

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Fox, Radhika

Assistant Administrator for Water, Environmental Protection Agency

Other Federal Government Positions Held During the Preceding 12 Months:

Principal Deputy Administrator, Office of Water (1/2021 - Present)

Names of Congressional Committees Considering Nomination:

- Committee on Environment and Public Works
-

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/ Fox, Radhika [electronically signed on 03/02/2021 by Fox, Radhika 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/ Fugh, Justina, Certifying Official [electronically signed on 05/06/2021 by Fugh, Justina in Integrity.gov]

Other review conducted by

/s/ Fugh, Justina, Ethics Official [electronically signed on 05/06/2021 by Fugh, Justina in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 05/06/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	US Water Alliance	Washington, District of Columbia	Non-Profit	Chief Executive Officer	9/2015	1/2021
2	Jobs to Move America	Los Angeles, California	Non-Profit	Member, Board of Directors	12/2018	1/2021
3	PolicyLink	Oakland, California	Non-Profit	Member, Board of Directors	11/2015	1/2021
4	Aspen Institute	Washington, District of Columbia	Non-Profit	Co-Chair, Water Forum	5/2019	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Water Alliance, Washington, DC	N/A		Salary, Bonus, Unused Leave	\$348,460
2	Roth IRA	No			
2.1	Schwab U.S. Broad Market ETF (SCHB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Vanguard Mid-Cap Index Fund ETF (VO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Vanguard Total Stock Market Index Fund ETF Shares (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. Water Alliance, 401(k) plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Vanguard Target Retirement 2040 Fund Investor Shares (VFORX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	U.S. Water Alliance	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the employer ceased making contributions upon my separation.	1/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	U.S. Water Alliance	Washington, District of Columbia	Chief Executive Officer

