vegas, NV	No	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
11	Residential Rental: Venice, CA	No	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
12	Residential Rental: Venice, CA	No	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
13	Residential Rental: Verdiccio, Las Vegas NV	No	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
14	US Bancorp, defined benefit plan (value not readily ascertainable) Eligible for \$60,000 per year at age 65	No			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	USB	Minneapolis, Minnesota	I will continue to participate in this defined benefit plan.	11/2012

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	Union Bank, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments	
2	Yvonne Otting Rollover IRA - YRO IRA	No			None (or less than \$201)
2.1	IShares MSCI EAFE ETF - EFA	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.2	CVS Health Corp - CVS	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Yvonne Otting Roth IRA - YRO Roth Ira	No			
3.1	IShares Russell 2000 ETF - IWM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.2	IShares Core S&P Midcap ETF - IJH	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.3	IShares Russell 1000 Value ETF - IWD	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.4	IShares Russell 1000 Growth ETF - IWF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	IShares MSCI EAFE ETF - EFA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.6	SPDR S&P 500 ETF TR - SPY	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Trust Account 1 (INTL G)	No			
1.1	AMADEUS IT GROUP ADR AMADY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2	BROADCOM INC - AVGO	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.3	CARLSBERG AS SPON ADR - CABGY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4	CDN NATL RAILWAY CO CAD - CNI	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.5	COMPASS GROUP PLC SPON ADR - CMPGY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.6	CSL LTD SPON ADR - CSLLY	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	PERNOD RICARD SA ADR - PDRDY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.8	RELX PLC SPON ADR - RELX	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.9	SAP SE SPON ADR - SAP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.10	SCHNEIDER ELEC SE UNSPONSORED ADR - SBGSY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.11	SMITH & NEPHEW PLC NEW - SNN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.12	TAIWAN SEMICONDUCTOR MFG CO LTD ADR - TSM	N/A	\$1,001 - \$15,000		\$201 - \$1,000
1.13	UNILEVER NV N Y SHS NEW NETHERLANDS SPON SPON ADR - UN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.14	WH GROUP LTD SPON ADR - WHGLY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.15	WOLTERS KLUWER NV SPONSORED ADR NETHERLANDS ADR - WTKWY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.16	CGI INC CAD - GIB	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	U.S. Bank 1 FDIC Insured Deposit Program	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.18	IShares Core MSCI EAFE ETF - IEFA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2	Trust Account 2 (Div Ruler)	No			
2.1	ACCENTURE PLC IRELAND CL A - ACN	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.2	CRANE CO - CR	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.3	DIAGEO PLC NEW GB SPON ADR - DEO	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.4	HOME DEPOT INC - HD	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.5	INTEL CORP - INTC	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.6	MCDONALDS CORP - MDC	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.7	MICROSOFT CORP - MSFT	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
2.8	NEXTERA ENERGY INC COM - NEE	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	
2.9	ROCKWELL AUTOMATION INC NEW - ROK	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	
2.10	TEXAS INSTRUMENTS - TXN	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	
2.11	UNION PACIFIC CORP - UNP	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	
2.12	VF CORP - VFC	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	
2.13	Kontoor Brands Inc - KTB	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
2.14	U.S. Bank 1 FDIC Insured Deposit Program		N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Trust Account 3 (Trust Empty)	No				
