

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Lander, Eric

Director, Office of Science and Technology Policy

Other Federal Government Positions Held During the Preceding 12 Months:

Member, Defense Innovation Board (external advisory board to Secretary of Defense)(SGE) (10/2016 - 10/2020)

Names of Congressional Committees Considering Nomination:

- Committee on Commerce, Science, and Transportation
-

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/ Lander, Eric [electronically signed on 01/21/2021 by Lander, Eric in Integrity.gov]

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

/s/ Wallace, Rachel, Certifying Official [electronically signed on 02/18/2021 by Wallace, Rachel in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 02/19/2021 by Rounds, Emory in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Broad Institute of MIT and Harvard	Cambridge, Massachusetts	Non-Profit	CEO, President, Director, and Professor	7/2009	Present
2	Massachusetts Institute of Technology	Cambridge, Massachusetts	University/College	Professor	7/1990	Present
3	Harvard University	Cambridge, Massachusetts	University/College	Professor	7/2004	Present
4	Innocence Project	New York, New York	Non-Profit	Member, Board of Directors	2/2004	Present
5	Count Me In	Cambridge, Massachusetts	Non-Profit	Member, Board of Directors	7/2016	Present
6	Biden Cancer Initiative	Washington DC, District of Columbia	Non-Profit	Member, Board of Directors	7/2017	12/2020
7	Codiak Biosciences	Cambridge, Massachusetts	Corporation	Member, Board of Directors	11/2015	Present
8	Neon Therapeutics	Cambridge, Massachusetts	Corporation	Member, Board of Directors	3/2015	5/2020
9	Third Rock Ventures	Boston, Massachusetts	Corporation	Scientific Advisor	7/2007	Present
10	F-Prime Capital	Boston, Massachusetts	Corporation	Scientific Advisor	9/2010	Present
11	Lander Family Charitable Foundation	Cambridge, Massachusetts	Non-Profit	Co-Trustee	10/1997	Present
12	2016 Revocable Family Trust #1	Cambridge, Massachusetts	Trust	Grantor, Trustee	7/2016	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	2016 Revocable Family Trust #2	Cambridge, Massachusetts	Trust	Grantor, Trustee	7/2016	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Codiak Biosciences (CDAK) common stock	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
2	Codiak Biosciences (CDAK) vested stock options (value not readily ascertainable); 19,188 vested shares, strike \$3.29, expire 2/19/2026; 8,634 vested shares, strike \$10.17, expire 2/1/2028	N/A			None (or less than \$201)
3	Codiak Biosciences (CDAK) stock options (value not readily ascertainable); 2,879 unvested shares, strike \$10.17, expire 2/1/2028; 10,000 unvested shares, strike \$15.00, expire 10/07/2030	N/A			None (or less than \$201)
4	Broad Institute of MIT and Harvard	N/A		Salary	\$1,407,115
5	Codiak Biosciences	See Endnote		Director Fees	\$73,750
6	BioNTech SE (BNTX). Formerly restricted shares of Neon Therapeutics (NTGN).	See Endnote	\$500,001 - \$1,000,000		None (or less than \$201)
7	Neon Therapeutics	N/A		Director Fees	\$83,214
8	The Broad Institute, Inc. 457(b) Plan	No			
8.1	Fidelity Freedom 2025 K Shares	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	HARVARD UNIVERSITY TAX-DEFERRED ANNUITY PLAN	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	Vanguard Institutional Target Retirement 2020 Fund Institutional Class Shares (VITWX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	Broad Institute, Inc. 401k Retirement Plan	No			
10.1	Fidelity Freedom 2025 Fund Class K Shares (FSNPX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
11	Constellation Pharmaceuticals, Inc. (CNST) distributed in-kind via Third Rock Ventures (Common Stock)	N/A	\$50,001 - \$100,000		None (or less than \$201)
12	Revolution Medicines Inc (RVMD) distributed in-kind via Third Rock Ventures (Common Stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Jounce Therapeutics, Inc. (JNCE) pending distribution in-kind via Third Rock Ventures (Common Stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	SEP IRA	No			
14.1	Old Westbury Fixed Income Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
14.2	Old Westbury Credit Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.3	Old Westbury Large Cap Strategies	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
14.4	Old Westbury Small & Mid Cap Strategies	Yes	\$250,001 - \$500,000		None (or less than \$201)
14.5	Old Westbury All Cap Core Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
14.6	Old Westbury Multi-Asset Opportunities	Yes	\$100,001 - \$250,000		None (or less than \$201)
15	Traditional IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.1	Old Westbury Fixed Income Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.2	Old Westbury Multi-Asset Opportunities Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.3	Old Westbury Credit Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.4	Old Westbury Large Cap Strategies Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
15.5	Old Westbury Small & Mid Cap Strategies Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
15.6	Old Westbury All Cap Core Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
16	F-Prime Capital	N/A		Compensation - advisory board fees	\$50,000
17	Infosys Foundation 3/31/20	See Endnote	N/A	Honorarium	\$10,000
18	Cal Tech 3/3/2020	N/A		Honorarium	\$2,325