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Direct Commerce Inc (financial services)	N/A		salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US domestic bank #1 (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	US domestic bank #1 (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Brokerage account:	No			
3.1	U.S. brokerage account #1 (cash account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.2	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
3.3	Chevron Corp. (CVX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.4	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.6	Microsoft Corp. (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.7	Mondelez International, Inc. (MDLZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.8	The Coca-Cola Co. (KO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.9	Invesco S&P 500 Equal Weight Utilities ETF (RYU)	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.10	Health Care Select Sector SPDR Fund (XLV)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.11	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.12	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	Technology Select Sector SPDR Fund (XLK)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.14	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.15	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.16	Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.17	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.18	Vanguard Mid-Cap Value Index Fund ETF Shares (VOE)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.19	Financial Select Sector SPDR Fund (XLF)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.20	Wells Fargo & Company (WFC)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
3.21	Vanguard Dividend Appreciation Index Fund ETF Shares (VIG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Irrevocable Trust 1- 100% Beneficiary	See Endnote	No		
4.1	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.3	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	Alphabet, Inc. (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.5	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	Berkshire Hathaway Inc. (BRKB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.7	BHP Group (BHP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.8	Chevron Corp. (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.9	Costco Wholesale Corp. (COST)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.10	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.11	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.12	Novartis AG (NVS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.13	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.14	The Travelers Cos., Inc. (TRV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.15	UnitedHealth Group, Inc. (UNH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.16	Schwab US Mid-Cap ETF (SCHM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.17	ETFMG Prime Cyber Security ETF (HACK)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.18	Fidelity MSCI Utilities Index ETF (FUTY)	See Endnote	\$1,001 - \$15,000		\$201 - \$1,000
4.19	Invesco FTSE RAFI US 1500 Small-Mid ETF (PRFZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.20	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.21	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.22	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.23	iShares Edge MSCI Min Vol Emerging Markets ETF (EEMV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.24	Schwab US Small-Cap ETF (SCHA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.25	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.26	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.27	Materials Select Sector SPDR Fund (XLB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.28	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.29	Technology Select Sector SPDR Fund (XLK)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.30	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.31	Vanguard FTSE Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.32	Vanguard Global ex-US Real Estate Index Fund ETF Shares (VNQI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.33	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.34	WisdomTree International SmallCap Dividend Fund (DLS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.35	Matthews Asia Dividend Fund Institutional Class Shares (MIPIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.36	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Irrevocable Trust 2 - 50% beneficiary	See Endnote	No			
5.1	PIMCO Income Fund Institutional Class Shares (PIMIX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.2	Vanguard New Jersey Long-Term Tax-Exempt Fund Admiral Shares (VNJUX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.3	AbbVie, Inc. (ABBV)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.4	Amazon.com, Inc. (AMZN)		N/A	\$15,001 - \$50,000		None (or less than \$201)
5.5	Chevron Corp. (CVX)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.6	Costco Wholesale Corp. (COST)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.7	Novartis AG (NVS)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.8	Fidelity MSCI Communication Services Index ETF (FCOM)		Yes	\$15,001 - \$50,000		None (or less than \$201)
5.9	Fidelity MSCI Utilities Index ETF (FUTY)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.10	First Trust NYSE Arca Biotechnology Index Fund (FBT)		Yes	\$15,001 - \$50,000		None (or less than \$201)
5.11	First Trust NASDAQ-100 Ex-Technology Sector Index Fund (QQXT)		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.12	iShares Micro-Cap ETF (IWC)		Yes	\$15,001 - \$50,000		None (or less than \$201)
5.13	iShares MSCI EAFE Small-Cap ETF (SCZ)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.14	iShares Russell 2000 ETF (IWM)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.15	Industrial Select Sector SPDR Fund (XLI)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.16	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.17	Materials Select Sector SPDR Fund (XLB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.18	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.19	SPDR S&P Regional Banking ETF (KRE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.20	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.21	Technology Select Sector SPDR Fund (XLK)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.22	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.23	Vanguard FTSE Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.24	Vanguard FTSE Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.25	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
5.26	Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.27	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.28	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.29	WisdomTree U.S. MidCap Dividend Fund (DON)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.30	Matthews Asia Dividend Fund Institutional Class Shares (MIPIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.31	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.32	Abbott Laboratories (ABT)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6	Irrevocable Trust 2 - 50% beneficiary	See Endnote	No		
6.1	Schwab Government Money Fund Sweep Class Shares (SNVXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.2	U.S. brokerage account #1 (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3	U.S. domestic bank #2 (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.4	New Jersey Turnpike Authority (Revenue Series A), bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
