

# Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

## Filer's Information

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Rice, Susan E

Assistant to the President and Domestic Policy Advisor, White House - Biden-Harris Administration

Date of Appointment: 01/20/2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Rice, Susan E [electronically signed on 01/09/2021 by Rice, Susan E in Integrity.gov]

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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/ Olorunnipa, Funmi, Certifying Official [electronically signed on 03/18/2021 by Olorunnipa, Funmi in Integrity.gov]

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Other review conducted by

/s/ Olorunnipa, Funmi, Ethics Official [electronically signed on 03/18/2021 by Olorunnipa, Funmi in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 03/18/2021

Data Revised - Workflow re-designation - 03/18/2021

Data Revised 03/17/2021

Data Revised 02/22/2021

Data Revised 02/19/2021

Data Revised 02/18/2021

Data Revised 02/17/2021

Data Revised 02/12/2021

Data Revised 02/09/2021

Data Revised 02/08/2021

Data Revised 02/07/2021

Data Revised 02/05/2021

Data Revised 02/04/2021

Data Revised 02/03/2021

Data Revised 02/02/2021

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	SERice LLC	Washington, District of Columbia	Author/Speaking Business	President	4/2017	Present
2	American University, School of International Service	Washington, District of Columbia	University/College	Distinguished Visiting Research Fellow	3/2017	1/2021
3	Netflix Corporation	Los Gatos, California	Corporation	Director	3/2018	1/2021
4	New York Times Company	New York, New York	Corporation	Contributing Opinion Writer	11/2017	12/2020
5	Harvard University Belfer Center	Cambridge, Massachusetts	University/College	Non-Resident Senior Fellow	9/2017	1/2021
6	Kennedy Center	Washington, District of Columbia	Non-Profit	Board Member	1/2017	9/2019
7	Amplo Partners I, LLC	Spring, Texas	Corporation	Board Partner	8/2018	1/2021
8	Amplo Partners II, LLC	Spring, Texas	Corporation	Board Partner	8/2018	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SERice LLC	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	New York Times Company	See Endnote	N/A	Payments for op-eds submitted to the New York Times	\$13,600
1.2	Tiger 21 LLC - January 31, 2020		N/A	Speaker's fee	\$5,000
1.3	NIKE, Inc. (NKE) - January 30, 2021		N/A	Speaker's fee	\$1,605
1.4	Colorado State University - February 11, 2020		N/A	Speaker's fees	\$41,000
1.5	Vanderbilt University - February 19, 2020		N/A	Speaker's fees	\$60,000
1.6	CoStar Group, Inc. (CSGP) - February 26, 2020		N/A	Speaker's fee	\$22,500
1.7	A&E TV Networks/History Talks - February 29, 2020		N/A	Speaker's fee	\$47,575
1.8	Wellesley College - February 28, 2020		N/A	Speaker's fee	\$1,049
1.9	Princeton University - April 28, 2020		N/A	Speaker's fee	\$250
1.10	The Asia Group - May 1, 2020		N/A	Speaker's fee	\$1,500
1.11	Pivotal Ventures - May 5, 2020		N/A	Speaker's fee	\$10,000
1.12	World 50 - May 5, 2020		N/A	Speaker's fee	\$21,600
1.13	salesforce.com, inc./Knotch/LiveNation - June 25, 2020			Speaker's fee	\$22,500
1.14	Latham and Watkins - August 13, 2020		N/A	Speaker's fee	\$22,500
1.15	Duke University - August 27, 2020		N/A	Speaker's fee	\$13,500
1.16	Swiss Economic Forum - September 3, 2020		N/A	Speaker's fee	\$27,000
1.17	National Mortgage News - September 16, 2020		N/A	Speaker's fee	\$25,200
1.18	Johns Hopkins University - September 29, 2020		N/A	Speaker's fee	\$27,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.19	National Coalition of Girl's Schools - October 5, 2020	N/A		Speaker's fee	\$6,750
1.20	National Association of Corporate Directors - October 9, 2020	N/A		Speaker's fee	\$45,000
1.21	Yale University - October 12, 2020	N/A		Speaker's fee	\$7,500
1.22	Arizent - October 15, 2020	N/A		Speaker's fee	\$25,200
1.23	Charleston to Charleston Literary Festival - October 15, 2020	N/A		Speaker's fee	\$300
1.24	Neuberger Berman - October 21, 2020	N/A		Speaker's fee	\$31,500
1.25	YWCA Silicon Valley - October 29, 2020	N/A		Speaker's fee	\$22,500
1.26	World 50 - September 30, 2020	N/A		Speaker's fee	\$20,250
1.27	Professional Liability Underwriting Society - November 9, 2020	N/A		Speaker's fee	\$25,200
1.28	Stanford Continuing Education Lecture - November 2, 2020	N/A		Speaker's fee	\$500
1.29	Presidents of Enterprising Organizations - November 18, 2020	N/A		Speaker's fee	\$22,500
1.30	Cambridge Speakers Series - December 17, 2020	N/A		Speaker's fee	\$81,000
1.31	Entertainment Partners - August 17, 2020	N/A		Appearance fee	\$200
1.32	Cast and Crew Talent Services - June 18, 2020	N/A		Appearance fee	\$1,257
1.33	Media Services Processing	N/A		Appearance fee	\$5,656
1.34	Simon and Schuster/Paperback - December 15, 2020	N/A		Book payout	\$125,000
1.35	Simon and Schuster/Hardback - January 31, 2020	N/A		Book payout	\$125,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.36	HBO/AFTRA for Real Time with Bill Maher		N/A		Residual	\$296
1.37	Force Residuals		N/A		Residual	\$4,778
1.38	Steward Speakers Series - March 2, 2020	See Endnote	N/A		Travel buyout	\$708
1.39	University of Iowa - February 5, 2020	See Endnote	N/A		Travel buyout	\$1,285
2	Netflix Corporation, stock options (value not readily ascertainable): 4546 vested stock options with a 7-10 day window period for exercising with strike prices of \$310 to \$557.	See Endnote	N/A		Income from exercise of stock options.	\$305,275
3	SEP-IRA		No			
3.1	UBS BANK DEPOSIT ACCOUNT		N/A	\$50,001 - \$100,000		None (or less than \$201)
3.2	UBS SELECT GOV'T INVESTOR FUND		Yes	\$50,001 - \$100,000		None (or less than \$201)
4	BENEFICIARY IRA		No			