19	Whitehead Institute for Biomedical Research	No			
19.1	TIAA Traditional	N/A	\$100,001 - \$250,000		None (or less than \$201)
19.2	CREF stock	Yes	\$250,001 - \$500,000		None (or less than \$201)
19.3	CREF Growth	Yes	\$250,001 - \$500,000		None (or less than \$201)
19.4	CREF Equity Index	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
20	Whitehead Institute for Biomedical Research 403(B)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.1	CREF Growth	Yes	\$250,001 - \$500,000		None (or less than \$201)
20.2	CREF Bond Market	Yes	\$15,001 - \$50,000		None (or less than \$201)
21	Retirement Income Plan For Teaching Faculty of Harvard University	No			
21.1	TIAA Traditional	N/A	\$100,001 - \$250,000		None (or less than \$201)
21.2	CREF Stock R3	Yes	\$250,001 - \$500,000		None (or less than \$201)
22	Patents (with Broad Institute of MIT and Harvard)	No			
22.1	"Direct Selection of Genomic Targets" or "Selection of Nucleic Acids by Solution Hybridization to Synthetic Oligonucleotide Baits," PCT/US2009/000707 filed 2/4/2009, nationalized in US (12/365,650) and Europe, value not ascertainable.	N/A			None (or less than \$201)
22.2	"A Method for the Discovery of Agents Targeting and Exhibiting Specific Toxicity for Cancer Stem Cells," PCT/US2009/002254 filed 4/10/2009, nationalized in US (12/937,070 and 14/065,311), not yet issued, value not ascertainable.	N/A			None (or less than \$201)
22.3	"HiC: Methods of Identifying Interactions Between Genomic Loci," US Patent application no. 13/121,158 filed 3/25/2011, issued US Patent 9,434,985; 9,708,648 and 10,745,744, value not ascertainable.	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.4	"Prediction of and Monitoring Cancer Therapy Response Based on Gene Expression Profiling", PCT/US2011/046325 filed 8/2/2011, nationalized in US (13/813,150), Europe, Japan and Canada, not issued, value not ascertainable.	N/A		Rent or Royalties	\$2,501 - \$5,000
22.5	"Methods for the Detection of DNA-RNA Proximity in Vivo," PCT/US2014/028900 filed 3/14/2014, nationalized in US (14/774,644) and Europe, issued in Europe (validated in UK and Germany), value not ascertainable.	N/A			None (or less than \$201)
22.6	"Multiplexed Genetic Reporter Assays and Compositions," PCT/US2012/036558 filed 5/4/2012, nationalized in US (14/115,608) and Europe, issued in Europe (validated in UK, Germany and France), value not ascertainable.	N/A			None (or less than \$201)
22.7	"Compositions And Methods Of Treating Head And Neck Cancer," PCT/US2012/048157 filed 7/25/2012, nationalized in US (13/557,988), Europe and Mexico, issued US Patent No. 9,370,551, value not ascertainable.	N/A			None (or less than \$201)
22.8	"Selective Purification of RNA and RNA-Bound Molecular Complexes," PCT/US2014/027298 filed 3/14/2014, nationalized in US (14/774,635), not issued, value not ascertainable.	N/A			None (or less than \$201)
22.9	"Massively Multiplexed RNA Sequencing," PCT/US2014/027015 filed 3/14/2014, nationalized in US (14/774,648; 16/834,933), issued US Patent 10,612,088, value not ascertainable.	N/A			None (or less than \$201)
22.10	"Method for In Situ Determination of Nucleic Acid Proximity," PCT/US2015/063272 filed 12/1/2015, nationalized in US (15/532,353) and Europe, issued in Europe (validated in UK and Germany) value not ascertainable	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.11	"Functional Genomics Using CRISPR-CAS Systems, Compositions, Methods, Screens and Applications Thereof," US Patent application no. 15/141,348, not issued, value not ascertainable.	N/A		Rent or Royalties	\$2,501 - \$5,000
22.12	"Systems and Methods for Determining Relative Abundances of Biomolecules," PCT/US2016/059230 filed 10/27/2016, nationalized in US (15/771,981), not issued, value not ascertainable.	N/A			None (or less than \$201)
22.13	"Novel CRISPR Enzymes and Systems," PCT/US2016/038258 filed 6/17/2016, nationalized US (15/482,603), Australia, Canada, Europe, and Russia), not issued, value not ascertainable.	N/A		Rent or Royalties	\$5,001 - \$15,000
22.14	"Assays for Massively Combinatorial Perturbation Profiling and Cellular Circuit Reconstruction," PCT/US2016/059233 filed 10/27/2016, nationalized US (15/965,192), not issued, value not ascertainable.	N/A			None (or less than \$201)
22.15	"Methods and Compositions for Altering Function and Structure of Chromatin Loops and/or Domains," PCT/US2016/047644 filed 8/18/2016, nationalized US (15/753,318), Australia and Europe, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.16	"Novel CRISPR Enzymes and Systems," PCT/US2016/058302 filed 10/21/2016, nationalized US (15/960,064), Australia, China, Europe, Hong Kong, Korea, not issued, value not ascertainable.	N/A		Rent or Royalties	\$15,001 - \$50,000
22.17	"Large Genome Assembly From Three Dimensional Genome Structure," PCT/US2017/036649 filed 6/8/2017, nationalized US (16/308,386), not issued, value not ascertainable.	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.18	"Novel CRISPR Enzyme and Systems," PCT/US2017/038154 filed 6/19/2017, nationalized US (16/310,577), Australia, Brazil, Canada, China, Europe, Hong Kong, Japan, Korea, not issued, value not ascertainable.	N/A		Rent or Royalties	\$15,001 - \$50,000
22.19	"Systematic Mapping of Regulatory Elements in Non-Coding Genomic Regions, Compositions, Methods, Libraries and Applications Thereof," PCT/US2017/053795 filed 9/27/2017, nationalized US (16/337,846), not issued, value not ascertainable.	N/A		Rent or Royalties	\$5,001 - \$15,000
