



March 13, 2023

Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, N.W., Suite 500
Washington, DC 20005

Submitted electronically via contactoge@oge.gov

Dear Director Rounds:

Campaign Legal Center (“CLC”) respectfully requests that the U.S Office of Government Ethics (“OGE”) use its authority under 5 C.F.R. § 2638.503 and 504 to determine whether the Federal Communications Commission’s (“FCC”) ethics officials took appropriate action when allowing officials to own and trade stock in companies “significantly regulated by the Commission,” which federal law prohibits FCC officials from owning.¹ The ethics officials responsible for enforcing this law apparently approved these trades without issuing a waiver as required under 47 C.F.R. § 19.735-202(b)(3)(ii). The details of these alleged violations are provided in the complaint to the FCC’s OIG attached to this letter.

Respectfully submitted,

/s/_____

Kedric L. Payne
Vice President, General Counsel, and
Senior Director, Ethics

/s/_____

Danielle Caputo
Legal Counsel, Ethics

¹ 47 U.S.C. §154(b)(2)(A)(iv).

Attachment



March 9, 2023

Sharon Diskin
Acting Inspector General
Federal Communications Commission
45 L Street NE
Washington, DC 20554

Submitted via e-mail to sharon.diskin@fcc.gov

Dear Acting Inspector General Diskin:

Campaign Legal Center (“CLC”) respectfully requests that the Federal Communications Commission (“FCC”) Office of Inspector General (“OIG”) investigates ethics officials’ approval of agency employees owning certain prohibited stocks. Federal law specifically bans FCC employees from owning “any stocks, bonds, or other securities of [any company] significantly regulated by the Commission.”¹ Despite this ban, the most recent financial disclosures publicly available show that ethics officials allowed multiple FCC employees to own stock in telecommunications and other companies that appear to fall under the prohibition. As a result, OIG should investigate whether the FCC’s ethics officials took appropriate action to enforce the ethics laws.

The public has a right to know that the officials who regulate an integral sector of our society are acting in the public’s interest, not in their own private financial interest. Federal law tries to prevent the risk to the public’s trust when FCC employees have financial conflicts of interest by explicitly restricting ownership of certain stocks. However, these restrictions are meaningless if they are not enforced. The ethics officials responsible for enforcement must explain to OIG and the public why they allowed employees to hold stocks in FCC licensed telecommunications and computer companies in apparent violation of the law.

¹ 47 U.S.C. §154(b)(2)(A)(iv).

I. The FCC Chair and Ethics Officials Are Required to Enforce Ethics Laws Related to Stock Ownership

Under 5 C.F.R. § 2638.107, the FCC Chair “is responsible for, and will exercise, personal leadership in, establishing and maintaining an effective agency ethics program and fostering an ethical culture in the agency.” As part of those responsibilities, the FCC Chair designates “employees to serve as the DAEO [Designated Agency Ethics Official] and ADAEO [Alternate Designated Agency Ethics Official]”² Pursuant to 5 C.F.R. § 2634.605, a DAEO must examine employee financial disclosure reports to determine that “no interest or position disclosed on the report violates or appears to violate”³ any “agency-specific rule which governs the filer.”⁴ Agency-specific rules at the FCC include 47 C.F.R. § 19.735-202, the FCC’s regulations enforcing the financial interest prohibition for FCC officials in the Communications Act.⁵

The Communications Act, 47 U.S.C. § 154(b)(2)(A), prohibits any employees of the FCC from having a financial interest in any company or other entity engaged in “the manufacture or sale of telecommunications equipment;”⁶ “the business of communication by wire or radio or the electromagnetic spectrum;”⁷ or owning any stocks, bonds, or other securities in any company or other entity “significantly regulated by the Commission.”⁸ These prohibitions only apply to “financial interests in any company or entity which has a significant interest in communications, manufacturing, or sales activities which are subject to regulation by the Commission.”⁹

The regulations provide, at 47 C.F.R. § 19.735-202, certain criteria to determine whether an entity has a significant interest in communications, manufacturing, or other sales activities which are subject to regulation by the FCC. These include “the revenue and efforts directed toward the telecommunications aspect of the business; the extent of the Commission regulation over the entity involved; the potential economic impact of any Commission action on that particular entity; and the public perception regarding the business activities of the company.”¹⁰

² 5 C.F.R. § 2638.107(a).

³ 5 C.F.R. § 2634.605(b)(2).

⁴ *Id.*

⁵ 47 U.S.C. § 19.735-202.

⁶ 47 U.S.C. § 154(b)(2)(A)(i).

⁷ 47 U.S.C. § 154(b)(2)(A)(ii).

⁸ 47 U.S.C. § 154(b)(2)(A)(iv).

⁹ 47 U.S.C. § 154(b)(2)(A).

¹⁰ 47 C.F.R. § 19.735-202(b)(2).

The DAEO may waive the applicability of 47 U.S.C. § 154(b)(2)(A) at the employee's request and at the recommendation of the head of the employee's office or bureau.¹¹ In such an instance, the FCC must publish a notice of the waiver in the Federal Register and provide notice to the appropriate congressional committees.¹² The notice must include the person who receives the waiver's identity, their position, and the nature of their financial interests.¹³

Pursuant to 5 C.F.R. § 2638.106, “[a]n agency's Inspector General has authority to conduct investigations of suspected violations of conflict of interest laws and other government ethics laws and regulations.”¹⁴

II. The FCC Repeatedly Allowed Officials to Own Stock that Appears to Violate Ethics Laws

The most recent financial disclosure reports available cover calendar years 2018 and 2019. The reports show that FCC employees owned stock in companies that appear to be prohibited under 47 C.F.R. § 19.735-202. The ethics officials responsible for prohibiting these trades apparently approved them without issuing a waiver under 47 C.F.R. § 19.735-202(b)(3)(ii). The following table shows which officials owned at least one of the nine stocks FCC officials should be prohibited from owning.

FCC Official's Stock Holdings that Appear in Violation of Ethics Laws¹⁵

FCC Official	Stock Owned	Year	Stock Value
Deputy Bureau Chief, ¹⁶ Chief Information Security Officer ¹⁷	AT&T	2019	\$2,203 - \$31,001
Deputy Bureau Chief ¹⁸	Charter Communications	2018; 2019	\$4,004 - \$60,000

¹¹ 47 C.F.R. § 19.735 202(b)(3)(ii).

¹² *Id.*

¹³ *Id.*

¹⁴ 5 C.F.R. § 2638.106.

¹⁵ The figures in this chart include five stock holdings owned by two employees' spouses. For purposes of federal conflicts of interest laws, a spouse's financial interests are imputed to the government employee. See “Conflicts of Interest Considerations: Assets,” U.S. Office of Government Ethics (Oct. 2021), [https://www.oge.gov/web/OGC.nsf/0/25DFFA704AC2BA8C852585B6005A1F8A/\\$FILE/Assets.pdf](https://www.oge.gov/web/OGC.nsf/0/25DFFA704AC2BA8C852585B6005A1F8A/$FILE/Assets.pdf).

¹⁶ Financial Disclosure Report for Lisa Hone, report year 2020 (May 16, 2020) (attached as Exhibit A).

¹⁷ Financial Disclosure Report for Andrea Simpson, report year 2020 (Nov. 12, 2020) (attached as Exhibit B).

¹⁸ Financial Disclosure Report for Lisa Hone, report year 2019 (Jun. 22, 2019) (attached as Exhibit C); Hone report year 2020, *supra* note 14.

FCC Official	Stock Owned	Year	Stock Value
Enforcement Bureau Chief ¹⁹	Comcast	2018; 2019	\$3,003 - \$45,000
Deputy Managing Director ²⁰	Dell	2018	\$1,001 - \$15,000
Chief of Staff and Senior Legal Advisor ²¹	Garmin	2018; 2019	\$2,002 - \$30,000
Deputy Managing Director ²²	HP	2018; 2019	\$30,002 - \$100,000
Video Division Chief; ²³ Chief Technology Officer; ²⁴ Deputy Managing Director; ²⁵ Deputy Bureau Chief ²⁶	IBM	2018; 2019	\$63,007 - \$245,000
Enforcement Bureau Chief ²⁷	Sony	2018	\$1,001 - \$15,000
Chief Technology Officer; ²⁸ Enforcement Bureau Chief ²⁹	Verizon	2018; 2019	\$7,007 - \$105,000

¹⁹ Financial Disclosure Report for Rosemary Harold, report year 2019 (Jul. 17, 2019) (attached as Exhibit D); Financial Disclosure Report for Rosemary Harold, report year 2020 (Aug. 13, 2020) (attached as Exhibit E).

²⁰ Financial Disclosure Report for Mindy Ginsburg, report year 2019 (Jun. 4, 2019) (attached as Exhibit F).

²¹ Financial Disclosure Report for William Davenport, report year 2019 (Mar. 18, 2019) (attached as Exhibit G); Financial Disclosure Report for William Davenport, report year 2020 (Apr. 20, 2020) (attached as Exhibit H).

²² Ginsburg report year 2019, *supra* note 18; Financial Disclosure Report for Mindy Ginsburg, report year 2020 (Jun. 25, 2020) (attached as Exhibit I).

²³ Financial Disclosure Report for Barbara Kreisman, report year 2019 (May 10, 2019) (attached as Exhibit J).

²⁴ Financial Disclosure Report for Eric Burger, report year 2019 (Apr. 18, 2019) (attached as Exhibit K); Financial Disclosure Report for Eric Burger, report year 2020 (Apr. 20, 2020) (attached as Exhibit L).

²⁵ Ginsburg report year 2019, *supra* note 18; Ginsburg report year 2020, *supra* note 20.

²⁶ Hone report year 2019, *supra* note 16; Hone report year 2020, *supra* note 14.

²⁷ Harold report year 2019, *supra* note 17.

²⁸ Burger report year 2019, *supra* note 22; Burger report year 2020, *supra* note 22.

²⁹ Harold report year 2019, *supra* note 17; Harold report year 2020, *supra* note 17.

The FCC's laws and regulations indicate that the above-listed stocks held by FCC officials fall into two categories covered under the stock ownership ban: telecommunications companies and FCC-licensed computer companies. As described below, the stocks satisfy the criteria related to relevant revenue, regulation, economic impact, and public perception.

Telecommunications Companies' Stocks

1. AT&T: AT&T satisfies the “significant interest in communications” standard for prohibited stock ownership:

- *Revenue and Efforts Related to Telecommunications* – AT&T is a telecommunications company. It provides internet, phone, and television services.³⁰ All of these services fall under the definition of telecommunications under 47 U.S.C. § 153(50), supporting the reasonable conclusion that a significant portion of Comcast’s revenue and efforts are directed toward the telecommunications aspect of their business.
- *Extent of Relevant Commission Regulation* – The Commission’s regulation of AT&T is extensive, including regulations covering common carrier services,³¹ with many products and services offered by AT&T falling under the FCC’s purview. Additional facts supporting this conclusion include AT&T’s registered lobbying of the FCC during the relevant time period,³² and its application for FCC licenses to operate.³³
- *Potential Economic Impact* – Given that the FCC has extensive jurisdiction over Comcast’s business, the potential economic impact of any Commission action regarding AT&T is substantial.
- *Public Perception* – Given that AT&T is well known as a cellphone, internet, and television service provider, it is reasonable to conclude that the general public perception is that AT&T’s business activities fall within the FCC’s purview.

2. Charter Communications: Charter Communications satisfies the “significant interest in communications” standard for prohibited stock ownership:

- *Revenue and Efforts Related to Telecommunications* – Charter Communications is an internet, phone, and television provider, or a

³⁰ AT&T, <https://www.att.com/>, (last visited Mar. 8, 2023).

³¹ See 47 U.S.C. § 5.

³² See, e.g. AT&T LD-2 Lobbying Report (Q2 2018), <https://lda.senate.gov/filings/public/filing/e85f4f33-34af-49ae-a2ff-e620b0905abb/print/>; AT&T LD-2 Lobbying Report (Q2 2019), <https://lda.senate.gov/filings/public/filing/f06e2156-1053-4c05-b1bd-28fd16fcce12/print/>.

³³ AT&T FCC Applications, FCC.report, <https://fcc.report/company/AT-T>.

telecommunications carrier. All these services fall under the definition of telecommunications at 47 U.S.C. § 153(50), supporting the reasonable conclusion that a significant portion of Charter Communications' revenue and efforts are directed towards the telecommunications aspect of their business.

- *Extent of Relevant Commission Regulation* – The FCC's regulation of Charter Communications is extensive,³⁴ with many products and services offered by Charter Communications falling under the FCC's purview.³⁵ Additional facts supporting this conclusion include Charter Communications' registered lobbying of the FCC during the relevant time period³⁶ and its application for FCC licenses to operate.³⁷
- *Potential Economic Impact* – Given that the FCC has jurisdiction over Charter Communications' business, it is reasonable to conclude that the potential economic impact of any Commission action regarding Charter Communications is substantial.
- *Public Perception* – Operating as Spectrum,³⁸ Charter Communications is well known as a cable, internet, and home phone service provider, and it is reasonable to conclude that the general public perception regarding Charter Communications' business activities is that they fall within the FCC's purview.

3. **Comcast:** Comcast satisfies the “significant interest in communications” standard for prohibited stock ownership:

- *Revenue and Efforts Related to Telecommunications* – Comcast is an internet, phone, and television provider, or a telecommunications carrier.³⁹ All of these services fall under the definition of telecommunications under 47 U.S.C. § 153(50), supporting the reasonable conclusion that a significant portion of Comcast's revenue and efforts are directed toward the telecommunications aspect of their business.

³⁴ See 47 U.S.C. § 5.

³⁵ Charter Communications, <https://corporate.charter.com/> (last visited Mar. 8, 2023).

³⁶ See, e.g. Charter Communications LD-2 Lobbying Report (Q2 2018), <https://lda.senate.gov/filings/public/filing/870ea9b8-e4f9-424b-8f81-78086d089ee7/print/>; Charter Communications LD-2 Lobbying Report (Q4 2019), <https://lda.senate.gov/filings/public/filing/fe0f6e98-723a-438d-8d3f-098eb637c343/print/>.

³⁷ Charter Communications FCC Applications, FCC.report, <https://fcc.report/company/charter-communications>.

³⁸ *About Charter*, Charter Communications, <https://corporate.charter.com/about-charter#:~:text=Spectrum%20is%20a%20suite%20of,%C2%AE%20and%20Spectrum%20Mobile%C2%AE>. (last visited Mar. 8, 2023).

³⁹ Comcast, <https://corporate.comcast.com/company> (last visited Mar. 8, 2023).

- *Extent of Relevant Commission Regulation* – The Commission’s regulation of Comcast is extensive, including regulations covering common carrier services.⁴⁰ Additional facts supporting this conclusion include: Comcast’s registered lobbying of the FCC during the relevant time period⁴¹ and its application for FCC licenses to operate.⁴²
- *Potential Economic Impact* – Given that the FCC has extensive jurisdiction over Comcast’s business, it is reasonable to conclude that the potential economic impact of any Commission action over Comcast is substantial.
- *Public Perception* – Given that Comcast is well known as a cable, internet, and home phone service provider, it is reasonable to conclude that the general public perception regarding Comcast’s business activities is that it falls within the FCC’s purview.

4. Garmin: Garmin satisfies the “significant interest in communications” standard for prohibited stock ownership:

- *Revenue and Efforts Related to Telecommunications* – Garmin is a technology company who primarily creates GPS products. As a radio navigation system that uses satellites, GPS is a form of telecommunications regulated by the FCC,⁴³ and most of Garmin’s products contain GPS.⁴⁴ This supports the reasonable conclusion that a significant portion of Garmin’s revenue and efforts are directed toward the telecommunications aspect of their business.
- *Extent of Relevant Commission Regulation* – The Commission’s regulation of Garmin is extensive,⁴⁵ as most of Garmin’s products are subject to FCC approval and licensing.⁴⁶

⁴⁰ See 47 U.S.C. § 5.

⁴¹ See e.g., Comcast LD-2 Lobbying Report (Q3 2018),

<https://lda.senate.gov/filings/public/filing/c461246e-2cc5-47ef-b36f-993f90049823/print/>; Comcast LD-2 Lobbying Report (Q1 2019), <https://lda.senate.gov/filings/public/filing/75739c3e-4d6a-4dc7-8f28-898b6955dcd5/print/>.

⁴² Comcast FCC Applications, FCC.report, <https://fcc.report/company/comcast>.

⁴³ *What We Do*, FCC, <https://www.fcc.gov/about-fcc/what-we-do#:~:text=The%20Federal%20Communications%20Commission%20regulates,of%20Columbia%20and%20U.S.%20territories>.

⁴⁴ *About Us*, Garmin, <https://www.garmin.com/en-US/company/about-garmin/> (last visited Mar. 8, 2023).

⁴⁵ See 47 C.F.R. Part 95.

⁴⁶ Garmin Aeronautical and Fixed License, Universal Licensing System, <https://wireless2.fcc.gov/UlsApp/UlsSearch/license.jsp?licKey=3010884>; Garmin, 20 FCC Rcd 982(2) (2004), <https://www.fcc.gov/document/garmin-international-inc-1>; Garmin FCC Applications, FCC.report, <https://fcc.report/company/Garmin-I-N-T-Inc>.

- *Potential Economic Impact* – Given that the FCC has jurisdiction over an integral part of most of Garmin’s business, the potential economic impact of any Commission action regarding Garmin is substantial.
- *Public Perception* – As a well-known GPS technology company, it is reasonable to conclude that the general public perception regarding Garmin’s business activities is that it falls within the FCC’s purview.

5. Verizon – Verizon satisfies the “significant interest in communications” standard for prohibited stock ownership:

- *Revenue and Efforts Related to Telecommunications* – Verizon is a telecommunications company that provides internet, phone, and television services.⁴⁷ All of these services are defined as telecommunications under 47 U.S.C. § 153(50), supporting the reasonable conclusion that a significant portion of Verizon’s revenue and efforts are directed toward the telecommunications aspect of their business.
- *Extent of Relevant Commission Regulation* – The Commission’s regulation of Verizon is extensive, including regulations covering common carrier services.⁴⁸ Additional facts supporting this conclusion include Verizon’s registered lobbying of the FCC during the relevant time period,⁴⁹ and its application for FCC licenses to operate.⁵⁰
- *Potential Economic Impact* – The potential economic impact of any Commission action regarding Verizon is substantial. For example, the FCC proposed a \$48.3 million fine against Verizon for violating the Communications Act and the Commission’s rules in 2020; the FCC also settled with Verizon for \$950,000 in 2022 to resolve separate violations of FCC rules.⁵¹
- *Public Perception* – Given that Verizon is well known as a cellphone and internet service provider, it is reasonable to conclude that the general public understands Verizon’s business activities to be within the FCC’s purview.

FCC-Licensed Computer Company Stock

⁴⁷ Verizon, <https://www.verizon.com/> (last visited Mar. 8, 2023).

⁴⁸ See 47 U.S.C. § 5.

⁴⁹ See e.g., Verizon LD-2 Lobbying Report (Q4 2018)

<https://lda.senate.gov/filings/public/filing/0e6366a3-b410-4789-8462-01b0c45829b9/print/>; Verizon LD-2 Lobbying Report (Q4 2019) <https://lda.senate.gov/filings/public/filing/ea9ace4c-c490-436a-a052-2e4dd99a6350/print/>.

⁵⁰ Verizon FCC applications, FCC.report, <https://fcc.report/company/verizon-communications>.