4.1	iShares Core S&P Small-Cap ETF (IJR)		Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	iShares MSCI EAFE ETF (EFA)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	iShares Core MSCI EAFE ETF (SCZ)		Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	ISHARES CORE MSCI EMERGIN MARKETS ETF (IEFA)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	Vanguard Value Index Fund ETF Shares (VTV)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	VANGUARD MID-CAP ETF		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Vanguard Growth Index Fund ETF Class Shares (VUG)		Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	ISHARES IBOXX \$ INVT GRADE CORP BOND ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	ISHARES BROAD USD INVT GRADE CORP BOND ETF (USIG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.12	ISHARES JP MORGAN USD EMERGIN MARKETS BOND ETF (EMB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.14	Schwab US TIPS ETF (SCHP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	UBS BANK DEPOSIT ACCOUNT	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.17	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	SUSAN BENEFICIARY IRA #2	N/A		cash distributions	\$42,793
6	SUSAN BENEFICIARY IRA #2	No			
6.1	UBS BANK USA DEP ACCT	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.2	UBS Select Government Investor Fund (SGEXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.3	ABBVIE INC COM (ABBV)	No	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.4	Adobe, Inc. (ADBE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.5	ALPHABET INC CL A (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.6	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.7	Apple, Inc. (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.8	BRISTOL MYERS SQUIBB CO (BMY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.9	Chevron Corp. (CVX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.10	The Clorox Co. (CLX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.11	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.12	Costco Wholesale Corp. (COST)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.13	Deere & Co. (DE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.14	Dow, Inc. (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.15	DuPont de Nemours, Inc. (DD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.16	International Business Machines Corp. (IBM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.17	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.18	Kimberly-Clark Corp. (KMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.19	The Kraft Heinz Co. (KHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.20	MARRIOTT INTL INC NEW CL A (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.21	Medtronic Plc (MDT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.22	Microsoft Corp. (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.23	MONDELEZ INTL INC (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.24	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.25	Procter & Gamble Co. (PG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.26	Prudential Financial, Inc. (PRU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.27	salesforce.com, inc. (CRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.28	State Street Corp. (STT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.29	United Parcel Service CL B (UPS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.30	Viatis Inc. (VTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.31	WP CAREY INC REIT (WPC)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.32	Zoetis, Inc. (ZTS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.33	INVESCO QQQ TRUST ETF (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.34	ISHARES US AEROSPACE & DEFENSE (ITA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.35	ROBO GLOBAL ROBOTICS & AUT INDEX ETF (ROBO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.36	VANGUARD FTSE EMERGING MARKETS ETF (VWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.37	VANGUARD FTSE DEVELOPED MKT ETF (VEA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.38	GE CAP INTERNOTES MID TERM BOND	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.39	iShares TIPS Bond ETF (TIP)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.40	ISHARES IBOX USD HIGH YIELD CORPORATE BOND ETF (HYG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.41	JP MORGAN & CHASE CO PREFERRED (JPMLPRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.42	US TREAS INFL PROT NOTE	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.43	US TREAS INFLO PROT BOND	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	THE BROOKINGS INSTITUTION TIAA-CREF RETIREMENT	No			
7.1	CREF Stock Class R2 (QCSTPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	CREF Growth R2 (QCGRPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.3	CREF GLOBAL EQUITIES (QCGLPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	TIAA REAL ESTATE (QREARX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	CREF BOND MARKET R2 (QCBMPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.6	CREF SOCIAL CHOICE R2 (QCSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Amplo Partners I, LLC, carried interest, (value not readily ascertainable): granted assignee interest -- an LLC percentage of .4854% and capital percentage of 0.0%	See Endnote	N/A		None (or less than \$201)
10	Amplo Partners II, LLC, carried interest (value not readily ascertainable): granted an assignee interest -- LLC percentage of .58% and capital percentage of 0.0%	See Endnote	N/A		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Netflix Corporation See Endnote	Los Gatos, California	I will dispose of the stock options.	3/2018
2	The Brookings Institution	WASHINGTON, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2002