22.20	"CRISPR Effector System Based Diagnostics," PCT/US2017/065477 filed 12/8/2017, nationalized US (15/917,546), Australia, Brazil, Canada, China, Europe, Japan, Korea, issued US Patent no. 10,266,886 and 10,266,887, value not ascertainable.	N/A			None (or less than \$201)
22.21	"Methods for Identification and Modification of LNCRNA Associated with Target Genotypes and Phenotypes," PCT/US2018/031075 filed 5/4/2018, nationalized US (16/611,025), not issued, value not ascertainable.	N/A		Rent or Royalties	\$5,001 - \$15,000
22.22	"CRISPR Effector System Based Diagnostics," US Patent application No. 15/922,576 filed 3/15/2018, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.23	"CRISPR Effector System Based Diagnostics," US Patent application No. 15/922,879 filed 3/15/2018, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.24	"CRISPR Effector System Based Diagnostics for Virus Detection," PCT/US2018/022764 filed 3/15/2018, nationalized US (16/494,279), Australia, Brazil, Canada, China, Europe, Hong Kong, Israel, Japan, Korea, Saudi Arabia and United Arab Emirates, not issued, value not ascertainable.	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.25	"CRISPR Effector System Based Diagnostics," US Patent application no. 15/922,837 filed 3/15/2018, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.26	"Methods and Systems for Reconstruction of Developmental Landscapes by Optimal Transport Analysis," PCT/US2018/051808 filed 9/19/2018, nationalized US (16/648,715), not issued, value not ascertainable.	N/A			None (or less than \$201)
22.27	"CRISPR Effector System Based Diagnostics For Malaria Detection," US 15/952,132 filed 4/12/2018, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.28	"Agents for Reversing Toxic Proteinopathies," PCT/US2020/038847 filed 6/20/2020, not yet nationalized, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.29	"Methods and Compositions for Altering Function and Structure of Chromatin Loops and/or Domains," PCT/US2018/054476 filed 10/4/2018, nationalized in US (17/753,718) and Europe, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.30	"Improved Linear Genome Assembly From Three Dimensional Genome Structure," US Patent application No. 16/247,502 filed 1/14/2019, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.31	"Compressed Sensing for Tissue Imaging," US Application No. 16/681,639 filed 11/12/2019, not issued, value not ascertainable.	N/A			None (or less than \$201)
22.32	"Methods of Determination of Genome Architecture and Epigenetic Profile," PCT/US2020/033436 filed 5/18/2020, not yet nationalized, not issued, value not ascertainable.	N/A			None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.33	"Methods For Treating Metabolic Disorders By Targeting ADCY5," PCT/US2020/035443 filed 5/29/2020, not yet nationalized, not issued, value not ascertainable.		N/A			None (or less than \$201)
22.34	"Method For Determination of 3D Genome Architecture with Base Pair Resolution and Further Uses Thereof," PCT/US2020/064704 filed 12/11/2020, not yet nationalized, not issued, value not ascertainable.		N/A			None (or less than \$201)
23	Third Rock Managers, L.P.	See Endnote	No	\$15,001 - \$50,000	In-kind distribution (equity)	\$1,208
23.1	Third Rock Ventures GP, L.P.		No			
23.1.1	Third Rock Ventures, L.P.	See Endnote	No			
23.2	Third Rock Managers LP, carried interest (value not readily ascertainable). 0.125 points of carry (of the fund's total 18.5 points of carry) after return of contributions	See Endnote	N/A		In-kind distribution (equity)	\$90,011
24	Third Rock Managers II, L.P.	See Endnote	No	\$250,001 - \$500,000	In-kind distribution (equity)	\$398
24.1	Third Rock Ventures GP II, L.P.		No			
24.1.1	Third Rock Ventures II, L.P.	See Endnote	No			
24.2	Third Rock Managers II, L.P Carried Interest (value not readily ascertainable) 0.250 points of carry (of the fund's total 19.5 points of carry) after return of contributions	See Endnote	N/A		In-kind distribution (equity)	\$14,343
25	Third Rock Ventures GP III, L.P.	See Endnote	No	\$1,000,001 - \$5,000,000	In-kind distribution (equity)	\$833
25.1	Third Rock Ventures III, L.P,	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25.2	Third Rock Ventures GP III, LP, Carried Interest (value not readily ascertainable). 0.125 points of carry (of the fund's total 20 points of carry) after return of contributions	See Endnote	N/A		Cash distributions	\$1,362
26	Third Rock Ventures GP IV, L.P.		No	\$500,001 - \$1,000,000		None (or less than \$201)
26.1	Third Rock Ventures IV , L.P.	See Endnote	No			
26.2	Third Rock Ventures GP IV, LP, Carried Interest (value not readily ascertainable) I receive 0.125 points of carry (of the fund's total 20 points of carry) after return of contributions	See Endnote	N/A		Cash distributions and in-kind distributions (equity)	\$3,025
27	Third Rock Ventures GP V, L.P.		No	\$50,001 - \$100,000		None (or less than \$201)
27.1	Third Rock Ventures V, L.P	See Endnote	No			
27.2	Third Rock Ventures GP V, L.P. Carried Interest (value not readily ascertainable) 0.100 points of carry (of the fund's total 20 points of carry) after return of contributions	See Endnote	N/A		Cash distributions and in-kind distributions (equity)	\$1,640