⁵¹ Verizon, 35 FCC Rcd 1698(2) (2020), <https://www.fcc.gov/document/fcc-proposes-483m-fine-against-verizon-location-information-case>; Celco Partnership d/b/a/ Verizon, DA 22-1339 (2022), <https://www.fcc.gov/document/fcc-reaches-950k-settlement-verizon-wireless> (FCC settlement against Verizon for \$950,000).

The following four companies also appear to be subject to the stock ownership ban: Dell, HP, IBM, and Sony.

- Revenue and Efforts Related to Telecommunications – Although the four companies are not primarily telecommunications companies, the other criteria used to determine whether the stock ownership ban applies indicate that a significant portion of the operations are related to and regulated by the FCC.
- Extent of Relevant Commission Regulation – Dell,⁵² HP,⁵³ IBM,⁵⁴ and Sony,⁵⁵ each receive FCC authorization or licenses for many of their products.
- Potential Economic Impact – The potential economic impact of any Commission action over each company may be substantial, as demonstrated by IBM paying a \$24.25 million fine for violating FCC regulations⁵⁶ and HP paying \$16.25 million for violating FCC rules.⁵⁷
- Public Perception – Given that Dell, HP, IBM, and Sony are all well-known companies that create communications products like computers, it is reasonable to conclude that the general public perception regarding their activities is within the FCC's purview.

III. An Investigation is Needed to Determine Whether the FCC Chairman and Agency Ethics Officials Took Appropriate Action to Enforce the Rules

Publicly available information strongly suggests that the nine stocks listed above were held by FCC officials in violation of the Communications Act. If the FCC ethics officials issued a waiver or determined that the clear language of the regulations do not apply to the stocks, such waivers or legal analyses should be made public to help restore confidence in the ethics program of the agency.

⁵² Dell FCC Applications, FCC.report, <https://fcc.report/FCC-ID/1905910/1905910.pdf>.

⁵³ HP FCC Applications, FCC.report, <https://fcc.report/company/Hp-Inc>.

⁵⁴ IBM FCC Applications, FCC.report, <https://fcc.report/company/International-Business-Machines-Corp>.

⁵⁵ Sony FCC Applications, FCC.report, <https://fcc.report/company/Sony-Corp>.

⁵⁶ David Shepardson, *IBM will pay \$24.25 million to resolve FCC probes*, Reuters (Dec. 23, 2020), <https://www.reuters.com/article/us-usa-fcc-ibm/ibm-will-pay-24-25-million-to-resolve-fcc-probes-idUSKBN28X2CJ>.

⁵⁷ Sharon Gillett, *Houston, We Have A Solution: HP E-rate Fraud Case Settled*, FCC (Nov. 12, 2010), <https://www.fcc.gov/news-events/blog/2010/11/12/houston-we-have-solution-hp-e-rate-fraud-case-settled>.

For these reasons, we request that your office investigate whether the FCC ethics officials, including the DAEO, have been improperly approving stock trades that violate the Communications Act and 47 CFR §19.735-202.

Respectfully submitted,

/s/
Kedric L. Payne
General Counsel, Vice President, and Sr.
Director, Ethics

/s/
Delaney N. Marsco
Sr. Legal Counsel, Ethics

/s/
Danielle Caputo
Legal Counsel, Ethics

Exhibit A

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hone, Lisa

Deputy Bureau Chief, Federal Communications Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

Associate Bureau Chief, Wireline Competition Bureau FCC (3/2015 - 9/2018)

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/ Hone, Lisa [electronically signed on 05/16/2020 by Hone, Lisa in Integrity.gov] - Filer received a 21 day filing extension.

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

/s/ Northrop, Lauren, Certifying Official [electronically signed on 02/05/2021 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 02/05/2021

Data Revised 02/02/2021

Data Revised 02/01/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Trust #1 (was revocable became irrevocable 4/2019)	Takoma Park, Maryland	Trust	Trustee	3/2019	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wells Fargo Advantage Fund Common Stock A (SCSAX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
2	Davis, Polk & Wardwell Associates 401k Plan	No			
2.1	Vanguard Prime Cap Core	Yes	\$15,001 - \$50,000	None (or less than \$201)	
2.2	Fid Diversified Intl K	Yes	\$1,001 - \$15,000	None (or less than \$201)	
2.3	Fld 500 Index	Yes	\$100,001 - \$250,000	None (or less than \$201)	
2.4	AF Grth Fund Amer R6	Yes	\$15,001 - \$50,000	None (or less than \$201)	
2.5	Vang Sm Gr Inst	Yes	\$50,001 - \$100,000	None (or less than \$201)	
2.6	Fid Ext Mkt Index	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3	Roth IRA	No			
3.1	United Therapeutics (UTHR)	No	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Clipper Fund (CFMIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
3.3	Janus Henderson & Growth (JGIX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3.4	Schwab S&P 500 (SWPPX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3.5	Schwab Total Market Stock Fund (SWTSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Davis Polk & Wardwell	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/1992

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Catholic University	N/A		salary	
2	Wells Fargo Growth fund (SGRAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	TIAA CREF Account	No			
3.1	CREF Growth R 2 (Income not readily ascertainable)	Yes	\$50,001 - \$100,000	None (or less than \$201)	
3.2	CREF Equity Index R 2 (income not readily ascertainable)	Yes	\$50,001 - \$100,000	None (or less than \$201)	
3.3	TIAA CREF Growth & I	Yes	\$50,001 - \$100,000	None (or less than \$201)	
3.4	TIAA Traditional (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3.5	TIAA-CREF Real Estate Sec Retire (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3.6	CREF Bond Market R2 (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3.7	CREF Inflation Linked Bond Fund (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
4	Roth IRA account	No			
4.1	AT&T	No	\$1,001 - \$15,000	None (or less than \$201)	
4.2	Schwab Money Market	No	\$1,001 - \$15,000	None (or less than \$201)	
4.3	Schwab S&P 500 Index Fund- Select Shares (SWPPX)	Yes	\$50,001 - \$100,000	None (or less than \$201)	
4.4	Charter Communication Class A	No	\$1,001 - \$15,000	None (or less than \$201)	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Federal Credit Union Checking Account	No	\$1,001 - \$15,000	None (or less than \$201)	
2	US Federal Credit Union Savings Account	No	\$1,001 - \$15,000	None (or less than \$201)	
3	US bank account #1 (cash)	No	\$1,001 - \$15,000	None (or less than \$201)	
4	US bank account #2 (cash)	No	\$1,001 - \$15,000	None (or less than \$201)	
5	U.S. bank brokerage account #3 (cash)	No	\$1,001 - \$15,000	None (or less than \$201)	
6	MD College Investment Plan #1	No		cash distributions	\$22,498
6.1	Equity Index 500	Yes	\$1,001 - \$15,000	None (or less than \$201)	
6.2	Portfolio for College	Yes	\$15,001 - \$50,000	None (or less than \$201)	
7	MD College Investment Plan #3	No			
7.1	Portfolio for College (MD 529)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
8	Education IRA II	No			
8.1	Janus Henderson Growth And Income Fund Class T (JAGIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
8.2	Schwab S&P 500 Index Fund (SWPPX)	No	\$1,001 - \$15,000	None (or less than \$201)	
9	Charles Schwab Account	No			
9.1	Charles Schwab Corp (SCHW)	No	\$100,001 - \$250,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1.1	Janus Henderson Research Fund Class T (JAMRX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.2	JP Morgan Chase & Co (JPM)	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
9.3	Janus Henderson Global Research Fund Class T (JAWWX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.4	Janus Henderson Growth And Income Fund Class T (JAGIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.5	BNY Mellon Small Mid Cap	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.6	Schwab Muni Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
9.7	Schwab Value Advantage Fund (SWVXX)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
9.8	Block H&R Incorp (HRB)	No	\$15,001 - \$50,000		None (or less than \$201)
9.9	Chevron Corp (CVX)	No	\$100,001 - \$250,000		None (or less than \$201)
9.10	Exxon Mobile Corp (XOM)	No	\$50,001 - \$100,000		None (or less than \$201)
9.11	General Electric (GE)	No	\$100,001 - \$250,000		None (or less than \$201)
9.12	Paychex Inc (PAYX)	No	\$15,001 - \$50,000		None (or less than \$201)
9.13	WABTEC	No	\$1,001 - \$15,000		None (or less than \$201)
10	Education IRA I	See Endnote	No	cash distribution	\$12,325
10.1	McDonalds (MCD)		No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2	Laudus U.S. Large Cap Growth Fund (LGILX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
10.3	Schwab 1000 Index (SNXFX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
10.4	Schwab Small Cap Index (SWSSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
10.5	Schwab Total Stock Market Index (SWTSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
10.6	United Therapeutics Corporation - Common Stock	No	\$1,001 - \$15,000	None (or less than \$201)	
11	MD College Investment Plan #2	No			
11.1	Equity Index 500	Yes	\$15,001 - \$50,000	None (or less than \$201)	
11.2	Portfolio 2024	Yes	\$15,001 - \$50,000	None (or less than \$201)	
11.3	Portfolio 2030	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12	MD College Investment Plan #4	No			
12.1	Portfolio 2030	Yes	\$1,001 - \$15,000	None (or less than \$201)	
13	Wells Fargo Advantage Common Stock	Yes	\$15,001 - \$50,000	\$1,001 - \$2,500	
14	Franklin Templeton Mutual Global Discovery - Class Z (TEDSX)	Yes	\$15,001 - \$50,000	\$1,001 - \$2,500	
15	Custodial Account	No	\$1,001 - \$15,000	None (or less than \$201)	
15.1	DWS Science & Technology (KTCSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Charles Schwab Inherited IRA	See Endnote	No	cash distribution	\$5,056
16.1	Applied Materials (AMAT)	No	\$15,001 - \$50,000	None (or less than \$201)	
16.2	Arista Networks Inc (ANET)	No	\$1,001 - \$15,000	None (or less than \$201)	
16.3	Cisco Systems, Inc. - Common Stock (CSCO)	No	\$15,001 - \$50,000	None (or less than \$201)	
16.4	Intel Corp (INTC)	No	\$50,001 - \$100,000	None (or less than \$201)	
16.5	Johnson & Johnson (JNJ)	No	\$100,001 - \$250,000	None (or less than \$201)	
16.6	Mastercard Inc A (MA)	No	\$1,001 - \$15,000	None (or less than \$201)	
16.7	Oracle Corp (ORCL)	No	\$15,001 - \$50,000	None (or less than \$201)	
16.8	PAYCHEX (PAYX)	No	\$1,001 - \$15,000	None (or less than \$201)	
16.9	Pfizer Inc (PFE)	No	\$1,001 - \$15,000	None (or less than \$201)	
16.10	Schlumberger Ltd (SLB)	No	\$1,001 - \$15,000	None (or less than \$201)	
16.11	Harding Loevener Emerging Markets Adv CL (HLEMX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
16.12	Schwab S&P 500 Index FD (SWPPX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
16.13	Spectrum Mod Gwth (TRSGX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
16.14	T.Rowe Price Blue Chip (TRBCX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.15	Value Line Premier (VALSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Prescott Associates, L.P.	No	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$1,001 - \$2,500
18	Family Trust #1	No			
18.1	One Sixth Interest in 3 parcels of land in Kings County CA	See Endnote	No	\$1,000,001 - \$5,000,000	Rent or Royalties \$15,001 - \$50,000
18.2	Schwab Municipal Money Fund (SWTX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
18.3	Schwab Value Advantage Fund (SWVXX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
18.4	Block H & R Inc (HRB)	See Endnote	No	None (or less than \$1,001)	Dividends \$1,001 - \$2,500
18.5	Charles Schwab Corp (Schw)	See Endnote	No	None (or less than \$1,001)	Dividends \$2,501 - \$5,000
18.6	Chevron Corp (CVX)	See Endnote	No	None (or less than \$1,001)	Dividends \$5,001 - \$15,000
18.7	Exxon Mobile Corp (XOM)	See Endnote	No	None (or less than \$1,001)	Dividends \$2,501 - \$5,000
18.8	General Electric Corp (GE)	See Endnote	No	None (or less than \$1,001)	Dividends \$201 - \$1,000
18.9	Intl Business Machines Corp (IBM)	See Endnote	No	None (or less than \$1,001)	Dividends \$2,501 - \$5,000
18.10	JP Morgan Chase & Co (JPM)	See Endnote	No	None (or less than \$1,001)	Dividends \$201 - \$1,000
18.11	Paychex Inc (PAYX)	See Endnote	No	None (or less than \$1,001)	Dividends \$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.12	Cedar Fair LP	No	\$15,001 - \$50,000	Cash Distributions	\$2,785
18.13	Walt Disney Co (DIS)	No	\$15,001 - \$50,000	Interest Dividends	\$201 - \$1,000
18.14	Apartment in NY, NY (Coop)	No	\$250,001 - \$500,000		None (or less than \$201)
18.15	Franklin Templeton Global Discovery Fund Class Z	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.16	Fidelity California Municipal Income (FCTFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.17	Analog Devices, Inc. - Common Stock (ADI)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
18.18	BP PLC	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
18.19	Exxon Mobil Corp (XOM)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
18.20	Farmers and Merchants Bk Long Beach CA	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.21	Kansas City Life Ins (KCLI)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.22	Lilly Eli	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.23	Merck & Co Inc (MRK)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.24	National Westin Lile Ins Grup Cl A (NWLI)	No	\$15,001 - \$50,000		None (or less than \$201)
18.25	Newmont Mining Corp (NEM)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.26	Pan American Silver Corp. - Common Stock (PAAS)	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.27	Pfizer Inc (PFE)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.28	Royal Dutch Shell (RDS A)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
18.29	Royal Gold, Inc. - Common Stock (RGOLD)	No	\$15,001 - \$50,000		None (or less than \$201)
18.30	Teck Res LTD (TECK)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.31	Tejon Ranch Co (TRC)	No	\$1,001 - \$15,000		None (or less than \$201)
18.32	United Fire Group, Inc - Common Stock (UFCS)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.33	Weyerhaeuser Co (WY)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
18.34	Mineral Rights to Property in Fresno, CA	No	\$1,001 - \$15,000	Rent or Royalties	\$2,501 - \$5,000
18.35	Checking Acct. A	No	\$15,001 - \$50,000		None (or less than \$201)
18.36	Brokerage Acct. A	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
18.37	Brokerage Acct B	No	\$50,001 - \$100,000		None (or less than \$201)
18.38	Residential real estate, Berkeley, CA	N/A	None (or less than \$1,001)	cash distribution	\$750,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	McDonald's Corp	See Endnote	Sale	02/20/2019
2	Coca-Cola Co	See Endnote	Sale	02/20/2019

#	DESCRIPTION	TYPE	DATE	AMOUNT
3	United Parcel Service Inc B	Sale	05/16/2019	\$1,001 - \$15,000
4	Lending Tree Inc (Tree)	Sale	06/21/2019	\$1,001 - \$15,000
5	Red Hat Inc	Sale	06/21/2019	\$1,001 - \$15,000
6	CGM Focus Fund (CGMFX)	Sale	06/21/2019	\$1,001 - \$15,000
7	Janus Henderson Overseas Fund (JAOSX)	Sale	06/20/2019	\$1,001 - \$15,000
8	Paychex Inc	Sale	06/11/2019	\$1,001 - \$15,000
9	Heartland Value Fund Inv (HRVTEX)	Sale	06/20/2019	\$1,001 - \$15,000
10	Paychex Inc	Sale	06/05/2019	\$1,001 - \$15,000
11	Maryland 529 (Portfolio for College)	Purchase	02/15/2019	\$1,001 - \$15,000
12	Maryland 529 (Portfolio 2030)	Purchase	01/14/2019	\$1,001 - \$15,000
13	CGM Focus Fund	Sale	06/24/2019	\$1,001 - \$15,000
14	Columbia SLCT IntL Equity Inst (NIEQX)	Sale	06/24/2019	\$1,001 - \$15,000
15	T. Rowe Price Personal Strat Growth (TRSGX)	Purchase	06/24/2019	\$1,001 - \$15,000
16	Schwab S&P 500 Index (SWPPX)	Purchase	07/09/2019	\$1,001 - \$15,000
17	Lending Tree Inc (TREE)	Sale	06/25/2019	\$1,001 - \$15,000
18	Heartland Value Fund Inv. CL (HRTVX)	Sale	07/15/2019	\$1,001 - \$15,000
19	Schwab S&P 500 Index (SWPPX)	Purchase	07/16/2019	\$1,001 - \$15,000
20	Sequoia Fund (SEQUX)	Sale	07/16/2019	\$1,001 - \$15,000
21	T. Rowe Price Personal Strat GWTH Fund Inv. (TRSGX)	Purchase	07/16/2019	\$1,001 - \$15,000
22	Marisco International Opportunities Fund (MIOFX)	Sale	07/19/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	T. Rowe Price Personal Strat Growth (TRSGX)	Purchase	07/19/2019	\$1,001 - \$15,000
24	Applied Materials Inc (AMAT)	Purchase	07/22/2019	\$1,001 - \$15,000
25	Schwab S&P 500 Index (SWPPX)	Purchase	07/24/2019	\$1,001 - \$15,000
26	IAC/InterActiveCorp - Common Stock (IACI)	Sale	07/25/2019	\$1,001 - \$15,000
27	Live Nation Entertainment, Inv (LYV)	Sale	07/24/2019	\$1,001 - \$15,000
28	Mastercard Inc A (MA)	Purchase	07/25/2019	\$1,001 - \$15,000
29	PayPal Holdings, Inc (PYPL)	Purchase	07/24/2019	\$1,001 - \$15,000
30	Arista Networks (ANET)	Purchase	07/26/2019	\$1,001 - \$15,000
31	Under Armour, Inc. Class A (UAA)	Sale	07/22/2019	\$1,001 - \$15,000
32	T. Rowe Price Blue Chip Growth (TRBCX)	Purchase	07/29/2019	\$1,001 - \$15,000
33	Waters Corp (WAT)	Sale	09/11/2019	\$1,001 - \$15,000
34	Waters Corp (WAT)	Sale	09/11/2019	\$1,001 - \$15,000
35	Schwab Value Advantage Money Fund Investor Shares (SWVXX)	Purchase	10/15/2019	\$250,001 - \$500,000
36	Schwab Municipal Money Fund Investor Shares (SWTXX)	Sale	10/21/2019	\$50,001 - \$100,000
37	Schwab Value Advantage Money Fund Investor Shares (SWVXX)	Purchase	10/21/2019	\$1,001 - \$15,000
38	Schwab Municipal Money Fund Investor Shares (SWTXX)	Purchase	10/16/2019	\$100,001 - \$250,000
39	Value Line Premier Growth Fund (VALSX)	Purchase	10/28/2019	\$1,001 - \$15,000
40	Schwab Value Advantage Money Fund Investor Shares (SWVXX)	Purchase	10/21/2019	\$1,001 - \$15,000
41	Residential real estate, Berkeley, CA, Held in Family Trust #1	Sale	10/04/2019	\$1,000,001 - \$5,000,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	10	Gross Distribution to Pay for College Expenses \$12,325
6.	16	Income Amount Reflects Annual Required Mandatory Distribution
6.	18.1	Income is for rent of all three parcels in Kings County, CA
6.	18.4	Underlying asset distributed out of trust during the reporting period
6.	18.5	Underlying Asset Distributed out of the trust during the reporting period
6.	18.6	Underlying Asset Distributed Out of the Trust During the Reporting Period
6.	18.7	Underlying Asset Distributed out of Trust during the reporting period
6.	18.8	Underlying Asset Distributed out of trust during the reporting period
6.	18.9	Underlying Asset distributed out of the trust during the reporting period
6.	18.10	Underlying asset distributed out of the trust during the reporting period
6.	18.11	Underlying asset distributed out of trust during the reporting period
7.	1	Stock is in an Education IRA account.

