

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Panchanathan, Sethuraman

Director, National Science Foundation, National Science Foundation

Report Year: 2021

Other Federal Government Positions Held During the Preceding 12 Months:

Member of National Science Board, NSF (8/2014 - 5/2020)

Member, Advanced Technology Advisory Board, NIST (1/2018 - 7/2020)

Consultant, National Science Foundation (5/2020 - 6/2020)

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/ Panchanathan, Sethuraman [electronically signed on 07/26/2021 by Panchanathan, Sethuraman 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/ Clay, Robin, Certifying Official [electronically signed on 07/29/2021 by Clay, Robin in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/04/2021 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Arizona State University - ASU Knowledge Enterprise		Tempe, Arizona	University/College	Executive Vice President and Chief Research and Innovation Officer	1/2016	7/2020
2	ASU, Computing and Informatics		Tempe, Arizona	University/College	Foundation Chair Professor	1/2009	7/2020
3	ASU, Center for Cognitive Ubiquitous Computing		Tempe, Arizona	University/College	Founding Director	1/2001	7/2020
4	ASU, School of Computing, Informatics, and Decision Systems Engineering		Tempe, Arizona	University/College	Professor (tenured)	1/1997	Present
5	RehabDev LLC, (ASU start-up)	See Endnote	Tempe, Arizona	start-up company	Co-Founder	1/2014	12/2018
6	National Academy of Inventors		Tampa, Florida	Non-Profit	Vice President of Membership and Strategic Initiatives	1/2017	6/2020
7	Association of Public and Land-Grant Universities (APLU)		Washington, District of Columbia	Non-Profit	Chair, Council on Research	1/2016	12/2018
8	Oak Ridge Associated Universities		Oak Ridge, Tennessee	Non-Profit	Board of Directors	1/2017	6/2020
9	ASU Enterprise Partners, ASU Research Enterprise (ASURE)		Tempe, Arizona	Non-Profit	ASURE Board Member	1/2014	6/2020
10	ASU Enterprise Partners, SkySong Innovations		Tempe, Arizona	Non-Profit	Board Member	1/2010	6/2020
11	ASU Research Park		Tempe, Arizona	Non-Profit	Board Member	1/2001	6/2020

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	APLU National Task Force on Managing University Intellectual Property	Washington, District of Columbia	Non-Profit	Co-Chair	1/2016	12/2018
13	Arizona Secretary of State; Technology, Transparency and Commerce Council	Phoenix, Arizona	State Government	Council Member	1/2010	12/2018
14	State of Arizona Governor	Phoenix, Arizona	State Governor	Senior Advisor to Governor for Science & Technology	1/2018	6/2020
15	ASU Knowledge Enterprise, Thunderbird School of Global Management	Tempe, Arizona	University/College	Member, Board of Trustees	1/2013	7/2020
16	ASU Foundation, Trustees Solutions Committee	Tempe, Arizona	Non-Profit	Committee Member	1/2013	6/2020
17	Arizona Alzheimer's Research Center	Phoenix, Arizona	Non-Profit	Board of Directors	1/2010	12/2017
18	U First Capital	Santa Clara, California	Corporation	Advisory Board Member	1/2016	7/2020
19	National Academy of Inventors	Tampa, Florida	Non-Profit	Member, Editorial Board	1/2014	6/2020
20	City of Gilbert, Arizona; Mayor's Advisory Council	Gilbert, Arizona	city government	Council Member	1/2018	6/2020
21	PLuS Alliance (educational alliance between ASU, UNSW (Sydney), and King's College London)	Tempe, Arizona	educational alliance	Executive Committee Member	1/2016	7/2020
22	Panchanathan Revocable Living Trust #1	Tempe, Arizona	Trust	Trustee	5/2015	6/2020
23	Panchanathan Revocable Living Trust #2	Tempe, Arizona	Trust	Trustee	5/2015	6/2020
24	Panchanathan Revocable Living Trust #3	Tempe, Arizona	Trust	Trustee	5/2015	6/2020
25	Panchanathan Revocable Living Trust #4	Tempe, Arizona	Trust	Trustee	5/2015	6/2020
26	Panchanathan Revocable Living Trust	Tempe, Arizona	Trust	Trustee	6/2020	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rollover IRA	No			
1.1	First Eagle Global I (SGIIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Value Line Asset Allocation Investor (VLAAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Arizona State 403(b)	No			
2.1	T Rowe Price Retirement I 2025 (TRPHX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3	Arizona State 415(M) Deferred Compensation Plan	No			
3.1	Fidelity Contrafund K6 (FLCNX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	Goldman Sachs Small Cap Value R6 (GSSUX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.3	Metropolitan West Total Return Bond Plan (MWTSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	T Rowe Price Retirement I 2025 (TRPHX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4	Arizona State 401(a) #1	No			
4.1	Fidelity Contrafund K6 (FLCNX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.2	Fidelity Diversified International K6 Fund (FKIDX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.3	T Rowe Price Retirement I 2025 (TRPHX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	MFS Value Fund R6 (MEIKX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5	Arizona State 401(a) #2	No			
5.1	Fidelity Contrafund K6 (FLCNX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	T Rowe Price Retirement I 2025 (TRPHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.3	Metropolitan West Total Return Bond Plan (MWTSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	Goldman Sachs Small Cap Value R6 (GSSUX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Arizona State Compensation (salary and bonuses)	N/A		Salary and Bonus	\$532,056
7	Patents				
7.1	Reconfigurable Processing - Issued: 10/2/2012 Patent #: US 8,281,297 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than \$201)
7.2	Face Classification Using Curvature-Based Multi-Scale Morphology - Issued: 10/17/2006 Patent #: US 7,123,783 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than \$201)
7.3	Systems and methods for tracking objects in video sequences - Issued: 05/31/2005 Patent #: US 6,901,110 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than \$201)
7.4	Coherent Evanescent Wave Imaging - Issued: 12/27/2005 Patent #: US 6,980,716 (asset value not ascertainable) Assigned to ASU	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Arizona State University	Tempe, Arizona	I will continue to participate in the ASU defined contribution plans (403(b)/401(a)) and deferred compensation plan (415(M)). ASU will not contribute to these plans during my academic leave of absence	8/1997
2	Arizona State University	Tempe, Arizona	I will take an academic unpaid leave of absence (LOA) from my tenured professor position at ASU. ASU's LOA policy allows for the continuation of medical, dental, and vision insurance coverage.	10/2019