3.1	U.S. Bank 1 FDIC Insured Deposit Program	No		None (or less than \$1,001)		None (or less than \$201)
4	Trust Account 4 (Sm Cap Core)	No				
4.1	AMERISAFE INC - AMSF	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
4.2	BALCHEM CORP - BCPC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
4.3	BLACKBAUD INC - BLKB	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
4.4	CATALENT INC - CTLT	N/A	\$50,001 - \$100,000		None (or less than \$201)	
4.5	COHEN & STEERS INC - CNS	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	EPAM SYSTEMS INC - EPAM	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.7	FIVE BELOW INC - FIVE	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.8	GLOBUS MED INC CL A - GMED	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.9	GRAND CANYON EDUCATION INC - LOPE	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.10	HEALTH CARE SVCS GROUP INC - HCSG	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
4.11	HEICO CORP NEW HEI	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.12	HEICO CORP NEW CL A - HEI.A	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.13	HUBSPOT INC - HUBS	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.14	ICU MEDICAL INC - ICUI	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.15	LOGMEIN INC - LOGM	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.16	Northwestern Corp New - NWE	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.17	Power Integrations Inc - POWI	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.18	RBC Bearings Inc - ROLL	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.19	Ritchie Bro Auctioneer Inc - RBA	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.20	Rogers Corp - ROG	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.21	Silgan Holdings Inc - SLGN	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.22	Silicon Laboratories Inc - SLAB	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.23	Sun Communities Inc - SUI	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.24	Texas Roundhouse Inc Cl A - TXRH	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.25	Tyler Technologies Inc - TYL	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.26	UFP INDS Inc - UFPI	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.27	US Ecology Inc Com - ECOL	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.28	WD-40 CD (DEL) - WDFC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.29	West Pharmaceutical Services - WST	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
4.30	U.S. Bank 1 FDIC Insured Deposit Program	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.31	Vanguard Small-Cap ETF - VB	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5	Trust Account 5 (CIT Stock)	No	None (or less than \$1,001)		None (or less than \$201)
5.1	U.S. Bank 1 FDIC Insured Deposit Program	N/A	None (or less than \$1,001)		None (or less than \$201)
6	Trust Account 6 (Lg Cap Val)	No			
6.1	Anthem Inc - ANTM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	Astrazeneca Plc Spon Adr - AZN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.3	Comcast Corp New Cl A - CMCSA	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.4	Diageo Plc New GB Spon Adr - DEO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.5	Dollar Gen Corp New - DG	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.6	Exelon Corp - EXC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.7	Honeywell Intl Inc - HON	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.8	Lockheed Martin Corp - LMT	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.9	Marathon Petroleum Co - MPC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.10	Merck & Co Inc New Com - MRK	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.11	Microsoft Corp - MSFT	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.12	Motorola Solutions Inc - MSI	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.13	Nextera Energy Inc Com - NEE	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.14	Northrop Grumman Corp - NOC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.15	Oracle Corp - ORCL	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.16	Pfizer Inc - PFE	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.17	Public Service Enterprise Group Inc - PEG	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.18	