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	Broad Institute of MIT and Harvard	See Endnote	Cambridge, Massachusetts	I will take an unpaid, two-year leave of absence consistent with Harvard and MIT policies. I have the right to continue to participate in my health plan provided that I pay both the employer and employee contributions. Extension of this leave of absence beyond two academic years is only possible in extraordinary circumstances and requires approval of the MIT Provost and the Broad Institute Board of Directors.	1/2021

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
2	Massachusetts Institute of Technology	See Endnote	Cambridge, Massachusetts	I will take an unpaid, two-year leave of absence consistent with MIT policies. Extension of this beyond two academic years is only possible in extraordinary circumstances and requires approval of the Provost.	1/2021
3	Harvard University	See Endnote	Cambridge, Massachusetts	I will take an unpaid, two-year leave of absence consistent with Harvard policies. The leave of absence cannot be extended further under any circumstances.	1/2021
4	Codiak Biosciences		Cambridge, Massachusetts	<p>Grant dated 2/19/2016: 19,188 shares at an exercise price of \$3.29 per share. Vest 25% on first anniversary, 6.25% every quarter thereafter for 3 years. Expire 10 years from grant date, 2/19/2026.</p> <p>Grant dated 2/1/2018: 11,513 shares at an exercise price of \$10.17 per share. Vest 25% on first anniversary, 6.25% every quarter thereafter for 3 years. Expire 10 years from grant date, 2/1/2028.</p> <p>Grant dated 10/20/2020: 10,000 shares at an exercise price of \$15.00 per share. Vest 100% on first anniversary. Expire 10 years from grant date, 10/20/2030.</p> <p>I will exercise and sell vested options. I will forfeit all unvested stock options.</p>	8/2015
5	The Broad Institute, Inc. 457(b) Plan		Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions while I am on an unpaid leave of absence during my government service	12/2017
6	Whitehead Institute for Biomedical Research		Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor ceased making contributions upon my separation.	10/1989
7	WHITEHEAD INSTITUTE FOR BIOMEDICAL RESEARCH 403(B)		Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor ceased making contributions upon my separation.	2/1992
8	HARVARD UNIVERSITY TAX-DEFERRED ANNUITY PLAN		Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions while I am on an unpaid leave of absence during my government service.	2/1997

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
9	Broad Institute, Inc. 401k Retirement Plan	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions while I am on an unpaid leave of absence during my government service.	7/2009
10	Retirement Income Plan For Teaching Faculty of Harvard University	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor will not make contributions while I am on an unpaid leave of absence during my government service.	11/1981
11	Broad Institute of MIT and Harvard	Cambridge, Massachusetts	As a result of work performed with Broad Institute of MIT and Harvard, I am identified as the inventor on several patents. Pursuant to institutional royalty sharing policies, they may result in royalty payments to me.	7/2009
12	Third Rock Managers L.P.	Cambridge, Massachusetts	Pursuant to my contract, I retain carried interest in Third Rock Managers LP, as compensation for services provided as Scientific Advisor. I receive 0.125 points of carry (of the fund's total 18.5 points of carry) after return of contributions.	7/2008
13	Third Rock Managers II, L.P.	Cambridge, Massachusetts	Pursuant to my contract, I retain carried interest in Third Rock Managers II LP, as compensation for services provided as Scientific Advisor. I receive 0.250 points of carry (of the fund's total 19.5 points of carry) after return of contributions.	11/2010
14	Third Rock Ventures GP III, LP	Cambridge, Massachusetts	Pursuant to my contract, I retain carried interest in Third Rock Ventures GP III, LP, as compensation for services provided as Scientific Advisor. I receive 0.125 points of carry (of the fund's total 20 points of carry) after return of contributions.	10/2013
15	Third Rock Ventures GP IV, L.P.	Cambridge, Massachusetts	Pursuant to my contract, I retain carried interest in Third Rock Ventures GP IV, LP, as compensation for services provided as Scientific Advisor. I receive 0.125 points of carry (of the fund's total 20 points of carry) after return of contributions	3/2017
16	Third Rock Ventures GP V, L.P.	Cambridge, Maryland	Pursuant to my contract, I retain carried interest in Third Rock Ventures GP V, LP, as compensation for services provided as Scientific Advisor. I receive 0.100 points of carry (of the fund's total 20 points of carry) after return of contributions.	1/2020