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	Rollover IRA	No			
1.1	George Putnam Balanced Fund Class A (PGEOX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	Redwood-Kairos Real Estate Value Fund VI, LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3	iBorrow Finance Loan Fund I, LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	District Medical Group 401k	No			
2.1	DMG Balanced Fund-of-Funds	Yes	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	District Medical Group Salary	N/A		Salary	
4	Traditional IRA	No			
4.1	Fidelity Puritan Fund (FPURX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	Value Line Asset Allocation Fund, Inc Investor Class Shares (VLAAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity Personal Retirement Annuity (FPRA) - Variable	No			
1.1	Fidelity VIP Contrafund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	Fidelity VIP Balanced (FJBAC)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.3	Fidelity VIP Healthcare Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.4	Fidelity VIP Technology Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	Bank of America (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	TD Canada Trust (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Canara Bank, India (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Chennai, India (undeveloped land)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	Panchanathan Revocable Living Trust (Consolidated)	No			
6.1	Alphabet Inc (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	Apple Inc (AAPL)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
6.3	Becton Dickinson & Co (BDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.4	Biogen Idec Inc (BIIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.5	CH Robinson Worldwide Inc (CHRW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.6	Cisco Systems Inc (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.7	Expeditors Intl of WA Inc (EXPD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.8	Medtronic Inc (MDT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.9	NIKE Inc (NKE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.10	Oracle Corp (ORCL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.11	PepsiCo Inc (PEP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.12	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.13	Starbucks Corp (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.14	Raytheon Technologies Corp (UTX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.15	Varian Medical Systems Inc (VAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.16	Wal-Mart Stores (WMT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.17	Walt Disney Co (DIS)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.18	Accenture Ltd (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.19	Novo Nordisk A/S ADR (NVO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.20	Reckitt Benckiser Group PLC (RBGLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.21	Fidelity Government Cash Reserves (FDRXX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
6.22	Centurytel Inc (CTL)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.23	Citigroup Inc (C)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.24	General Motors Corporation (GM)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.25	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.26	JP Morgan Chase & Co (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.27	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
6.28	SPX Corp (SPXC)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.29	Danone SA (DANOY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.30	Fairfax Financial Holdings Ltd (FRFHF)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
6.31	Liberty Global Inc Ser C (LBTYK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.32	Magna International Inc (MGA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.33	Power Corporation of Canada (PWCDF)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.34	Vodafone Group PLC (VOD)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6.35	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.36	Swan Defined Risk Fund I (SDRIX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
6.37	Arizona Indl Dev Auth Student Hsg REV 05 06/01/2029 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.38	Az Sch Fac Brd Cop 09/01/2023 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.39	Bismarck Nd Sd 05/01/2020 3.000%	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
6.40	Brazoria Cnty Tex Mun Util Dist No 18 02 09/01/2027 2.000% Call 09/01/2024 100.00	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.41	Buckeye Az Exc Tax 07/01/2026 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.42	Cinco Southwest Tex Mun Util Dist No 10 12/01/2031 3.000% Call 12/01/2025 100.00	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.43	Erie Pa City Sch Dist Go Ltd Tax Bds 05. 04/01/2030 5.000% Call 04/01/2029 100.00	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.44	Fresno Calif JT Pwrs Fing Auth Lease REV 04/01/2027 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.45	Hillsboro Cnty Fl S 10/01/2023 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.46	Long Beach NY Pub Impt Bds Ser. 2018 03 09/15/2027 3.000% Call 09/15/2025 100.00	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.47	Manteca Ca Usd Splt 09/01/2025 5.000%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.48	Michigan St Hsg Dev Auth Single Family 0 12/01/2029 3.600% Call 12/01/2027 100.00	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.49	Mn St Hsg Fin Agy 07/01/2021 2.100%	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