6.5	New Jersey Economic Development Authority (Refunding Schools Facilities Construction Series Nn), bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.6	New Jersey Economic Development Authority (Schools Facilities Construction Series Uu), bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.7	New Jersey Economic Development Authority (School Facilities Construction Refunding Series Xx), bonds	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
6.8	New Jersey Economic Development Authority (Refunding School Facilities Construction Series Nn), bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.9	New Jersey Turnpike Authority (Revenue Series A), bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.10	State of New Jersey, bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.11	Union County, New Jersey, bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.12	Carteret, New Jersey, bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6.13	Orange Township, New Jersey, bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6.14	Alphabet, Inc. (GOOGL)	N/A	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
6.15	Amazon.com, Inc. (AMZN)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
6.16	Amgen Inc. (AMGN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.17	Anthem, Inc. (ANTM)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.18	Apple, Inc. (AAPL)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
6.19	Bank of America Corp. (BAC)	See Endnote	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6.20	Boeing Company (BA)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
6.21	Carrier Global Corporation (CARR)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
6.22	Caterpillar, Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.23	Chevron Corp. (CVX)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.24	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.25	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.26	Exxon Mobil Corp. (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.27	Facebook, Inc. (FB)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.28	Honeywell International, Inc. (HON)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.29	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.30	Johnson & Johnson (JNJ)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
6.31	JMorgan Chase & Co. (JPM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.32	Mastercard, Inc. (MA)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$5,001 - \$15,000
6.33	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.34	MetLife, Inc. (MET)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.35	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.36	NIKE, Inc. (NKE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
6.37	Otis Worldwide Corporation (OTIS)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.38	PepsiCo, Inc. (PEP) See Endnote	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
6.39	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.40	The PNC Financial Services Group, Inc. (PNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.41	Procter & Gamble Co. (PG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.42	Raytheon Technologies Corporation (RTX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.43	salesforce.com, inc. (CRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.44	The Travelers Cos., Inc. (TRV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.45	UnitedHealth Group, Inc. (UNH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.46	Visa, Inc. (V)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$201 - \$1,000
6.47	The Walt Disney Co. (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.48	3M Co. (MMM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6.49	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.50	iShares MSCI USA Min Vol ETF (USMV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.51	iShares US Aerospace & Defense ETF (ITA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.52	Schwab US Aggregate Bond ETF (SCHZ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.53	Schwab US Large-Cap Value ETF (SCHV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.54	Utilities Select Sector SPDR Fund (XLU)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.55	Financial Select Sector SPDR Fund (XLF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.56	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.57	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.58	Materials Select Sector SPDR Fund (XLB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.59	SPDR Portfolio Developed World ex-US ETF (SPDW)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.60	SPDR S&P Dividend ETF (SDY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.61	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.62	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.63	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.64	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.65	Vanguard FTSE Developed Markets Index Fund ETF Shares (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.66	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.67	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.68	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.69	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.70	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.71	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.72	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.73	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.74	WisdomTree US LargeCap Dividend Fund (DLN)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.75	WisdomTree US MidCap Dividend Fund (DON)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.76	Xtrackers MSCI Europe Hedged Equity ETF (DBEU)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.77	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.78	Harding Loevner International Equity Portfolio Investor Class Shares (HLMNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.79	Parnassus Mid Cap Fund Investor Class Shares (PARMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.80	Primecap Odyssey Aggressive Growth Fund (POAGX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.81	Schwab Total Stock Market Index Fund (SWTSX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.82	T Rowe Price Capital Appreciation Fund (PRWCX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.83	Vanguard Equity Income Fund Investor Shares (VEIPX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.84	Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.85	Alphabet Inc. (GOOGL), call option (value not readily ascertainable): 1 share, strike \$2100, exp. 4/16/21	N/A			None (or less than \$201)
6.86	Johnson & Johnson (JNJ), put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.87	Bank of America Corporation (BAC), call option (value not readily ascertainable): 10 shares, strike \$35, exp. 3/19/21	N/A			None (or less than \$201)
6.88	Amgen Inc. (AMGN), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.89	Amazon.com, Inc. (AMZN), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.90	Alphabet Inc. (GOOGL), call option (value not readily ascertainable): 1 share, strike \$2200, exp. 6/18/21	N/A			None (or less than \$201)