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Broad Institute of MIT and Harvard	Cambridge, Massachusetts	CEO, President, Director and Faculty Member
2	Neon Therapeutics	Cambridge, Massachusetts	Member, Board of Directors (ended in 2020)
3	Codiak Biosciences	Cambridge, Massachusetts	Member, Board of Directors
4	Third Rock Ventures	Boston, Massachusetts	Member, Scientific Advisory Board
5	F-Prime Capital	Boston, Massachusetts	Member, Scientific Advisory Board
6	Infosys Foundation	Karnataka, India, Outside U.S.	Served on committee to select winner of the Infosys Prize; received honorarium; donated to charity.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	Old Westbury Fixed Income Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.2	Old Westbury Credit Income Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.3	Old Westbury Large Cap Strategies Fund	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
1.4	Old Westbury All Cap Core Fund	Yes	\$250,001 - \$500,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	Old Westbury Small & Mid Cap Strategies Fund (OWSMX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
1.6	Old Westbury Multi Asset Opportunities Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Old Westbury Large Cap Strategies Fund (OWLSX)	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
2	Old Westbury Small & Mid Cap Strategies Fund (OWSMX)	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
3	Old Westbury All Cap Core Fund (OWACX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4	Old Westbury Credit Income Fund (OWCIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
5	U.S. brokerage (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
6	Univ of Texas bond	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
7	U.S. brokerage (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
8	Texas State bond	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
9	Hampton Roads VA bond	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
10	US Treasury Notes	N/A	\$500,001 - \$1,000,000	Interest Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Boston MA bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
12	Texas State Transportation bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
13	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
14	Boston MA bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
15	MA state bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
16	MA state bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
17	New York NY bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
18	Cincinnati, OH Water bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
19	Lewis County, SD bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
20	MA State bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
21	Shakopee, MN bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
22	Travis County TX bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
23	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
24	Clint TX bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	Cleveland OH bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26	Dayton TX bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
27	Anne Arundel County MD bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
28	Orange County NC bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
29	Center Grove IN bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
30	Manor TX bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
31	Spokane County SD bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
32	Prosper TX bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
33	Garland TX bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
34	Fall River MA bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
35	VA State bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
36	Springfield MA bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
37	FL State Educ bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
38	Harvard Univ MA bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39	Anderson County SC bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
40	Univ of MA bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
41	MD State bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
42	Honolulu HI City and County bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
43	MA State bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
44	U.S. brokerage (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
45	Univ of TX bond	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
46	MA State bond	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
47	Hampton Roads VA bond	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
48	US Treasury Notes	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
49	Seattle WA bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
50	MA State Transportation bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
51	Maine State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
52	MD State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
53	Scituate MA bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
54	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
55	Spring Branch TX bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
56	New York NY bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
57	Boston MA bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
58	Cincinnati OH bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
59	Lewis County SD bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
60	Kershaw County SC bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
61	Travis County TX bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
62	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
63	Clint TX bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
64	Cleveland OH bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
65	Dayton TX bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
66	Center Grove IN bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
67	Manor TX bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
68	Spokane County SD bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
69	Prosper TX bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
70	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
71	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
72	Fort Bend TX bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
73	Tarrant County TX bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
74	Fall River MA bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
75	WA State bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
76	Springfield MA bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
77	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
78	Whatcom County SD bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
79	Charlotte NC bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
80	San Antonio TX bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
81	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
82	MA State bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
83	ALPHABET INC CLASS C (GOOG)	N/A	\$250,001 - \$500,000	Dividends	None (or less than \$201)
84	Charter Communications, Inc. (CHTR)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
85	FACEBOOK INC-A (FB)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
86	Amazon.com, Inc. (AMZN)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
87	Hilton Worldwide Holdings, Inc. (HLT)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
88	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
89	NIKE INC CL B (NKE)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
90	Ross Stores, Inc. (ROST)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
91	PepsiCo, Inc. (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
92	ConocoPhillips (COP)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
93	Pioneer Natural Resources Co. (PXD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
94	CHUBB LIMITED (CB)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
95	Aon Plc (AON)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
96	Bank of America Corp. (BAC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
97	BlackRock, Inc. (BLK)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
98	BLACKSTONE GROUP INC (BX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
99	Citigroup, Inc. (C)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
100	S&P Global, Inc. (SPGI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
101	SCHWAB CHARLES CORP NEW (SCHW)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
102	Catalent, Inc. (CTLT)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
103	Danaher Corp. (DHR)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
104	IQVIA Holdings, Inc. (IQV)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
