

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

## Filer's Information

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**Sondland, Gordon D**

U.S. Representative to the European Union with Rank of Ambassador, Department of State

Report Year: 2019

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

**/s/ Sondland, Gordon D [electronically signed on 05/15/2019 by Sondland, Gordon D in Integrity.gov] - Filer received a 045 day filing extension.**

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

**/s/ Browne, Noah, Certifying Official [electronically signed on 06/28/2019 by Browne, Noah in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Granahan, Megan, Certifying Official [electronically signed on 07/31/2019 by Granahan, Megan in Integrity.gov]**

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Data Revised 06/28/2019

Data Revised 06/27/2019

Data Revised 06/11/2019

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

| # | ORGANIZATION NAME  | CITY, STATE         | ORGANIZATION TYPE | POSITION HELD                             | FROM    | TO     |
|---|--|---------------------|-------------------|---|---------|--------|
| 1 | Aspen Dorado, LP (Residential Real Estate, Indian Wells, CA)                   | Portland, Oregon    | LP                | General Partner                           | 12/2002 | 6/2018 |
| 2 | Aspen Lodging Group, LLC (d.b.a. Provenance Hotels) (Hotel Management Company) | Portland, Oregon    | LLC               | CEO                                       | 9/2002  | 6/2018 |
| 3 | Aspen Mallory Holdings, LLC (Hotel Real Estate, Portland, OR)                  | Portland, Oregon    | LLC               | President, Director                       | 4/2004  | 6/2018 |
| 4 | Buena Vista Investments LLC (Investments Holding Company)                      | Seattle, Washington | LLC               | Manager                                   | 1/1995  | 6/2018 |
| 5 | Buena-Hayden, LLC (Retail Real Estate, Portland, OR)                           | Portland, Oregon    | LLC               | President, Treasurer, Secretary, Director | 10/2007 | 6/2018 |
| 6 | Dunson Benson, Inc. (GP of Hotel Investment Vehicle)                           | Seattle, Washington | Corporation       | President, Treasurer, Secretary, Director | 6/1988  | 6/2018 |
| 7 | Dunson Cornerstone, Inc. (Corporate Manager of Investment Vehicles)            | Seattle, Washington | Corporation       | President, Treasurer, Secretary, Director | 8/1991  | 6/2018 |
| 8 | Dunson/Pruland, Inc. (GP of Residential Real Estate Investment Vehicle)        | Seattle, Washington | Corporation       | President, Treasurer, Secretary, Director | 5/1988  | 6/2018 |
| 9 | Dunson-Vance Inc. (Hotels Investment Vehicle)                                  | Seattle, Washington | Corporation       | President, Treasurer, Secretary, Director | 2/1990  | 6/2018 |

| #  | ORGANIZATION NAME  |             | CITY, STATE         | ORGANIZATION TYPE | POSITION HELD                             | FROM    | TO     |
|----|--|-------------|---------------------|-------------------|---|---------|--------|
| 10 | GS-1, Inc. (Hotel Investment Vehicle)  |             | Seattle, Washington | Corporation       | President, Treasurer, Secretary, Director | 7/1995  | 6/2018 |
| 11 | GS-2, Inc. (Hotel Investment Vehicle)  |             | Seattle, Washington | Corporation       | President, Treasurer, Secretary, Director | 2/1996  | 6/2018 |
| 12 | N820KD, LLC (Owner of Lear Jet)  |             | Portland, Oregon    | LLC               | Manager                                   | 4/2016  | 6/2018 |
| 13 | Provenance Hotel Partners Fund I, LLC (Hotel Holding Company)                |             | Portland, Oregon    | LLC               | CEO and Chair of Advisory Board           | 1/2016  | 6/2018 |
| 14 | The Gordon Sondland & Katherine J. Durant Foundation (Charitable Foundation) |             | Portland, Oregon    | Non-Profit        | President, Treasurer, Secretary, Director | 10/1991 | 6/2018 |
| 15 | Hands Free Foundation (Charitable Foundation)                                |             | Portland, Oregon    | Non-Profit        | Treasurer, Director                       | 9/2015  | 6/2018 |
| 16 | US Bancorp (National Bank)   | See Endnote | Seattle, Washington | Corporation       | Member of Advisory Board                  | 1/2007  | 6/2018 |
| 17 | Portland Hotel, LLC (Hotel Real Estate, Portland, OR)                        |             | Portland, Oregon    | LLC               | President, Director                       | 10/2006 | 6/2018 |
| 18 | KS Tacoma Hotel, LLC (Hotel Real Estate, Tacoma, WA)                         |             | Seattle, Washington | LLC               | President, Director                       | 10/2006 | 6/2018 |
| 19 | Vance Hotel Associates, LLC (Hotel Real Estate, Seattle, WA)                 |             | Seattle, Washington | LLC               | President, Director                       | 10/2016 | 6/2018 |
| 20 | Aspen Imperial, LLC (Hotel Real Estate, Portland, OR)                        |             | Portland, Oregon    | LLC               | President, Director                       | 10/2006 | 6/2018 |
| 21 | Portland Governor Hotel Acquisition, LLC (Hotel Real Estate, Portland, OR)   |             | Portland, Oregon    | LLC               | President, Director                       | 3/2015  | 6/2018 |

| #  | ORGANIZATION NAME   | CITY, STATE            | ORGANIZATION TYPE  | POSITION HELD                             | FROM    | TO     |
|----|---|------------------------|--------------------|---|---------|--------|
| 22 | Aspen Tennessee, LLC (Hotel Real Estate, Nashville, TN)                     | Portland, Oregon       | LLC                | President, Director                       | 10/2006 | 6/2018 |
| 23 | Roosevelt Hotel Owner, LLC (Hotel Real Estate, Seattle, WA)                 | Seattle, Washington    | LLC                | President, Director                       | 3/2015  | 6/2018 |
| 24 | Mayflower Hotel Owner, LLC (Hotel Real Estate, Seattle, WA)                 | Seattle, Washington    | LLC                | President, Director                       | 2/2015  | 6/2018 |
| 25 | Hotel Ambassador Nola, LLC (Hotel Real Estate, New Orleans, LA)             | Portland, Oregon       | LLC                | President, Director                       | 5/2016  | 6/2018 |
| 26 | Villa Palm Springs Owner, LLC (Hotel Real Estate, Palm Springs, CA)         | Portland, Oregon       | LLC                | President, Director                       | 5/2017  | 6/2018 |
| 27 | GB Local Investors, LLC (Media Company Investment Vehicle)                  | Seattle, Washington    | LLC                | Managing Member                           | 12/2013 | 6/2018 |
| 28 | GB Illinois Investors, LLC (Restaurant Chain Investment Vehicle)            | Seattle, Washington    | LLC                | Managing Member                           | 11/2012 | 6/2018 |
| 29 | Board of Visitors at the Sanford School of Public Policy at Duke University | Durham, North Carolina | University/College | Member                                    | 5/2017  | 6/2018 |
| 30 | DV Inc. (Hotels Investment Vehicle)   | Seattle, Washington    | Corporation        | President, Treasurer, Secretary, Director | 7/1998  | 6/2018 |

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

| # | DESCRIPTION   | EIF | VALUE                      | INCOME TYPE   | INCOME AMOUNT           |
|---|---|-----|----------------------------|---|-------------------------|
| 1 | Dunson Cornerstone, Inc. (Investment Asset Manager and Holding Company) | No  | \$5,000,001 - \$25,000,000 | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | \$100,001 - \$1,000,000 |

| #          | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------------|--|-----|-------|-------------|---------------|
| 1.1        | Dunson Tacoma, LLC (Investment Vehicle)                                    | No  |       |             |               |
| 1.1.1      | Provenance Hotel Partners Fund I, LLC (Hotel Holding Company)              | No  |       |             |               |
| 1.1.1.1    | Alder Park Investments, LLC (Office/Retail Real Estate, Portland, OR)      | N/A |       |             |               |
| 1.1.1.2    | KS Tacoma Hotel, LLC (Hotel Real Estate, Tacoma, WA)                       | N/A |       |             |               |
| 1.1.1.3    | Hotel Ambassador NOLA, LLC (Hotel Real Estate, New Orleans, LA)            | N/A |       |             |               |
| 1.1.1.4    | Portland Governor Hotel Acquisition, LLC (Hotel Real Estate, Portland, OR) | N/A |       |             |               |
| 1.1.1.5    | Aspen Tennessee, LLC (Hotel Real Estate, Nashville, TN)                    | N/A |       |             |               |
| 1.1.1.6    | Vance Hotel Associates, LLC (Hotel Real Estate, Seattle, WA)               | N/A |       |             |               |
| 1.1.1.7    | Aspen Mallory Holdings, LLC (Investment Vehicle)                           | No  |       |             |               |
| 1.1.1.7.1  | Aspen Rolls, LLC (Rolls Royce Limo for Hotels, Portland, OR)               | N/A |       |             |               |
| 1.1.1.7.2  | Hotel DeLuxe, Portland, Oregon   | N/A |       |             |               |
| 1.1.1.8    | Aspen Imperial, LLC (Hotel Real Estate, Portland, OR)                      | N/A |       |             |               |
| 1.1.1.9    | Portland Hotel, LLC (Hotel Real Estate, Portland, OR)                      | N/A |       |             |               |
| 1.1.1.10   | PH Palm Springs Principals, LLC (Investment Vehicle)                       | No  |       |             |               |
| 1.1.1.10.1 | PH Palm Springs, LLC (Investment Vehicle)                                  | No  |       |             |               |