Taiwan Semiconductor Mfg Co Ltd Adr - TSM	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.19	Traveler Cos Inc/The - TRV	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.20	Unilever NV N Y SHS New Netherlands Spon Spon ADR - UN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.21	Union Pacific Corp - UNP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.22	Verizon Communications Inc - VZ	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.23	3M Co - MMM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.24	U.S. Bank 1 FDIC Insured Deposit Program	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Trust Account 7 (JT EFT Rep Prop)	No			
7.1	Ishares Core S&P Midcap ETF (IJH)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
7.2	Ishares MSCI EAFE ETF	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
7.3	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
7.4	U.S. Bank 1 FDIC Insured Deposit Program	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.5	SPDR S&P 500 ETF (SPY)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
8	Trust Account 8 (Trust Ckg/Cards)	No			
8.1	UBS Select Treasury Institutional Fund	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
8.2	U.S. Bank 1 FDIC-Insured Deposit Program	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Trust Account 9 (Taxable FI)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	Guggenheim Total Return Bond Fund Class Institutional - GIBIX	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
9.2	U.S. Bank 1 FDIC Insured Deposit Program	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3	Double Line Total Return Fund Instl - DBLTX	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
9.4	Guggenheim Macro Opportunities Fund Class Institutional - GIOIX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.5	PIMCO GNMA and Government Securities Fund I-2 - PPGNX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.6	PIMCO Income Fund Class I2 - PONPX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	Trust Account 10 (Tr Tax Ex FI)	No			
10.1	California St BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.2	St of CA Var Gen Obli BN BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.3	California St for Prev BE/R/	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
10.4	California St BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.5	Delaware St for Issues D BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.6	Georgia St for Issues DT BE/R/	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
10.7	California St BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.8	California St Pub Wks BR SR B RV BE/R/	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.9	St of CA Var Gen Obli Bn BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.10	Georgia St SR A BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.11	California St BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.12	California St BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.13	North Carolina St SR B BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.14	New York City Transition A-1 BE/R/	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
10.15	Wisconsin St for Issues SR2 BE/R/	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
10.16	Utah St BE/R/	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
10.17	Minnesota St 2013B BE/R/	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
10.18	North Carolina St SR BE/R/	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
10.19	Washington St for Issues SR B BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.20	Tennessee St SR A BE/R/	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
10.21	District Columbia Wtr & SR C BE/R/	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
10.22	St of CA Var Gen Obli BN BE/R	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.23	Texas St SR A BE/R/	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
10.24	California St BE/R/	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
10.25	Washington St for Issues BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.26	King Cnty WA for Issues SR B BE/R/	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
10.27	State of WA GO BE/R/	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
10.28	Ohio St BE/R/	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