105	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
106	UnitedHealth Group, Inc. (UNH)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
107	Zoetis, Inc. (ZTS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
108	Cintas Corp. (CTAS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
109	Fortive Corp. (FTV)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
110	Union Pacific Corp. (UNP)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
111	Adobe, Inc. (ADBE)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
112	Amphenol Corporation (APH)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
113	Apple, Inc. (AAPL)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
114	FIDELITY NATL INFO SVCS (FIS)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
115	Microsoft Corp. (MSFT)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
116	ServiceNow, Inc. (NOW)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
117	Texas Instruments Incorporated (TXN)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
118	Visa, Inc. (V)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
119	AIR PRODUCTS & CHEMICALS (APD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
120	American Tower Corporation (REIT) (AMT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
121	Ameren Corp. (AEE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
122	American Water Works Co., Inc. (AWK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
123	TENCENT HOLDINGS LTD (TCEHY)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
124	SEA LTD ADR (SE)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
125	AT&T Inc (T)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
126	Marriott International, Inc. (MAR)	N/A	\$100,001 - \$250,000		None (or less than \$201)
127	LVMH MOET HENNESSY VUITTON (LVMUY)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
128	Texas Roadhouse, Inc. (TXRH)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
129	Estee Lauder Cos. (EL)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
130	ALIBABA GROUP HOLDINGS LTD (BABA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
131	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
132	SAFRAN SA (SAFRF)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
133	Exxon Mobil Corp. (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
134	National Oilwell Varco, Inc. (NOV)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
135	ASML HOLDING (ASMLF)	N/A	\$15,001 - \$50,000	Dividends	\$15,001 - \$50,000
136	Old Westbury Large Cap Strategies Fund (OWLSX)	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
137	Match Group, Inc. (MTCH)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
138	DOLLARAMA INC (DLMAF)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
139	Advance Auto Parts, Inc. (AAP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
140	Burlington Stores, Inc. (BURL)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
141	WYNDHAM HOTELS & RESORTS (WH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
142	US Foods Holding Corp. (USFD)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
143	Nasdaq, Inc. (NDAQ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
144	STERIS Plc (Ireland) (STE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
145	The Cooper Cos., Inc. (COO)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
146	LAB CORP OF AMER HLDGS NEW (LH)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
147	Teleflex, Inc. (TFX)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
148	WEST PHARMACEUTICAL SVC (WST)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
149	RENTOKIL INITIAL PLC (RKLIF)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
150	Dover Corp. (DOV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
151	Equifax, Inc. (EFX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
152	IAA, Inc. (IAA)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
153	IDEX Corp. (IEX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
154	L3 HARRIS TECHNOLOGIES INC (LHX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
155	A. O. Smith Corporation (AOS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
156	VERISK ANALYTICS INC-CL A (VRSK)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
157	NICE LTD ADR (NICE)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
158	ANSYS, Inc. (ANSS)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
159	Aspen Technology, Inc. (AZPN)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
160	CDW CORP/DE (CDW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
161	CMC MATERIALS INC (CCMP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
162	Paycom Software, Inc. (PAYC)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
163	SS&C Technologies Holdings, Inc. (SSNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
164	Synopsys, Inc. (SNPS)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
165	WEX, Inc. (WEX)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
166	AptarGroup, Inc. (ATR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
167	Old Westbury Small & Mid Cap Strategies Fund (OWSMX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
168	Old Westbury All Cap Core Fund (OWACX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
169	Old Westbury Credit Income Fund (OWCIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
170	U.S. brokerage (cash)	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
171	U.S. brokerage (cash)	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
172	CME Group, Inc. (CME)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
173	ACCELERON PHARMA INC COM (XLRN)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
174	Agios Pharmaceuticals, Inc. (AGIO)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
175	Moody's Corp. (MCO)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
176	BG MEDICINE INC (BGMD)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
177	Abbott Laboratories (ABT)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
178	bluebird bio, Inc. (BLUE)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
179	AbbVie, Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
180	Blueprint Medicines Corporation (BPMC)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
181	Biogen Inc. (BIIB)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
182	Constellation Pharmaceuticals, Inc. (CNST)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
183	CytomX Therapeutics, Inc. (CTMX)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
184	Boston Scientific Corp. (BSX)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
185	Global Blood Therapeutics, Inc. (GBT)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
186	Charles River Laboratories International, Inc. (CRL)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
187	Infinity Pharmaceuticals, Inc. (INFI)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
188	Covetrus, Inc. (CVET)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
189	Kala Pharmaceuticals, Inc. (KALA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
190	Henry Schein, Inc. (HSIC)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
191	LARIMAR THERAPEUTICS INC (LRMR)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
192	Johnson & Johnson (JNJ)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
193	Eli Lilly & Co. (LLY)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
194	REVOLUTION MEDICINES INC (RVMD)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
195	UnitedHealth Group, Inc. (UNH)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
196	Rhythm Pharmaceuticals, Inc. (RYTM)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
197	ACCO Brands Corp. (ACCO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
198	Boeing Co (BA)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
199	Curtiss-Wright Corp. (CW)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
200	SAGE Therapeutics, Inc. (SAGE)	N/A	\$250,001 - \$500,000	Dividends	None (or less than \$201)
201	Verastem, Inc. (VSTM)	N/A	\$250,001 - \$500,000	Dividends	None (or less than \$201)
202	Juniper Networks, Inc. (JNPR)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
203	Voyager Therapeutics, Inc. (VYGR)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
204	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
205	VeriSign, Inc. (VRSN)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
206	Amazon.com, Inc. (AMZN)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
207	Alphabet, Inc. (GOOG)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
208	Charter Communications, Inc. (CHTR)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
209	Facebook, Inc. (FB)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
210	Hilton Worldwide Holdings, Inc. (HLT)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
211	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
212	NIKE, Inc. (NKE)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
