# Nominee Report | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001) (Updated July 2020) <br> Executive Branch Personnel <br> Public Financial Disclosure Report (OGE Form 278e) 

Filer's Information
Lander, Eric
Director, Office of Science and Technology Policy

Other Federal Government Positions Held During the Preceding 12 Months:
Member, Defense Innovation Board (external advisory board to Secretary of Defense)(SGE) (10/2016-10/2020)
Names of Congressional Committees Considering Nomination:

- Committee on Commerce, Science, and Transportation

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.
/s/ Lander, Eric [electronically signed on 01/21/2021 by Lander, Eric in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Wallace, Rachel, Certifying Official [electronically signed on 02/18/2021 by Wallace, Rachel in Integrity.gov]

## Other review conducted by

U.S. Office of Government Ethics Certification
/s/ Rounds, Emory, Certifying Official [electronically signed on 02/19/2021 by Rounds, Emory in Integrity.gov]

1. Filer's Positions Held Outside United States Government

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


| \# | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | $\begin{aligned} & \text { POSITION } \\ & \text { HELD } \end{aligned}$ | FROM | TO |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| 13 | 2016 Revocable Family Trust \#2 | Cambridge, Massachusetts | Trust | Grantor, Trustee | 7/2016 | Present |

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

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


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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE |
| :--- | :--- | :--- | :--- | :--- |
| 15.1 | Old Westbury Fixed Income Fund | INCOME |  |  |
| AMOUNT |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE |
| :--- | :--- | :--- | :--- |
| 20.1 | CREF Growth | INCOME TYPE | INCOME |
| AMOUNT |  |  |  |


| \# | DESCRIPTION | EIF | VALUE |
| :--- | :--- | :--- | :--- |
| 22.4 | "Prediction of and Monitoring Cancer Therapy <br> Response Based on Gene Expression <br> Profiling", PCT/US2011/046325 filed 8/2/2011, <br> nationalized in US (13/813,150), Europe, <br> Japan and Canada, not issued, value not <br> ascertainable. | $\mathrm{N} / \mathrm{A}$ | Rent or Royalties |
| AMOUNT |  |  |  |$\quad$ \$2,501-\$5,000


| \# | DESCRIPTION | EIF | INCOME TYPE |
| :--- | :--- | :--- | :--- |
| 22.11 | "Functional Genomics Using CRISPR-CAS <br> Systems, Compositions, Methods, Screens <br> and Applications Thereof," US Patent <br> application no. 15/141,348, not issued, value <br> not ascertainable. | $\mathrm{N} / \mathrm{A}$ | Rent or Royalties |
| AMOUNT |  |  |  |


| \# | DESCRIPTION | EIF | VALUE |
| :--- | :--- | :--- | :--- |
| 22.18 | "Novel CRISPR Enzyme and Systems," <br> PCT/US2017/038154 filed 6/19/2017, <br> nationalized US (16/310,577), Australia, <br> Brazil, Canada, China, Europe, Hong Kong, <br> Japan, Korea, not issued, value not <br> ascertainable. | $\mathrm{N} / \mathrm{A}$ | INCOME |
| AMOUNT |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE |
| :--- | :--- | :--- | :--- |
| 22.25 | "CRISPR Effector System Based Diagnostics," <br> US Patent application no. 15/922,837 filed <br> 3/15/2018, not issued, value not ascertainable. | $\mathrm{N} / \mathrm{A}$ | INCOME <br> AMOUNT |
| 22.26 | "Methods and Systems for Reconstruction of less <br> Developmental Landscapes by Optimal <br> Transport Analysis," PCT/US2018/051808 <br> filed 9/19/2018, nationalized US (16/648,715), <br> not issued, value not ascertainable. |  |  |
| 22.27 | "CRISPR Effector System Based Diagnostics <br> For Malaria Detection," US 15/952,132 filed |  |  |
| 4/12/2018, not issued, value not ascertainable. |  |  |  |


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


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

## 3. Filer's Employment Agreements and Arrangements

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


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


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

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

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

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

| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE |
| :--- | :--- | :--- | :--- | :--- |
| 1 | IRA \#1 | INCOME |  |  |
| AMOUNT |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE |
| :--- | :--- | :--- | :--- | :--- |
| 1.5 | Old Westbury Small \& Mid Cap Strategies | INCOME |  |  |
|  |  |  |  |  |

## 6. Other Assets and Income

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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE |
| :--- | :--- | :--- | :--- | :--- |
| 123 | TENCENT HOLDINGS LTD (TCEHY) | N/A | INCOME <br> AMOUNT |  |
| 124 | SEA LTD ADR (SE) | None (or less |  |  |
| than $\$ 201)$ |  |  |  |  |


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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE |
| :--- | :--- | :--- | :--- | :--- |
| 165 | WEX, Inc. (WEX) | INCOME |  |  |
| AMOUNT |  |  |  |  |


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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE |
| :--- | :--- | :--- | :--- | :--- |
| 207 | Alphabet, Inc. (GOOG) | INCOME |  |  |
| AMOUNT |  |  |  |  |


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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


| $\# \#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME |
| :--- | :--- | :--- | :--- | :--- | :--- |
| AMOUNT |  |  |  |  |  |


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


| $\#$ | DESCRIPTION | EIF | VALUE | INCOME TYPE |
| :--- | :--- | :--- | :--- | :--- |
| 278 | CDW Corp. (CDW) | INCOME |  |  |
| AMOUNT |  |  |  |  |


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


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


| 7. Transactions |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
| (N/A) - Not required for this type of report |  |  |  |  |  |
| 8. Liabilities |  |  |  |  |  |
| \# CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | Rate | TERM |
| 1 Cambridge Trust | Mortgage on Personal Residence | $\begin{aligned} & \$ 100,001- \\ & \$ 250,000 \end{aligned}$ | 2000 | Variable interest rate, current rate 4\% - December 31, 2020 thru May 15, 2021. | 30 years |
| 2 5TH AVE REAL ASSETS 3 T1 Fund | Capital commitment | $\begin{aligned} & \$ 100,001- \\ & \$ 250,000 \end{aligned}$ | 2015 | N/A | On demand |

9. Gifts and Travel Reimbursements
(N/A) - Not required for this type of report

## Endnotes

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


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


| PART | $\#$ | ENDNOTE |
| :--- | :--- | :--- |
| 3. | 1 | Unpaid leave. I will receive no compensation. |
| 3. | 2 | Unpaid leave. I will receive no compensation. |
| 3. | 3 | Unpaid leave. I will receive no compensation. |

## Summary of Contents

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

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

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

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.

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 $402(\mathrm{~b})(1)$ 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).