PART	#	ENDNOTE
7.	2	In an IRA

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

Public Burden Information

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

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

Exhibit B

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Simpson, Andrea

Chief Information Security Officer, Federal Communications Commission

Date of Appointment: 10/25/2020

Other Federal Government Positions Held During the Preceding 12 Months:

Chief Information Security Officer (12/2016 - 10/2020)

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/ Simpson, Andrea [electronically signed on 11/13/2020 by Simpson, Andrea 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/ Northrop, Lauren, Certifying Official [electronically signed on 01/08/2021 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Simpson, Andrea - Page 1

Data Revised 01/08/2021

Data Revised 12/18/2020

Simpson, Andrea - Page 2

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Maryland Global Campus (formally UMUC)	Largo, Maryland	University/College	Adjunct Instructor	3/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of Maryland Global Campus (formally UMUC)	N/A		Salary	\$17,170
2	T. Rowe Price	No			
2.1	Retirement 2030 Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of Maryland Global Campus (formally UMUC)	Largo, Maryland	Part time instructor for adult-education.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ledios	N/A		salary	
2	Janus Henderson Glbl Tech & Innovation - D Sh	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	PROSYNC TECHNOLOGY GROUP 401(K) PLAN				
1.1	Vanguard Growth Index Fund Admiral Class Shares (VIGAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	Merrill-UTMA/MD	No			
2.1	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000	Dividends Interest	\$1,001 - \$2,500
2.2	BP PLC	N/A	\$1,001 - \$15,000	Dividends Interest	\$201 - \$1,000
2.3	McDonald's Corp. (MCD)	N/A	\$15,001 - \$50,000	Dividends Interest	\$5,001 - \$15,000
2.4	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000	Dividends Interest	\$5,001 - \$15,000
2.5	AT&T	N/A	\$1,001 - \$15,000	Dividends Interest	\$201 - \$1,000
2.6	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000	Dividends Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Janus Henderson Contrarian Fund Class D Shares (JACNX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
4	Janus Henderson Forty Fund Class D Shares (JFRDX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
5	Janus Henderson Global Technology and Innovation Fund Class D Shares (JNGTX)	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
6	Residential real estate, Dunkirk, MD	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$2,501 - \$5,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	US Senate Credit Union	Mortgage (investment/rental property)	\$100,001 - \$250,000	2017	7.25	6 years
2	Freedom Mortgage	Mortgage (investment/rental property)	\$250,001 - \$500,000	2018	3.375	30 year

9. Gifts and Travel Reimbursements

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

Endnotes

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)

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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)

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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).

Exhibit C

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hone, Lisa

Deputy Bureau Chief, Federal Communications Commission

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

Associate Bureau Chief, Wireline Competition Bureau FCC (3/2015 - 9/2018)

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/ Hone, Lisa [electronically signed on 06/22/2019 by Hone, Lisa in Integrity.gov] - Filer received a 44 day filing extension.

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

/s/ Northrop, Lauren, Certifying Official [electronically signed on 04/06/2020 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 04/06/2020

Data Revised 03/24/2020

Hone, Lisa - Page 2

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wells Fargo Advantage Fund Common Stock A (SCSAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2	Davis, Polk & Wardwell Associates 401k Plan	No			
2.1	Vanguard Prime Cap Core	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Fid Diversified Intl K	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Fld 500 Index	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	AF Grth Fund Amer R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	Vang Sm Gr Inst	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.6	Fid Ext Mkt Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Roth IRA	No			
3.1	Coca Cola (KO)	No	\$1,001 - \$15,000		None (or less than \$201)
3.2	United Therapeutics (UTHR)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Clipper Fund (CFMIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
3.4	Janus Henderson & Growth (JGIX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3.5	Schwab S&P 500 (SWPPX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3.6	Schwab Total Market Stock Fund (SWTSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Davis Polk & Wardwell	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/1992

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Catholic University	N/A		salary	
2	TIAA CREF Account	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	CREF Growth R 2 (Income not readily ascertainable)	Yes	\$50,001 - \$100,000	None (or less than \$201)	
2.2	CREF Equity Index R 2 (income not readily ascertainable)	Yes	\$50,001 - \$100,000	None (or less than \$201)	
2.3	TIAA CREF Growth & I	Yes	\$50,001 - \$100,000	None (or less than \$201)	
2.4	TIAA Traditional (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
2.5	TIAA-CREF Real Estate Sec Retire (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
2.6	CREF Bond Market R2 (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
2.7	CREF Inflation Linked Bond Fund (income not readily ascertainable)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
3	Roth IRA account	No			
3.1	AT&T	No	\$1,001 - \$15,000	None (or less than \$201)	
3.2	Schwab Money Market	No	\$1,001 - \$15,000	None (or less than \$201)	
3.3	Wells Fargo Growth fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	
3.4	Schwab S&P 500 Index Fund- Select Shares (SWPPX)	Yes	\$50,001 - \$100,000	None (or less than \$201)	
3.5	Charter Communication Class A	No	\$1,001 - \$15,000	None (or less than \$201)	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Federal Credit Union Checking Account	No	\$1,001 - \$15,000		None (or less than \$201)
2	US Federal Credit Union Savings Account	No	\$1,001 - \$15,000		None (or less than \$201)
3	US bank account #1 (cash)	No	\$1,001 - \$15,000		None (or less than \$201)
4	US bank account #2 (cash)	No	\$1,001 - \$15,000		None (or less than \$201)
5	U.S. bank brokerage account #3 (cash)	No	\$1,001 - \$15,000		None (or less than \$201)
6	MD College Investment Plan #1	No		cash distributions	\$22,498
6.1	Equity Index 500	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Portfolio for College	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	MD College Investment Plan #3	No			
7.1	Portfolio for College (MD 529)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Education IRA II	No			
8.1	Janus Henderson Growth And Income Fund Class T (JAGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	Schwab S&P 500 Index Fund (SWPPX)	No	\$1,001 - \$15,000		None (or less than \$201)
9	Charles Schwab Account	No			
9.1	Charles Schwab Corp (SCHW)	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1.1	Janus Henderson Research Fund Class T (JAMRX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.2	JP Morgan Chase & Co (JPM)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
9.3	Janus Henderson Global Research Fund Class T (JAWWX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.4	Janus Henderson Growth And Income Fund Class T (JAGIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.5	Dreyfus/The Boston Co Sm/Md Cp Gr A	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	Education IRA I	No			
10.1	McDonalds (MCD)	No	\$1,001 - \$15,000		None (or less than \$201)
10.2	Laudus U.S. Large Cap Growth Fund (LGILX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.3	Schwab 1000 Index (SNXFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.4	Schwab Small Cap Index (SWSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.5	Schwab Total Stock Market Index (SWTSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.6	United Therapeutics Corporation - Common Stock	No	\$1,001 - \$15,000		None (or less than \$201)
11	MD College Investment Plan #2	No			
11.1	Equity Index 500	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.2	Portfolio 2024	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.3	Portfolio 2030	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12	MD College Investment Plan #4	No			
12.1	Portfolio 2030	Yes	\$1,001 - \$15,000	None (or less than \$201)	
13	Wells Fargo Advantage Common Stock	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
14	Franklin Templeton Mutual Global Discovery - Class Z (TEDSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Schwab S&P 500 Index	Purchase	10/10/2018	\$1,001 - \$15,000
2	Janus Henderson Global Research Fund (JAWWX)	Purchase	12/18/2018	\$1,001 - \$15,000
3	Janus Henderson Research Fund (JAMRX)	Purchase	12/18/18	\$1,001 - \$15,000
4	Janus Henderson Research Fund (JAMRX)	Sale	09/07/18	\$1,001 - \$15,000
5	Janus Henderson Research Fund	Sale	05/29/2018	\$1,001 - \$15,000
6	Maryland College Savings Plan (Portfolio for College)	Sale	12/10/2018	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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, NW., 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).

Exhibit D

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Harold, Rosemary

Enforcement Bureau Chief, Federal Communications Commission

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Harold, Rosemary [electronically signed on 07/17/2019 by Harold, Rosemary in Integrity.gov] - Filer received a 65 day filing extension.

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

/s/ Northrop, Lauren, Certifying Official [electronically signed on 06/11/2020 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 06/11/2020

Data Revised 06/09/2020

Data Revised 06/07/2020

Data Revised 06/06/2020

Data Revised 03/24/2020

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Catholic University Columbus School of Law	Washington, District of Columbia	University/College	Adjunct Professor	8/2007	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Catholic University Columbus School of Law	N/A		Salary	\$1,000
2	Prudential Premier Retirement B (RCH fixed annuity)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	JP Morgan MidCap Value I	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Lazard Emerging Markets Eq I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Matthews Asian Japan Inv	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Nuveen NWQ Intl Value I	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Pimco Short Term I2	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	PGIM Jennison MD CP GW Z	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	PGIM Jennison Sm Comp Z	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Virtus NWFLT MLTSEC SHTM BD I	Yes	\$50,001 - \$100,000		None (or less than \$201)
11	Virtus Vonobel Emrg Mkt Opp I	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Voya Real Estate I	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	Western Asset Core Bd I	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	American Bond Fd of America F2	Yes	\$50,001 - \$100,000		None (or less than \$201)
15	American EuroPacific Grw F2	Yes	\$50,001 - \$100,000		None (or less than \$201)
16	American Gw Fd of America F2	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	Davis New York Venture Y	Yes	\$50,001 - \$100,000		None (or less than \$201)
18	JP Morgan Rsrch Mkt Neutral I	Yes	\$50,001 - \$100,000		None (or less than \$201)
19	AQR Mngd Futures Strat I	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Blackrock Equity Dividend I	Yes	\$15,001 - \$50,000		None (or less than \$201)
21	Blackrock Inflat Prot Bond I	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	Blackrock Low Dur Bd Inv Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	Blackstone Alt Mult-Strat Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	Cambiar Small Cap Inv	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	Center Coast Mlp Focus I	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	John Hancock Seaport I	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Pimco Short Term P	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	Morgan Stanley Bank Deposit/Money Market Fund	No	\$50,001 - \$100,000	Interest	None (or less than \$201)
29	Ivy Large Cap Growth I	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley Bank Deposit/Money Market Fund (MJK retirement account)	No	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	MK IRA	No		cash distributions	\$3,643
2.1	Blackrock Total Ret I	Yes	\$100,001 - \$250,000	None (or less than \$201)	
2.2	Prudential Pru Premier Retirement B (fixed annuity)	Yes	\$250,001 - \$500,000	None (or less than \$201)	
3	Alphabet Inc Class C	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
4	3M Company	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
5	Abnamro Group NV	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
6	Accenture PLC Ireland	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
7	ABB Ltd	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
8	Adobe Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
9	Ameren Corp.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
10	Allstate Corp.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
11	Air Prod & Chem Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
12	American Campus Commrys Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
13	Amern Healthcare Services Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Altria Group Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
15	Aon Plc SHS Cl A	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
16	Anheuser Busch Inbev SA	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
17	Apple, Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
18	Assa Abloy AB	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
19	Autozone Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
20	Bank of America Corp (BAC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
21	AvalonBay Communities Inc (AVB)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
22	BB&T Corp (BBT)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
23	Analog Devices Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
24	BB Seguridade Participacoes	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
25	BioTelemetry, Inc. - Common Stock (BEAT)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
26	BHP Group Ltd.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
27	Bottomline Technologies, Inc. - Common Stock (EPAY)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Booking Holdings Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
29	Blackrock Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
30	Becton Dickinson & Co (BDX)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
31	Bristol-Myers Squibb (BMY)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
32	Broadcom Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
33	Callon Petroleum Company	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
34	Canadian National Railway Co.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
35	Cabot Oil & Gas Corp. A	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
36	CDW Corporation - Common Stock (CDW)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
37	Schwab Charles Corp (SCHW)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
38	Chevron Corp (CVX)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
39	Chubb Ltd	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
40	CME Group Inc (CME)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
41	CMS Energy CP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	Coca-Cola Co (KO)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
43	Codexis, Inc. - Common Stock (CDXS)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
44	Cognizant Tech Solutions Corp (CTSH)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
45	Colgate-Palmolive Co (CL)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
46	Comcast Corporation - Class A Common Stock (CMCSA)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
47	Comfort Systems USA Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
48	Compass Group PLC SPD ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
49	ConocoPhillips	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
50	CVS Health Corp	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
51	Compagnie Fin Richemontag ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
52	Diamondback Energy, Inc. - Common Stock (FANG)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
53	Dover Corp (DOV)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
54	Dowdupont Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
55	Daiwa House Ind Ltd ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
56	Cooper Co Inc New	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
57	Duke Realty Corp	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
58	Dolby Cla A	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
59	Ecolab Inc (ECL)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
60	Electronic Arts Inc. - Common Stock (EA)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
61	Lilly Eli & Co (LLY)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
62	Emerson Electric Co (EMR)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
63	Equinor ASA	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
64	Euronet Worldwide, Inc. - Common Stock (EEFT)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
65	Ferguson PLC ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
66	DRS Group Holdings Ltd SP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
67	Fidelity Nat'l Information SE	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
68	Expedia, Inc. - Common Stock (EXPE)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
69	Five9, Inc. - Common Stock (FIVN)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70	G-III Apparel Group, LTD. - Common Stock (GIII)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
71	General Dynamics (GD)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
72	Home Depot Inc (HD)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
73	Hartford Fin Sers Group Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
74	Gilead Sciences Inc (GILD)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
75	Hanover Insurance Group Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
76	Host Hotels & Resorts Inc (HST)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
77	Honeywell Intl Inc (HON)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
78	Hubspot Inc.	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
79	ICICI Bank Ltd	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
80	III Tool Works Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
81	Ingredion Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
82	Inter Parfums, Inc. - Common Stock (IPAR)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
83	Integrated Device Technology, Inc. - Common Stock (IDTI)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
84	Intercontinental Exchange Group	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
85	Jacobs Engineering Group Inc (JEC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
86	JB Hunt Trans Serv	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
87	Johnson & Johnson (JNJ)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
88	KeyCorp (KEY)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
89	Kirby CP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
90	KAO Corp	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
91	Lincoln National Corp (LNC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
92	Makita Corp Ltd ADR New	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
93	M&T Bank Corp	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
94	Marsh & McLennan Companies (MMC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
95	Mastercard Inc A (MA)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
96	Medtronic Inc (MDT)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
97	McDonald's Corp	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
98	Merck & Co Inc (MRK)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
99	Metlife Inc (MET)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
100	Michelin Compagnie General DE	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
101	Mid America Apart Comm Inc (MAA)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
102	Microsoft Corp (MSFT)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
103	Mondelez International Inc (MDLZ)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
104	Monolithic Power Systems, Inc. - Common Stock (MPWR)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
105	NextEra Energy Inc (NEE)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
106	Monro Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
107	Occidental Petroleum (OXY)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
108	Parker-Hannifin Corp (PH)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
109	Norfolk Southern Corp (NSC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
110	Nordea Bank ABP Spon ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
111	Paypal Holdings Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
112	O'Reilly Automotive Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
113	PepsiCo Inc (PEP)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
114	Philip Morris International (PM)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
115	Pfizer Inc (PFE)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
116	Ping An Insurance ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
117	Pinnacle Financial Partners, Inc. - Common Stock (PNFP)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
118	Pioneer Natural Resources (PXD)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
119	PNC Financial Svcs Group	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
120	PPG Industries Inc (PPG)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
121	Procter & Gamble (PG)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
122	Prudential Financial Inc (PRU)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
123	Public Service Enterprise GP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
124	Quest Diagnostics Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
125	Ralph Lauren Corp (RL)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
126	Raytheon Co (RTN)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
127	Red Electrica Corp SA	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
128	Relx PLC Sponsored ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
129	Republic Services Inc (RSG)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
130	Retail PPTYS America	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
131	Rockwell Automation Inc (ROK)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
132	Rogers Communications Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
133	Ross Stores Inc (ROST)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
134	Ryohin Keikaku Co Ltd	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
135	Ryanair Holdings plc - American Depository Shares, each representing five Ordinary Shares (RYAAY)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
136	Royal Dutch Shell PLC	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
137	Safran SA	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
138	Sampo Oyj Unspon ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
139	SAP AG		No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
140	Sanlam Ltd ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
141	Selective Insurance Group, Inc. - Common Stock (SIGI)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
142	SPS Commerce, Inc. - Common Stock (SPSC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
143	Simon PPTY Group Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
144	Snap On Inc (SNA)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
145	Stanley Black & Decker (SWK)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
146	Sumitomo Mitsui Financial Group Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
147	Starbucks Corp (SBUX)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
148	Suncor Energy Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
149	Taiwan Semiconductor Mfg Co Ltd	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
150	Telenor ASA ADS	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
151	Synchrony Financial	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
152	T Rowe Price Group Inc (TROW)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
153	Tencent Holdings Ltd	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
154	Teradata Corp (TDC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
155	Texas Roadhouse, Inc. - Common Stock (TXRH)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
156	Texas Instruments Inc (TXN)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
157	Thermo Fisher Scientific (TMO)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
158	Toll Brothers	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
159	Unilever PLC	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
160	Verizon Communications Inc (VZ)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
161	Ubisoft Entmt SA Unspon ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
162	TPI Composites Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
163	Valvoline Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
164	Travelers Cos Inc (TRV)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
165	US Bancorp (USB)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
166	Vinci SA ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
167	Vivendi SA Unspon ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
168	Vulcan Materials Co (VMC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
169	Wells Fargo & Co (WFC)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
170	Walmart Inc	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
171	Vectren CP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
172	Wolters Luwer NV Spon ADR	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
173	Zoetis Inc (ZTS)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
174	Xcel Energy Inc (XEL)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
175	Yandex N.V. - Class A Ordinary Shares (YNDX)	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