213	Ross Stores, Inc. (ROST)	N/A	\$50,001 - \$100,000	Dividends	\$50,001 - \$100,000
214	PepsiCo, Inc. (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
215	ConocoPhillips (COP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
216	Pioneer Natural Resources Co. (PXD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
217	Chubb Ltd. (CB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
218	Aon Plc (AON)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
219	Bank of America Corp. (BAC)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
220	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
221	Dow, Inc. (DOW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
222	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
223	Sempra Energy (SRE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
224	BlackRock, Inc. (BLK)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
225	Blackstone Group (BX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
226	Citigroup, Inc. (C)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
227	S&P Global, Inc. (SPGI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
228	The Charles Schwab Corp. (SCHW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
229	Catalent, Inc. (CTLT)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
230	Danaher Corp. (DHR)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
231	IQVIA Holdings, Inc. (IQV)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
232	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
233	UnitedHealth Group, Inc. (UNH)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
234	Cintas Corp. (CTAS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
235	Fortive Corp. (FTV)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
236	Union Pacific Corp. (UNP)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
237	Adobe, Inc. (ADBE)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
238	Amphenol Corporation (APH)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
239	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
240	Fidelity National Information Services, Inc. (FIS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
241	Microsoft Corp. (MSFT)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
242	ServiceNow, Inc. (NOW)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
243	Texas Instruments Incorporated (TXN)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
244	Visa, Inc. (V)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
245	Air Products and Chemicals, Inc. (APD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
246	American Tower Corporation (REIT) (AMT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
247	Ameren Corp. (AEE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
248	American Water Works Co., Inc. (AWK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
249	Sea Ltd (SE)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
250	LVMH Moet Hennessy Vuitton	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
251	Alibaba Group Holdings (BABA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
252	Safran SA	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
253	ASML Holding	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
254	Match Group, Inc. (MTCH)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
255	Dollarama Inc	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
256	Advance Auto Parts, Inc. (AAP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
257	Burlington Stores, Inc. (BURL)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
258	Wyndham Hotels & Resorts, Inc. (WH)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
259	US Foods Holding Corp. (USFD)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
260	Nasdaq, Inc. (NDAQ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
261	STERIS Plc (Ireland) (STE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
262	The Cooper Cos., Inc. (COO)	N/A	\$50,001 - \$100,000		None (or less than \$201)
263	Laboratory Corp. of America Holdings (LH)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
264	Teleflex, Inc. (TFX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
265	West Pharmaceutical Services, Inc. (WST)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
266	5TH AVE REAL ASSETS 3 T1	Yes	\$1,001 - \$15,000		None (or less than \$201)
267	Rentokil Initial PLC	N/A	\$15,001 - \$50,000		None (or less than \$201)
268	Dover Corp. (DOV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
269	Equifax, Inc. (EFX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
270	IAA, Inc. (IAA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
271	IDEX Corp. (IEX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
272	L3 Harris Technologies Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
273	A. O. Smith Corporation (AOS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
274	Verisk Analytics, Inc. (VRSK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
275	Nice LTD ADR	N/A	\$15,001 - \$50,000		None (or less than \$201)
276	ANSYS, Inc. (ANSS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
277	Aspen Technology, Inc. (AZPN)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
278	CDW Corp. (CDW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
279	CMC Materials Inc (CCMP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
280	Paycom Software, Inc. (PAYC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
281	SS&C Technologies Holdings, Inc. (SSNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
282	Synopsys, Inc. (SNPS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
283	WEX, Inc. (WEX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
284	AptarGroup, Inc. (ATR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
285	Vontier Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
286	Activision Blizzard, Inc. (ATVI)	N/A	None (or less than \$1,001)		None (or less than \$201)
287	The Walt Disney Co. (DIS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
288	Discover Financial Services (DFS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
289	CoreLogic, Inc. (CLGX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
290	Health Care Select Sector SPDR Fund (XLV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
291	MSCI, Inc. (MSCI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
292	Booking Holdings Inc. (BKNG)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
293	salesforce.com, inc. (CRM)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
294	Waste Management, Inc. (WM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
295	Allegion Plc (ALLE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
296	US Treasury Note	N/A	None (or less than \$1,001)	Interest Capital Gains	\$50,001 - \$100,000
297	Grand Valley MI Bond	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
298	MyoKardia, Inc. (MYOK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
299	KAR Auction Services, Inc. (KAR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
300	Match Group, Inc. (MTCH)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
301	Vontier Group (VNT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
302	Activision Blizzard, Inc. (ATVI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
303	The Walt Disney Co. (DIS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
304	Discover Financial Services (DFS)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
305	CoreLogic, Inc. (CLGX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
306	Health Care Select Sector SPDR Fund (XLV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
307	MSCI, Inc. (MSCI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
308	Booking Holdings Inc. (BKNG)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
309	salesforce.com, inc. (CRM)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
310	Waste Management, Inc. (WM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
311	Allegion Plc (ALLE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
312	Axalta Coating Systems Ltd. (AXTA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
313	KAR Auction Services, Inc. (KAR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
314	Vontier Group (VNT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
315	Activision Blizzard, Inc. (ATVI)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
316	TENCENT HOLDINGS LTD (TCEHY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
317	IDEX Corp. (IEX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
318	TENCENT HOLDINGS LTD (TCEHY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
319	Allergan Plc (AGN)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Cambridge Trust	Mortgage on Personal Residence	\$100,001 - \$250,000	2000	Variable interest rate, current rate 4% - December 31, 2020 thru May 15, 2021.	30 years
2	5TH AVE REAL ASSETS 3 T1 Fund	Capital commitment	\$100,001 - \$250,000	2015	N/A	On demand