6.91	Johnson & Johnson (JNJ), call option (value not readily ascertainable): 5 shares, strike \$971, exp. 3/22/19	N/A			None (or less than \$201)
6.92	U.S. domestic bank #3 (cash account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.93	3M Co. (MMM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.94	Marathon Petroleum Corporation (MPC)		N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.95	Oracle Corporation (ORCL)		N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.96	Viatis Inc. (VTRS)		N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7	Kunamneni Properties LP - 49% Ownership Interest (5%/22%/22%)	See Endnote	No			
7.1	U.S. brokerage account #1 (cash account)		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.2	State of California, bonds		N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
7.3	AbbVie, Inc. (ABBV)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.4	Berkshire Hathaway Inc. (BRKB)		N/A	\$15,001 - \$50,000		None (or less than \$201)
7.5	Chevron Corp. (CVX)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.6	PepsiCo, Inc. (PEP)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.7	Rio Tinto Group (RIO)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.8	Fidelity MSCI Health Care Index ETF (FHLC)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.9	Fidelity MSCI Utilities Index ETF (FUTY)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.10	Invesco S&P 500 Equal Weight ETF (RSP)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
7.11	Invesco S&P 500 Equal Weight Technology ETF (RYT)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.12	iShares MSCI EAFE ETF (EFA)		Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.13	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.14	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.15	Industrial Select Sector SPDR Fund (XLI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.16	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.17	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.18	Technology Select Sector SPDR Fund (XLK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.19	Vanguard Communication Services Index Fund ETF Shares (VOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.20	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.21	Vanguard FTSE Emerging Markets Fund ETF Shares (VWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.22	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.23	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.24	Vanguard California Intermediate-Term Tax-Exempt Fund Admiral Shares (VCADX)	See Endnote	Yes	\$50,001 - \$100,000	\$1,001 - \$2,500
7.25	Harding Loevner International Equity Portfolio Institutional Class Shares (HLMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.26	Matthews Asia Dividend Fund Institutional Class Shares (MIPIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.27	MFS New Discovery Value Fund Class I Shares (NDVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.28	Schwab Fundamental US Small Company Index Fund (SFSNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.29	iShares Edge MSCI Min Vol Emerging Markets ETF (EEMV)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
7.30	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.31	State of California, bonds	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
7.32	State of California, bonds	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
7.33	State of California, bonds	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
8	Kunamneni Properties LP - 49% Ownership Interest (5%/22%/22%)	See Endnote	No		
8.1	U.S. brokerage account #1 (cash account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.2	U.S. domestic bank #3 (cash account)	N/A	\$250,001 - \$500,000		None (or less than \$201)
8.3	San Juan Unified School District, Sacramento County, California, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.4	Public Works Board, California, bonds	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
8.5	State of California, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
8.6	William S. Hart School District, Los Angeles County, California, bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.7	Chaffey Community College District, San Bernadino County, California, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.8	Chabot Las Positas Community College District, Alameda and Contra Costa Counties, California, bonds	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
8.9	City and County San Francisco, California, bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.10	AbbVie, Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.11	Alphabet, Inc. (GOOG)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.12	Amazon.com, Inc. (AMZN)	N/A	\$250,001 - \$500,000		None (or less than \$201)
8.13	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.14	Apple, Inc. (AAPL)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
8.15	Bank of Montreal (BMO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.16	Chevron Corp. (CVX)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
8.17	Citigroup, Inc. (C)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.18	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.19	FedEx Corp. (FDX)	See Endnote	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
8.20	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.21	Medtronic Plc (MDT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.22	NIKE, Inc. (NKE)		N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.23	NVIDIA Corp. (NVDA)		N/A	\$100,001 - \$250,000	Capital Gains	\$201 - \$1,000
8.24	OTIS Worldwide Corporation (OTIS)		N/A	\$15,001 - \$50,000		None (or less than \$201)
8.25	PepsiCo, Inc. (PEP)		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.26	Raytheon Technologies Corporation (RTX)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.27	salesforce.com, inc. (CRM)		N/A	\$15,001 - \$50,000		None (or less than \$201)
8.28	Starbucks Corp. (SBUX)		N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
8.29	U.S. Bancorp (USB)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.30	Verizon Communications, Inc. (VZ)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.31	Fidelity MSCI Communication Services Index ETF (FCOM)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.32	Fidelity MSCI Financials Index ETF (FNCL)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.33	Fidelity MSCI Materials Index ETF (FMAT)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.34	Invesco California AMT-Free Municipal Bond ETF (PWZ)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.35	iShares California Muni Bond ETF (CMF)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.36	iShares MSCI Emerging Markets ETF (EEM)		Yes	\$15,001 - \$50,000		None (or less than \$201)
8.37	iShares Russell 2000 ETF (IWM)		Yes	\$15,001 - \$50,000		None (or less than \$201)