6. Other Assets and Income

None

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	American Funds The Growth Fund of America Class F2 (GFFFX)	Sale	02/03/2018	\$1,001 - \$15,000
2	Davis New York Venture Fund Class Y Shares (DNVYX)	Sale	05/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
3	Davis New York Venture Fund Class Y Shares (DNVYX)	Purchase	06/28/2018	\$1,001 - \$15,000
4	Davis New York Venture Fund Class Y Shares (DNVYX)	Sale	08/13/2018	\$1,001 - \$15,000
5	American Funds The Growth Fund of America Class F2 (GFFFX)	Sale	11/08/2018	\$1,001 - \$15,000
6	JP Morgan Mid Cap Value Class I (JMVSX)	Purchase	12/12/2018	\$1,001 - \$15,000
7	Davis New York Venture Fund Class Y Shares (DNVYX)	Purchase	12/12/2018	\$1,001 - \$15,000
8	PGIM Jennison Small Company Fund Class Z (PSCZX)	Purchase	12/13/2018	\$1,001 - \$15,000
9	PGIM Jennison Small Company Fund Class Z Shares (PSCZX)	Purchase	12/13/2018	\$1,001 - \$15,000
10	American EuroPacific Growth Fund Class F2 (AEPFX)	Purchase	12/20/2018	\$1,001 - \$15,000
11	Voya Real Estate Fund Class I (CRARX)	Purchase	12/14/2018	\$1,001 - \$15,000
12	BHP Billiton LTD (BHP)	Purchase	09/11/2018	\$1,001 - \$15,000
13	ConocoPhillips (COP)	Purchase	09/11/2018	\$1,001 - \$15,000
14	Telenor ASA (TELNY)	Purchase	09/11/2018	\$1,001 - \$15,000
15	AutoZone Inc (AZO)	Purchase	09/11/2018	\$1,001 - \$15,000
16	CapitalOne Financial Corp (COF)	Purchase	09/11/2018	\$1,001 - \$15,000
17	Bank of America Corp. (BAC)	Purchase	09/11/2018	\$1,001 - \$15,000
18	Shire PLC ADR (SHPG)	Purchase	09/11/2018	\$1,001 - \$15,000
19	Hillenbrand, Inc. (HI)	Purchase	09/11/2018	\$1,001 - \$15,000
20	Laboratory Corp America Holdings New (LH)	Purchase	09/11/2018	\$1,001 - \$15,000
21	PayPal Holdings, Inc. (PYPL)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	Philip Morris International, Inc. (PM)	Purchase	09/11/2018	\$1,001 - \$15,000
23	MidAmerican Apartment Communities (MAA)	Purchase	09/11/2018	\$1,001 - \$15,000
24	Gilead Sciences, Inc. (GILD)	Purchase	09/11/2018	\$1,001 - \$15,000
25	Gilead Sciences, Inc. (GILD)	Purchase	09/11/2018	\$1,001 - \$15,000
26	Callaway Golf Co. (ELY)	Purchase	09/11/2018	\$1,001 - \$15,000
27	KeyCorp (KEY)	Purchase	09/11/2018	\$1,001 - \$15,000
28	Canadian National Railway Co (CNI(Purchase	09/11/2018	\$1,001 - \$15,000
29	Vinca SA (VCISY)	Purchase	09/11/2018	\$1,001 - \$15,000
30	The Hartford Financial Services Group, Inc. (HIG)	Purchase	09/11/2018	\$1,001 - \$15,000
31	Stanley Black & Decker, Inc. (SWK)	Purchase	09/11/2018	\$1,001 - \$15,000
32	Stanley Black & Decker, Inc. (SWK)	Purchase	09/11/2018	\$1,001 - \$15,000
33	M&T Bank Corp (MTB)	Purchase	09/11/2018	\$1,001 - \$15,000
34	M&T Bank Corp (MTB)	Purchase	09/11/2018	\$1,001 - \$15,000
35	Texas Roadhouse, Inc. (TXRH)	Purchase	09/11/2018	\$1,001 - \$15,000
36	Unilever PLC (UL)	Purchase	09/11/2018	\$1,001 - \$15,000
37	Cooper Co Inc (COO)	Purchase	09/11/2018	\$1,001 - \$15,000
38	SAP AG (SAP)	Purchase	09/11/2018	\$1,001 - \$15,000
39	Host Hotel & Resorts Inc (HST)	Purchase	09/11/2018	\$1,001 - \$15,000
40	NuVasive, Inc. (NUVA)	Purchase	09/11/2018	\$1,001 - \$15,000
41	Verizon Communications, Inc. (VZ)	Purchase	09/11/2018	\$1,001 - \$15,000
42	Vectren CP (VVC)	Purchase	09/11/2018	\$1,001 - \$15,000
43	Bottomline Technologies, Inc. (EPAY)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
44	AvalonBay Communities, Inc. (AVB)	Purchase	09/11/2018	\$1,001 - \$15,000
45	Allstate Corp (ALL)	Purchase	09/11/2018	\$1,001 - \$15,000
46	Pioneer Natural Resources Co. (PXD)	Purchase	09/11/2018	\$1,001 - \$15,000
47	Valeo Sponsored ADR (VLEEY)	Purchase	09/11/2018	\$1,001 - \$15,000
48	CVS Health Corp. (CVS)	Purchase	09/11/2018	\$1,001 - \$15,000
49	Pinnacle Financial Partners, Inc. (PNFP)	Purchase	09/11/2018	\$1,001 - \$15,000
50	Cognizant Technology Solutions Corp. (CTSH)	Purchase	09/11/2018	\$1,001 - \$15,000
51	Korn Ferry (KFY)	Purchase	09/11/2018	\$1,001 - \$15,000
52	Republic Services, Inc. (RSG)	Purchase	09/11/2018	\$1,001 - \$15,000
53	Amphenol Corporation (APH)	Purchase	09/11/2018	\$1,001 - \$15,000
54	BB&T Corp. (BBT)	Purchase	09/11/2018	\$1,001 - \$15,000
55	Rockwell Automation, Inc. (ROK)	Purchase	09/11/2018	\$1,001 - \$15,000
56	Quest Diagnostics, Inc. (DGX)	Purchase	09/11/2018	\$1,001 - \$15,000
57	Wintrust Financial Corp. (WTFC)	Purchase	09/11/2018	\$1,001 - \$15,000
58	ASGN, Inc. (ASGN)	Purchase	09/11/2018	\$1,001 - \$15,000
59	Heartland Financial USA, Inc. (HTLF)	Purchase	09/11/2018	\$1,001 - \$15,000
60	Novartis AG ADR (NBS)	Purchase	09/11/2018	\$1,001 - \$15,000
61	DBS Group Holdings Ltd (DBSDY)	Purchase	09/11/2018	\$1,001 - \$15,000
62	Comcast Corp. (CMCSA)	Purchase	09/11/2018	\$1,001 - \$15,000
63	Xcel Energy, Inc. (XEL)	Purchase	09/11/2018	\$1,001 - \$15,000
64	British American Tobacco (BTI)	Purchase	09/11/2018	\$1,001 - \$15,000
65	Komatsu Ltd (KMTUY)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
66	Simon Property Group, Inc. (SPG)	Purchase	09/11/2018	\$1,001 - \$15,000
67	Comfort Systems USA, Inc. (FIX)	Purchase	09/11/2018	\$1,001 - \$15,000
68	BlackRock, Inc. (BLK)	Purchase	09/11/2018	\$1,001 - \$15,000
69	Ameren Corp. (AEE)	Purchase	09/11/2018	\$1,001 - \$15,000
70	3M Co. (MMM)	Purchase	09/11/2018	\$1,001 - \$15,000
71	Taiwan Semiconductor Mfg Co Ltd (TSM)	Purchase	09/11/2018	\$1,001 - \$15,000
72	Wells Fargo & Co. (WFC)	Purchase	09/11/2018	\$1,001 - \$15,000
73	Inter Parfums, Inc. (IPAR)	Purchase	09/11/2018	\$1,001 - \$15,000
74	Altria Group, Inc. (MO)	Purchase	09/11/2018	\$1,001 - \$15,000
75	U.S. Bancorp (USB)	Purchase	09/11/2018	\$1,001 - \$15,000
76	Discover Financial Services (DFS)	Purchase	09/11/2018	\$1,001 - \$15,000
77	58 Com Inc Class A (WUBA)	Purchase	09/11/2018	\$1,001 - \$15,000
78	NextEra Energy, Inc. (NEE)	Purchase	09/11/2018	\$1,001 - \$15,000
79	ICICI Bank Ltd (IBN)	Purchase	09/11/2018	\$1,001 - \$15,000
80	MetLife, Inc. (MET)	Purchase	09/11/2018	\$1,001 - \$15,000
81	O'Reilly Automotive Inc. (ORLY)	Purchase	09/11/2018	\$1,001 - \$15,000
82	T. Rowe Price Group, Inc. (TROW)	Purchase	09/11/2018	\$1,001 - \$15,000
83	Silicon Motion Tech Corp (SIMO)	Purchase	09/11/2018	\$1,001 - \$15,000
84	Monolithic Power Systems, Inc. (MPWR)	Purchase	09/11/2018	\$1,001 - \$15,000
85	American Campus Communities, Inc. (ACC)	Purchase	09/11/2018	\$1,001 - \$15,000
86	ABB Ltd (ABB)	Purchase	09/11/2018	\$1,001 - \$15,000
87	Raytheon Co. (RTN)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
88	Ryanair Holdings PLC (RYAAY)	Purchase	09/11/2018	\$1,001 - \$15,000
89	Chevron Corp. (CVX)	Purchase	09/11/2018	\$1,001 - \$15,000
90	HealthEquity, Inc. (HQY)	Purchase	09/11/2018	\$1,001 - \$15,000
91	CME Group, Inc. (CME)	Purchase	09/11/2018	\$1,001 - \$15,000
92	Prudential Financial, Inc. (PRU)	Purchase	09/11/2018	\$1,001 - \$15,000
93	Royal Dutch Shell PLC (RDS-A)	Purchase	09/11/2018	\$1,001 - \$15,000
94	Dolby Laboratories, Inc. (DLB)	Purchase	09/11/2018	\$1,001 - \$15,000
95	Yandex N.V. A (YNDX)	Purchase	09/11/2018	\$1,001 - \$15,000
96	The Hanover Insurance Group, Inc. (THG)	Purchase	09/11/2018	\$1,001 - \$15,000
97	Expedia Group, Inc. (EXPE)	Purchase	09/11/2018	\$1,001 - \$15,000
98	Safran SA (SAFRY)	Purchase	09/11/2018	\$1,001 - \$15,000
99	Ryohin Keikaku Co Ltd (RYKKY)	Purchase	09/11/2018	\$1,001 - \$15,000
100	Aon Plc (AON)	Purchase	09/11/2018	\$1,001 - \$15,000
101	Booking Holdings Inc. (BKNG)	Purchase	09/11/2018	\$1,001 - \$15,000
102	Sumimoto Mitsui Financial Group Inc (SMFG)	Purchase	09/11/2018	\$1,001 - \$15,000
103	SPS Commerce, Inc. (SPSC)	Purchase	09/11/2018	\$1,001 - \$15,000
104	Ingredion, Inc. (INGR)	Purchase	09/11/2018	\$1,001 - \$15,000
105	Synchrony Financial (SYF)	Purchase	09/11/2018	\$1,001 - \$15,000
106	BioTelemetry, Inc. (BEAT)	Purchase	09/11/2018	\$1,001 - \$15,000
107	Zoetis, Inc. (ZTS)	Purchase	09/11/2018	\$1,001 - \$15,000
108	KAO Corp (KAOOY)	Purchase	09/11/2018	\$1,001 - \$15,000
109	Medtronic Plc (MDT)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
110	Medtronic Plc (MDT)	Purchase	09/11/2018	\$1,001 - \$15,000
111	Medtronic Plc (MDT)	Purchase	09/11/2018	\$1,001 - \$15,000
112	Retail Properties of America, Inc. (RPAI)	Purchase	09/11/2018	\$1,001 - \$15,000
113	Nordea NK Sweden AB (NRBAY)	Purchase	09/11/2018	\$1,001 - \$15,000
114	Fidelity National Information Services, Inc. (FIS)	Purchase	09/11/2018	\$1,001 - \$15,000
115	Ligand Pharmaceuticals, Inc. (LGND)	Purchase	09/11/2018	\$1,001 - \$15,000
116	Relx PLC (RELX)	Purchase	09/11/2018	\$1,001 - \$15,000
117	Fresnius SE & Co (FSNUY)	Purchase	09/11/2018	\$1,001 - \$15,000
118	Carlsberg AS (CABGY)	Purchase	09/11/2018	\$1,001 - \$15,000
119	Ralph Lauren Corp. (RL)	Purchase	09/11/2018	\$1,001 - \$15,000
120	Prologis, Inc. (PLD)	Purchase	09/11/2018	\$1,001 - \$15,000
121	HubSpot, Inc. (HUBS)	Purchase	09/11/2018	\$1,001 - \$15,000
122	Mondelez Intl Inc (MDLZ)	Purchase	09/11/2018	\$1,001 - \$15,000
123	Teradata Corp. (TDC)	Purchase	09/11/2018	\$1,001 - \$15,000
124	Saia, Inc. (SAIA)	Purchase	09/11/2018	\$1,001 - \$15,000
125	The Travelers Cos., Inc. (TRV)	Purchase	09/11/2018	\$1,001 - \$15,000
126	Ping An Insurance (PNGAY)	Purchase	09/11/2018	\$1,001 - \$15,000
127	KDDI Corp (KDDIY)	Purchase	09/11/2018	\$1,001 - \$15,000
128	Ubisoft Entertainment (UBSFY)	Purchase	09/11/2018	\$1,001 - \$15,000
129	Michelin Compagnie Generale (MGDDY)	Purchase	09/11/2018	\$1,001 - \$15,000
130	Sampo Oyj (SAXPY)	Purchase	09/11/2018	\$1,001 - \$15,000
131	Tencent Holdings (TCEHY)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
132	Companie Fin Richemontag (CFRUY)	Purchase	09/11/2018	\$1,001 - \$15,000
133	Red Electrica Corpacion (RDEIY)	Purchase	09/11/2018	\$1,001 - \$15,000
134	EQT Corp. (EQT)	Purchase	09/11/2018	\$1,001 - \$15,000
135	Medidata Solutions, Inc. (MDSO)	Purchase	09/11/2018	\$1,001 - \$15,000
136	Anheuser Busch (BUD)	Purchase	09/11/2018	\$1,001 - \$15,000
137	Suncor Energy Inc (SU)	Purchase	09/11/2018	\$1,001 - \$15,000
138	Accenture Plc (ACN)	Purchase	09/11/2018	\$1,001 - \$15,000
139	Accenture Plc (ACN)	Purchase	09/11/2018	\$1,001 - \$15,000
140	Merck & Co., Inc. (MRK)	Purchase	09/11/2018	\$1,001 - \$15,000
141	Sanlam Ltd (SLLDY)	Purchase	09/11/2018	\$1,001 - \$15,000
142	Ashtead Group (ASHTY)	Purchase	09/11/2018	\$1,001 - \$15,000
143	Assa Abloy (ASAZY)	Purchase	09/11/2018	\$1,001 - \$15,000
144	Intercontinental Exchange Group (ICE)	Purchase	09/11/2018	\$1,001 - \$15,000
145	United Community Banks, Inc. (UCBI)	Purchase	09/11/2018	\$1,001 - \$15,000
146	Alphabet, Inc. (GOOG)	Purchase	09/11/2018	\$1,001 - \$15,000
147	Five9, Inc. (FIVN)	Purchase	09/11/2018	\$1,001 - \$15,000
148	CDW Corp. (CDW)	Purchase	09/11/2018	\$1,001 - \$15,000
149	NMI Holdings, Inc. (NMIH)	Purchase	09/11/2018	\$1,001 - \$15,000
150	Ferguson (FERGY)	Purchase	09/11/2018	\$1,001 - \$15,000
151	FCB Financial Holdings Inc Class A (FCB)	Purchase	09/11/2018	\$1,001 - \$15,000
152	IHS Markit Ltd. (INFO)	Purchase	09/11/2018	\$1,001 - \$15,000
153	Novanta, Inc. (NOVT)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
154	DowDuPont Inc (DWDP)	Purchase	09/11/2018	\$1,001 - \$15,000
155	Chubb Ltd. (CB)	Purchase	09/11/2018	\$1,001 - \$15,000
156	Broadcom, Inc. (AVGO)	Purchase	09/11/2018	\$1,001 - \$15,000
157	Equinor (EQNR)	Purchase	09/11/2018	\$1,001 - \$15,000
158	Livanova (LIVN)	Purchase	09/11/2018	\$1,001 - \$15,000
159	Compass Group PLC (CMPGY)	Purchase	09/11/2018	\$1,001 - \$15,000
160	Valvoline, Inc. (VVV)	Purchase	09/11/2018	\$1,001 - \$15,000
161	ABN AMRO Group (ABNRY)	Purchase	09/11/2018	\$1,001 - \$15,000
162	Abbott Laboratories (ABT)	Purchase	09/11/2018	\$1,001 - \$15,000
163	Air Prod & Chem Inc (APD)	Purchase	09/11/2018	\$1,001 - \$15,000
164	Adobe, Inc. (ADBE)	Purchase	09/11/2018	\$1,001 - \$15,000
165	American Woodmark Corporation (AMWD)	Purchase	09/11/2018	\$1,001 - \$15,000
166	Analog Devices, Inc. (ADI)	Purchase	09/11/2018	\$1,001 - \$15,000
167	Apple, Inc. (AAPL)	Purchase	09/11/2018	\$1,001 - \$15,000
168	Apple, Inc. (AAPL)	Purchase	09/11/2018	\$1,001 - \$15,000
169	Becton, Dickinson and Company (BDX)	Purchase	09/11/2018	\$1,001 - \$15,000
170	Bristol-Myers Squibb (BMY)	Purchase	09/11/2018	\$1,001 - \$15,000
171	CMS Energy Corp. (CMS)	Purchase	09/11/2018	\$1,001 - \$15,000
172	CMS Energy Corp. (CMS)	Purchase	09/11/2018	\$1,001 - \$15,000
173	Cabot Oil & Gas Corp. (COG)	Purchase	09/11/2018	\$1,001 - \$15,000
174	Cantel Medical Corp. (CMD)	Purchase	09/11/2018	\$1,001 - \$15,000
175	The Coca-Cola Co. (KO)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
176	Colgate-Palmolive Co. (CL)	Purchase	09/11/2018	\$1,001 - \$15,000
177	Daiwa House (DWAHY)	Purchase	09/11/2018	\$1,001 - \$15,000
178	Dover Corp. (DOV)	Purchase	09/11/2018	\$1,001 - \$15,000
179	Ecolab, Inc. (ECL)	Purchase	09/11/2018	\$1,001 - \$15,000
180	Energen Corp (EGN)	Purchase	09/11/2018	\$1,001 - \$15,000
181	Electronic Arts, Inc. (EA)	Purchase	09/11/2018	\$1,001 - \$15,000
182	Emerson Electric Co. (EMR)	Purchase	09/11/2018	\$1,001 - \$15,000
183	G-III Apparel Group Ltd. (GIII)	Purchase	09/11/2018	\$1,001 - \$15,000
184	General Dynamics Corp. (GD)	Purchase	09/11/2018	\$1,001 - \$15,000
185	Genuine Parts Co. (GPC)	Purchase	09/11/2018	\$1,001 - \$15,000
186	Hasbro, Inc. (HAS)	Purchase	09/11/2018	\$1,001 - \$15,000
187	The Home Depot, Inc. (HD)	Purchase	09/11/2018	\$1,001 - \$15,000
188	The Home Depot, Inc. (HD)	Purchase	09/11/2018	\$1,001 - \$15,000
189	JB Hunt Trans Serv (JBHT)	Purchase	09/11/2018	\$1,001 - \$15,000
190	Ill Tool Works Inc. (ITW)	Purchase	09/11/2018	\$1,001 - \$15,000
191	Integrated Devices Tech Inc (IDTI)	Purchase	09/11/2018	\$1,001 - \$15,000
192	Jacobs Engineering Group, Inc. (JEC)	Purchase	09/11/2018	\$1,001 - \$15,000
193	Johnson & Johnson (JNJ)	Purchase	09/11/2018	\$1,001 - \$15,000
194	Eli Lilly & Co. (LLY)	Purchase	09/11/2018	\$1,001 - \$15,000
195	Lincoln National Corp. (LNC)	Purchase	09/11/2018	\$1,001 - \$15,000
196	Makita Corporation (MKTAY)	Purchase	09/11/2018	\$1,001 - \$15,000
197	Marsh & McLennan Cos., Inc. (MMC)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
198	Masco Corp. (MAS)	Purchase	09/11/2018	\$1,001 - \$15,000
199	McDonald's Corp. (MCD)	Purchase	09/11/2018	\$1,001 - \$15,000
200	BlackRock Total Return Fund Institutional Shares (MAHQX)	Purchase	09/11/2018	\$100,001 - \$250,000
201	Microsoft Corp. (MSFT)	Purchase	09/11/2018	\$1,001 - \$15,000
202	Norfolk Southern Corp. (NSC)	Purchase	09/11/2018	\$1,001 - \$15,000
203	Northern Trust Corp. (NTRS)	Purchase	09/11/2018	\$1,001 - \$15,000
204	Occidental Petroleum Corp. (OXY)	Purchase	09/11/2018	\$1,001 - \$15,000
205	PPG Industries, Inc. (PPG)	Purchase	09/11/2018	\$1,001 - \$15,000
206	PMC Financial Services Group (PNC)	Purchase	09/11/2018	\$1,001 - \$15,000
207	Patrick Industries, Inc. (PATK)	Purchase	09/11/2018	\$1,001 - \$15,000
208	PepsiCo, Inc. (PEP)	Purchase	09/11/2018	\$1,001 - \$15,000
209	Pfizer Inc. (PFE)	Purchase	09/11/2018	\$1,001 - \$15,000
210	Prudential PLC (PUK)	Purchase	09/11/2018	\$1,001 - \$15,000
211	Public Service Enterprise Group, Inc. (PEG)	Purchase	09/11/2018	\$1,001 - \$15,000
212	Ross Stores, Inc. (ROST)	Purchase	09/11/2018	\$1,001 - \$15,000
213	Rogers Communications Inc Class B (RCI)	Purchase	09/11/2018	\$1,001 - \$15,000
214	Selective Insurance Group, Inc. (SIGI)	Purchase	09/11/2018	\$1,001 - \$15,000
215	Snap-On, Inc. (SNA)	Purchase	09/11/2018	\$1,001 - \$15,000
216	Sony Corp (SNE)	Purchase	09/11/2018	\$1,001 - \$15,000
217	The Charles Schwab Corp. (SCHW)	Purchase	09/11/2018	\$1,001 - \$15,000
218	Texas Instruments Incorporated (TXN)	Purchase	09/11/2018	\$1,001 - \$15,000
219	Thermo Fisher Scientific, Inc. (TMO)	Purchase	09/11/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
220	Toll Brothers, Inc. (TOL)	Purchase	09/11/2018	\$1,001 - \$15,000
221	Vulcan Materials Co. (VMC)	Purchase	09/11/2018	\$1,001 - \$15,000
222	Walmart, Inc. (WMT)	Purchase	09/11/2018	\$1,001 - \$15,000
223	Wolters Kluwer (WTKWY)	Purchase	09/11/2018	\$1,001 - \$15,000
224	Duke Realty Corp. (DRE)	Purchase	09/14/2018	\$1,001 - \$15,000
225	Prologis, Inc. (PLD)	Sale	09/14/2018	\$1,001 - \$15,000
226	JB Hunt Trans Serv (JBLT)	Sale	09/18/2018	\$1,001 - \$15,000
227	Kirby CP (KEX)	Purchase	09/18/2018	\$1,001 - \$15,000
228	Vivendi (VIVHY)	Purchase	09/25/2018	\$1,001 - \$15,000
229	KDDI Corp (KDDIY)	Sale	10/05/2018	\$1,001 - \$15,000
230	Apple, Inc. (AAPL)	Sale	10/17/2018	\$1,001 - \$15,000
231	Proctor & Gamble (PG)	Purchase	10/17/2018	\$1,001 - \$15,000
232	Gilead Sciences, Inc. (GILD)	Sale	11/26/2018	\$1,001 - \$15,000
233	Shire PLC (SHPG)	Sale	12/19/2018	\$1,001 - \$15,000
234	Baron Growth Institutional (BGRIX)	Sale	01/17/2018	\$1,001 - \$15,000
235	Ivy Large Cap Growth Fund Class I Shares (IYGIY)	Sale	01/17/2018	\$1,001 - \$15,000
236	Prudential Jennison Mid Cap Growth Fund Class Z (PEGZX)	Sale	01/17/2018	\$1,001 - \$15,000
237	Cambiar Small Cap Inc (CAMSX)	Sale	01/17/2018	\$1,001 - \$15,000
238	JPMorgan Mid Cap Value Fund Class I Shares (JMVSX)	Sale	01/17/2018	\$1,001 - \$15,000
239	Nuveen NWQ International Value Fund Class I Shares (NGRRX)	Purchase	01/17/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
240	Matthews Asian Japan Inv (MJFOX)	Purchase	01/17/2018	\$1,001 - \$15,000
241	Blackrock Low Duration Bond Portfolio Institutional Shares (BFMSX)	Purchase	01/17/2018	\$1,001 - \$15,000
242	BlackRock High Yield Bond Portfolio Institutional Shares (BHYIX)	Sale	01/17/2018	\$1,001 - \$15,000
243	Blackrock Equity Dividend Fund Institutional Shares (MADVX)	Sale	01/17/2018	\$1,001 - \$15,000
244	Center Coast Brookfield Midstream Focus Fund Class Y Shares (CCCNX)	Sale	06/11/2018	\$1,001 - \$15,000
245	JHF Seaport Long?short Fund (JSFDX)	Sale	06/12/2018	\$1,001 - \$15,000
246	Blackstone Alternative Multi-Strategy Fund (BXMIX)	Sale	06/12/2018	\$1,001 - \$15,000
247	Ivy Large Cap Growth Fund Class I Shares (IYGIX)	Sale	06/12/2018	\$1,001 - \$15,000
248	Virtus VOntobel Emerging Market Opportunities Fund (HIEMX)	Sale	06/12/2018	\$1,001 - \$15,000
249	Western Asset Core Bond (WATFX)	Sale	06/12/2018	\$1,001 - \$15,000
250	Nuveen NWQ International Value Fund Class I Shares (NGRRX)	Sale	06/12/2018	\$1,001 - \$15,000
251	Matthews Asian Japan Inv (MJFOX)	Sale	06/12/2018	\$1,001 - \$15,000
252	Blackrock Low Duration Bond Portfolio Institutional Shares (BFMSX)	Sale	06/12/2018	\$1,001 - \$15,000
253	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Sale	06/12/2018	\$1,001 - \$15,000
254	Baron Growth Institutional (BGRIX)	Sale	07/31/2018	\$1,001 - \$15,000
255	Ivy Large Cap Growth Fund Class I Shares (IYGIX)	Sale	07/31/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
256	PIMCO Short-Term Fund Class I-2 Shares (PTSPX)	Purchase	07/31/2018	\$1,001 - \$15,000
257	Cambiar Small Cap Inv (CAMSX)	Sale	07/31/2018	\$1,001 - \$15,000
258	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Purchase	07/31/2018	\$1,001 - \$15,000
259	Ivy Large Cap Growth Fund Class I Shares (IYGIX)	Purchase	10/31/2018	\$1,001 - \$15,000
260	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Purchase	11/27/2018	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