| #                  | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------------------|--|-----|-------|-------------|---------------|
| 1.1.1.1<br>0.1.1   | Villa Palm Springs Investors, LLC (Investment Vehicle)                             | No  |       |             |               |
| 1.1.1.1<br>0.1.1.1 | Villa Palm Springs Owner, LLC (Hotel Real Estate, Palm Springs, CA)                | N/A |       |             |               |
| 1.1.1.1<br>1       | PHP Woodlark, LLC (Investment Vehicle)   | No  |       |             |               |
| 1.1.1.1<br>1.1     | Stevens Block Development LLC (Hotel Holding Company)                              | No  |       |             |               |
| 1.1.1.1<br>1.1.1   | Woodlark Owner, LLC (Hotel Real Estate, Portland, OR)                              | N/A |       |             |               |
| 1.1.1.1<br>2       | PHP OCC Holdings, LLC (Vacant Real Estate, Portland, OR)                           | N/A |       |             |               |
| 1.1.1.1<br>3       | Aspen Lodging Group, LLC (Investment Vehicle)                                      | No  |       |             |               |
| 1.1.1.1<br>3.1     | N820KD, LLC (Lear Jet, Portland, OR - Sold 11/2018)                                | N/A |       |             |               |
| 1.1.1.1<br>3.2     | Retail/Office Real Estate, Portland, OR  | N/A |       |             |               |
| 1.1.1.1<br>3.3     | Hotel Management Company for US Hotels   | N/A |       |             |               |
| 1.1.1.1<br>3.4     | ALG Boston Management, LLC (management company for hotel in Boston, Massachusetts) | N/A |       |             |               |
| 1.1.1.1<br>3.5     | ALG Dundee, LLC (Investment Vehicle)   | No  |       |             |               |
| 1.1.1.1<br>3.5.1   | Harvest Inn, LLC (Hotel real estate in Dundee, Oregon)                             | N/A |       |             |               |
| 1.1.1.1<br>3.6     | ALG Heathman Management, LLC (management company for hotel in Portland, Oregon)    | N/A |       |             |               |

| #               | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----------------|--|-----|-------|-------------|---------------|
| 1.1.1.1<br>3.7  | ALG Madison Management, LLC<br>(management company for hotel in<br>Madison, Wisconsin)             | N/A |       |             |               |
| 1.1.1.1<br>3.8  | ALG Milwaukee Management, LLC<br>(management company for hotel in<br>Milwaukee, Wisconsin)         | N/A |       |             |               |
| 1.1.1.1<br>3.9  | ALG Palm Springs Management, LLC<br>(management company for hotels in Palm<br>Springs, California) | N/A |       |             |               |
| 1.1.1.1<br>3.10 | ALG Roosevelt Management, LLC<br>(management company for hotel in Seattle,<br>Washington)          | N/A |       |             |               |
| 1.1.1.1<br>3.11 | ALG Stillwater Management, LLC<br>(management company for hotel in<br>Stillwater, Minnesota)       | N/A |       |             |               |
| 1.1.1.1<br>3.12 | ALG Woodlark Management, LLC<br>(management company for hotel in<br>Portland, Oregon)              | N/A |       |             |               |
| 1.1.1.1<br>3.13 | Note receivable from Aspen Ace, LLC  | N/A |       |             |               |
| 1.1.1.1<br>4    | Cash account in a US bank  | N/A |       |             |               |
| 1.1.1.1<br>5    | Aspen Murano Park, LLC (Parking Lot Real<br>Estate, Tacoma, WA)                                    | N/A |       |             |               |
| 1.1.1.1<br>6    | Aspen Mallory Park, LLC (Parking Lot Real<br>Estate, Portland, OR)                                 | N/A |       |             |               |
| 1.1.1.1<br>7    | PHPF Nola Restaurant, LLC (Investment<br>Vehicle)  | No  |       |             |               |
| 1.1.1.1<br>7.1  | 522 Restaurant, LLC (Restaurant Business,<br>New Orleans, Louisiana)                               | N/A |       |             |               |
| 1.1.2           | Cash account in a US bank  | N/A |       |             |               |



| #     | DESCRIPTION   | EIF | VALUE                      | INCOME TYPE   | INCOME AMOUNT           |
|-------|---|-----|----------------------------|---|-------------------------|
| 1.2   | Cash account in a US bank   | N/A |                            |   |                         |
| 1.3   | BV-Cornerstone, LLC (Investment Vehicle)  | No  |                            |   |                         |
| 1.3.1 | Kimpton Hotel & Restaurant Group, LLC (Hotel Management Company, San Francisco, CA - This is a contractual right to receive residual management fees) | N/A |                            |   |                         |
| 2     | Dunson Vance Inc. (Investment Asset Manager and Holding Company)  | No  | \$5,000,001 - \$25,000,000 | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | \$100,001 - \$1,000,000 |
| 2.1   | Buena Vista Investments, LLC (Investment Holding Company- See Item #4)  | No  |                            |   |                         |
| 2.2   | DV, Inc. (Investment Vehicle)   | No  |                            |   |                         |
| 2.2.1 | Provenance Hotel Partners Fund I, LLC (Hotel Holding Company - See Item #1.1.1)   | No  |                            |   |                         |
| 2.3   | Cash account in a US bank   | N/A |                            |   |                         |
| 2.4   | 15th & Market, LLC (Parking Lot Real Estate, Tacoma, WA)  | N/A |                            |   |                         |
| 3     | US Bancorp. (National Bank Holding Company)   | N/A |                            | Non-employee compensation - Directors Fees                  | \$5,000                 |
| 4     | Buena Vista Investments LLC (Investment Holding Company, Seattle, WA)   | No  | Over \$50,000,000          | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | Over \$5,000,000        |
| 4.1   | Dunson Hayden LLC (Investment Vehicle)  | No  |                            |   |                         |
| 4.1.1 | Buena-Hayden Holdings, LLC (Real Estate Holding Company)  | No  |                            |   |                         |

| #             | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------------|--|-----|-------|-------------|---------------|
| 4.1.1.1       | Buena-Hayden LLC (Retail Real Estate, Portland, OR)                    | N/A |       |             |               |
| 4.1.1.2       | Buena-Hayden North LLC (Retail Real Estate, Portland, OR)              | N/A |       |             |               |
| 4.2           | Aspen Alder LLC (Office/Retail Real Estate, Portland, OR)              | N/A |       |             |               |
| 4.3           | Dunson 205, LLC (Retail Real Estate, Portland, OR)                     | N/A |       |             |               |
| 4.4           | BV-Uptown, LLC (Investment Vehicle)                                    | No  |       |             |               |
| 4.4.1         | Atlas Uptown LLC (Investment Vehicle)                                  | No  |       |             |               |
| 4.4.1.1       | Atlas Uptown Apartments LLC (Multi-family Real Estate, Portland, OR)   | N/A |       |             |               |
| 4.4.1.2       | Atlas Uptown Retail LLC (Retail Real Estate, Portland, OR)             | N/A |       |             |               |
| 4.4.1.3       | Atlas Uptown Westerly LLC (Retail Real Estate, Portland, OR)           | N/A |       |             |               |
| 4.4.1.4       | Cash account in a US bank  | N/A |       |             |               |
| 4.5           | Venture Investors, LLC (Investment Vehicle - liquidated April 2019)    | No  |       |             |               |
| 4.5.1         | Maveron Equity Partners, L.P. (US Based Consumer Venture Capital Fund) | Yes |       |             |               |
| 4.6           | BV-Nashville, LLC (Investment Vehicle)                                 | No  |       |             |               |
| 4.6.1         | Aspen Nashland, LLC (Investment Vehicle)                               | No  |       |             |               |
| 4.6.1.1       | Aspen Flower, LLC (Hotel Real Estate, Seattle, WA)                     | N/A |       |             |               |
| 4.6.1.1<br>.1 | Cash account in a US Bank  | N/A |       |             |               |