10.29	King Cnty WA SWR SR C BE/R/	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
11	Trust Account 11 (AI Replace Prop)	No			
11.1	Pimco Commodity Real Return Strategy Fund Class I2 - PCRPX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.2	Chiron Capital Allocation Fund Class I - CCAPX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.3	Eaton Vance Richard Bernstein All Asset Strategy Fund Class I - EIRAX	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11.4	First Eagle Global Funds Class I - SGIIIX	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12	Trust Account 12 (Lg Cap Growth)	No			
12.1	Abbott Labs - ABT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.2	Accenture PLC Ireland Cl A - ACN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.3	Amgen Inc - AMGN	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.4	Apple Inc - AAPL	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.5	Becton Dickinson & Co - BDX	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.6	Broadcom Inc - AVGO	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.7	Broadridge Financial Solutions Inc - BR	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.8	CDW Corp - CDW	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.9	Cintas Corp - CTAS	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.10	Cisco Systems - CSCO	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.11	Home Depot Inc - HD	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.12	Honeywell Intl Inc - HON	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.13	Lauder Estee Cos Cl A - EL	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.14	Marktaxess Holdings Inc - MKTX	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.15	Microsoft Corp - MSFT	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
12.16	Nextera Energy Inc Com - NEE	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.17	Stryker Corp - SYK	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.18	Texas Instruments - TXN	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.19	U.S. Bank 1 FDIC Insured Deposit Program	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Trust Account 13 (Indiv Spare)	No			
14	Trust Account 14 (Tax FI Rep Prop)	No			
14.1	Angel Oak Multi-Strategy Income Fund Class Instl - ANGIX	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
14.2	Double Line Total Return Fund Instl - DBLTX	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
14.3	Guggenheim Total Return Bond Fund Class Institutional - GIBIX	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
14.4	Pimco Income Fund Class I2 - PONPX	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
14.5	JPMorgan Income Builder Fund Class I - JNBSX	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
14.6	U.S. Bank 1 FDIC Insured Deposit Program	N/A	\$50,001 - \$100,000		None (or less than \$201)
15	Trust Account 15 (Joint Index ETF)	No			
15.1	Consumer Discretionary Select Sector SPDR Fund ETF - XLY	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
15.2	Consumers Staples Select Sector SPDR Fund ETF - XLP	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
15.3	ISHares S&P 500 Value ETF - IVE	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
15.4	ISHares S&P 500 Growth ETF - IVW	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
15.5	ISHares Russell 1000 Value ETF - IWD	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.6	IShares Russell 1000 Growth ETF - IWF	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
15.7	IShares Core MSCI EAFE ETF - IEFA	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
15.8	SPDR S&P Telecom ETF - XTL	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.9	Technology Select Sector SPDR ETF - XLK	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
15.10	Utilities Sector SPDR Fund ETF - XLU	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.11	Energy Select Sector SPDR Fund - XLE	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.12	Vanguard Small-Cap ETF - VB	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
15.13	Vanguard Large-Cap ETF - VV	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
15.14	Vanguard Mid-Cap ETF - VO	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