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Amplo Partners I & II, LLC	Spring, Texas	I was provided with carried interest as compensation for my service as a board partner of Amplo I and Amplo II. During my board service, I received no income from this carried interest. My carried interest will be forfeited or transferred.	10/2018

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	SERice LLC	Washington, District of Columbia	President of LLC
2	New York Times Company	New York, New York	Contributing opinion writer
3	WORLD 50	ATLANTA, Georgia	Speaking Engagement
4	Denison University	Granville, Ohio	Speaking Engagement
5	Tiger 21 LLC	New York, New York	Speaking engagement
6	Davidson College	Davidson, North Carolina	Speaking Engagement
7	Teacher's Retirement System of Texas	Austin, Texas	Speaking Engagement
8	Trammel and Margaret Crow Foundation	Dallas, Texas	Speaking Engagement
9	International Model UN Association	New York, New York	Speaking Engagement
10	Prudential	Newark, New Jersey	Speaking Engagement
11	Salt Venture Group/Skybridge Capital	New York, New York	Speaking Engagement

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
12	New Age Media Ventures/FeedZai	San Mateo, California	Speaking Engagement
13	Boston College	Chestnut Hill, Massachusetts	Speaking Engagement
14	National Association of Health Executives	Washington, District of Columbia	Speaking Engagement
15	Brown University	Providence, Rhode Island	Speaking Engagement
16	Stanford University	Stanford, California	Speaking Engagement
17	GCM Customized Fund Investment Group/Teachers Retirement System of Texas	Austin, Texas	Speaking Engagement
18	Capitol One Bank	McLean, Virginia	Speaking Engagement
19	Common Ground Committee	Wilton, Connecticut	Speaking Engagement
20	Simon and Schuster	New York, New York	Book contract
21	CoStar	Washington, District of Columbia	Speaking Engagement
22	A&E TV Networks/History Talks	New York, New York	Speaking Engagement
23	Colorado State University	Fort Collins, Colorado	Speaking Engagement
24	Vanderbilt University	Nashville, Tennessee	Speaking Engagement
25	Nike	Beaverton, Oregon	Speaking Engagement