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	5	\$9,750 of the amount reported was received subsequent to filing the report.
2.	6	Shares acquired via corporate action. BioNTech SE (BNTX) acquired Neon Therapeutics (NTGN)
2.	17	Served on committee to select winner of the Infosys Prize; honorarium donated to charity.

PART	#	ENDNOTE
2.	23	Equity distributed in-kind is reported separately on this report.
2.	23.1.1	Corvia Medical Inc. (medical devices); NinePoint Medical, Inc. (medical devices); Sensen Bio, Inc (therapeutics); Seventh Sense Biosystems Inc. (blood collection technology).
2.	23.2	See holdings in endnote to line 23.1.1. Equity distributed in-kind is reported separately on this report.
2.	24	Equity distributed in-kind is reported separately on this report.
2.	24.1.1	Alcresta Therapeutics, Inc. (enzyme based products); Allena Pharmaceuticals, Inc. (ALNA); Jounce Therapeutics, Inc. (JNCE); Kibur Medical, Inc.(Medical Devices); PanOptica, Inc. (biopharmaceutical); Revolution Medicines, Inc. (RVMD)
2.	24.2	See holdings in Endnote to line 24.1.1. Equity distributed in-kind is reported separately on this report.
2.	25	Equity distributed in-kind is reported separately on this report.
2.	25.1	Decibel Therapeutics, Inc. (biotechnology); Element Science, Inc. (therapeutic devices); Fulcrum Therapeutics, Inc. (biotechnology); Goldfinch Bio, Inc. (biotechnology); Jounce Therapeutics, Inc. (JNCE); Nurix Therapeutics, Inc. (NRIX); Pliant Therapeutics, Inc. (PLRX) Relay Therapeutics, Inc. (RLAY); Revolution Medicines, Inc. (RVMD) Voyager Therapeutics, Inc. (VYGR)
2.	25.2	See holdings in Endnote to line 25.1
2.	26.1	Ambys Medicines, Inc. (biotechnology); Casma Therapeutics, Inc. (biotechnology) Cedilla Therapeutics, Inc. (biotechnology); Celsius Therapeutics, Inc. (medicine/biomarkers); Fulcrum Therapeutics, Inc.(biotechnology); Goldfinch Bio, Inc. (biotechnology); Insitro, Inc.(biotechnology/AI); Magenta Therapeutics, Inc. (biotechnology); Maze Therapeutics, Inc. (biopharmaceuticals); Neuroinflammation NewCo, Inc. (biotechnology); Pliant Therapeutics, Inc. (PLRX); Relay Therapeutics, Inc. (RLAY); Revolution Medicines, Inc. (RVMD) Rheos Medicines, Inc. (biopharmaceutical); Tango Therapeutics, Inc. (biotechnology)
2.	26.2	See holdings in Endnote to line 26.1. Equity distributed in-kind is reported separately on this report.
2.	27.1	Ambys Medicines, Inc. (biotechnology); Asher Biotherapeutics, Inc.(immunotherapy drugs); Casma Therapeutics, Inc.(biotechnology); Cedilla Therapeutics, Inc.(biotechnology); Celsius Therapeutics, Inc. (medicine/biomarkers); DNALite Therapeutics, Inc. (biotechnology); Faze Medicines, Inc.(biotechnology); Flare Therapeutics, Inc. (biotechnology); GPCR NewCo, Inc. (biotechnology); Maze Therapeutics, Inc. (biopharmaceutical); MoMa Therapeutics, Inc. (biopharmaceutical); Necco NewCo, Inc. (biotechnology); Rheos Medicines, Inc. (biopharmaceutical); Velox Therapeutics, Inc. (cell therapy).
2.	27.2	See holdings in Endnote to line 27.1. Equity distributed in-kind is reported separately on this report.

PART	#	ENDNOTE
3.	1	Unpaid leave. I will receive no compensation.
3.	2	Unpaid leave. I will receive no compensation.
3.	3	Unpaid leave. I will receive no compensation.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

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