8.38	iShares US Pharmaceuticals ETF (IHE)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.39	Schwab International Equity ETF (SCHF)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.40	Health Care Select Sector SPDR Fund (XLV)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.41	Utilities Select Sector SPDR Fund (XLU)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.42	Consumer Discretionary Select Sector SPDR Fund (XLY)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.43	Consumer Staples Select Sector SPDR Fund (XLP)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.44	Materials Select Sector SPDR Fund (XLB)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.45	SPDR Portfolio Emerging Markets ETF (SPEM)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.46	SPDR S&P Aerospace & Defense ETF (XAR)		Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.47	SPDR S&P Regional Banking ETF (KRE)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.48	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.49	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)		Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.50	Vanguard FTSE Developed Markets Index Fund ETF Shares (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.51	Vanguard FTSE Europe Stock Index Fund ETF Shares (VGK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.52	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.53	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.54	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.55	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.56	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.57	Vanguard Utilities Index Fund ETF Shares (VPU)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.58	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.59	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.60	Xtrackers MSCI Europe Hedged Equity ETF (DBEU)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.61	Conestoga Small Cap Fund Investor Class Shares (CCASX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.62	Laudus US Large Cap Growth Fund (LGILX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.63	Matthews Asia Dividend Fund Investor Class Shares (MAPIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.64	Parnassus Mid Cap Fund Investor Class Shares (PARMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.65	Alphabet Inc. (GOOGL), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
8.66	Micron Technology, Inc. (MU)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
8.67	Alibaba Group Holding Limited (BABA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
8.68	Carrier Global Corporation (CARR)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
8.69	FMI International Fund Investor Class (FMIJX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8.70	Glenmede Quantitative U.S. Large Cap Core Equity Portfolio (GTLOX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8.71	Lam Research Corporation (LRCX)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
8.72	The Coca-Cola Co. (KO)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
8.73	United Parcel Service, Inc. (UPS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
8.74	Schwab Government Money Fund Investor Class Shares (SNVXX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9	Kunamneni Properties LP - 49% Ownership Interest (5%/22%/22%)	See Endnote	No		
9.1	U.S. brokerage account #2 (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.2	Long Beach, California, bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3	State of California, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
9.4	Amazon.com, Inc. (AMZN)	N/A	\$250,001 - \$500,000	Capital Gains	\$2,501 - \$5,000
9.5	Boeing Co (BA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.6	Caterpillar, Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.7	Centene Corp. (CNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.8	Costco Wholesale Corp. (COST)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
9.9	The Walt Disney Co. (DIS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
9.10	Exxon Mobil Corp. (XOM)	See Endnote	N/A	None (or less than \$1,001)	Dividends \$1,001 - \$2,500
9.11	Facebook, Inc. (FB)	N/A	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
9.12	The Home Depot, Inc. (HD)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
9.13	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.14	JPMorgan Chase & Co (JPM)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
9.15	Microsoft Corp. (MSFT)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
9.16	Morgan Stanley (MS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.17	NIKE, Inc. (NKE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.18	The PNC Financial Services Group, Inc. (PNC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
9.19	Procter & Gamble Co. (PG)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
9.20	Schlumberger NV (SLB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.21	United Parcel Service, Inc. (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.22	UnitedHealth Group, Inc. (UNH)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
9.23	Valero Energy Corp. (VLO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.24	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.25	Visa, Inc. (V)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.26	Carillon Scout Mid Cap Fund Class I Shares (UMBMX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.27	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.28	Health Care Select Sector SPDR Fund (XLV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9.29	Invesco California AMT-Free Municipal Bond ETF (PWZ)	See Endnote	Yes	\$50,001 - \$100,000	\$201 - \$1,000
9.30	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.31	Matthews Asia Dividend Fund Investor Class Shares (MAPIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.32	PRIMECAP Odyssey Aggressive Growth Fund (POAGX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
9.33	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.34	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.35	SPDR S&P Insurance ETF (KIE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.36	Financial Select Sector SPDR Fund (XLF)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9.37	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.38	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9.39	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.40	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
9.41	Vanguard Utilities Index Fund ETF Shares (VPU)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.42	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.43	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.44	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.45	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.46	Vanguard Pacific Stock Index Fund Vanguard FTSE Pacific ETF Shares (VPL)		Yes	\$15,001 - \$50,000		None (or less than \$201)
9.47	Vanguard FTSE Developed Markets Index Fund ETF Shares (VEA)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.48	The PNC Financial Services Group, Inc. (PNC), call option (value not readily ascertainable): 3 shares, strike \$175, exp. 5/21/21		N/A			None (or less than \$201)
9.49	Residential Real Estate 1, Stockton, CA		N/A	\$250,001 - \$500,000	Rent or Royalties	\$2,501 - \$5,000
9.50	Residential Real Estate 2, Stockton, CA		N/A	\$250,001 - \$500,000	Rent or Royalties	\$1,001 - \$2,500
9.51	Residential Real Estate 3, Stockton, CA		N/A	\$250,001 - \$500,000	Rent or Royalties	\$2,501 - \$5,000
9.52	Residential Real Estate 4, Stockton, CA		N/A	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
10	Kansas Schwab 529 Plan, Aggressive Portfolio Index - Child 1		Yes	\$250,001 - \$500,000		None (or less than \$201)
11	Kansas Schwab 529 Plan, Aggressive Portfolio Index - Child 2		Yes	\$100,001 - \$250,000		None (or less than \$201)
12	Child #1 Trust		No	Over \$1,000,000		None (or less than \$201)
12.1	22% Limited Partnership Interest in Kunamneni Properties LP	See Endnote	No			
13	Child #2 Trust		No	Over \$1,000,000		None (or less than \$201)
13.1	22% Limited Partnership Interest in Kunamneni Properties LP	See Endnote	No			