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5.	3	Husband's IRA
5.	4	Husband's IRA
5.	5	Husband's IRA
5.	6	Husband's IRA

PART	#	ENDNOTE
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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 reporting period.

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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, NW., 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).

Exhibit E

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Harold, Rosemary

Enforcement Bureau Chief, Federal Communications Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Harold, Rosemary [electronically signed on 08/13/2020 by Harold, Rosemary in Integrity.gov] - Filer received a 90 day filing extension.

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

/s/ Northrop, Lauren, Certifying Official [electronically signed on 01/29/2021 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Catholic University Columbus School of Law	Washington, District of Columbia	University/College	Adjunct Professor	8/2007	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Catholic University Columbus School of Law	N/A		Salary	\$1,250
2	Prudential Premier Retirement B (RCH fixed annuity)	Yes	\$250,001 - \$500,000	None (or less than \$201)	
3	JP Morgan MidCap Value I	Yes	\$50,001 - \$100,000	None (or less than \$201)	
4	Lazard Emerging Markets Eq I	Yes	\$15,001 - \$50,000	None (or less than \$201)	
5	Matthews Asian Japan Inv	Yes	\$1,001 - \$15,000	None (or less than \$201)	
6	Nuveen NWQ Intl Value I	Yes	\$15,001 - \$50,000	None (or less than \$201)	
7	Pimco Short Term I2	Yes	\$1,001 - \$15,000	None (or less than \$201)	
8	PGIM Jennison MD CP GW Z	Yes	\$1,001 - \$15,000	None (or less than \$201)	
9	PGIM Jennison Sm Comp Z	Yes	\$50,001 - \$100,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Virtus NWFLT MLTSEC SHTM BD I	Yes	\$50,001 - \$100,000	None (or less than \$201)	
11	Virtus Vonobel Emrg Mkt Opp I	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12	Voya Real Estate I	Yes	\$15,001 - \$50,000	None (or less than \$201)	
13	Western Asset Core Bd I	Yes	\$1,001 - \$15,000	None (or less than \$201)	
14	American Bond Fd of America F2	Yes	\$50,001 - \$100,000	None (or less than \$201)	
15	American EuroPacific Grw F2	Yes	\$50,001 - \$100,000	None (or less than \$201)	
16	American Gw Fd of America F2	Yes	\$50,001 - \$100,000	None (or less than \$201)	
17	Davis New York Venture Y	Yes	\$50,001 - \$100,000	None (or less than \$201)	
18	JP Morgan Rsrch Mkt Neutral I	Yes	\$50,001 - \$100,000	None (or less than \$201)	
19	AQR Mngd Futures Strat I	Yes	\$1,001 - \$15,000	None (or less than \$201)	
20	Blackrock Equity Dividend I	Yes	\$15,001 - \$50,000	None (or less than \$201)	
21	Blackrock Inflat Prot Bond I	Yes	\$1,001 - \$15,000	None (or less than \$201)	
22	Blackrock Low Dur Bd Inv Inst	Yes	\$1,001 - \$15,000	None (or less than \$201)	
23	Blackstone Alt Mult-Strat Inst	Yes	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	Cambiar Small Cap Inv	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	Center Coast Mlp Focus I	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	John Hancock Seaport I	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Pimco Short Term P	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	Morgan Stanley Bank Deposit/Money Market Fund	No	\$50,001 - \$100,000	Interest	None (or less than \$201)
29	Ivy Large Cap Growth I	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	Baron Growth Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	PIMCO Long Term Credit Bd 12	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley Bank Deposit/Money Market Fund (MJK retirement account)	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
2	MK IRA	No		cash distributions	\$8,920
2.1	Blackrock Total Ret I	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2	Prudential Pru Premier Retirement B (fixed annuity)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	Chartwell Mid Cap Value	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Delaware Small Cap Core Inst	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	JP Morgan Equity Income I	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Lazard Int'l Strat Eq PTF Inst	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Pioneer Fundamental Growth Y	Yes	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

None

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Alphabet, Inc. (GOOG)	Sale	08/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	3M Co. (MMM)	Sale	03/07/2019	\$1,001 - \$15,000
3	Abnamro Group NV	Sale	06/04/2019	\$1,001 - \$15,000
4	Accenture PLC Ireland	Sale	08/23/2019	\$1,001 - \$15,000
5	ABB Ltd	Sale	08/23/2019	\$1,001 - \$15,000
6	Adobe Inc.	Sale	08/23/2019	\$1,001 - \$15,000
7	Ameren Corp.	Sale	08/23/2019	\$1,001 - \$15,000
8	Allstate Corp (ALL)	Sale	08/23/2019	\$1,001 - \$15,000
9	Air Prod & Chem Inc.	Sale	08/23/2019	\$1,001 - \$15,000
10	American Campus Commtys Inc	Sale	08/23/2019	\$1,001 - \$15,000
11	Amern Healthcare Services Inc.	Sale	06/04/2019	\$1,001 - \$15,000
12	Altria Group, Inc. (MO)	Sale	08/23/2019	\$1,001 - \$15,000
13	Aon Plc (AON)	Sale	08/23/2019	\$1,001 - \$15,000
14	Anheuser Busch Inbev SA	Sale	08/23/2019	\$1,001 - \$15,000
15	Apple, Inc. (AAPL)	Sale	08/23/2019	\$1,001 - \$15,000
16	Assa Abloy AB	Sale	08/23/2019	\$1,001 - \$15,000
17	AutoZone, Inc. (AZO)	Sale	08/23/2019	\$1,001 - \$15,000
18	Bank of America Corp	Sale	08/23/2019	\$1,001 - \$15,000
19	AvalonBay Communities, Inc. (AVB)	Sale	08/23/2019	\$1,001 - \$15,000
20	BB&T Corp. (BBT)	Sale	08/23/2019	\$1,001 - \$15,000
21	Analog Devices, Inc. (ADI)	Sale	08/23/2019	\$1,001 - \$15,000
22	BB Seguridade Participacoes	Sale	08/23/2019	\$1,001 - \$15,000
23	BioTelemetry, Inc. (BEAT)	Sale	08/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	BHP Group Ltd.	Sale	08/23/2019	\$1,001 - \$15,000
25	Bottomline Technologies, Inc. (EPAY)	Sale	08/23/2019	\$1,001 - \$15,000
26	Booking Holdings Inc. (BKNG)	Sale	08/23/2019	\$1,001 - \$15,000
27	BlackRock, Inc. (BLK)	Sale	08/23/2019	\$1,001 - \$15,000
28	Becton, Dickinson and Company (BDX)	Sale	08/23/2019	\$1,001 - \$15,000
29	Bristol-Myers Squibb (BMY)	Sale	08/23/2019	\$1,001 - \$15,000
30	Callon Petroleum Co. (CPE)	Sale	08/23/2019	\$1,001 - \$15,000
31	Canadian National Railway Co.	Sale	08/23/2019	\$1,001 - \$15,000
32	Cabot Oil & Gas Corp. (COG)	Sale	08/23/2019	\$1,001 - \$15,000
33	CDW Corp. (CDW)	Sale	08/23/2019	\$1,001 - \$15,000
34	The Charles Schwab Corp. (SCHW)	Sale	08/23/2019	\$1,001 - \$15,000
35	Chevron Corp. (CVX)	Sale	08/23/2019	\$1,001 - \$15,000
36	Chubb Ltd	Sale	08/23/2019	\$1,001 - \$15,000
37	CME Group, Inc. (CME)	Sale	08/23/2019	\$1,001 - \$15,000
38	CMS Energy Corp. (CMS)	Sale	08/23/2019	\$1,001 - \$15,000
39	The Coca-Cola Co. (KO)	Sale	08/23/2019	\$1,001 - \$15,000
40	Codexis, Inc. (CDXS)	Sale	08/23/2019	\$1,001 - \$15,000
41	Cognizant Technology Solutions Corp. (CTSH)	Sale	08/23/2019	\$1,001 - \$15,000
42	Colgate-Palmolive Co. (CL)	Sale	08/23/2019	\$1,001 - \$15,000
43	Comcast Corp. (CMCSA)	Sale	08/23/2019	\$1,001 - \$15,000
44	Comfort Systems USA, Inc. (FIX)	Sale	08/23/2019	\$1,001 - \$15,000
45	Compass Group PLC SPD ADR	Sale	08/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	ConocoPhillips (COP)	Sale	08/23/2019	\$1,001 - \$15,000
47	CVS Health Corp. (CVS)	Sale	08/23/2019	\$1,001 - \$15,000
48	Compagnie Fin Richemontag ADR	Sale	08/23/2019	\$1,001 - \$15,000
49	Diamondback Energy, Inc. (FANG)	Sale	08/23/2019	\$1,001 - \$15,000
50	Dover Corp. (DOV)	Sale	08/23/2019	\$1,001 - \$15,000
51	Dow Dupont Inc.	Sale	08/23/2019	\$1,001 - \$15,000
52	Daiwa House Ind Ltd ADR	Sale	08/23/2019	\$1,001 - \$15,000
53	The Cooper Cos., Inc. (COO)	Sale	08/23/2019	\$1,001 - \$15,000
54	Duke Realty Corp. (DRE)	Sale	08/23/2019	\$1,001 - \$15,000
55	Dolby Laboratories, Inc. (DLB)	Sale	08/23/2019	\$1,001 - \$15,000
56	Ecolab, Inc. (ECL)	Sale	08/23/2019	\$1,001 - \$15,000
57	Electronic Arts, Inc. (EA)	Sale	08/23/2019	\$1,001 - \$15,000
58	Eli Lilly & Co. (LLY)	Sale	08/23/2019	\$1,001 - \$15,000
59	Emerson Electric Co. (EMR)	Sale	08/23/2019	\$1,001 - \$15,000
60	Equinor ASA	Sale	08/23/2019	\$1,001 - \$15,000
61	Euronet Worldwide, Inc. (EEFT)	Sale	08/23/2019	\$1,001 - \$15,000
62	Ferguson PLC ADR	Sale	08/23/2019	\$1,001 - \$15,000
63	DRS Group Holdings Ltd SP	Sale	08/23/2019	\$1,001 - \$15,000
64	Fidelity National Information SE	Sale	08/23/2019	\$1,001 - \$15,000
65	Expedia Group, Inc. (EXPE)	Sale	08/23/2019	\$1,001 - \$15,000
66	Five9, Inc. (FIVN)	Sale	08/23/2019	\$1,001 - \$15,000
67	G-III Apparel Group Ltd. (GIII)	Sale	08/09/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	General Dynamics Corp. (GD)	Sale	08/09/2019	\$1,001 - \$15,000
69	Home Depot Inc	Sale	08/23/2019	\$1,001 - \$15,000
70	Hartford Financial Serv Group Inc	Sale	08/23/2019	\$1,001 - \$15,000
71	Gilead Sciences, Inc. (GILD)	Sale	08/23/2019	\$1,001 - \$15,000
72	The Hanover Insurance Group, Inc. (THG)	Sale	08/23/2019	\$1,001 - \$15,000
73	Host Hotels & Resorts, Inc. (HST)	Sale	08/23/2019	\$1,001 - \$15,000
74	Honeywell International, Inc. (HON)	Sale	08/23/2019	\$1,001 - \$15,000
75	HubSpot, Inc. (HUBS)	Sale	08/23/2019	\$1,001 - \$15,000
76	ICICI Bank Ltd	Sale	08/23/2019	\$1,001 - \$15,000
77	Illinois Tool Works, Inc. (ITW)	Sale	08/23/2019	\$1,001 - \$15,000
78	Ingredion, Inc. (INGR)	Sale	08/23/2019	\$1,001 - \$15,000
79	Inter Parfums Inc.	Sale	08/23/2019	\$1,001 - \$15,000
80	Integrated Device Tech Inc	Sale	08/23/2019	\$1,001 - \$15,000
81	Intercontinental Exchange, Inc. (ICE)	Sale	08/23/2019	\$1,001 - \$15,000
82	Jacobs Engineering Group, Inc. (JEC)	Sale	08/23/2019	\$1,001 - \$15,000
83	JB Hunt Trans Serv	Sale	08/23/2019	\$1,001 - \$15,000
84	Johnson & Johnson (JNJ)	Sale	08/23/2019	\$1,001 - \$15,000
85	KeyCorp (KEY)	Sale	08/23/2019	\$1,001 - \$15,000
86	Kirby Corp. (KEX)	Sale	08/23/2019	\$1,001 - \$15,000
87	KAO Corp	Sale	08/23/2019	\$1,001 - \$15,000
88	Lincoln National Corp. (LNC)	Sale	08/23/2019	\$1,001 - \$15,000
89	Makita Corp Ltd ADR New	Sale	08/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
90	M&T Bank Corp	Sale	08/23/2019	\$1,001 - \$15,000
91	Marsh & McLennan Cos., Inc. (MMC)	Sale	08/23/2019	\$1,001 - \$15,000
92	Mastercard, Inc. (MA)	Sale	08/23/2019	\$1,001 - \$15,000
93	Medtronic Plc (MDT)	Sale	08/23/2019	\$1,001 - \$15,000
94	McDonald's Corp. (MCD)	Sale	08/23/2019	\$1,001 - \$15,000
95	Merck & Co., Inc. (MRK)	Sale	08/23/2019	\$1,001 - \$15,000
96	MetLife, Inc. (MET)	Sale	08/23/2019	\$1,001 - \$15,000
97	Michelin Compagnie General DE	Sale	08/23/2019	\$1,001 - \$15,000
98	Mid America Apart Comm Inc	Sale	08/23/2019	\$1,001 - \$15,000
99	Microsoft Corp. (MSFT)	Sale	08/23/2019	\$1,001 - \$15,000
100	Mondelez International, Inc. (MDLZ)	Sale	08/23/2019	\$1,001 - \$15,000
101	Monolithic Power Systems, Inc. (MPWR)	Sale	08/23/2019	\$1,001 - \$15,000
102	NextEra Energy, Inc. (NEE)	Sale	07/03/2019	\$1,001 - \$15,000
103	Monro, Inc. (MNRO)	Sale	08/23/2019	\$1,001 - \$15,000
104	Occidental Petroleum Corp. (OXY)	Sale	05/03/2019	\$1,001 - \$15,000
105	Parker-Hannifin Corp. (PH)	Sale	08/23/2019	\$1,001 - \$15,000
106	Norfolk Southern Corp. (NSC)	Sale	08/23/2019	\$1,001 - \$15,000
107	Nordea Bank ABP Spon ADR	Sale	08/23/2019	\$1,001 - \$15,000
108	PayPal Holdings, Inc. (PYPL)	Sale	08/23/2019	\$1,001 - \$15,000
109	O'Reilly Automotive	Sale	08/23/2019	\$1,001 - \$15,000
110	PepsiCo, Inc. (PEP)	Sale	08/23/2019	\$1,001 - \$15,000
111	Philip Morris International, Inc. (PM)	Sale	08/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
112	Pfizer Inc. (PFE)	Sale	08/23/2019	\$1,001 - \$15,000
113	Ping An Insurance ADR	Sale	08/23/2019	\$1,001 - \$15,000
114	Pinnacle Financial Partners, Inc. (PNFP)	Sale	08/23/2019	\$1,001 - \$15,000
115	Pioneer Natural Resources	Sale	08/23/2019	\$1,001 - \$15,000
116	The PNC Financial Services Group, Inc. (PNC)	Sale	08/23/2019	\$1,001 - \$15,000
117	PPG Industries, Inc. (PPG)	Sale	08/23/2019	\$1,001 - \$15,000
118	Procter & Gamble Co. (PG)	Sale	08/23/2019	\$1,001 - \$15,000
119	Prudential Financial Inc	Sale	08/23/2019	\$1,001 - \$15,000
120	Public Service Enterprise GP	Sale	08/23/2019	\$1,001 - \$15,000
121	Quest Diagnostics, Inc. (DGX)	Sale	08/23/2019	\$1,001 - \$15,000
122	Ralph Lauren Corp. (RL)	Sale	08/23/2019	\$1,001 - \$15,000
123	Raytheon Co. (RTN)	Sale	08/23/2019	\$1,001 - \$15,000
124	Red Electrica Corp SA	Sale	08/23/2019	\$1,001 - \$15,000
125	Relx PLC Sponsored ADR	Sale	08/23/2019	\$1,001 - \$15,000
126	Republic Services, Inc. (RSG)	Sale	08/23/2019	\$1,001 - \$15,000
127	Retail PPTYS America	Sale	08/23/2019	\$1,001 - \$15,000
128	Rockwell Automation, Inc. (ROK)	Sale	08/23/2019	\$1,001 - \$15,000
129	Rogers Communications Inc	Sale	08/23/2019	\$1,001 - \$15,000
130	Ross Stores, Inc. (ROST)	Sale	08/23/2019	\$1,001 - \$15,000
131	Ryohin Keikaku Co Ltd	Sale	08/23/2019	\$1,001 - \$15,000
132	Ryanair Holdings PLC (RYAAY)	Sale	08/23/2019	\$1,001 - \$15,000
133	Royal Dutch Shell PLC	Sale	08/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
134	Safran SA	Sale	08/23/2019	\$1,001 - \$15,000
135	Sampo Oyj Unspon ADR	Sale	08/23/2019	\$1,001 - \$15,000
136	SAP AG	Sale	08/23/2019	\$1,001 - \$15,000
137	Sanlam Ltd ADR	Sale	08/23/2019	\$1,001 - \$15,000
138	Selective Insurance Group Inc	Sale	08/23/2019	\$1,001 - \$15,000
139	SPS Commerce, Inc. (SPSC)	Sale	08/23/2019	\$1,001 - \$15,000
140	Simon Property Group, Inc. (SPG)	Sale	08/23/2019	\$1,001 - \$15,000
141	Snap-On, Inc. (SNA)	Sale	08/23/2019	\$1,001 - \$15,000
142	Stanley Black & Decker	Sale	08/23/2019	\$1,001 - \$15,000
143	Sumitomo Mitsui Financial Group Inc	Sale	08/23/2019	\$1,001 - \$15,000
144	Starbucks Corp. (SBUX)	Sale	08/23/2019	\$1,001 - \$15,000
145	Suncor Energy Inc	Sale	08/23/2019	\$1,001 - \$15,000
146	Taiwan Semiconductor Mfg Co Ltd	Sale	08/23/2019	\$1,001 - \$15,000
147	Telenor ASA ADS	Sale	08/23/2019	\$1,001 - \$15,000
148	Synchrony Financial (SYF)	Sale	08/23/2019	\$1,001 - \$15,000
149	T Rowe Price Group Inc	Sale	08/23/2019	\$1,001 - \$15,000
150	Tencent Holdings Ltd	Sale	08/23/2019	\$1,001 - \$15,000
151	Teradata Corp. (TDC)	Sale	08/23/2019	\$1,001 - \$15,000
152	Texas Roadhouse, Inc. (TXRH)	Sale	08/23/2019	\$1,001 - \$15,000
153	Texas Instruments Incorporated (TXN)	Sale	08/23/2019	\$1,001 - \$15,000
154	Thermo Fisher Scientific, Inc. (TMO)	Sale	08/23/2019	\$1,001 - \$15,000
155	Toll Brothers, Inc. (TOL)	Sale	08/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
156	Unilever PLC	Sale	08/23/2019	\$1,001 - \$15,000
157	Verizon Communications, Inc. (VZ)	Sale	08/23/2019	\$1,001 - \$15,000
158	Ubisoft Entmt SA Unspon ADR	Sale	08/23/2019	\$1,001 - \$15,000
159	TPI Composites, Inc. (TPIC)	Sale	08/23/2019	\$1,001 - \$15,000
160	Valvoline, Inc. (VVV)	Sale	08/23/2019	\$1,001 - \$15,000
161	The Travelers Cos., Inc. (TRV)	Sale	08/23/2019	\$1,001 - \$15,000
162	US Bancorp	Sale	08/23/2019	\$1,001 - \$15,000
163	Vinci SA ADR	Sale	08/23/2019	\$1,001 - \$15,000
164	Vivendi SA Unspon ADR	Sale	08/23/2019	\$1,001 - \$15,000
165	Vulcan Materials Co. (VMC)	Sale	08/23/2019	\$1,001 - \$15,000
166	Wells Fargo & Co	Sale	08/23/2019	\$1,001 - \$15,000
167	Walmart, Inc. (WMT)	Sale	08/23/2019	\$1,001 - \$15,000
168	Vectren CP	Sale	08/23/2019	\$1,001 - \$15,000
169	Wolters Luwer NV Spon ADR	Sale	08/23/2019	\$1,001 - \$15,000
170	Zoetis, Inc. (ZTS)	Sale	08/23/2019	\$1,001 - \$15,000
171	Xcel Energy, Inc. (XEL)	Sale	08/23/2019	\$1,001 - \$15,000
172	Vandex NV	Sale	08/23/2019	\$1,001 - \$15,000
173	Chartwell Mid Cap Value Fund (BERCX)	Purchase	08/23/2019	\$100,001 - \$250,000
174	Delaware Small Cap Core Inst	Purchase	08/23/2019	\$50,001 - \$100,000
175	JP Morgan Equity Income I	Purchase	08/23/2019	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
176	Lazard International Strategic Equity Portfolio Inst (LISIX)	Purchase	08/23/2019	\$100,001 - \$250,000
177	Pioneer Fundamental Growth Y	Purchase	08/23/2019	\$100,001 - \$250,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	University of Colorado	Boulder, Colorado	Reimbursement for travel and overnight accommodations associated with lecture to CU Law School's Silicon Flatirons summer program, May 23, 2019.	734.01