6.50	Nevada Hsg Div Single Family Mtg 02.2000 10/01/2028 2.200%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.51	New York NY City Hsg Dev Corp 11/01/2026 2.550%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.52	New York State H 05/01/2022 2.350% Call 12/01/2020 100.00	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.53	NJ St Educational Fac Auth 07/01/2025 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.54	NORTH DAKOTA ST HSG FIN AGY REV BDS CALLABLE 07/01/2028 2.700% Call 07/01/2026 100.00	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
6.55	Oxnard CA School District 08/01/2026 5.250% Call 08/01/2025 100.00	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.56	PIMA CNTY ARIZ STR & HWY REV BDS 07/01/2021 3.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.57	Rochester Mich Cmnty Sch Dist Go Ultl 05/01/2030 5.000% Call 05/01/2026 100.00	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.58	San Bernardino County CA 09/01/2020 5.000%	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
6.59	San Luis Obispo County Ca Im 09/01/2024 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.60	Texas St Pub Fin Auth REV Ref Bds 05.000 11/01/2020 5.000%	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
6.61	VERMONT MUN BD BK REV BDS CALLABLE 12/01/2028 5.000% Call 12/01/2027 100.00	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.62	Westfield Ind Hi 07/15/2027 3.250% Call 01/15/2026 100.00	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6.63	WI St Hlth Ed Fa 08/15/2021 5.000%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.64	Will Cnty Ill Sch Dist No 086 Joliet 04. 03/01/2023 4.500%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.65	Wisconsin St Health 08/15/2054 5.000% Call 01/31/2024 100.00	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.66	Wyoming Community 12/01/2025 2.650%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.67	Fidelity Balanced Fund (FBALX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.68	American Balanced Class F1(BALFX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6.69	Janus Henderson Balanced T (JABAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6.70	General Dynamics Corp. (GD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.71	Whirlpool	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.72	Affiliated Managers Group, Inc. (AMG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.73	Chevron Corp. (CVX)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.74	Pennsylvania Hsg Fin Agy Single Family`	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.75	Plaquemines Parish LA Rev Ref Bds Ser.	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.76	Connecticut St Go Bds Ser 2016 D	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.77	George Putnam Balanced Fund (PGEOX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6.78	Value Line Asset Allocation Fund, Inc Investor Class Shares (VLAAX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
6.79	Vanguard Balanced Index Admiral (VBIAX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	T Rowe Price Retirement I 2025 Fund Class I Shares (TRPHX)	Purchase	07/02/2020	\$15,001 - \$50,000
2	T Rowe Price Retirement I 2025 Fund Class I Shares (TRPHX)	Purchase	07/16/2020	\$1,001 - \$15,000
3	Metwest total return bond fund	Purchase	07/02/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	Goldman Sachs Small Cap Value Fund Class R6 Shares (GSSUX)	Purchase	07/02/2020	\$1,001 - \$15,000
5	Fidelity Contrafund K6 Fund (FLCNX)	Purchase	07/02/2020	\$1,001 - \$15,000
6	MFS Value Fund Class R6 Shares (MEIKX)	Purchase	09/24/2020	\$1,001 - \$15,000
7	Fidelity Diversified International K6 Fund (FKIDX)	Purchase	12/04/2020	\$1,001 - \$15,000
8	Fidelity Contrafund K6 Fund (FLCNX)	Purchase	12/11/2020	\$1,001 - \$15,000
9	MFS Value Fund Class R6 Shares (MEIKX)	Purchase	12/17/2020	\$1,001 - \$15,000
10	American Balanced Fund Class F1 Shares (BALFX)	Purchase	11/05/2020	\$50,001 - \$100,000
11	George Putnam Balanced Fund Class A	Purchase	11/05/2020	\$50,001 - \$100,000
12	Janus Henderson Balanced Fund Class T Shares (JABAX)	Purchase	11/05/2020	\$50,001 - \$100,000
13	Value Line Asset Allocation Fund, Inc Investor Class Shares (VLAAX)	Purchase	11/05/2020	\$50,001 - \$100,000
14	Vanguard Balanced Index Fund Admiral Shares (VBIAX)	Purchase	11/05/2020	\$50,001 - \$100,000
15	DMG Balanced Fund of Funds (multiple)	Purchase	07/02/2020	\$1,001 - \$15,000
16	Janus Henderson Balanced Fund Class T Shares (JABAX)	Purchase	12/17/2020	\$1,001 - \$15,000
17	Vanguard Balanced Index Fund Admiral Shares (VBIAX)	Purchase	12/29/2020	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	5	This partnership was dissolved 10/9/19

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

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

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