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase Bank	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2013	3.75%	30 years
2	SoFi	See Endnote	Personal Loan	\$50,001 - \$100,000	2021	8.2%	3 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	4	Filer is the 100% beneficiary of this trust.
6.	4.18	Sold subsequent to filing.
6.	5	The reported values are the total values in the Irrevocable Trust. Filer has a 50% interest in each of the trust's assets.
6.	5.9	Sold subsequent to filing.

PART	#	ENDNOTE
6.	6	The reported values are the total values in the Irrevocable Trust. Filer has a 50% interest in each of the trust's assets.
6.	6.19	Sold subsequent to filing.
6.	6.38	Sold subsequent to filing.
6.	7	The reported values are the total values in the Limited Partnership. Filer has a 5% limited partnership interest and each of filer's dependent children have 22% limited partnership interests in the total assets. Filer has a 49% imputed interest in the Limited Partnership.
6.	7.9	Sold subsequent to filing.
6.	7.24	Sold subsequent to filing.
6.	8	The reported values are the total values in the Limited Partnership. Filer has a 5% limited partnership interest and each of filer's dependent children have 22% limited partnership interests in the total assets. Filer has a 49% imputed interest in the Limited Partnership.
6.	8.19	Sold subsequent to filing.
6.	8.34	Sold subsequent to filing.
6.	8.35	Sold subsequent to filing.
6.	8.38	Sold subsequent to filing.
6.	8.41	Sold subsequent to filing.
6.	9	The reported values are the total values in the Limited Partnership. Filer has a 5% limited partnership interest and each of filer's dependent children have 22% limited partnership interests in the total assets. Filer has a 49% imputed interest in the Limited Partnership.
6.	9.10	Sold subsequent to filing.
6.	9.29	Sold subsequent to filing.
6.	12.1	The interests of the limited partnership can be found under Items 7, 8, and 9.
6.	13.1	The interests of the limited partnership can be found under Items 7, 8, and 9.
8.	1	Filer no longer owns the property and no longer has this liability.
8.	2	Filer no longer has this liability as of April 2021.

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.

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