| #        | DESCRIPTION  | EIF         | VALUE | INCOME TYPE | INCOME AMOUNT |
|----------|--|-------------|-------|-------------|---------------|
| 4.7      | Aspen Yo, LLC (Investment Vehicle)                                     | No          |       |             |               |
| 4.7.1    | Great Ajax FS LLC (Investment Vehicle)                                 | No          |       |             |               |
| 4.7.1.1  | Gregory Properties, LLC (Residential Real Estate, Phoenix, AZ)         | N/A         |       |             |               |
| 4.7.1.2  | Gregory Funding LLC (US Based Residential Loan Servicing Company)      | N/A         |       |             |               |
| 4.8      | Aspen ML, LLC (US Based Employee Leasing Company)                      | N/A         |       |             |               |
| 4.9      | Contract Receivable from D3 Family Bulldog Fund, LP                    | See Endnote |       |             |               |
| 4.10     | Gregory Funding Florida, LLC (Real Estate Mortgage Loans in FL)        | N/A         |       |             |               |
| 4.11     | Aspen Factoria, LLC (Investment Vehicle)                               | No          |       |             |               |
| 4.11.1   | Newport Place Associates, LLC (Office Real Estate, Bellevue, WA)       | N/A         |       |             |               |
| 4.11.2   | Cash account in a US bank  | N/A         |       |             |               |
| 4.12     | BV-Hudson, LLC (Investment Vehicle)                                    | No          |       |             |               |
| 4.12.1   | Atlas Shopko Holdings, LLC (Investment Vehicle)                        | No          |       |             |               |
| 4.12.1.1 | Atlas Shopko Owner, LLC (Retail real estate, Bend, Eugene & Salem, OR) | N/A         |       |             |               |
| 4.12.1.2 | Cash account in a US Bank  |             |       |             |               |
| 4.13     | Aspen 18 Partners, LLC (Land in Florence, OR)                          | N/A         |       |             |               |
| 4.14     | BV Jakes, LLC (Investment Vehicle)                                     | No          |       |             |               |

| #        | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----------|--|-----|-------|-------------|---------------|
| 4.14.1   | TOB, LLC (Multi-family Real Estate, Portland, OR - Sold July 2018)   | N/A |       |             |               |
| 4.14.2   | Timber House Apt. LLC (residential real estate in Vancouver, WA)   | N/A |       |             |               |
| 4.15     | Aspen Across the Street Holdings, LLC (Vacant Real Estate, Vancouver, WA)  | N/A |       |             |               |
| 4.16     | AAS Mezz, LLC (Vacant Real Estate, Vancouver, WA)  | N/A |       |             |               |
| 4.17     | Aspen Genesis, LLC (Investment Vehicle)  | No  |       |             |               |
| 4.17.1   | Genesis Financial Solutions (servicer of consumer debts)   | N/A |       |             |               |
| 4.18     | Aspen McKenzie, LLC (Commercial Real Estate Loan to International Sports Training Center LLC and Terry Emmert, Eugene, Oregon) | N/A |       |             |               |
| 4.19     | Aspen Top, LLC (Vacant Real Estate, Bend, OR)  | N/A |       |             |               |
| 4.20     | BV-Cat, LLC (Investment Vehicle)   | No  |       |             |               |
| 4.20.1   | Alley Cat III, LLC (Land in Goldendale, WA and The Dalles, OR)   | N/A |       |             |               |
| 4.21     | BV-Greenway, LLC (Investment Vehicle)  | No  |       |             |               |
| 4.21.1   | Atlas Greenway Holdings, LLC (Investment Vehicle)  | No  |       |             |               |
| 4.21.1.1 | Atlas Greenway, LLC (Retail Real Estate, Tigard, OR)   | N/A |       |             |               |
| 4.21.1.2 | Cash account in a US bank  | N/A |       |             |               |
| 4.22     | BV-Mayflower, LLC (Investment Vehicle)   | No  |       |             |               |

| #            | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------------|--|-----|-------|-------------|---------------|
| 4.22.1       | PH Mayflower Principals, LLC (Investment Vehicle)                      | No  |       |             |               |
| 4.22.1.1     | Aspen Mayflower, LLC (Investment Vehicle)                              | No  |       |             |               |
| 4.22.1.1.1   | Mayflower Hotel Investors, LLC (Investment Vehicle)                    | No  |       |             |               |
| 4.22.1.1.1.1 | Mayflower Hotel Owner, LLC (Hotel Real Estate, Seattle, WA)            | N/A |       |             |               |
| 4.22.1.1.1.2 | Cash account in a US bank  | N/A |       |             |               |
| 4.23         | BV-Sandy Bar, LLC (Investment Vehicle)                                 | No  |       |             |               |
| 4.23.1       | Aspen Sandy Bar, LLC (Investment Vehicle)                              | No  |       |             |               |
| 4.23.1.1     | 930 Sandy Bar, LLC (Restaurant, Portland, OR)                          | N/A |       |             |               |
| 4.23.1.2     | 930 Sandy Investors, LLC (Retail Real Estate, Portland, OR)            | N/A |       |             |               |
| 4.23.1.3     | Cash account in a US bank  | N/A |       |             |               |
| 4.23.1.4     | Personal Note Receivable from Partner                                  | N/A |       |             |               |
| 4.24         | Aspen Capital Management, LLC (Asset Management Company, Portland, OR) | N/A |       |             |               |
| 4.25         | BV-Strand, LLC (Investment Vehicle)                                    | No  |       |             |               |
| 4.25.1       | Aspen Strand, LLC (Investment Vehicle)                                 | No  |       |             |               |
| 4.25.1.1     | Strand & Pier Holding Company, LLC (Investment Vehicle)                | No  |       |             |               |
| 4.25.1.1.1   | Strand & Pier Owner, LLC (Retail Real Estate, Hermosa Beach, CA)       | N/A |       |             |               |

| #          | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------------|--|-----|-------|-------------|---------------|
| 4.25.2     | Strand & Pier Holding Company, LLC (Investment Vehicle)                      | No  |       |             |               |
| 4.25.2.1   | Strand & Pier Owner, LLC (Retail Real Estate, Hermosa Beach, CA)             | N/A |       |             |               |
| 4.26       | BV-Woodlark LLC (Investment Vehicle)   | No  |       |             |               |
| 4.26.1     | Aspen Woodlark, LLC (Investment Vehicle)                                     | No  |       |             |               |
| 4.26.1.1   | Stevens Block Development, LLC (Hotel Holding Company, See Item #1.1.1.11.1) | No  |       |             |               |
| 4.27       | BV- Isabella LLC (Jumping Horse)   | N/A |       |             |               |
| 4.28       | Maxus Realty Trust (US Multifamily Housing REIT)                             | Yes |       |             |               |
| 4.29       | Pacific Continental Bank (formerly NW International Bank)                    | N/A |       |             |               |
| 4.30       | BV-Atlas , LLC (Investment Vehicle)  | No  |       |             |               |
| 4.30.1     | Atlas Investments, LLC (Investment Vehicle)                                  | No  |       |             |               |
| 4.30.1.1   | Alder Park Investments, LLC (Retail/Office Real Estate, Portland, OR)        | N/A |       |             |               |
| 4.30.1.2   | Centerpointe Shops, LLC (Investment Vehicle)                                 | No  |       |             |               |
| 4.30.1.2.1 | Centerpointe Shops Owner, LLC (Retail Real Estate, Lake Oswego, OR)          | N/A |       |             |               |
| 4.30.1.3   | Atlas Colfax, LLC (Industrial Real Estate, Portland, OR)                     | N/A |       |             |               |
| 4.30.1.4   | BV-Lakeview, LLC (Industrial Real Estate, Lake Oswego, OR)                   | N/A |       |             |               |
| 4.30.1.5   | Atlas Sandy, LLC (Retail Real Estate, Sandy, OR)                             | N/A |       |             |               |

| #            | DESCRIPTION   | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------------|---|-----|-------|-------------|---------------|
| 4.30.1.6     | Atlas St. Helens, LLC (Retail Real Estate, St. Helens, OR)              | N/A |       |             |               |
| 4.30.1.7     | Atlas Shopko, LLC (Investment Vehicle)                                  | No  |       |             |               |
| 4.30.1.7.1   | Atlas Shopko Holdings, LLC (Investment Vehicle)                         | No  |       |             |               |
| 4.30.1.7.1.1 | Atlas Shopko Owner, LLC (Retail real estate, Bend, Eugene & Salem, OR)  | N/A |       |             |               |
| 4.30.1.7.1.2 | Cash account in a US Bank   | N/A |       |             |               |
| 4.30.1.8     | Atlas Wood Village, LLC (Retail Real Estate, Wood Village, OR)          | N/A |       |             |               |
| 4.30.1.9     | Atlas Wood Village Phase II, LLC (Retail Real Estate, Wood Village, OR) | N/A |       |             |               |
| 4.30.1.10    | Atlas Young's Bay, LLC (Retail Real Estate, Warrenton, OR)              | N/A |       |             |               |
| 4.30.1.11    | Cash account in a US bank   | N/A |       |             |               |
| 4.31         | Hayden Management, LLC (Retail Real Estate Asset Manager, Portland, OR) | N/A |       |             |               |
| 4.32         | Dunson Couch, LLC (Retail Real Estate, Portland, OR)                    | N/A |       |             |               |
| 4.33         | BV-Sherwood, LLC (Commercial Real Estate, Sherwood, OR)                 | N/A |       |             |               |
| 4.34         | BV-Tanasbourne, LLC (Investment Vehicle)                                | No  |       |             |               |
| 4.34.1       | Atlas Tanasbourne 19 Holdings, LLC (Investment Vehicle)                 | No  |       |             |               |
| 4.34.1.1     | Atlas Tanasbourne 19, LLC (Retail Real Estate, Portland, OR)            | N/A |       |             |               |