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

Public Burden Information

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

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

Exhibit F

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Ginsburg, Mindy

Deputy Managing Director, Federal Communications Commission

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Ginsburg, Mindy [electronically signed on 06/04/2019 by Ginsburg, Mindy in Integrity.gov] - Filer received a 30 day filing extension.

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

/s/ Northrop, Lauren, Certifying Official [electronically signed on 03/26/2020 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 03/26/2020

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The River School	Washington, D.C., District of Columbia	Non-Profit	Trustee	6/2014	Present

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wiley Rein (Law Firm)	N/A		partnership share	
2	Wiley Rein, Law Firm Capital Account	N/A	\$100,001 - \$250,000	None (or less than \$201)	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2	Vanguard Small-Cap Value ETF (VBR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	iShares Nasdaq Biotechnology	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	SPDR S&P Dividend	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	SPDR S&P Biotech	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Google Inc	No	\$15,001 - \$50,000		None (or less than \$201)
7	Goldman Sachs Group Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8	NIKE Inc B	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9	U.S. credit union (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
10	Fairholme Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
12	U.S. bank accounts #3 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
13	MD529 -- Global Equity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	MD 529 -- Portfolio for college	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	MD -- 529 US Treas MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16	MD -- 529 Global Equity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	MD -- 529 Portfolio 2021	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	MD -- 529 USTreasury MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
19	MD -- 529 Balanced Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	MD 529 Portfolio for college	Yes	\$15,001 - \$50,000		None (or less than \$201)
21	MD 529 US Treasury MMF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
22	MD 529 Balanced Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
23	MD 529 Portfolio 2021	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	MD 529 US Treasury MMF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
25	VA 529 __ Am Funds MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
26	VA 529 -- Growth Fund of Am	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
27	VA -- 529 Wash Mutual Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	VA -- 529 Am Funds MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	VA -- 529 Growth Fund of Am	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
30	VA -- 529 Wash Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	VA -- 529 AM Funds MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
32	VA -- 529 Growth Fund of Am	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
33	VA -- 529 Wash Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	VA -- 529 Am Funds MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
35	VA 529 -- Growth Fund of Am	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
36	VA 529 -- Wash Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
37	Tweedy, Browne Global Value	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
38	Tweedy, Browne Value	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
39	Tweedy, Browne Worldwide Hi Div Yld Val	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
40	Tweedy, Browne Global Value II Ccy Unhdg	Yes	\$15,001 - \$50,000		\$201 - \$1,000
41	Longleaf Partners	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
42	Longleaf Partners Int'l	Yes	\$15,001 - \$50,000		\$201 - \$1,000
43	Dodge & Cox	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
44	Dodge & Cox Int'l	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
45	SparkTherapeutics (ONCE)	No	\$1,001 - \$15,000		None (or less than \$201)
46	Markel Corp Note	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
47	Goldman Sachs CD	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
48	American Express CD	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
49	Wells Fargo CD	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
50	Wells Fargo CD	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
51	Edwards Lifesciences Corp	No	\$1,001 - \$15,000		None (or less than \$201)
52	Wells Fargo CD	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
53	Wells Fargo CD	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
54	Wells Fargo CD	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
55	Alibaba	No	\$1,001 - \$15,000		None (or less than \$201)
56	Blackrock Note	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
57	BNSF Bond	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
58	Dow Chem Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
59	SPDR S&P 500	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
60	AbbVie Inc.	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
61	Amgen Inc. - Common Stock	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
62	Apple Inc. - Common Stock	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
63	Berkshire Hathaway B	No	\$100,001 - \$250,000		None (or less than \$201)
64	Celanese Corp	No	\$15,001 - \$50,000		None (or less than \$201)
65	Cisco Systems, Inc. - Common Stock	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
66	Citigroup Inc	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
67	Coca-Cola Co	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
68	Dell Tech	No	\$1,001 - \$15,000		None (or less than \$201)
69	DowDuPont	No	\$1,001 - \$15,000		None (or less than \$201)
70	FedEx Corp	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
71	GEM (Goldman Sachs Emrg Mkt)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
72	Intel Corporation - Common Stock	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
73	Intl Paper Co	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
74	Johnson & Johnson	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
75	Merck & Co Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
76	Nestle	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
77	Orange	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
78	PepsiCo Inc	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
79	Pfizer Inc	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
80	Sherwin-Williams Co	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
81	SPDR EURO STOXX 50	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
82	Spirit AeroSystems	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
83	Unilever	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
84	United Parcel Service Inc B	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
85	3M Co	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
86	Aflac, Inc Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
87	Altria Group Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
88	Amazon Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
89	Amazon Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
90	American Express Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
91	Baltimore County MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
92	Berkshire Hathaway Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
93	Blackrock Note	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
94	Bowie MD Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
95	Cinco Southwest Texas Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
96	Citigroup Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
97	Ebay Note	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
98	EMC Corp Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
99	EMC Corp Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
100	Fla St Board of Ed Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
101	Goldman Sachs Prd	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
102	Goldman Sachs Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
103	JP Morgan Chase Note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
104	Kraft Foods Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
105	Kroger Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
106	McKesson Corp Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
107	Mid America Energy Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
108	Mont Cnty MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
109	Morgan Stanley Prd	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
110	NW Harris Cnty Texas Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
111	Ocean City MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
112	Oracle Corp Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
113	Precision Castparts Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
114	Prince George's Cnty MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
115	Republic Services Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
116	Ross Stores Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
117	United Health Group Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
118	Wells Fargo Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
119	Yum Brands Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
120	U.S. brokerage money market account #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
121	U.S. brokerage money market account #2 (cash)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
122	U.S. brokerage money market account #3 (cash)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
123	U.S. brokerage money market account #4 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
124	Well Fargo Prd Q	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
125	NVIDIA Corporation - Common Stock	No	\$1,001 - \$15,000		None (or less than \$201)
126	Dominos Pizza	No	\$1,001 - \$15,000		None (or less than \$201)
127	Morgan Stanley CD	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
128	Morgan Stanley CD	N/A	\$1,001 - \$15,000		None (or less than \$201)
129	Citibank CD	N/A	\$1,001 - \$15,000	Interest Rent or Royalties	None (or less than \$201)
130	Cimarex	No	\$15,001 - \$50,000		None (or less than \$201)
131	Dominion Resources Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
132	Intl Business Machines Corp	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
133	Northrop Grumman	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
134	Vanguard Total Stock Market Index (VTI)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
135	JP Morgan CD	No	\$50,001 - \$100,000	Interest	None (or less than \$201)
136	JP Morgan CD	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
137	Wells Fargo CD	No	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
138	Third Federal S and L CD	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
139	PNC Prd	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
140	USB prd	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
141	United Health Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
142	Sysco Corp Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
143	Thermo Fisher Scientific Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
144	Walgreens Bond	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
145	Nuveen Municipal Value Fund, Inc. (NUV)	No	\$1,001 - \$15,000		None (or less than \$201)
146	Citigroup Bond	No	\$15,001 - \$50,000		None (or less than \$201)
147	CVS Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
148	Fiserv Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
149	Hewlett Packard Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
150	KLA-Tencor CorporationBond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
151	Marathon Oil Corp Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
152	Amazon	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
153	Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
154	Vanguard Balanced Index Admiral Shares	Yes	\$1,001 - \$15,000		\$201 - \$1,000
155	Vanguard International High Dividend Yield Index Fund ETF Shares (VYMI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
156	Visa Inc	No	\$15,001 - \$50,000		\$201 - \$1,000

7. Transactions

None

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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, NW., 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).

Exhibit G

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Davenport, William

Chief of Staff and Senior Legal Advisor, Federal Communications Commission

Date of Appointment: 02/08/2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Davenport, William [electronically signed on 03/18/2019 by Davenport, William 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/ Northrop, Lauren, Certifying Official [electronically signed on 03/25/2020 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 03/25/2020

Data Revised 03/22/2020

Data Revised 03/06/2020

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Ligado Networks	Reston, Virginia	Corporation	Senior Vice President and Deputy General Counsel	12/2016	7/2018

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ligado Principal 401k	No			
1.1	PGIM Total Return Bond R2 Fd	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Fixed Income Guaranteed Option	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Equity Income Separate Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Lg Cap S&P 500 Index Sep Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	LargeCap Growth I Sep Acct	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	American Beacon Sm Cap Value Inv Fd	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	John Hancock Disc Val MC R2 Fd	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	MidCap S&P 400 Index Sep Acct	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	PGIM Jennison SSmall Co A Fd	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Am Fds EuroPAcific Growth R4 Fd	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Brokerage Account				
2.1	FIMM Treasury Only Portfolio Money Market Inst Class M/M (FRSXX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.2	Cash Account (Sweep Option)	No	\$1,001 - \$15,000		None (or less than \$201)
2.3	Allstate Corporation (ALL)	No	\$1,001 - \$15,000		None (or less than \$201)
2.4	FedEx Corp (FDX)	No	\$1,001 - \$15,000		None (or less than \$201)
2.5	Phillips 66 (PSX)	No	\$1,001 - \$15,000	Dividends Interest	\$201 - \$1,000
2.6	Pfizer Inc (PFE)	No	\$1,001 - \$15,000		None (or less than \$201)
2.7	United Parcel Service Inc. Class B (UPS)	No	\$1,001 - \$15,000	Interest Dividends	\$201 - \$1,000
2.8	Garmin Limited SHS (GRMN)	No	\$1,001 - \$15,000		None (or less than \$201)
2.9	PIMCO Rae Emerging Markets Fund Class I2 N/L (PEPFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.10	First Trust Capital Strength ETF (FTCS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.11	First Trust ISE Cloud Computing Index Fund (SKYY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	First Trust Nasdaq CEA Cybersecurity ETF (CIBR)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	First Trust Nasdaq Artificial Intelligence and Robotics ETF (ROBT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.14	IShares TR Core High DV ETF (HDV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.15	SPDR Gold Shares (GLD)	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.16	U.S. Treasury Bills OID	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3	Ligado Networks LLC	N/A		Salary	\$325,278

3. Filer's Employment Agreements and Arrangements

None

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Ligado Networks	Reston, Virginia	Oversaw federal regulatory compliance and duties for company

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Brokerage		\$100,001 - \$250,000	Dividends Interest	\$2,501 - \$5,000
1.1	Vanguard Ltd Term Tax Exempt Fund Admiral CI (VMLUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Vanguard Total Intl Stock Index Fund (VTIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	Vanguard Total Stock Market Index Fund Admiral CI (VTSAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Vanguard Intermediate Term Tax Exempt Fund Admiral (VWIUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Vanguard Long Term Tax Exempt Fund Admiral CI (VWLUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Walt Disney Company	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Sallie Mae	See Endnote	Student Loan \$15,001 - \$50,000	2017	Unknown	10 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
8.	1	I am a co-signer for my sister's student loans.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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, NW., 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).