15.15	Vanguard Real Estate ETF - VNQ	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.16	Vanguard Materials ETF - VAW	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.17	Vanguard Industrials ETF - VIS	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.18	Vanguard Mega Cap Value ETF - MGV	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
16	Trust Account 16 (Sole Index ETF)	No			
16.1	IShares Russell 2000 ETF - IWM	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
16.2	IShares S&P 500 Value ETF - IVE	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.3	IShares S&P 500 Growth ETF - IVW	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
16.4	IShares Russell 1000 Value ETF - IWD	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
16.5	IShares Russell 1000 Growth ETF - IWF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
16.6	IShares MSCI EAFE ETF - EFA	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16.7	U.S. Bank 1 cash deposits	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.8	Vanguard FTSE Developed Mkt ETF - VEA	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17	U.S. Bank 2 Cash Deposits	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
18	Joseph Otting Rollover IRA - JMO IRA	No			
18.1	IShares Russell 2000 ETF - IWM	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.2	IShares Corp S&P Midcap ETF - IJH	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
18.3	IShares Russell 1000 Value ETF - IWD	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
18.4	IShares Russell 1000 Growth ETF - IWF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.5	IShares MSCI EAFE ETF - EFA	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
18.6	SPDR S&P 500 ETF TR - SPY	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.7	U.S. Bank 1 Cash Deposits	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Joseph Otting Roth IRA - JMO Roth IRA	No			
19.1	IShares Russell 2000 ETF - IWM	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
19.2	IShares Core S&P Midcap ETF - IJH	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
19.3	IShares Russell 1000 Value ETF - IWD	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
19.4	IShares Russell 1000 Growth ETF - IWF	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
19.5	IShares MSCI EAFE ETF - EFA	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
19.6	SPDR S&P 500 ETF TR - SPY	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
20	U.S. Bank 3 Cash Deposits	N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Vanguard Total Stock MKT ETF	Purchase	12/28/2018	\$1,000,001 - \$5,000,000
2	IShares MSCI EAFE ETF DE	Sale	12/28/2018	\$250,001 - \$500,000
3	IShares MSCI EAFE ETF DE	Sale	12/28/2018	\$100,001 - \$250,000
4	SPDR S&P 500 ETF TR DE	Sale	12/28/2018	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
5	SPDR S&P ETF TR DE	Sale	12/28/2018	\$1,000,001 - \$5,000,000
6	IShares MSCI EAFE ETF DE	Sale	12/28/2018	\$100,001 - \$250,000
7	SPDR S&P 500 ETF TR	Purchase	12/26/2018	\$100,001 - \$250,000
8	SPDR S&P 500 ETF TR	Purchase	12/26/2018	\$250,001 - \$500,000
9	SPDR S&P 500 ETF TR	Purchase	12/26/2018	\$50,001 - \$100,000
10	IShares MSCI EAFE ETF DE	Purchase	12/04/2018	\$50,001 - \$100,000
11	SPDR S&P 500 ETF TR	Purchase	12/04/2018	\$100,001 - \$250,000
12	Chevron Corp DE	Sale	12/26/2018	\$15,001 - \$50,000
13	Dowdupont Inc DE	Sale	12/26/2018	\$1,001 - \$15,000
14	Hess Corp DE	Sale	12/26/2018	\$1,001 - \$15,000
15	Koninklijke Philips NV SPON ADR	Sale	12/26/2018	\$15,001 - \$50,000
16	Linde PLC EUR DE	Sale	12/26/2018	\$1,001 - \$15,000
17	Vanguard FTSE Developed MKT ETF	Purchase	12/28/2018	\$500,001 - \$1,000,000
18	Quest Diagnostics Inc DE	Sale	12/26/2018	\$1,001 - \$15,000
19	Royal Dutch Shell PLC CL A SPON ADR	Sale	12/26/2018	\$15,001 - \$50,000
20	Suncor Energy Inc New CAD	Sale	12/26/2018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
21	Total S.A. France SPON ADR	Sale	12/26/2018	\$15,001 - \$50,000
22	Pimco Income Fund Class I2	Sale	12/06/2018	\$50,001 - \$100,000
23	KAO Corp Repstg 10 Shs	See Endnote	Exchange	\$1,001 - \$15,000
24	SPDR S&P 500 ETF TR DE		Purchase	\$50,001 - \$100,000
25	UBS Select Prime Investor Fund		Sale	\$100,001 - \$250,000
26	Washington ST for Issues SR B BE/R	See Endnote	Purchase	\$100,001 - \$250,000
27	Untd Technologies Corp DE		Sale	\$50,001 - \$100,000
28	Linde PLC EUR DE		Sale	\$100,001 - \$250,000
29	Lockheed Martin Corp DE		Sale	\$50,001 - \$100,000
30	Pepsico Inc DE		Sale	\$50,001 - \$100,000