| #            | DESCRIPTION   | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------------|---|-----|-------|-------------|---------------|
| 4.34.1.<br>2 | Atlas Tanasbourne 18, LLC (Retail real estate, Portland, OR)                    | N/A |       |             |               |
| 4.34.2       | Atlas Tanasbourne NB Holdings, LLC (Investment Vehicle)                         | No  |       |             |               |
| 4.34.2.<br>1 | Atlas Tanasbourne NB, LLC (Retail Real Estate, Portland, OR)                    | N/A |       |             |               |
| 4.34.3       | Atlas Tanasbourne S1 Holdings, LLC (Investment Vehicle)                         | No  |       |             |               |
| 4.34.3.<br>1 | Atlas Tanasbourne S1, LLC (Retail Real Estate, Portland, OR)                    | N/A |       |             |               |
| 4.35         | BV-Endeavour, LLC (Investment Vehicle)  | No  |       |             |               |
| 4.35.1       | PREP NE 1st LLC (Multifamily Real Estate, Portland, OR)                         | N/A |       |             |               |
| 4.35.2       | Endeavour Capital Fund V, LP (Investment in Closed-End Private Equity Fund)     | Yes |       |             |               |
| 4.35.3       | Endeavour Capital Fund V AIV, LP (Investment in Closed-End Private Equity Fund) | Yes |       |             |               |
| 4.35.4       | Simple Emotion, LLC (Automated Learning Company, Portland, OR)                  | N/A |       |             |               |
| 4.35.5       | Open Sesame, Inc. (Application Software Company, Portland, OR)                  | N/A |       |             |               |
| 4.36         | BV Aspen Investor, LLC (Investment Vehicle)                                     | No  |       |             |               |
| 4.36.1       | Aspen Housing Opportunities LLC (Investment in US Residential Real Estate Fund) | N/A |       |             |               |
| 4.37         | BV-PHP Fund I, LLC (Investment Vehicle)   | No  |       |             |               |



| #        | DESCRIPTION   | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----------|---|-----|-------|-------------|---------------|
| 4.37.1   | Provenance Hotel Partners Fund I, LLC (Hotel Holding Company, Portland, OR -- See Item #1.1.1)  | No  |       |             |               |
| 4.38     | BV-TDC, LLC (Investment Vehicle)  | No  |       |             |               |
| 4.38.1   | Threat Deterrence Capital LLC (US Intelligence Gathering Company based in FL - Divested 8/2018) | N/A |       |             |               |
| 4.39     | BV-2, LLC (Investment Vehicle)  | No  |       |             |               |
| 4.39.1   | 822, LLC (Residential Real Estate, Portland, OR - Sold in March 2018)                           | N/A |       |             |               |
| 4.39.2   | Aspen Lodging Group, LLC (See Item #1.1.1.13)   | No  |       |             |               |
| 4.39.3   | 303/Angel, LLC (Investment Vehicle)   | No  |       |             |               |
| 4.39.3.1 | Pearl District Lodging Associates, LLC (Hotel Real Estate, Portland, OR)                        | N/A |       |             |               |
| 4.40     | BV-Olympia, LLC (Investment Vehicle)  | No  |       |             |               |
| 4.40.1   | Atlas Olympia, LLC (Investment Vehicle)   | No  |       |             |               |
| 4.40.1.1 | A&M Olympia Holdings, LLC (Retail Real Estate, Olympia, WA)                                     | N/A |       |             |               |
| 4.41     | BV-Dock, LLC  | No  |       |             |               |
| 4.41.1   | Dock Square Communications, LP (Investment Vehicle)   | No  |       |             |               |
| 4.41.1.1 | Vertical Bridge Holdings, LLC (Ownership and Operation of Communication Towers)                 | N/A |       |             |               |
| 4.41.1.2 | DB US Data Center Holdings, LLC (Data Center Owner and Operator)                                | N/A |       |             |               |
| 4.42     | Dunson Investments, LLC (Investment Holding Company)  | No  |       |             |               |

| #         | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----------|--|-----|-------|-------------|---------------|
| 4.42.1    | US Brokerage Account (Account Closed and all holdings divested except for #4.42.1.30 and #4.42.1.52, which are now reported in Part 6) | No  |       |             |               |
| 4.42.1.1  | Cash account in a US bank  | N/A |       |             |               |
| 4.42.1.2  | Allegion PLC (ALLE - Ireland)  | N/A |       |             |               |
| 4.42.1.3  | Allergan PLC (AGN - Ireland)   | N/A |       |             |               |
| 4.42.1.4  | Aptiv PLC (APTV - United Kingdom)  | N/A |       |             |               |
| 4.42.1.5  | Roper Technologies Inc. (ROP - Florida)  | N/A |       |             |               |
| 4.42.1.6  | Zebra Technologies Corp (ZBRA - Illinois)  | N/A |       |             |               |
| 4.42.1.7  | JP Morgan Alerian MLP ETN (AMJ - New York)   | N/A |       |             |               |
| 4.42.1.8  | Financial Select Sector SPDR Fund (XLF - New York)   | Yes |       |             |               |
| 4.42.1.9  | Vanguard FTSE Developed Markets ETF (VEA - Delaware)   | Yes |       |             |               |
| 4.42.1.10 | AbbVie INC. (ABBV - Delaware)  | N/A |       |             |               |
| 4.42.1.11 | Accenture PLC (ACN - Ireland)  | N/A |       |             |               |
| 4.42.1.12 | Adobe Systems Inc. (ADBE - Delaware)   | N/A |       |             |               |
| 4.42.1.13 | Amazon.Com, Inc. (AMZN - Delaware)   | N/A |       |             |               |

| #             | DESCRIPTION                                      | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------------|--|-----|-------|-------------|---------------|
| 4.42.1.<br>14 | Amgen, Inc. (AMGN - Delaware)                    | N/A |       |             |               |
| 4.42.1.<br>15 | Alphabet Inc. (GOOGL - Delaware)                 | N/A |       |             |               |
| 4.42.1.<br>16 | Bank of America Corporation (BAC - Delaware)     | N/A |       |             |               |
| 4.42.1.<br>17 | Biogen Inc. (BIIB - Delaware)                    | N/A |       |             |               |
| 4.42.1.<br>18 | Bristol-Meyers Squibb Company (BMJ - Delaware)   | N/A |       |             |               |
| 4.42.1.<br>19 | BlackRock, Inc. (BLK - Delaware)                 | N/A |       |             |               |
| 4.42.1.<br>20 | Broadcom Limited (AVGO - Singapore)              | N/A |       |             |               |
| 4.42.1.<br>21 | Celgene Corporation (CELG - Delaware)            | N/A |       |             |               |
| 4.42.1.<br>22 | Chevron Corp. (CVX - New York)                   | N/A |       |             |               |
| 4.42.1.<br>23 | Cintas Corporation (CTAS - Washington)           | N/A |       |             |               |
| 4.42.1.<br>24 | Citigroup Inc. (C - Delaware)                    | N/A |       |             |               |
| 4.42.1.<br>25 | Constellation Brands, Inc. (STZ - Delaware)      | N/A |       |             |               |
| 4.42.1.<br>26 | Costco Wholesale Corporation (COST - Washington) | N/A |       |             |               |
| 4.42.1.<br>27 | Delphi Automotive PLC (DLPH - United Kingdom)    | N/A |       |             |               |