Exhibit H

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Davenport, William

Chief of Staff and Senior Legal Advisor, Federal Communications Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Davenport, William [electronically signed on 04/20/2020 by Davenport, William 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/ Northrop, Lauren, Certifying Official [electronically signed on 04/21/2021 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 04/21/2021

Data Revised 04/02/2021

Data Revised 02/27/2021

Data Revised 06/04/2020

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ligado Principal 401k	No			
1.1	PGIM Total Return Bond R2 Fd	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.2	Fixed Income Guaranteed Option	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.3	Equity Income Separate Account	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.4	Lg Cap S&P 500 Index Sep Account	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.5	LargeCap Growth I Sep Acct	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.6	American Beacon Sm Cap Value Inv Fd	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.7	John Hancock Disc Val MC R2 Fd	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.8	MidCap S&P 400 Index Sep Acct	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.9	Am Fds EuroPacific Growth R4 Fd	Yes	\$1,001 - \$15,000	None (or less than \$201)	
1.10	Janus Henderson Triton S Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	

3. Filer's Employment Agreements and Arrangements

None

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

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

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Brokerage	No			
1.1	Vanguard Ltd Term Tax Exempt Fund Admiral CI (VMLUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Vanguard Total Intl Stock Index Fund (VTIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	Vanguard Total Stock Market Index Fund Admiral CI (VTSAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Vanguard Intermediate Term Tax Exempt Fund Admiral (VWIUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Vanguard Long Term Tax Exempt Fund Admiral CI (VWLUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	PGIM Jennison Small Co A Fd	Sale	12/31/2019	\$1,001 - \$15,000
2	FIMM Treasury Only Portfolio Money Market Inst Class M/M (FRSXX)	Sale	11/26/2019	\$100,001 - \$250,000
3	The Allstate Corp. (ALL)	Sale	11/26/2019	\$1,001 - \$15,000
4	FedEx Corp. (FDX)	Sale	11/26/2019	\$1,001 - \$15,000
5	Phillips 66 (PSX)	Sale	11/26/2019	\$1,001 - \$15,000
6	Pfizer Inc. (PFE)	Sale	11/26/2019	\$1,001 - \$15,000
7	United Parcel Service, Inc. (UPS)	Sale	11/26/2019	\$1,001 - \$15,000
8	Garmin Ltd. (GRMN)	Sale	11/26/2019	\$1,001 - \$15,000
9	PIMCO Rae Emerging Markets Fund Class 12 N/L (PEPFX)	Sale	11/26/2019	\$15,001 - \$50,000
10	First Trust Capital Strength ETF (FTCS)	Sale	11/26/2019	\$15,001 - \$50,000
11	First Trust ISE Cloud Computing Index Fund (SKYY)	Sale	11/26/2019	\$15,001 - \$50,000
12	First Trust ISE Cloud Computing Index Fund (SKYY)	Sale	11/26/2019	\$15,001 - \$50,000
13	First Trust NASDAQ Cybersecurity ETF (CIBR)	Sale	11/26/2019	\$15,001 - \$50,000
14	First Trust Nasdaq Artificial Intelligence and Robotics ETF (ROBT)	Sale	11/26/2019	\$15,001 - \$50,000
15	First Trust Nasdaq Artificial Intelligence and Robotics ETF (ROBT)	Sale	11/26/2019	\$15,001 - \$50,000
16	iShares TR Core Hig DV ETF (HDV)	Sale	11/26/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
17	SPDR Gold Shares (GLD)	Sale	11/26/2019	\$1,001 - \$15,000
18	U.S. Treasury Bills OID	Sale	11/26/2019	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Sallie Mae	See Endnote	Student Loan \$15,001 - \$50,000	2017	Unknown	10 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
8.	1	I am a co-signer for my sister's student loans.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

Public Burden Information

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

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

Exhibit I

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Ginsburg, Mindy

Deputy Managing Director, Federal Communications Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Ginsburg, Mindy [electronically signed on 06/25/2020 by Ginsburg, Mindy in Integrity.gov] - Filer received a 45 day filing extension.

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

/s/ Northrop, Lauren, Certifying Official [electronically signed on 01/29/2021 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The River School	Washington, D.C., District of Columbia	Non-Profit	Trustee	6/2014	6/2019

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wiley Rein (Law Firm)	N/A		partnership share	
2	Wiley Rein, Law Firm Capital Accout	N/A	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2	Vanguard Small-Cap Value ETF (VBR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	iShares Nasdaq Biotechnology	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	SPDR S&P Dividend	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	SPDR S&P Biotech	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Google Inc	No	\$15,001 - \$50,000		None (or less than \$201)
7	Goldman Sachs Group Inc	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8	NIKE Inc B	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9	U.S. credit union (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
10	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
11	U.S. bank accounts #3 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
12	MD529 -- Global Equity Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	MD 529 -- Portfolio for college	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	MD -- 529 US Treas MMF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15	MD -- 529 Global Equity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	MD -- 529 Portfolio 2021	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	MD -- 529 USTreasury MMF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
18	MD -- 529 Balanced Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	MD 529 Portfolio for college	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	MD 529 US Treasury MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
21	MD 529 Balanced Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
22	MD 529 Portfolio 2021	Yes	\$15,001 - \$50,000		None (or less than \$201)
23	MD 529 US Treasury MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
24	VA 529 __ Am Funds MMF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
25	VA 529 -- Growth Fund of Am	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
26	VA -- 529 Wash Mutual Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	VA -- 529 Am Funds MMF	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	VA -- 529 Growth Fund of Am	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
29	VA -- 529 Wash Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	VA -- 529 AM Funds MMF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
31	VA -- 529 Growth Fund of Am	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
32	VA -- 529 Wash Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
33	VA -- 529 Am Funds MMF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
34	VA 529 -- Growth Fund of Am	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
35	VA 529 -- Wash Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	Tweedy, Browne Global Value	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
37	Tweedy, Browne Value	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
38	Tweedy, Browne Worldwide Hi Div Yld Val	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
39	Tweedy, Browne Global Value II Ccy Unhdg	Yes	\$15,001 - \$50,000		\$201 - \$1,000
40	Dodge & Cox	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
41	Dodge & Cox Int'l	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
42	American Express CD	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	Wells Fargo CD	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
44	Edwards Lifesciences Corp	No	\$15,001 - \$50,000		None (or less than \$201)
45	Wells Fargo CD	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
46	Wells Fargo CD	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
47	Wells Fargo CD	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
48	Alibaba	No	\$1,001 - \$15,000		None (or less than \$201)
49	Blackrock Note	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
50	BNSF Bond	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
51	Dow Chem Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
52	SPDR S&P 500	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
53	AbbVie Inc.	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
54	Amgen Inc. - Common Stock	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
55	Apple Inc. - Common Stock	No	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
56	Berkshire Hathaway B	No	\$100,001 - \$250,000		None (or less than \$201)
57	Cisco Systems, Inc. - Common Stock	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
58	Citigroup Inc	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
59	Coca-Cola Co	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
60	Dow Chemical (DOW)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
61	FedEx Corp	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
62	Intel Corporation - Common Stock	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
63	Intl Paper Co	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
64	Johnson & Johnson	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
65	Merck & Co Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
66	Nestle	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
67	PepsiCo Inc	No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
68	Pfizer Inc	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
69	Sherwin-Williams Co	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
70	Unilever	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
71	United Parcel Service Inc B	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
72	3M Co	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
73	Amazon Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
74	Amazon Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
75	Baltimore County MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
76	Berkshire Hathaway Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
77	Blackrock Note	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
78	Bowie MD Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
79	Cinco Southwest Texas Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
80	Citigroup Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
81	Ebay Note	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
82	EMC Corp Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
83	EMC Corp Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
84	Fla St Board of Ed Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
85	Goldman Sachs Prd	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
86	Kraft Foods Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
87	Kroger Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
88	McKesson Corp Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
89	Mid America Energy Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
90	Mont Cnty MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
91	Morgan Stanley Prd	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
92	NW Harris Cnty Texas Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
93	Ocean City MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
94	Oracle Corp Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
95	Precision Castparts Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
96	Prince George's Cnty MD Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
97	Ross Stores Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
98	United Health Group Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
99	Wells Fargo Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
100	Yum Brands Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
101	U.S. brokerage money market account #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
102	U.S. brokerage money market account #2 (cash)	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
103	U.S. brokerage money market account #3 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
104	U.S. brokerage money market account #4 (cash)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
105	Well Fargo Prd Q	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
106	NVIDIA Corporation - Common Stock	No	\$1,001 - \$15,000		None (or less than \$201)
107	Morgan Stanley CD	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
108	Morgan Stanley CD	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
109	Citibank CD	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
110	Dominion Resources Inc	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
111	Intl Business Machines Corp	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
112	Northrop Grumman	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
113	Vanguard Total Stock Market Index (VTI)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
114	Third Federal S and L CD	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
115	PNC Prd	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
116	USB prd	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
117	United Health Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
118	Sysco Corp Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
119	Thermo Fisher Scientific Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
120	Walgreens Bond	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
121	Nuveen Municipal Value Fund, Inc. (NUV)	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
122	Citigroup Bond	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
123	CVS Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
124	Fiserv Bond	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
125	Hewlett Packard Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
126	KLA-Tencor CorporationBond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
127	Marathon Oil Corp Bond	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
128	Amazon	No	\$15,001 - \$50,000		None (or less than \$201)
129	Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
130	Vanguard Balanced Index Admiral Shares	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
131	Vanguard International High Dividend Yield Index Fund ETF Shares (VYMI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
132	Visa Inc	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
133	Altria Group Inc (MO)	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
134	BP	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
135	Borg Warner	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
136	Chevron Corp (CVX)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
137	JP Morgan Chase & Co (JPM)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
138	L3Harris	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
139	Marathon Petroleum Corp. (MPC)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
140	AFLAC Inc (AFL) Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
141	Citigroup CD	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
142	Danaher Corp (DHR)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
143	Lord Abbott ST Bond Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
144	iShares S&P U.S. Preferred Stock Index (PFF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
145	BlackRock Total Return BlackRock (MPHQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
146	Prudential Total Return Bond Q (PTRQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
147	Vanguard Total Stock Market Index Admiral Shares (VTSAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
148	American Funds EuroPacific Gr R6 (RERGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
149	Vanguard Total International Stock ETF (VXUS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

7. Transactions

None

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

Public Burden Information

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

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

Exhibit J

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Kreisman, Barbara

Chief, Video Division, Federal Communications Commission

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Kreisman, Barbara [electronically signed on 05/10/2019 by Kreisman, Barbara 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/ Northrop, Lauren, Certifying Official [electronically signed on 12/16/2019 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 12/16/2019

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Banoun Law LLC	N/A		salary, bonus	
2	Pension from Cadwalader Law Firm	N/A	\$50,001 - \$100,000	retirement payments	
3	Banoun Law, PLLC Account	No	\$250,001 - \$500,000	Interest	None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Beaufort Cnty Sc Sch	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
2	Fayette Cnty Ga Wtr Rev	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
3	Cobb Cnty & Marietta GA	No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
4	Marietta GA PK & Rec	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
5	Winston Salem NC W&S Sys, bonds	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
6	Virginia Comwlth Univ	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
7	Illinois Fin Auth Rev RFDG	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
8	Fayetteville NC Pub Wks	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
9	New York St Urban Dev Corp	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
10	Wilmington NC LD Oblig	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
11	New York St Dorm Auth	No	\$100,001 - \$250,000	Dividends Capital Gains	None (or less than \$201)
12	Columbus Oh RFDG	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
13	Montgomery Cnty VA	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Riverside VA Reg'l Jail	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
15	Abbott Laboratories	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
16	Air Products & Chemicals Inc	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
17	Altria Group Inc	No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
18	Automatic Data Processing	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
19	Baxter Intl Inc	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
20	CDK Global Holdings	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
21	Chevron Corp	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
22	Coca-Cola Co	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
23	Costco Wholesale Corp	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
24	Emerson Electric Co	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
25	Exxon Mobil Corp	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26	General Mills Inc	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
27	Home Depot Inc	No	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Illinois Tool Works Inc	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
29	Intel Corp	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
30	International Business Machine Corp	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
31	J M Smucker Co	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
32	Johnson & Johnson	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
33	JPMorgan Chase & Co	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
34	McDonalds Corp	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
35	Merk & Co Inc	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
36	Novartis AG	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
37	Pfizer Inc	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
38	Proctor & Gamble Co.	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
39	Prudential Financial Inc	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
40	Target Corp	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
41	United Parcel Service Inc B	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	United Technologies Corp	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
43	Waste Mgmt Inc Del	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
44	U.S. bank account #1 (cash)	No	\$250,001 - \$500,000	Interest	\$201 - \$1,000
45	Alibaba Grp Holding ADR	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
46	Altria Group Inc	No	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
47	Amgen Inc	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
48	Apple Inc.	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
49	BB&T Corp stock	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
50	Chevron Corp	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
51	Cisco Systems Inc	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
52	Dow Dupont	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
53	Goldman Sachs Group Inc	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
54	Intel Corp	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
55	JP Morgan Chase & Co	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
56	Microsoft Corp	No	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
57	Procter & Gamble	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
58	Prudential Financial Inc	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
59	VF Corp	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
60	Wisdomtree Midcap	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
61	3M Co	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
62	U.S. brokerage money market account #1 (cash)	No	\$250,001 - \$500,000	Interest	\$201 - \$1,000
63	U.S. brokerage money market account #2 (cash)	No	\$50,001 - \$100,000	Interest	None (or less than \$201)
64	T. Rowe Price Growth Stock Fund (IRA)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
65	Washington DC rental unit	No	\$250,001 - \$500,000	Rent or Royalties	None (or less than \$201)
66	U.S. bank account #2 (cash)	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
67	U.S. bank account #3 (cash)	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
68	North Carolina Mun Pwr Catawba Elec Rev	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
69	Virginia St Res auth Infra rev	No	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70	Berkeley Cnty Sc g/o	No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
71	U.S. bank account #4 (cash)	No	\$250,001 - \$500,000	Interest	\$201 - \$1,000
72	U.S. bank account #5 (cash)	No	\$100,001 - \$250,000	Interest	\$201 - \$1,000
73	Franklin Cnty TN Hlth & Edl Facs	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
74	Montgomery CNTY TX RD Ser RMKT	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
75	Lincoln NE CTF Partn REV	No	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
76	Washington St. CTF Partn St & Loc Agy Real & Pers PPTY Ser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
77	New York NY RFDG Ser 1	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
78	Connecticut St HLTH &EFA Uale Univ Ser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
79	Pitt Cnty NC LTD OBLIG RFDG	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
80	Halifax CNTY VA IDA REV VA ELEC & POWER CO ser a recovery Zone FAC	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
81	Pennsylvania Econ Dev Fing Auth UPMC Rev	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
82	Renton WA RFDG LTD Tax	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
83	North TX TWY Auth Rev RFDG 2nd Tier Ser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
84	Pennsylvania Econ Dev Fing Auth Rev UPMC	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
85	Gwinnett Cnty GA Dev Ath CTFS Partn Ref-Gwinnett Cnty Pub Schs Proj MBIA	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
86	Virginia CLLG BLDG AUTH VA EDL FACS REV RFDG 21st Century CLG	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
87	Tennessee HSG Dev AGY NON AMT NON ACE REV Homeownrship PG	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
88	Fairfax VA RFDG G/O B/E CPN 5.000%	No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
89	Tulsa Cnty OK Indl Auth Edl Facs Lse Rev Broken Arrow Publ Schs Proj	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
90	Piedmont Mun Pwr Agy SC Elec Rev RFDG Ser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
91	Tennessee HSG DEV AGY Non AMT NON ACE Rev Homeownrship PG	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
92	Garland TX CTF OBLIG DB	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
93	Wayne Cnty NY RFDG Pub Impt	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
94	Tennessee HSG Dev AGY Res Fin PG Rev Non AMT Non ACE issue	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
95	Port Seattle WA Rev RFDG Inter Lien	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
96	Virginia CLLG BLDG AUTH VA EDL FACS REV RFDG 21st Century College	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
97	Virginia St HSG DEV AUTH ComWlth MTG Subser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
98	College Charleston SC High Ed FACS REV Ser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
99	WACO TX IOR	No	\$250,001 - \$500,000	Dividends Capital Gains	\$5,001 - \$15,000
100	Seattle WA For Issues DTD	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
101	Spring TX indpt School Dist RFDG	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
102	North Carolina Med Care Commn Hlth Sys Rev RFDG Mission Health Comb GRP	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
103	Guggenheim ETF S&P 500 Equal Weighted Index RSP (Spouse IRA)	No	\$250,001 - \$500,000	Dividends Capital Gains	\$2,501 - \$5,000
104	Ishares Core S&P Midcap/500 ETF (Spouse IRA)	No	\$250,001 - \$500,000	Dividends Capital Gains	\$2,501 - \$5,000
105	Ishares Core S&P-smallcap; 500 Growth; Pimco ETF Trust (Spouse IRA)	No	Over \$1,000,000	Dividends Capital Gains	\$15,001 - \$50,000
106	American Funds Balanced Fund Inc (Spouse IRA)	No	\$500,001 - \$1,000,000	Dividends Capital Gains	\$5,001 - \$15,000
107	Natixis Mut Funds Loomis Sayles Core Plue Bond Fund (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
108	Lord Abbett Bond Debenture (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
109	Morgan Stanley Instl Fd (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	None (or less than \$201)
110	Brookfield Invt Funds Global Listed real estate (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
111	Oppenheimer Senior Floating Rate FD (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
112	Lord Abbett Invt Tr Short Duration Income FD (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
113	Principal Fds Inc Midcap Fund Instl Class (Spouse IRA)	No	\$50,001 - \$100,000	Dividends Capital Gains	None (or less than \$201)
114	Oakmark Funds Advisor Class (Spouse IRA)	No	\$250,001 - \$500,000	Dividends Capital Gains	\$1,001 - \$2,500
115	Oppenheimer Dev Mkts (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	\$201 - \$1,000
116	State of Israel Bonds	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
117	Texas Transn Commn St HWY FD Rev RFDG 1st Tier	No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
118	Wisconsin HSG & ECON DEv Auth HM Ownership BDS	No	\$250,001 - \$500,000	Dividends Capital Gains	\$5,001 - \$15,000
119	Amazon Com Inc	No	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
120	Oracle Corporation	No	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
121	Fidelity Investments Money Market FDS Instl	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
122	Norfok Southern Corp	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
123	United Health Group	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
124	Versum Materials Inc	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
125	Louisa Va Ida Pollutn Ctl Rev	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
126	Port St Lucie FL Util Rv Ref&Impt Sys	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
127	West Univ Place TX CTF	No	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
128	Roanoke VA Econ Dev Auth HSP Rev Carilon Clinic Obig Grp	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
129	Sampson Cnty NC LTD	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
130	Pennsylvania Econ Dev Fing Auth UPMG	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
131	Texas ST DPT of HSG & Cmnty Affairs Single Family Rev	No	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
132	Fairfax Cnty Va Ida Rev	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
133	Roanoke VA Econ Dev Auth Hsp Rev RFDG Carilion Clinic Obig	No	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
134	Mississippi St Univ Edl BLDG Corp Rev New FACS & Refining Proj Ser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
135	Texas Transn Commn St Hwy Fe Rev RFDG 1st Tier Ser	No	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
136	Loomis sayles core pls y (Spouse IRA)	No	\$100,001 - \$250,000	Dividends Capital Gains	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Merck & Co Inc	Purchase	6/29/2018	\$1,001 - \$15,000
2	Abbott Laboratories	Purchase	6/29/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
3	Novartis Ag Spon ADR	Purchase	6/29/2018	\$1,001 - \$15,000
4	Fairfax Cnty VA IDA HC Rev BDS INOVA HLTH SYS	Purchase	7/27/2018	\$100,001 - \$250,000
5	Johnson & Johnson	Purchase	6/29/2018	\$1,001 - \$15,000
6	Cypress Fairbanks TX INDPT Sch Dist RFDG	Sale	6/20/2018	\$50,001 - \$100,000
7	United Health Group Inc.	Purchase	6/29/2018	\$1,001 - \$15,000
8	Roanoke Va Econ Dev HSP Rev RFDG Carillon Clinic OBIG	Purchase	7/12/2018	\$100,001 - \$250,000
9	Port St Lucie Fl Uti Ref&Impt Sys Rev	Purchase	4/26/2018	\$100,001 - \$250,000
10	Amazon Com Inc	Purchase	6/29/2018	\$15,001 - \$50,000
11	Pfizer Inc	Purchase	6/29/2018	\$1,001 - \$15,000
12	Ishares S&P 500 Growth	Purchase	4/20/2018	\$15,001 - \$50,000
13	Seattle WA Mun LT & Rev Impt BDS	Purchase	6/20/2018	\$100,001 - \$250,000
14	V.F. Corporation (VFC)	Purchase	6/29/2018	\$1,001 - \$15,000
15	Oakmark Funds Advisor Class	Purchase	4/20/2018	\$15,001 - \$50,000
16	Oppenheimer Dev Mkts Cl Y	Purchase	4/20/2018	\$15,001 - \$50,000
17	Morgan Stanley Instl Fd Inc-Global Oppty Port Class	Purchase	4/20/2018	\$15,001 - \$50,000
18	WACO TX IOR to 03/16 SEE issues	Purchase	03/16/2018	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
19	Texas Transn Commn S Hwy Fd Rev RFDG	Purchase	10/23/2018	\$50,001 - \$100,000
20	American FDS Portfol Growth Fund Class A	Purchase	04/20/2018	\$50,001 - \$100,000
21	Blackrock Inc	Sale	02/06/2018	\$15,001 - \$50,000
22	Vanguard Reit	Sale	02/06/2018	\$50,001 - \$100,000
23	Chubb Ltd	Sale	02/08/2018	\$15,001 - \$50,000
24	Texas Trans Commn S Hwy FD Rev	Purchase	10/23/2018	\$50,001 - \$100,000
25	Wisconsin HSG & Econ Auth HM Ownershiip BDS	Purchase	08/30/2018	\$250,001 - \$500,000
26	Fidelity Investments Money Marey FDS Instl	Purchase	08/14/2018	\$100,001 - \$250,000
27	Maricopa Cnty AZ Ida Banner Hlth Ser	Purchase	08/24/2018	\$100,001 - \$250,000
28	Wisconsin HSG & Econ Auth HM ownership BDS	Purchase	08/30/2018	\$250,001 - \$500,000
29	Roanoke VGa Econ Dev Hosp Rev Carilion Clinic	Purchase	10/25/2018	\$100,001 - \$250,000
30	Wells Fargo & Co	Sale	2/9/2018	\$50,001 - \$100,000
31	Southern Company	Sale	02/08/2018	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Kennedy Center/CBS	Washington, District of Columbia	Honors/Gala Dinner for Husband and self, 12/2/18	\$4,120
2	CBS	Washington, District of Columbia	Cocktail Reception for Kennedy Center Honors For Husband and self 12/2/18	\$450
3	CBS	Washington, District of Columbia	Brunch for Husband and self 12/1/18	\$450

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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, NW., 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).