31	Suncor Energy Inc New Cad		Sale	\$50,001 - \$100,000
32	John Bean Technologies Corp		Sale	\$15,001 - \$50,000
33	Alamo Group Inc DE		Sale	\$1,001 - \$15,000
34	Diplomat Pharmacy Inc DE		Sale	\$15,001 - \$50,000
35	Sun Hydraulics Inc DE		Sale	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
36	Mobile Mini Inc DE	Sale	12/04/2018	\$15,001 - \$50,000
37	Proassurance Corp DE	Sale	12/04/2018	\$15,001 - \$50,000
38	Lithia Motors Inc CL A DE	Sale	12/04/2018	\$15,001 - \$50,000
39	Matador Res Co DE	Sale	12/04/2018	\$15,001 - \$50,000
40	Air Prod & Chemical Inc DE	Sale	12/26/2018	\$1,001 - \$15,000
41	Polyone Corp DE	Sale	12/04/2018	\$15,001 - \$50,000
42	Lockheed Martin Corp DE	Sale	12/26/2018	\$15,001 - \$50,000
43	Patrick Indust Inc DE	Sale	12/04/2018	\$1,001 - \$15,000
44	United Parcel Service Inc CL B	Sale	12/26/2018	\$1,001 - \$15,000
45	TJX Cos Inc New DE	Sale	12/26/2018	\$1,001 - \$15,000
46	Proofpoint Inc DE	Sale	12/04/2018	\$15,001 - \$50,000
47	CVS Health Corp DE	Sale	12/26/2018	\$1,001 - \$15,000
48	Constellation Brands Inc CL A	Sale	12/26/2018	\$1,001 - \$15,000
49	3M Co DE	Sale	12/26/2018	\$1,001 - \$15,000
50	UBS Select Prime Investor Fund	Purchase	01/07/2019	\$100,001 - \$250,000
51	King Cnty WA for Issues SR B BE/R	Purchase	02/14/2019	\$100,001 - \$250,000
52	Ohio St BE/R/	Purchase	03/28/2019	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
53	St of WA GO BE/R/	Purchase	03/25/2019	\$100,001 - \$250,000	
54	Washington St for Issues BE/R/	Purchase	03/06/2019	\$100,001 - \$250,000	
55	California St BE/R/ (bond)	Purchase	06/03/2019	\$100,001 - \$250,000	
56	SPDR S&P 500 ETF TR DE	Purchase	07/11/2019	\$15,001 - \$50,000	
57	SPDR S&P 500 ETF TR DE	Purchase	07/11/2019	\$1,001 - \$15,000	
58	SPDR S&P 500 ETF TR DE	Purchase	07/11/2019	\$1,001 - \$15,000	
59	Texas ST SR A BE/R/	See Endnote	Purchase	10/29/2019	\$100,001 - \$250,000
60	Medidata Solutions Inc	See Endnote	Exchange	10/29/2019	\$15,001 - \$50,000
61	IShares Russell 2000 ETF DE	Sale	11/08/2019	\$1,001 - \$15,000	
62	Pimco GNMA and Government Securities	Purchase	11/19/2019	\$15,001 - \$50,000	
63	IShares Core S&P Midcap ETF	Sale	11/08/2019	\$1,001 - \$15,000	
64	First Trust Low Duration Mortgage Opportunities ETF (LMBS)	Sale	11/20/2019	\$15,001 - \$50,000	
65	IShares Russell 1000 Value ETF	Sale	11/08/2019	\$15,001 - \$50,000	
66	IShares Russell 1000 Growth ETF	Sale	11/08/2019	\$15,001 - \$50,000	
67	SPDR S&P 500 ETF TR DE	Sale	11/08/2019	\$15,001 - \$50,000	
68	IShares MSCI EAFE ETF DE	Sale	11/08/2019	\$1,001 - \$15,000	

#	DESCRIPTION	TYPE	DATE	AMOUNT
69	VANGUARD INDUSTRIALS ETF DE	Purchase	03/23/2020	\$15,001 - \$50,000
70	ISHARES CORE MSCI EAFE ETF	Purchase	03/23/2020	\$500,001 - \$1,000,000
71	SPDR S&P TELECOM ETF DE	Purchase	03/23/2020	\$1,001 - \$15,000
72	VANGUARD LARGE-CAP ETF DE	Purchase	03/23/2020	\$1,000,001 - \$5,000,000
73	VANGUARD MID-CAP ETF DE	Purchase	03/23/2020	\$250,001 - \$500,000
74	VANGUARD REAL ESTATE ETF DE	Purchase	03/23/2020	\$1,001 - \$15,000
75	VANGUARD MATERIALS ETF DE	Purchase	03/23/2020	\$1,001 - \$15,000
76	VANGUARD MEGA CAP VALUE ETF	Purchase	03/23/2020	\$500,001 - \$1,000,000
77	VANGUARD FTSE DEVELOPED MKT ETF	Sale	03/23/2020	\$500,001 - \$1,000,000
78	ISHARES RUSSELL 2000 ETF DE	Sale	03/23/2020	\$250,001 - \$500,000
79	VANGUARD SMALL-CAP ETF DE	Purchase	03/23/2020	\$1,000,001 - \$5,000,000
80	ISHARES RUSSELL 2000 ETF DE	Sale	03/23/2020	\$15,001 - \$50,000
81	ISHARES U.S TELECOMMUNICATIONS ETF	Sale	03/23/2020	\$1,001 - \$15,000
82	ISHARES CORE S&P MIDCAP ETF	Sale	03/23/2020	\$250,001 - \$500,000
83	ISHARES RUSSELL 2000 ETF DE	Sale	03/23/2020	\$500,001 - \$1,000,000
84	ISHARES S&P 500 VALUE ETF	Sale	03/23/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
85	ISHARES S&P 500 VALUE ETF	Sale	03/23/2020	\$15,001 - \$50,000
86	ISHARES S&P 500 VALUE ETF	Sale	03/23/2020	\$50,001 - \$100,000
87	ISHARES RUSSELL 1000 VALUE ETF	Sale	03/23/2020	\$15,001 - \$50,000
88	INDUSTRIAL SELECT SECTOR SPDR FUND ETF	Sale	03/23/2020	\$15,001 - \$50,000
89	ISHARES RUSSELL 1000 VALUE ETF	Sale	03/23/2020	\$50,001 - \$100,000
90	ISHARES RUSSELL 1000 VALUE ETF	Sale	03/23/2020	\$1,001 - \$15,000
91	REAL ESTATE SELECT SECT SPDR ETF	Sale	03/23/2020	\$1,001 - \$15,000
92	ISHARES MSCI EAFE ETF DE	Sale	03/23/2020	\$50,001 - \$100,000
93	MATERIALS SELECT SECTOR SPDR TRUST ETF	Sale	03/23/2020	\$1,001 - \$15,000