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
26	Pivotal Adventures	Kirkland, Washington	Speaking Engagement
27	SalesForce/Knotch	San Francisco, California	Speaking Engagement
28	Latham and Watkins	Washington, District of Columbia	Speaking Engagement
29	Duke University	Durham, North Carolina	Speaking Engagement
30	Swiss Economic Forum	Gwatt, Outside U.S.	Speaking Engagement
31	National Mortgage News	New York, New York	Speaking Engagement
32	Johns Hopkins University	Baltimore, Maryland	Speaking Engagement
33	Yale University	New Haven, Connecticut	Speaking Engagement
34	National Association of Corporate Directors	Washington, District of Columbia	Speaking Engagement
35	Arizent	New York, New York	Speaking Engagement
36	Neuberger Berman Group LLC	New York, New York	Speaking Engagement
37	National Coalition of Girls Schools	Charlottesville, Virginia	Speaking Engagement
38	YWCA Silicon Valley	San Jose, California	Speaking Engagement
39	Professional Liability Underwriting Society	Minneapolis, Minnesota	Speaking Engagement

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
40	Presidents of Enterprising Organizations	Toronto, Outside U.S.	Speaking Engagement
41	Cambridge Speakers Series	Novato, California	Speaking Engagement

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Disney 401k	No			
1.1	Vanguard Inst 500 Trust	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.2	Disney Stock ESOP	No	\$250,001 - \$500,000		None (or less than \$201)
1.3	BTC Lifepath 2025 F	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Disney, defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Callon Petroleum Co. (CPE)	N/A	\$50,001 - \$100,000	Rent or Royalties	\$15,001 - \$50,000
2	Silver Creek Oil and Gas	N/A	\$1,001 - \$15,000	Rent or Royalties	\$201 - \$1,000
3	Walker & Dunlop, Inc. (WD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Bank of Nova Scotia (BNS)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
5	Brookfield Asset Management (BAM)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
6	Canadian Imperial Bank of Canada	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
7	Canadian Pacific Rail (CP)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
8	Enbridge (ENB)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000
9	Great West Life	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000
10	Royal Bank of Canada (RY)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
11	Toronto-Dominion Bank (TD)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
12	iShares MSCI EAFE ETF (EFA)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
13	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
14	Bank of Montreal (BMO)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
15	Canadian Tire Corporation (CDNAF)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
16	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
17	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	Amadeus IT Group (AMADY)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
19	BASF (BFFAF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
20	Bell Canada Enterprises (BCE)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
21	Diageo PLC (DEO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
22	Erste Group Bank (EBKDY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23	National Bank of Canada (NTIOF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
24	Novartis (NVS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
25	Telus Corp (TU)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
26	Thomson Reuters Corporation (TRI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
27	American Tower Corporation (REIT) (AMT)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
28	Apple, Inc. (AAPL)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
29	Comcast Corp. (CMCSA)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
30	ICON PLC (ICLR)	N/A	\$100,001 - \$250,000		None (or less than \$201)
31	Johnson & Johnson (JNJ)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	McDonald's Corp. (MCD)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
33	Microsoft Corp. (MSFT)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
34	Visa, Inc. (V)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
35	Roche Holdings (RHHBY)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
36	iShares Core MSCI EAFE ETF (IEMG)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
37	iShares MSCI Canada ETF (EWC)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
38	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
39	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
40	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
41	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
42	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
43	RBC CASH ACCOUNTS (USD)	N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
44	RBC CASH ACCOUNTS (CDN)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
45	Vanguard Canadian Aggregate Bond Index ETF (VAB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	IShares Core S&P/TSX Capped Composite Index (XIC)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
47	Vanguard S&P 500 Value Index FundETF Shares (VOOV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
48	Vanguard Tax Managed FTSE Dev Mkt ETF (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
49	UBS Bank USA Deposit Acct	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
50	UBS Select Government Investor Fund (SGEXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
51	Albemarle Corp. (ALB)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
52	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
53	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
54	Bristol-Myers Squibb (BMY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
55	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
56	Cigna Corp. (CI)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
57	Clovis Oncology, Inc. (CLVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	CSX Corp. (CSX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
59	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
60	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61	Kimberly-Clark Corp. (KMB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
62	Eli Lilly & Co. (LLY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
63	Lockheed Martin Corp. (LMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
64	Mondelez International, Inc. (MDLZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
65	NewMarket Corp. (NEU)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
66	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
67	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
68	PPG Industries, Inc. (PPG)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
69	S&P Global, Inc. (SPGI)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$5,001 - \$15,000
70	The J. M. Smucker Co. (SJM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
71	State Street Corp. (STT)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
72	Viatis Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
73	Vanguard Total Stock Mkt ETF (VTI)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
74	Vanguard Mid-Cap ETF	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
75	Warrants American Int'l Group Inc	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
76	Elizabethtown KY PB RV Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
77	Cumberland County ME Muni Bond	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
78	Florida State Board of ED Muni Bond	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
79	BNY Mellon Strategic Municipal Bond Fund, Inc (DSM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
80	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
81	Putnam Managed Municipal Income Trust (PMM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
82	CollegeAmerica 529 Balanced A	Yes	\$100,001 - \$250,000		None (or less than \$201)
83	RBC Select Balanced Portfolio - Sr. A (RBF460)	Yes	\$100,001 - \$250,000		None (or less than \$201)
84	American Mutual Fund 529A	Yes	\$50,001 - \$100,000		None (or less than \$201)
85	The Bond Fund Of America - 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
86	Capital World Growth and Income - 529A	Yes	\$15,001 - \$50,000		None (or less than \$201)
87	The Growth Fund of America - 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
88	Intermediate Bond Fund of America- 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
89	PNC BANK ACCOUNT	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
90	PNC BANK ACCOUNT	N/A	\$15,001 - \$50,000		None (or less than \$201)
91	PNC FOUNDATION ACCOUNT	N/A	\$15,001 - \$50,000		None (or less than \$201)
92	PNC Bank Account (LLC)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
93	PNC MAINE ACCT	N/A	\$1,001 - \$15,000		None (or less than \$201)
94	PNC PERFORMANCE SELECT	N/A	\$50,001 - \$100,000		None (or less than \$201)
95	Sun Life Financial Life Insurance Life Pro	N/A	\$1,001 - \$15,000		None (or less than \$201)
96	Washington Investment Group (passive interest in rental real estate)	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
97	Kelvin Creek Timber	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
98	Merrill Lynch Brokerage Account - Cash Balance	N/A	\$250,001 - \$500,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