Exhibit K

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Burger, Eric W

Chief Technology Officer, Federal Communications Commission

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Burger, Eric W [electronically signed on 04/18/2019 by Burger, Eric W 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/ Northrop, Lauren, Certifying Official [electronically signed on 12/16/2019 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 12/16/2019

Data Revised 12/11/2019

Data Revised 12/09/2019

Data Revised 11/22/2019

Data Revised 11/21/2019

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Georgetown University	See Endnote	Washington, District of Columbia	University/College	Research Professor of Computer Science	1/2011	Present
2	Consultant	See Endnote	Great Falls, Virginia	Sole Proprietor	Consultant	6/2010	Present
3	AtF Cyber		Seattle, Washington	Corporation	Chair of the Board of Directors	6/2016	Present
4	Apperture.Watch		Foster City, California	Corporation	Director	11/2015	Present
5	Dexrex LLC		Amherst, Massachusetts	Corporation	Advisory Board	12/2008	Present
6	Arnon Lake Community Association		Great Falls, Virginia	Non-Profit	Treasurer	10/2016	Present
7	MIT Club of DC		Washington, District of Columbia	Non-Profit	Member of the Board	1/2013	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgetown University	N/A		Salary	\$205,249
1.1	Life Insurance	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Consultant	See Endnote	N/A	1099 gross income	\$12,506
3	Georgetown University VCRP 403(b)	No			
3.1	Fidelity Freedom 2030 Fund Class K (FSNQX)	Yes	\$100,001 - \$250,000	None (or less than \$201)	
4	Georgetown University DCRP 403(b)	No			
4.1	Fidelity Large Cap Core Enhanced Index	Yes	\$50,001 - \$100,000	\$15,001 - \$50,000	
4.2	Fidelity Freedom 2030 Fund Class K (FSNQX)	Yes	\$50,001 - \$100,000	\$5,001 - \$15,000	
5	Rollover IRA	No			
5.1	The Allstate Corporation (ALL)	No	\$1,001 - \$15,000	None (or less than \$201)	
5.2	Chevron Corp	No	\$15,001 - \$50,000	None (or less than \$201)	
5.3	Fidelity Contrafund	Yes	\$100,001 - \$250,000	None (or less than \$201)	
5.4	Cash	N/A	\$100,001 - \$250,000	None (or less than \$201)	
5.5	General Electric Co	No	\$15,001 - \$50,000	None (or less than \$201)	
5.6	Intl Business Machines Corp	No	\$15,001 - \$50,000	None (or less than \$201)	
5.7	Coca-Cola Co	No	\$15,001 - \$50,000	None (or less than \$201)	
5.8	McDonald's Corp	No	\$15,001 - \$50,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	Vanguard World Fund Mega Cap Growth ETF (MGK)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.10	Vanguard World Fund Mega Cap Value ETF (MGV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Pfizer Inc	No	\$15,001 - \$50,000		None (or less than \$201)
5.12	Vanguard FTSE Developed Market ETF (VEA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	Vanguard Extended Market VIPERS (VXF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.14	Verizon Communications Inc	No	\$1,001 - \$15,000		None (or less than \$201)
5.15	Merck & Co Inc	No	\$15,001 - \$50,000		None (or less than \$201)
5.16	Baillie Gifford The Long Term Global Growth Equity Fund Class I	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Traditional IRA	No			
6.1	Apple Inc. - Common Stock	No	\$50,001 - \$100,000		None (or less than \$201)
6.2	Diagio ADR (DEO)	No	\$1,001 - \$15,000		None (or less than \$201)
6.3	Consolidated Edison Inc	No	\$1,001 - \$15,000		None (or less than \$201)
6.4	Fidelity Select Biotechnology	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.5	Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.6	Fidelity Select Medical Equip & Systems	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Hennessy Gas Utility Index Fund (GASFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
6.8	Intel Corporation - Common Stock	No	\$15,001 - \$50,000		None (or less than \$201)
6.9	Fidelity Nasdaq Composite Index Tracking Stock	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.10	PIMCO Income D	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.11	Exxon Mobil Corp	No	\$15,001 - \$50,000		None (or less than \$201)
7	SEP-IRA	No			
7.1	Fidelity Select Industrials	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.2	Fidelity Floating Rate High Income	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.3	Manning & Napier Real Estate Series Class S (MNREX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Georgetown University	Washington, District of Columbia	On IPA to the FCC. I am obligated to work part time for Georgetown as they are paying for the difference between the FCC's reimbursement to Georgetown and my regular salary. Georgetown will continue to make contributions to my 403(b) and continue cost sharing for my health insurance, life insurance, long-term care insurance, and dental insurance. I will remain eligible and expect to draw upon standard Georgetown benefits such as the Tuition Assistance Program.	9/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	AtF Cyber	Seattle, Washington	retention of RSU's	7/2017
3	Dexrex LLC	Amherst, Massachusetts	Stock is fully vested	12/2008

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia Dyslexia Therapy, LLC (Academic Language Therapy)	N/A		consulting fees	\$111,757
2	SEP-IRA	No			
2.1	Fidelity Select IT Services	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Traditional IRA	No			
3.1	American Funds New Perspective A	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	Cisco Systems, Inc. - Common Stock	No	\$15,001 - \$50,000		None (or less than \$201)
3.3	Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	iShares S&P MidCap 400 Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.5	Procter & Gamble	No	\$15,001 - \$50,000		None (or less than \$201)
3.6	Tiffany & Co	No	\$15,001 - \$50,000		None (or less than \$201)
3.7	JP Morgan Chase & Co	No	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Virginia Prepaid 529 plan	No	None (or less than \$1,001)		\$15,001 - \$50,000
3	NY 529 Plan, Conservative Income Portfolio	No	\$100,001 - \$250,000		None (or less than \$201)
4	U.S. bank account #2 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
5	U.S. bank account #3 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
6	Brokerage Account	No			
6.1	Blackstone Group (BX)	No	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.2	Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3	Gilead Sciences, Inc. - Common Stock	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT	
1	NY 529 College Savings Plan, Aggressive Growth Portfolio	Sale	11/06/2017	\$100,001 - \$250,000	
2	NY 529 College Savings Plan, Conservative Income Portfolio	Purchase	11/06/2017	\$100,001 - \$250,000	
3	Fidelity Large Cap Core Enhanced Index Fund	Sale	01/08/2018	\$50,001 - \$100,000	
4	Fidelity Freedom 2030 Fund Class K	Sale	01/08/2018	\$100,001 - \$250,000	
5	FID FDM IDX 2030 IPR	Purchase	01/08/2018	\$100,001 - \$250,000	
6	FID TOT MKT IDX PR	Purchase	01/08/2018	\$50,001 - \$100,000	
7	Fidelity Freedom 2030 Fund Class K	Sale	01/08/2018	\$50,001 - \$100,000	
8	FID FDM IDX 2030 IPR	Purchase	01/08/2018	\$50,001 - \$100,000	
9	Virginia Prepaid 529 plan	See Endnote	Sale	07/10/2018	\$15,001 - \$50,000
10	Virginia invest529 Stable Value Portfolio	See Endnote	Purchase	07/10/2018	\$15,001 - \$50,000
11	Virginia invest529 Stable Value Portfolio		Sale	08/08/2018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	Exxon Mobil Corp	Purchase	11/12/2018	\$1,001 - \$15,000
13	General Electric Co	Purchase	11/12/2018	\$1,001 - \$15,000
14	Merck & Co Inc	Purchase	11/12/2018	\$15,001 - \$50,000
15	Proctor and Gamble	Purchase	11/12/2018	\$1,001 - \$15,000
16	JP Morgan Chase & Co	Purchase	11/12/2018	\$1,001 - \$15,000
17	Intl Business Machines Corp	Purchase	11/12/2018	\$1,001 - \$15,000
18	Chevron Corp	Purchase	11/12/2018	\$1,001 - \$15,000
19	Discovery Communications Inc	Sale	11/12/2018	\$1,001 - \$15,000
20	United Therapeutics Corporation - Common Stock	Sale		\$1,001 - \$15,000
21	Hennessy Gas Utility Index Fund (GASFX)	Sale	11/12/2018	\$15,001 - \$50,000
22	Fidelity Diversified International	Sale	11/12/2018	\$50,001 - \$100,000
23	Fidelity Select Energy	Sale	11/12/2018	\$15,001 - \$50,000
24	Coca-Cola Co	Purchase	11/21/2018	\$1,001 - \$15,000
25	Baron Real Estate Fund Retail Shares	Sale	11/12/2018	\$15,001 - \$50,000
26	Verizon Communications Inc	Purchase	11/23/2018	\$1,001 - \$15,000
27	Verizon Communications Inc	Sale	11/27/2018	\$1,001 - \$15,000
28	Virginia invest529 Stable Value Portfolio	Sale	12/05/2018	\$15,001 - \$50,000
29	Baillie Gifford The Long Term Global Growth Equity Fund Class I	Purchase	11/12/2018	\$50,001 - \$100,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	University of Colorado	Boulder, Colorado	Airfare and lodging incident to speaking at Silicon Flatirons Technology Policy Conference in Boulder, CO (February 9-12, 2018).	\$1,000

Endnotes

PART	#	ENDNOTE
1.	1	On IPA from Georgetown University to the FCC.
1.	2	All consulting arrangements have been terminated with the exception of an engagement, approved by FCC Ethics, with the International Civil Aviation Organization (ICAO). See endnote in Section 4.
2.	2	Consulting income solely from the International Civil Aviation Organization (ICAO, a UN specialized agency). FCC Ethics approved the engagement.
7.	9	Fund rolled over from pre-paid Virginia program to conventional 529 plan
7.	10	Fund rolled over from pre-paid Virginia program to conventional 529 plan

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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, NW., 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).

Exhibit L

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Burger, Eric W

Senior Technology Advisor, Federal Communications Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

Assistant Director, OSTP (11/2019 - Present)

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/ Burger, Eric W [electronically signed on 04/20/2020 by Burger, Eric W 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/ Northrop, Lauren, Certifying Official [electronically signed on 06/04/2020 by Northrop, Lauren in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 06/04/2020

Data Revised 05/14/2020

Data Revised 05/11/2020

Data Revised 04/20/2020

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Georgetown University	See Endnote	Washington, District of Columbia	University/College	Research Professor of Computer Science	1/2011 Present
2	AtF Cyber	Seattle, Washington	Corporation	Chair of the Board of Directors	6/2016	9/2019
3	Apperture.Watch	Foster City, California	Corporation	Director	11/2015	Present
4	Dexrex LLC	Amherst, Massachusetts	Corporation	Advisory Board	12/2008	12/2019
5	Arnon Lake Community Association	Great Falls, Virginia	Non-Profit	Treasurer	10/2016	Present
6	MIT Club of DC	Washington, District of Columbia	Non-Profit	Member of the Board	1/2013	Present
7	IEEE-USA	Washington, District of Columbia	Non-Profit	Government Fellow	11/2020	Present
8	Virginia Dyslexia Therapy, LLC	Great Falls, Virginia	Corporation	Non-participating partner	9/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgetown University	N/A		Salary	\$226,260
1.1	Life Insurance	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2	Georgetown University VCRP 403(b)				
2.1	Fidelity Freedom 2030 Fund Class K (FSNQX)	Yes	\$100,001 - \$250,000	None (or less than \$201)	
3	Georgetown University DCRP 403(b)				
3.1	Fidelity Large Cap Core Enhanced Index	Yes	\$100,001 - \$250,000		
3.2	Fidelity Freedom 2030 Fund Class K (FSNQX)	Yes	\$100,001 - \$250,000		
3.3	Fidelity Freedom 2045 (FFFGX)	Yes	\$1,001 - \$15,000		
4	Rollover IRA	No			
4.1	The Allstate Corporation (ALL)	No	\$15,001 - \$50,000	None (or less than \$201)	
4.2	Chevron Corp	No	\$15,001 - \$50,000	None (or less than \$201)	
4.3	Fidelity Contrafund	Yes	\$100,001 - \$250,000	None (or less than \$201)	
4.4	Cash	N/A	\$100,001 - \$250,000	None (or less than \$201)	
4.5	Intl Business Machines Corp	No	\$1,001 - \$15,000	None (or less than \$201)	
4.6	McDonald's Corp	No	\$15,001 - \$50,000	None (or less than \$201)	
4.7	Vanguard World Fund Mega Cap Growth ETF (MGK)	Yes	\$50,001 - \$100,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8	Vanguard World Fund Mega Cap Value ETF (MGV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Pfizer Inc	No	\$15,001 - \$50,000		None (or less than \$201)
4.10	Vanguard FTSE Developed Market ETF (VEA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	Vanguard Extended Market VIPERS (VXF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.12	Verizon Communications Inc	No	\$1,001 - \$15,000		None (or less than \$201)
4.13	Baillie Gifford The Long Term Global Growth Equity Fund Class I	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.14	United Health Group (UNH)	No	\$1,001 - \$15,000		None (or less than \$201)
4.15	CVS Health Corporation (CVS)	No	\$1,001 - \$15,000		None (or less than \$201)
5	Traditional IRA	No			
5.1	Apple Inc. - Common Stock	No	\$1,001 - \$15,000		None (or less than \$201)
5.2	Diagio ADR (DEO)	No	\$15,001 - \$50,000		None (or less than \$201)
5.3	Consolidated Edison Inc	No	\$1,001 - \$15,000		None (or less than \$201)
5.4	Cash	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.5	Fidelity Select Medical Equip & Systems	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.6	Intel Corporation - Common Stock	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.7	Fidelity Nasdaq Composite Index Tracking Stock	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	PIMCO Income Fund Class A (PONAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.9	Exxon Mobil Corp	No	\$15,001 - \$50,000		None (or less than \$201)
6	SEP-IRA	No			
6.1	Fidelity Select Industrials	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.2	Fidelity Floating Rate High Income	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.3	Manning & Napier Real Estate Series Class S (MNREX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.4	Cash	Yes	\$15,001 - \$50,000		

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Georgetown University	Washington, District of Columbia	On IPA to the FCC. Effective 11/2019 detailed by the FCC to the White House. I am obligated to work part time for Georgetown as they are paying for the difference between the FCC's reimbursement to Georgetown and my regular salary. Georgetown will continue to make contributions to my 403(b) and continue cost sharing for my health insurance, life insurance, long-term care insurance, and dental insurance. I will remain eligible and expect to draw upon standard Georgetown benefits such as the Tuition Assistance Program.	9/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	AtF Cyber	Seattle, Washington	retention of RSU's	7/2017

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia Dyslexia Therapy, LLC (Academic Language Therapy)	N/A		consulting fees	\$38,133
2	SEP-IRA	No			
2.1	Fidelity Select IT Services	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Traditional IRA	No			
3.1	American Funds New Perspective A	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	Cash	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.3	iShares S&P MidCap 400 Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	Tiffany & Co	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	JP Morgan Chase & Co	No	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	NY 529 Plan, Conservative Income Portfolio	No	\$100,001 - \$250,000		None (or less than \$201)
3	U.S. bank #2 (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4	U.S. bank #3 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
5	Brokerage Account	No			
5.1	Cash	N/A	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Cisco Systems Inc (CSCO)	Sale	08/19/2019	\$15,001 - \$50,000
2	Gilead Sciences Inc (GILD)	Sale	08/19/2019	\$15,001 - \$50,000
3	Proctor and Gamble (PG)	Sale	08/19/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	Merck & Co Inc (MRK)	Sale	08/19/2019	\$15,001 - \$50,000
5	Apple Inc. (AAPL)	Sale	08/19/2019	\$15,001 - \$50,000
6	Fidelity Select Biotechnology (FBIOX)	Sale	08/19/2019	\$15,001 - \$50,000
7	Pfizer Inc (PFE)	Purchase	08/20/2019	\$1,001 - \$15,000
8	Exxon Mobil Corp (XOM)	Purchase	08/23/2019	\$1,001 - \$15,000
9	General Electric Co (GE)	Sale	08/26/2019	\$15,001 - \$50,000
10	Coca-Cola Co (KO)	Sale	08/28/2019	\$15,001 - \$50,000
11	United Healthcare (UNH)	Purchase	08/28/2019	\$1,001 - \$15,000
12	Humana Inc (HUM)	Purchase	09/25/2019	\$1,001 - \$15,000
13	CVS Caremark Corp. (CVS)	Purchase	09/26/2019	\$1,001 - \$15,000
14	Blackstone Group (BX)	Sale	11/20/2019	\$50,001 - \$100,000
15	Apple Inc. - Common Stock (AAPL)	Sale	12/05/2019	\$50,001 - \$100,000
16	Intel Corp (INTC)	Sale	12/11/2019	\$1,001 - \$15,000
17	IBM (IBM)	Sale	12/11/2019	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Internet Society	Reston, Virginia	Airline ticket, hotel room, meals and incidental expenses pursuant to speaking at IETF Policy Program in Montreal, Canada, July 21, 2019.	\$1,955

Endnotes

PART	#	ENDNOTE
1.	1	On IPA from Georgetown University to the FCC.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

Public Burden Information

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

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