| #             | DESCRIPTION   | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------------|---|-----|-------|-------------|---------------|
| 4.42.1.<br>28 | The Walt Disney Company (DIS - Delaware - Divested)         | N/A |       |             |               |
| 4.42.1.<br>29 | Edward Lifesciences Corporation (EW - Delaware)             | N/A |       |             |               |
| 4.42.1.<br>30 | Enterprise Products Partners L.P. (EPD - Delaware)          | N/A |       |             |               |
| 4.42.1.<br>31 | Facebook, Inc. (FB - Delaware)                              | N/A |       |             |               |
| 4.42.1.<br>32 | Fedex Corporation (FDX - Delaware)                          | N/A |       |             |               |
| 4.42.1.<br>33 | Level 3 Communications (LVL3 - Delaware - Divested)         | N/A |       |             |               |
| 4.42.1.<br>34 | Lockheed Martin Corporation (LMT - Maryland)                | N/A |       |             |               |
| 4.42.1.<br>35 | Microsoft Corporation (MSFT - Washington)                   | N/A |       |             |               |
| 4.42.1.<br>36 | Morgan Stanley Corp. (MS - Delaware)                        | N/A |       |             |               |
| 4.42.1.<br>37 | Nvidia Corporation (NVDA - Delaware)                        | N/A |       |             |               |
| 4.42.1.<br>38 | Occidental Petroleum Corporation (OXY - Delaware)           | N/A |       |             |               |
| 4.42.1.<br>39 | Palo Alto Networks, Inc. (PANW - Delaware - Divested)       | N/A |       |             |               |
| 4.42.1.<br>40 | Pembina Pipeline Corporation (PBA - Canada)                 | N/A |       |             |               |
| 4.42.1.<br>41 | The PNC Financial Services Group, Inc. (PNC - Pennsylvania) | N/A |       |             |               |

| #             | DESCRIPTION  | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------------|--|-----|-------|-------------|---------------|
| 4.42.1.<br>42 | Schmitt Industries, Inc. (SMIT - Oregon - Divested)          | N/A |       |             |               |
| 4.42.1.<br>43 | SVB Financial Group, Inc. (SIVB - Delaware)                  | N/A |       |             |               |
| 4.42.1.<br>44 | The TJX Companies, Inc. (TJX - Delaware)                     | N/A |       |             |               |
| 4.42.1.<br>45 | Verizon Communications, Inc. (VZ - Delaware)                 | N/A |       |             |               |
| 4.42.1.<br>46 | Ulta Beauty, Inc. (ULTA - Delaware - Divested)               | N/A |       |             |               |
| 4.42.1.<br>47 | Visa Inc. (V - Delaware)                                     | N/A |       |             |               |
| 4.42.1.<br>48 | Watsco, Inc. (WSO - Florida)                                 | N/A |       |             |               |
| 4.42.1.<br>49 | Colony Northstar, Inc. (CLNS - Maryland)                     | N/A |       |             |               |
| 4.42.1.<br>50 | LaSalle Hotel Properties, Inc. (LHO - Maryland)              | N/A |       |             |               |
| 4.42.1.<br>51 | Omega Healthcare Investors, Inc. (OHI - Maryland - Divested) | N/A |       |             |               |
| 4.42.1.<br>52 | Pebblebrook Hotel Trust (PEB PRC - Maryland)                 | N/A |       |             |               |
| 4.42.1.<br>53 | Prologis, Inc. (PLD - Maryland)                              | N/A |       |             |               |
| 4.42.1.<br>54 | Gateway Fund Class Y (GTEYX - Delaware)                      | Yes |       |             |               |
| 4.42.1.<br>55 | Tortoise MLP Fund Inc. (NTG - Delaware - Divested)           | Yes |       |             |               |

| #            | DESCRIPTION   | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|--------------|---|-----|--------------------|-------------|---------------------------|
| 4.42.1.56    | iShares US Aerospace & Defense ETF (ITA - Delaware)                                     | Yes |                    |             |                           |
| 4.42.2       | Cash in US Brokerage Account  | N/A |                    |             |                           |
| 4.42.3       | Cash accounts in a US bank  | N/A |                    |             |                           |
| 4.42.4       | US Brokerage Account  | No  | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 4.43         | DNGS-2, LLC (Investment Vehicle)  | No  |                    |             |                           |
| 4.43.1       | PH Roosevelt Principals, LLC (Investment Vehicle)                                       | No  |                    |             |                           |
| 4.43.1.1     | Dunson NorthCoast, LLC (Investment Vehicle)   | No  |                    |             |                           |
| 4.43.1.1.1   | Roosevelt Hotel Investors, LLC (Investment Vehicle)                                     | No  |                    |             |                           |
| 4.43.1.1.1.1 | Roosevelt Hotel Owner, LLC (Hotel Real Estate, Seattle, WA)                             | N/A |                    |             |                           |
| 4.43.1.1.1.2 | Cash account in a US bank   | N/A |                    |             |                           |
| 4.43.1.1.2   | Note Receivable from Roosevelt Hotel Investors  | N/A |                    |             |                           |
| 4.44         | BV-Tumalo, LLC (Residential Real Estate, Tumalo, OR - Sold 12/2018)                     | N/A |                    |             |                           |
| 4.44.1       | Seller Note Receivable  | N/A |                    |             |                           |
| 4.45         | BV-Ventures, LLC (Investment Vehicle)   | No  |                    |             |                           |
| 4.45.1       | Women's Venture Capital Fund (venture capital fund focused on women managed businesses) | Yes |                    |             |                           |
| 4.46         | Aspen Ace, LLC (Personal loan to US Citizen in Seattle, Washington)                     | N/A |                    |             |                           |

| #       | DESCRIPTION   | EIF | VALUE                     | INCOME TYPE   | INCOME AMOUNT             |
|---------|---|-----|---------------------------|---|---------------------------|
| 5       | Dunson Tacoma, LLC (Investment Vehicle - See Item #1.1)             | No  | \$250,001 - \$500,000     | Rent or Royalties<br>Dividends<br>Capital Gains<br>Interest | \$5,001 - \$15,000        |
| 6       | Dunson Benson, Inc. (Hotel Real Estate Asset Manager, Portland, OR) | No  | \$15,001 - \$50,000       | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | None (or less than \$201) |
| 6.1     | Benson Dunson Limited Partnership (Investment Vehicle)              | No  |                           |   |                           |
| 6.1.1   | Benson Hotel Managing Partner, LLC (Investment Vehicle)             | No  |                           |   |                           |
| 6.1.1.1 | Benson Hotel Limited Partnership (Hotel Real Estate, Portland, OR)  | N/A |                           |   |                           |
| 7       | GS-1, Inc. (Investment Vehicle)                                     | No  | \$1,000,001 - \$5,000,000 | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | \$100,001 - \$1,000,000   |
| 7.1     | 8th & Pine Financial LLC (Investment Vehicle)                       | No  |                           |   |                           |
| 7.1.1   | 8th & Pine Joint Venture (Hotel Real Estate, Seattle, WA)           | N/A |                           |   |                           |
| 8       | GS-2, Inc. (Hotel Asset Manager, Seattle, WA)                       | N/A | \$50,001 - \$100,000      | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | None (or less than \$201) |
| 8.1     | Dunson Northcoast, LLC (Investment Vehicle - See Item #4.43.1.1)    | No  |                           |   |                           |

| # | DESCRIPTION   | EIF | VALUE                        | INCOME TYPE  | INCOME AMOUNT          |
|---|---|-----|------------------------------|--|------------------------|
| 9 | Benson Dunson Limited Partnership<br>(Investment Vehicle - See Item #6.1) | No  | \$1,000,001 -<br>\$5,000,000 | Dividends<br>Capital Gains<br>Interest<br>Rent or<br>Royalties | \$15,001 -<br>\$50,000 |

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

| # | EMPLOYER OR PARTY        | CITY, STATE         | STATUS AND TERMS  | DATE   |
|---|--------------------------|---------------------|---|--------|
| 1 | Aspen Lodging Group, LLC | Portland,<br>Oregon | I have resigned from my position as CEO of the company but retain a passive investment in the company and receive my distributive share of equity profits. During my tenure with the federal government, I will provide no services material to the production of income. I entered into a separate contract with the entity for the following benefits and services, for an annual fee based on the prevailing market rate: life insurance coverage and a company provided cellular phone. | 9/2002 |