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

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### Endnotes

PART	#	ENDNOTE
2.	1	All fees and payments for speeches and public appearances, books, opinion writing, residuals and travel are received by SERice LLC.
2.	1.1	During calendar year 2020, the New York Times published opinion pieces authored by me on January 4, March 4, March 13, April 7, April 28, May 19, June 9, June 30, July 21, August 10, September 1, September 22, October 13, November 13, and December 1.
2.	1.38	On some occasions, where a sponsor provides a flat fee for travel, if my travel costs are less than the fee permitted, I am permitted to retain the balance.
2.	1.39	On some occasions, where a sponsor provides a flat fee for travel, if my travel costs are less than the fee permitted, I am permitted to retain the balance.
2.	2	I exercised 1337 Netflix stock options on 8/5/20.
2.	9	Amplo Partners I, LLC portfolio companies are: Robinhood (financial services); Andela (software); Fundbox (small business lending); Doxel (AI for construction); Two Chairs (teletherapy); Helm.ai (autonomous driving AI); Parsley Health (healthcare); Mark 43 (public safety software); Locale (apartment-hotel); Freightwalla (digital freight forwarding); Travelperk (business travel software); and 1 Concern (emergency response technology).
2.	10	Amplo Partners II, LLC portfolio companies are: Robinhood (financial services); Legalpad (immigration/visa technology); BharatPe (digital payments); Kriya Therapeutics (gene therapy); Lightyear (business telecom/IT); Wizehire (small business recruiting platform); Sokowatch (retail); and Sharesies (investment platform).
3.	1	Upon consultation with the White House Counsel's office, I will dispose of these options following the expiration of the 90 day blackout period applicable to members of the Board of Directors.

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# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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

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

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