94	VANGUARD ENERGY ETF DE	Sale	03/10/2020	\$1,001 - \$15,000
95	VANGUARD TOTAL STOCK MKT ETF	Sale	03/23/2020	\$1,000,001 - \$5,000,000
96	ISHARES RUSSELL 1000 VALUE ETF	Sale	03/23/2020	\$250,001 - \$500,000
97	UBS SELECT TREASURY INSTITUTIONAL FUND	Purchase	03/16/2020	\$1,000,001 - \$5,000,000
98	SPDR S&P 500 ETF TR DE	Sale	03/23/2020	\$500,001 - \$1,000,000
99	UBS SELECT TREASURY INVESTOR FUND	Purchase	03/17/2020	\$15,001 - \$50,000
100	UBS SELECT PRIME INVESTOR FUND	Sale	03/17/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
101	ENERGY SELECT SECTOR SPDR FUND ETF	Purchase	03/10/2020	\$1,001 - \$15,000
102	UBS SELECT PRIME INSTITUTIONAL FUND	Sale	03/16/2020	\$1,000,001 - \$5,000,000
103	VANGUARD SMALL-CAP ETF DE	Purchase	03/23/2020	\$15,001 - \$50,000
104	OXFORD INDUSTRIES DE	Sale	03/23/2020	\$1,001 - \$15,000
105	CANTEL MEDICAL CORP DE	Sale	03/23/2020	\$1,001 - \$15,000
106	HEALTH CARE SVCS GROUP INC	Sale	03/23/2020	\$1,001 - \$15,000
107	NATL HEALTH INVESTORS INC	Sale	03/23/2020	\$1,001 - \$15,000
108	NATL HEALTH INVESTORS INC	Sale	03/23/2020	\$1,001 - \$15,000
109	NATL HEALTH INVESTORS INC	Sale	03/23/2020	\$1,001 - \$15,000
110	PEBBLEBROOK HOTEL TR DE	Sale	03/23/2020	\$1,001 - \$15,000
111	US ECOLOGY INC DE	Sale	03/23/2020	\$1,001 - \$15,000
112	ANGEL OAK MULTI-STRATEGY INCOME FUND CLASS INSTL	Sale	03/19/2020	\$50,001 - \$100,000
113	WOLVERINE WORLD WIDE INC DE	Sale	03/23/2020	\$1,001 - \$15,000
114	ISHARES CORE MSCI EAFE ETF	Purchase	03/23/2020	\$15,001 - \$50,000
115	BROADCOM INC DE	Sale	03/23/2020	\$1,001 - \$15,000
116	BAIDU INC ADS REPSNTG CL A ORD SHS SPON ADR	Sale	03/23/2020	\$1,001 - \$15,000
117	INFORMA PLC SPON ADR DE	Sale	03/23/2020	\$1,001 - \$15,000
118	COMPAGNIE FINANCIERE RICHEMONT AG ADR	Sale	03/23/2020	\$1,001 - \$15,000
119	COMPASS GROUP PLC SPON ADR	Sale	03/23/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
120	CGI INC CAD DE	Sale	03/23/2020	\$1,001 - \$15,000
121	LAS VEGAS SANDS CORP DE	Sale	03/23/2020	\$1,001 - \$15,000
122	SCHNEIDER ELEC SE UNSPONSORED ADR	Sale	03/23/2020	\$1,001 - \$15,000
123	DEUTSCHE POST AG SPON ADR	Sale	03/23/2020	\$1,001 - \$15,000
124	PERNOD RICARD SA ADR DE	Sale	03/23/2020	\$1,001 - \$15,000
125	VANGUARD FTSE DEVELOPED MKT ETF	Purchase	04/22/2020	\$15,001 - \$50,000
126	ISHARES MSCI EAFE ETF DE	Sale	04/22/2020	\$15,001 - \$50,000
127	GUGGENHEIM MACRO OPPORTUNITIES FUND CLASS	Purchase	04/30/2020	\$15,001 - \$50,000
128	GUGGENHEIM MACRO OPPORTUNITIES FUND CLASS	Purchase	04/27/2020	\$15,001 - \$50,000
129	PIMCO INCOME FUND CLASS I2	Purchase	04/13/2020	\$15,001 - \$50,000
130	ISHARES RUSSELL 1000 VALUE ETF	Purchase	04/21/2020	\$1,001 - \$15,000
131	ISHARES RUSSELL 2000 ETF DE	Purchase	04/21/2020	\$15,001 - \$50,000
132	ISHARES CORE S&P MIDCAP ETF	Purchase	04/21/2020	\$15,001 - \$50,000
133	SPDR S&P 500 ETF TR DE	Purchase	04/21/2020	\$15,001 - \$50,000
134	ISHARES RUSSELL 1000 GROWTH ETF	Sale	04/21/2020	\$50,001 - \$100,000
135	ISHARES MSCI EAFE ETF DE	Sale	04/21/2020	\$15,001 - \$50,000
136	ISHARES RUSSELL 1000 VALUE ETF	Purchase	04/21/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
137	ISHARES RUSSELL 2000 ETF DE	Purchase	04/21/2020	\$15,001 - \$50,000
138	ISHARES CORE S&P MIDCAP ETF	Purchase	04/21/2020	\$15,001 - \$50,000
139	SPDR S&P 500 ETF TR DE	Purchase	04/21/2020	\$15,001 - \$50,000
140	ISHARES RUSSELL 1000 GROWTH ETF	Sale	04/21/2020	\$15,001 - \$50,000
141	ISHARES MSCI EAFE ETF DE	Sale	04/21/2020	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	UBS Mortgage	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2015	3.00%	30 years
2	UBS Mortgage	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2013	3.00%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	For LLCs listed in Part 2, filer resigned from his positions with these entities in accordance with his ethics agreement. (Note added by OCC Reviewer JD)
6.	2.13	Spun off in 2019 from VF Corp.
7.	23	Shares exchanged for cash.
7.	26	Based on information from investment account staff, this is a Washington State Various Purpose General Obligation Bond, Series 2015B. Note added by OCC Reviewer JD.
7.	59	According to investment account staff, SR A BE/R denotes Series A, Book Entry Registration. jd reviewer.
7.	60	Exchanged for cash. Company was acquired by Dassault.

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. 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).