### 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 | IRA         | No  |       |             |               |



| #      | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE                            | INCOME AMOUNT          |
|--------|--|-----|-----------------------------|--|------------------------|
| 1.1    | D3 Family Bulldog Fund LP (Private Equity Fund Focused on Undervalued Stocks - Divested in September 2018) | No  | None (or less than \$1,001) | Dividends<br>Capital Gains<br>Interest | \$15,001 -<br>\$50,000 |
| 1.1.1  | Van Eck Vectors - Oil Services ETF (OIH) - Publicly Traded ETF   | Yes |                             |  |                        |
| 1.1.2  | Flotek Industries, Inc. (FTK) - Publicly Traded Stock  | N/A |                             |  |                        |
| 1.1.3  | Houston Wire & Cable Company (HWCC) - Publicly Traded Stock  | N/A |                             |  |                        |
| 1.1.4  | Geospace Technologies Corporation (GEOS) - Publicly Traded Stock   | N/A |                             |  |                        |
| 1.1.5  | Multiplus SA (MPLU3) - Stock Traded on Foreign Exchange  | N/A |                             |  |                        |
| 1.1.6  | The Holt Group, Inc. (Vancouver, WA based Residential Real Estate Developer)                               | N/A |                             |  |                        |
| 1.1.7  | Malibu Boats, Inc. (MBUU) - Publicly Traded Stock  | N/A |                             |  |                        |
| 1.1.8  | Radysis Corporation (RSYS) - Publicly Traded Stock   | N/A |                             |  |                        |
| 1.1.9  | Electro Scientific Industries, Inc. (ESIO) - Publicly Traded Stock   | N/A |                             |  |                        |
| 1.1.10 | Rosetta Stone, Inc. (RST) - Publicly Traded Stock  | N/A |                             |  |                        |
| 1.1.11 | The Providence Service Corporation (PRSC) - Publicly Traded Stock  | N/A |                             |  |                        |
| 1.1.12 | Holt Distressed Property Fund, 2010, LP (Residential Real Estate in Oregon, Washington and California)     | N/A |                             |  |                        |
| 1.1.13 | H2D3V4, L.P. (Residential Real Estate in Oregon, Washington and California)                                | N/A |                             |  |                        |

| #   | DESCRIPTION   | EIF         | VALUE                | INCOME TYPE         | INCOME AMOUNT             |
|-----|---|-------------|----------------------|---------------------|---------------------------|
| 1.2 | Vanguard Target Retirement 2035                     | Yes         | \$50,001 - \$100,000 |                     | None (or less than \$201) |
| 1.3 | Contract Receivable from D3 Family Bulldog Fund, LP | See Endnote | N/A                  | \$15,001 - \$50,000 | None (or less than \$201) |

## 6. Other Assets and Income

| # | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|---|---|-----|-----------------------------|---|---------------------------|
| 1 | Cash account in a US bank #1  | N/A | \$100,001 - \$250,000       |   | None (or less than \$201) |
| 2 | Cash account in a US bank #2  | N/A | \$250,001 - \$500,000       |   | None (or less than \$201) |
| 3 | Cash account in a US bank #3  | N/A | \$100,001 - \$250,000       |   | None (or less than \$201) |
| 4 | Cash account in a US bank #4  | N/A | \$100,001 - \$250,000       |   | None (or less than \$201) |
| 5 | Aspen Dorado, LP (Residential Real Estate, Palm Springs, CA)                  | N/A | \$1,000,001 - \$5,000,000   |   | None (or less than \$201) |
| 6 | Eagle Pointe Associates, LP (Multifamily Residential Real Estate, Renton, WA) | N/A | \$1,000,001 - \$5,000,000   | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | \$100,001 - \$1,000,000   |
| 7 | Pruland LP (Residential Real Estate, Gearhart, OR)                            | N/A | \$1,000,001 - \$5,000,000   |   | None (or less than \$201) |
| 8 | South Fork II, Inc. (Investment in Private Electric Utility Company in WA)    | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains<br>Interest<br>Rent or Royalties | \$1,001 - \$2,500         |

| #     | DESCRIPTION  | EIF | VALUE                   | INCOME TYPE   | INCOME AMOUNT      |
|-------|--|-----|-------------------------|---|--------------------|
| 9     | Lawrence A. Ford & Son Ranch Co. (Family Investment Holding Company)                         | No  | \$500,001 - \$1,000,000 | Dividends<br>Capital Gains<br>Rent or Royalties<br>Interest | \$5,001 - \$15,000 |
| 9.1   | Farm Animals   | N/A |                         |   |                    |
| 9.2   | Lawrence A. Ford Family, LLC (Family Investments Holding Company - Same Assets as #10 Below) | No  |                         |   |                    |
| 9.3   | Atlas Shopko Holdings, LLC (Investment Vehicle)  | No  |                         |   |                    |
| 9.3.1 | Atlas Shopko Owner, LLC (Retail Real Estate, Bend, Eugene and Salem, OR)                     | N/A |                         |   |                    |
| 9.4   | Ford Family Warrenton, LLC (Investment Vehicle)  | No  |                         |   |                    |
| 9.4.1 | Atlas Young's Bay, LLC (Retail Real Estate, Warrenton, OR)                                   | N/A |                         |   |                    |
| 9.5   | Atlas Uptown, LLC (Investment Vehicle)   | No  |                         |   |                    |
| 9.5.1 | Atlas Uptown - Retail, LLC (Retail Real Estate, Portland, OR)                                | N/A |                         |   |                    |
| 9.5.2 | Atlas Uptown - Apartments, LLC (Multifamily Real Estate, Portland, OR)                       | N/A |                         |   |                    |
| 9.5.3 | Atlas Uptown - Westerly, LLC (Retail Real Estate, Portland, OR)                              | N/A |                         |   |                    |
| 9.6   | Atlas Tanasbourne S1 Holdings, LLC (Investment Vehicle)                                      | No  |                         |   |                    |
| 9.6.1 | Atlas Tanasbourne S1, LLC (Retail Real Estate, Hillsboro, OR)                                | N/A |                         |   |                    |
| 9.7   | Atlas Tanasbourne 19 Holdings, LLC (Investment Vehicle)                                      | No  |                         |   |                    |

| #          | DESCRIPTION  | EIF | VALUE                   | INCOME TYPE | INCOME AMOUNT             |
|------------|--|-----|-------------------------|-------------|---------------------------|
| 9.7.1      | Atlas Tanasbourne 19, LLC (Retail Real Estate, Hillsboro, OR)              | N/A |                         |             |                           |
| 9.8        | Atlas Tanasbourne NB Holdings, LLC (Investment Vehicle)                    | No  |                         |             |                           |
| 9.8.1      | Atlas Tanasbourne NB, LLC (Retail Real Estate, Hillsboro, OR)              | N/A |                         |             |                           |
| 9.9        | PH Roosevelt Investors, LLC (Investment Vehicle)                           | No  |                         |             |                           |
| 9.9.1      | Dunson NorthCoast, LLC (Investment Vehicle)                                | No  |                         |             |                           |
| 9.9.1.1    | Roosevelt Hotel Investors, LLC (Investment Vehicle)                        | No  |                         |             |                           |
| 9.9.1.1 .1 | Roosevelt Hotel Owner, LLC (Hotel Real Estate, Seattle, WA)                | N/A |                         |             |                           |
| 9.10       | Atlas Olympia, LLC (Investment Vehicle)                                    | No  |                         |             |                           |
| 9.10.1     | A&M Olympia Holdings, LLC (Retail Real Estate, Olympia, WA)                | N/A |                         |             |                           |
| 10         | Lawrence A. Ford Family, LLC (Family Investments Holding Company)          | No  | \$500,001 - \$1,000,000 |             | None (or less than \$201) |
| 10.1       | Ranch Land with Timber and Quarry in Humboldt County, CA                   | N/A |                         |             |                           |
| 10.2       | Office Real Estate in Arcata, CA   | N/A |                         |             |                           |
| 10.3       | Atlas Shopko Holdings, LLC (Investment Vehicle)                            | No  |                         |             |                           |
| 10.3.1     | Atlas Shopko Owner, LLC (Retail Real Estate in Bend, Eugene and Salem, OR) | N/A |                         |             |                           |
| 10.4       | Industrial Real Estate in Lake Oswego, OR                                  | N/A |                         |             |                           |

| #    | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE                            | INCOME AMOUNT             |
|------|---|-----|-----------------------------|--|---------------------------|
| 10.5 | Ford Family Colfax, LLC (Industrial Real Estate, Portland, OR)  | N/A |                             |  |                           |
| 11   | Oregon 529 College Savings Plan   | No  |                             |  |                           |
| 11.1 | Aggressive Portfolio  | Yes | \$1,001 - \$15,000          |  | None (or less than \$201) |
| 12   | Art Collection (OR, WA, CA)   | N/A | \$5,000,001 - \$25,000,000  |  | None (or less than \$201) |
| 13   | Dunson/Pruland, Inc. (Residential Real Estate Asset Manager, Gearhart, OR)  | N/A | \$50,001 - \$100,000        |  | None (or less than \$201) |
| 14   | Residential Real Estate, Portland, OR   | N/A | \$1,000,001 - \$5,000,000   |  | None (or less than \$201) |
| 15   | GB Illinois Investors, LLC (Investment in Restaurant Chain in IL - Illinois Cafe and Service Company, LLC, dba Dotty's Restaurants) | N/A | \$250,001 - \$500,000       | Dividends                              | \$15,001 - \$50,000       |
| 16   | Cash account in a US bank # 5   | N/A | \$1,001 - \$15,000          |  | None (or less than \$201) |
| 17   | Cash account in a US bank # 6   | N/A | \$1,001 - \$15,000          |  | None (or less than \$201) |
| 18   | Cash account in a US bank #7  | N/A | None (or less than \$1,001) |  | None (or less than \$201) |
| 19   | Cash account in a US bank #8  | N/A | None (or less than \$1,001) |  | None (or less than \$201) |
| 20   | US Brokerage Account (Publicly Traded Securities)   | No  | \$5,000,001 - \$25,000,000  | Dividends<br>Capital Gains<br>Interest | \$50,001 - \$100,000      |
| 20.1 | Advisors Inner Circle Fund II - Champlain Small Company Institutional Shares (CIPNX)  | Yes |                             |  |                           |
| 20.2 | Dodge & Cos Stock Fund  | Yes |                             |  |                           |

| #     | DESCRIPTION                                       | EIF | VALUE                 | INCOME TYPE                            | INCOME AMOUNT             |
|-------|---|-----|-----------------------|--|---------------------------|
| 20.3  | FPA Funds Tr Crescent I                           | Yes |                       |  |                           |
| 20.4  | FundVantage Polen Growth Inst.                    | Yes |                       |  |                           |
| 20.5  | Gateway Fund Y                                    | Yes |                       |  |                           |
| 20.6  | IVA Fiduciary Trust Worldwide                     | Yes |                       |  |                           |
| 20.7  | IVA International                                 | Yes |                       |  |                           |
| 20.8  | JOHCM International Select Fund CL I              | Yes |                       |  |                           |
| 20.9  | Lyrical US Value Equity                           | Yes |                       |  |                           |
| 20.10 | Seafarer Overseas Growth & Income Fund            | Yes |                       |  |                           |
| 20.11 | Vanguard 500 Index Admiral Shares                 | Yes |                       |  |                           |
| 20.12 | Vanguard Developed Markets Index Fund             | Yes |                       |  |                           |
| 20.13 | Vanguard Emerging Markets Index Fund              | Yes |                       |  |                           |
| 20.14 | Vanguard Mid-Cap Index Admiral Shares             | Yes |                       |  |                           |
| 20.15 | Enterprise Products Partners LP                   | N/A |                       |  |                           |
| 20.16 | Pebblebrook Hotel Trust                           | N/A |                       |  |                           |
| 21    | Cash account in a US Bank #9                      | N/A | \$100,001 - \$250,000 |  | None (or less than \$201) |
| 22    | Cash account in a US Bank #10                     | N/A | \$100,001 - \$250,000 |  | None (or less than \$201) |
| 23    | US Brokerage Account (Publicly Traded Securities) | No  | \$1,001 - \$15,000    | Dividends<br>Capital Gains<br>Interest | \$201 - \$1,000           |
| 23.1  | Vanguard Target Retirement 2055 Fund              | Yes |                       |  |                           |
| 24    | Cash account in a Belgium Bank                    | N/A | \$15,001 - \$50,000   |  | None (or less than \$201) |

| #  | DESCRIPTION                      | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT     |
|----|----------------------------------|-----|----------------------|-------------|-------------------|
| 25 | Note receivable from third party | N/A | \$50,001 - \$100,000 | Interest    | \$2,501 - \$5,000 |

## 7. Transactions

| #  | DESCRIPTION                             | TYPE | DATE       | AMOUNT                |
|----|---|------|------------|-----------------------|
| 1  | 600 shares Abbvie Inc. (ABBV)           | Sale | 08/08/2018 | \$50,001 - \$100,000  |
| 2  | 300 Shares Adobe Systems, Inc. (ADBE)   | Sale | 08/08/2018 | \$50,001 - \$100,000  |
| 3  | 230 Shares Amgen Inc. (AMGN)            | Sale | 08/08/2018 | \$15,001 - \$50,000   |
| 4  | 425 Shares Allegion Pub Ltd (ALLE)      | Sale | 08/08/2018 | \$15,001 - \$50,000   |
| 5  | 200 Shares Accenture PLC (ACN)          | Sale | 08/08/2018 | \$15,001 - \$50,000   |
| 6  | 235 Shares Allergan PLC (AGN)           | Sale | 08/08/2018 | \$15,001 - \$50,000   |
| 7  | 475 Shares Aptiv PLC (APTV)             | Sale | 08/08/2018 | \$15,001 - \$50,000   |
| 8  | 100 Shares Amazon.com Inc. (AMZN)       | Sale | 08/08/2018 | \$100,001 - \$250,000 |
| 9  | 195 Shares Broadcom Inc. (AVGO)         | Sale | 08/08/2018 | \$15,001 - \$50,000   |
| 10 | 1,345 Shares Bank of America Corp (BAC) | Sale | 08/08/2018 | \$15,001 - \$50,000   |
| 11 | 100 Shares Boeing Co (BA)               | Sale | 08/08/2018 | \$15,001 - \$50,000   |

| #  | DESCRIPTION                                | TYPE | DATE       | AMOUNT               |
|----|--|------|------------|----------------------|
| 12 | 110 Shares Biogen Idec Inc. (BIIB)         | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 13 | 100 Shares Blackrock Inc. (BLK)            | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 14 | 635 Shares Citigroup Inc. (C)              | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 15 | 680 Shares Celgene Corp (CELG)             | Sale | 08/08/2018 | \$50,001 - \$100,000 |
| 16 | 650 Shares Bristol Myers Squibb Co (BMY)   | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 17 | 350 Shares Chevron Corp. (CVX)             | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 18 | 370 Shares Edwards Lifesciences Corp. (EW) | Sale | 08/08/2018 | \$50,001 - \$100,000 |
| 19 | 300 Shares Costco Wholesale Corp. (COST)   | Sale | 08/08/2018 | \$50,001 - \$100,000 |
| 20 | 205 Shares Facebook Inc. (FB)              | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 21 | 185 Shares Fedex Corp. (FDX)               | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 22 | 68 Shares Alphabet Inc. (GOOGL)            | Sale | 08/08/2018 | \$50,001 - \$100,000 |
| 23 | 295 Shares iShares TR Russell 1000 (IWB)   | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 24 | 325 Shares Lyondellbasell Industries (LYB) | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 25 | 975 Shares Morgan Stanley Co (MS)          | Sale | 08/08/2018 | \$15,001 - \$50,000  |
| 26 | 535 Shares Microsoft Corp. (MSFT)          | Sale | 08/08/2018 | \$50,001 - \$100,000 |



| #  | DESCRIPTION  | TYPE | DATE       | AMOUNT                    |
|----|--|------|------------|---------------------------|
| 27 | 275 Shares Nvidia Corp. (NVDA)                             | Sale | 08/08/2018 | \$50,001 - \$100,000      |
| 28 | 290 Shares iShares TR US Aerospace & Defense (ITA)         | Sale | 08/08/2018 | \$50,001 - \$100,000      |
| 29 | 200 Shares Lockheed Martin Corp. (LMT)                     | Sale | 08/08/2018 | \$50,001 - \$100,000      |
| 30 | 130 Shares Roper Technologies Inc. (ROP)                   | Sale | 08/08/2018 | \$15,001 - \$50,000       |
| 31 | 25,000 Shares Prologis Inc. (PLD)                          | Sale | 08/08/2018 | \$1,000,001 - \$5,000,000 |
| 32 | 175 Shares SVB Financial Group (SIVB)                      | Sale | 08/08/2018 | \$50,001 - \$100,000      |
| 33 | 825 Shares TJX Companies Inc. (TJX)                        | Sale | 08/08/2018 | \$50,001 - \$100,000      |
| 34 | 415 Shares Visa Inc. (V)                                   | Sale | 08/08/2018 | \$50,001 - \$100,000      |
| 35 | 310 Shares Constellation Brands Inc. (STZ)                 | Sale | 08/08/2018 | \$50,001 - \$100,000      |
| 36 | 1,430 Shares Select Sector Spdr TR Financial (XLF)         | Sale | 08/08/2018 | \$15,001 - \$50,000       |
| 37 | 4,994 Shares Vanguard Tax-Managed International Fund (VEA) | Sale | 08/08/2018 | \$100,001 - \$250,000     |
| 38 | 290 Shares Cintas Corp. (CTAS)                             | Sale | 08/09/2018 | \$50,001 - \$100,000      |
| 39 | 300 Shares Zebra Technologies Corp. (ZBRA)                 | Sale | 08/08/2018 | \$15,001 - \$50,000       |
| 40 | 2,100 Shares LaSalle Hotel Properties (LHO)                | Sale | 08/09/2018 | \$50,001 - \$100,000      |
| 41 | 6,664 Shares Verizon Communications Inc. (VZ)              | Sale | 08/08/2018 | \$250,001 - \$500,000     |

| #  | DESCRIPTION   |             | TYPE     | DATE       | AMOUNT                  |
|----|---|-------------|----------|------------|-------------------------|
| 42 | 1,055 Shares Pembina Pipeline Corp. (PBA)   |             | Sale     | 08/09/2018 | \$15,001 - \$50,000     |
| 43 | 325 Shares PNC Financial Services Group (PNC)   |             | Sale     | 08/09/2018 | \$15,001 - \$50,000     |
| 44 | 200,000 Investment Membership Shares in Threat Deterrence Capital LLC (Private Company) |             | Sale     | 08/27/2018 | \$100,001 - \$250,000   |
| 45 | 245 Shares Watsco Inc. (WSO)  |             | Sale     | 08/09/2018 | \$15,001 - \$50,000     |
| 46 | 368 Shares Delphi   |             | Sale     | 07/12/2018 | \$15,001 - \$50,000     |
| 47 | 518 Shares of Great Ajax Corp. (AJX)  | See Endnote | Purchase | 03/01/2019 | \$1,001 - \$15,000      |
| 48 | Limited Partnership Interest in The D3 Family Bulldog Fund, L.P.                        |             | Sale     | 09/24/2018 | \$50,001 - \$100,000    |
| 49 | Sale of Investment Real Estate in Tumalo, Oregon by BV-Tumalo LLC (Part 2, #4.44)       |             | Sale     | 12/31/2018 | \$500,001 - \$1,000,000 |
| 50 | Vanguard Target Retirement 2035 (Purchased by IRA in Part 5, #1.2)                      |             | Purchase | 01/15/2019 | \$50,001 - \$100,000    |
| 51 | 4769 Shares Champlain Small Company Fund Inst. Shares                                   |             | Purchase | 08/29/2018 | \$100,001 - \$250,000   |
| 52 | 1067 Shares Dodge & Cost Stock Fund   |             | Purchase | 08/29/2018 | \$100,001 - \$250,000   |
| 53 | 3840 Shares FPA Funds Tr Crescent I   |             | Purchase | 08/29/2018 | \$100,001 - \$250,000   |
| 54 | 17715 Shares FundVantage Polen Growth Inst.   |             | Purchase | 08/29/2018 | \$500,001 - \$1,000,000 |
| 55 | 4017 Shares Gateway Fund Y  |             | Purchase | 08/29/2018 | \$100,001 - \$250,000   |
| 56 | 7944 shares IVA Fiduciary Trust Worldwide I   |             | Purchase | 08/29/2018 | \$100,001 - \$250,000   |

| #  | DESCRIPTION   | TYPE     | DATE       | AMOUNT                    |
|----|---|----------|------------|---------------------------|
| 57 | 9898 Shares IVA International                         | Purchase | 08/29/2018 | \$100,001 - \$250,000     |
| 58 | 9745 Shares JOHCM International Select Fund CL I      | Purchase | 08/29/2018 | \$100,001 - \$250,000     |
| 59 | 13707 Shares Lyrical US Value Equity                  | Purchase | 08/29/2018 | \$250,001 - \$500,000     |
| 60 | 7926 Shares Seafarer Overseas Growth & Income Fund    | Purchase | 08/29/2018 | \$50,001 - \$100,000      |
| 61 | 6901 Shares Vanguard 500 Index Admiral                | Purchase | 08/29/2018 | \$1,000,001 - \$5,000,000 |
| 62 | 24682 Shares Vanguard Developed Markets Index Fund    | Purchase | 08/29/2018 | \$250,001 - \$500,000     |
| 63 | 5232 Shares Vanguard Emerging Markets Index Fund      | Purchase | 08/29/2018 | \$100,001 - \$250,000     |
| 64 | 1009 Shares Vanguard Mid Cap Index Admiral            | Purchase | 08/29/2018 | \$100,001 - \$250,000     |
| 65 | 4769 Shares Champlain Small Company Fund Inst. Shares | Sale     | 12/18/2018 | \$50,001 - \$100,000      |
| 66 | 1067 Shares Dodge & Cost Stock Fund                   | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 67 | 3840 Shares FPA Funds Tr Crescent I                   | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 68 | 17715 Shares FundVantage Polen Growth Inst.           | Sale     | 12/18/2018 | \$250,001 - \$500,000     |
| 69 | 4017 Shares Gateway Fund Y                            | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 70 | 7944 shares IVA Fiduciary Trust Worldwide I           | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 71 | 9898 Shares IVA International                         | Sale     | 12/18/2018 | \$100,001 - \$250,000     |

| #  | DESCRIPTION  | TYPE     | DATE       | AMOUNT                    |
|----|--|----------|------------|---------------------------|
| 72 | 9745 Shares JOHCM International Select Fund CL I                 | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 73 | 13707 Shares Lyrical US Value Equity                             | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 74 | 7926 Shares Seafarer Overseas Growth & Income Fund               | Sale     | 12/18/2018 | \$50,001 - \$100,000      |
| 75 | 6901 Shares Vanguard 500 Index Admiral                           | Sale     | 12/18/2018 | \$1,000,001 - \$5,000,000 |
| 76 | 24682 Shares Vanguard Developed Markets Index Fund               | Sale     | 12/18/2018 | \$250,001 - \$500,000     |
| 77 | 5232 Shares Vanguard Emerging Markets Index Fund                 | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 78 | 1009 Shares Vanguard Mid Cap Index Admiral                       | Sale     | 12/18/2018 | \$100,001 - \$250,000     |
| 79 | Vanguard Target Retirement 2055                                  | Purchase | 10/13/2018 | \$1,001 - \$15,000        |
| 80 | Timber House Apt. LLC (residential real estate in Vancouver, WA) | Purchase | 12/12/2018 | \$250,001 - \$500,000     |
| 81 | Atlas Tanasbourne 18, LLC (Retail real estate, Portland, OR)     | Purchase | 08/31/2018 | \$500,001 - \$1,000,000   |
| 82 | TOB LLC (Multifamily real estate, Portland, OR)                  | Sale     | 07/27/2018 | \$1,000,001 - \$5,000,000 |
| 83 | Women's Venture Capital Fund                                     | Purchase | 11/03/2018 | \$15,001 - \$50,000       |

## 8. Liabilities

| #  | CREDITOR NAME                   | TYPE                                  | AMOUNT                     | YEAR INCURRED | RATE  | TERM      |
|----|---------------------------------|---------------------------------------|----------------------------|---------------|-------|-----------|
| 1  | The Commerce Bank of Washington | Exercised Line of Credit              | \$1,000,001 - \$5,000,000  | 2016          | 6     | 1 year    |
| 2  | First Republic Bank             | Exercised Line of Credit              | \$1,000,001 - \$5,000,000  | 2017          | 5     | 2 years   |
| 3  | US Bank                         | Exercised Line of Credit              | \$1,000,001 - \$5,000,000  | 2017          | 4.9   | 1 year    |
| 4  | Washington Trust Bank           | Exercised Line of Credit              | \$250,001 - \$500,000      | 2016          | 5.5   | 2 years   |
| 5  | Bank of America                 | Exercised Line of Credit              | \$1,000,001 - \$5,000,000  | 2015          | 4.786 | 2 years   |
| 6  | Washington Trust Bank           | Guaranteed Debt                       | \$1,000,001 - \$5,000,000  | 2015          | 4.130 | 5 years   |
| 7  | The Commerce Bank of Washington | Guaranteed Debt                       | \$1,000,001 - \$5,000,000  | 2015          | 4.250 | 5 years   |
| 8  | Bank of America                 | Mortgage (investment/rental property) | \$1,000,001 - \$5,000,000  | 2011          | 2.8   | 17 years  |
| 9  | Bank of America                 | Mortgage (investment/rental property) | \$1,000,001 - \$5,000,000  | 2011          | 2.8   | 15 years  |
| 10 | Washington Trust Bank           | Guaranteed Debt                       | \$5,000,001 - \$25,000,000 | 2017          | 3.720 | 3.5 years |
| 11 | First Republic Bank             | Guaranteed Debt                       | \$1,000,001 - \$5,000,000  | 2015          | 3.950 | 20 years  |
| 12 | American Express                | Credit Card                           | \$50,001 - \$100,000       | 2019          | 20.49 | Monthly   |
| 13 | Bank of America                 | Credit Card                           | \$10,001 - \$15,000        | 2019          | 17.24 | monthly   |
| 14 | American Express                | Credit Card                           | \$15,001 - \$50,000        | 2019          | 20.49 | monthly   |

## 9. Gifts and Travel Reimbursements

None

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### Endnotes

| <b>PART</b> | <b>#</b> | <b>ENDNOTE</b>   |
|-------------|----------|--|
| 1.          | 16       | Position start date is approximate.  |
| 2.          | 4.9      | The D3 Family Bulldog Fund LP has investments in two small real estate funds (H2D3V4, L.P. and Holt Distressed Property Fund, 2010, LP) that hold residential real estate in Oregon, Washington and California. Filer has divested from The D3 Family Bulldog Fund, but remains entitled to receive a percentage of the net proceeds from the liquidation of the real estate in the two real estate funds as a contract receivable. The contract receivable has a currently estimated value of \$20,000. |
| 5.          | 1.3      | See Endnote for Part 2, #4.9 for explanation of contract receivable.   |
| 7.          | 47       | Distribution of publicly traded stock by operating partnership to its constituent members. Amount of transaction is based on market price of stock on date of stock distribution.  |

# 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 three 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).

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