

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Gottlieb, Scott

Commissioner of Food and Drugs, Department of Health & Human Services

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Health, Education, Labor, and Pensions**
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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/ Gottlieb, Scott [electronically signed on 03/17/2017 by Gottlieb, Scott 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/ Fischmann, Elizabeth, Certifying Official [electronically signed on 03/28/2017 by Fischmann, Elizabeth in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 03/28/2017 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Shaub, Walter M, Certifying Official [electronically signed on 03/28/2017 by Shaub, Walter M in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	American Enterprise Institute		Washington, DC, District of Columbia	Non-Profit	Resident Fellow	2/2007	Present
2	New Enterprise Associates	See Endnote	Chevy Chase, Maryland	Corporation	Venture Partner	9/2007	Present
3	New York University School of Medicine	See Endnote	New York, New York	University/College	Clinical Assistant Professor	1/2011	Present
4	T.R. Winston & Company	See Endnote	Los Angeles, California	Corporation	Managing Director	4/2013	Present
5	Society of Hospital Medicine	See Endnote	Philadelphia, Pennsylvania	Non-Profit	Independent Member of the Policy Board	9/2011	Present
6	BDO Center for Healthcare Excellence & Innovation		New York, New York	Corporation	Independent Senior Advisor	3/2016	Present
7	GlaxoSmithKline plc		Philadelphia, Pennsylvania	Corporation	Independent Member of the R&D Portfolio Investment Board	1/2010	Present
8	Daichii Sankyo U.S.		Parsippany, New Jersey	Corporation	Independent Member of the Board of Directors	4/2015	Present
9	Tolero Pharmaceuticals		Lehi, Utah	Corporation	Independent Member of the Board of Directors	3/2015	12/2016
10	Glytec		Greenville, South Carolina	Corporation	Independent Member of the Board of Directors	3/2013	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
11	MedAvante		Princeton, New Jersey	Corporation	Independent Member of the Board of Directors	9/2007	Present
12	Gradalis and Strike Bio		Dallas, Texas	Corporation	Independent Member of the Board of Directors	6/2014	3/2017
13	CombiMatrix		Irvine, California	Corporation	Independent Member of the Board of Directors	1/2009	12/2016
14	American Pathology Partners (AP2)	See Endnote	Nashville, Tennessee	Corporation	Member of the Board of Directors	3/2012	Present
15	Tivorsan Pharmaceuticals	See Endnote	Providence, Rhode Island	Corporation	Acting Co-CEO	12/2016	3/2017
16	Cell BioTherapy, Inc	See Endnote	Los Angeles, California	Corporation	Acting CEO and Director	5/2016	Present
17	Emmaus Life Sciences	See Endnote	Los Angeles, California	Corporation	Member of the Board of Directors	8/2015	12/2015
18	Kure	See Endnote	Charlotte, North Carolina	Corporation	Member of the Board of Directors	3/2015	5/2016
19	Forbes Magazine LLC		Jersey City, New Jersey	Corporation	Contributing Writer	2/2013	11/2016
20	Scott Gottlieb, MD Consulting		Westport, Connecticut	Corporation	Sole Proprietor	2/2007	Present
21	Innovating Healthcare LLC	See Endnote	New York, New York	Corporation	Managing Member	6/2016	Present
22	YourEncore	See Endnote	Indianapolis, Indiana	Corporation	Consultant	3/2016	8/2016
23	Collective Health	See Endnote	San Francisco, California	Corporation	Advisory Board Member	8/2014	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	American Enterprise Institute (Think Tank)	N/A		Salary	\$210,916
2	CREF Global Equities AEI Retirement Plan	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	New Enterprise Associates (Venture Capital)	N/A		Consulting Retainer	\$280,000
4	BDO Center for Healthcare Excellence & Innovation	N/A		Consulting Retainer	\$180,000
5	GlaxoSmithKline plc (Drug Company)	See Endnote	N/A	Consulting Retainer	\$87,153
6	Daichii Sankyo U.S. (Drug Company)	See Endnote	N/A	Director Fees	\$52,207
7	Tolero Pharmaceuticals (Biotech Company)	N/A		Director Fees	\$37,500
8	Tolero Pharmaceuticals Stock Options	See Endnote	N/A	Option Exercise	\$193,111
9	Forbes Magazine LLC (Publishing Company)	N/A		Retainer	\$2,864
10	Eagle Small Cap Growth Fund (MUTF:HRSCX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	PIMCO Total Return Fund (MUTF:PTTRX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12	DFA U.S. Small Cap Value Fund (MUTF:DFS VX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13	Emmaus Life Sciences (Biotech Company)	N/A		Director Fees	\$4,500
14	American Pathology Partners stock options (value not readily ascertainable): 220,000 options to purchase shares @ \$.04/share expires 08/13/2022. Vested	See Endnote	N/A		None (or less than \$201)
15	Gradalis and Strike Bio (Biotech Company)	N/A		Director Fees	\$65,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Gradalis and Strike Bio Stock Options (value not readily ascertainable) Strike Bio 25,000 Options to purchase shares at \$1.93/Share expires 05/15/24; Gradalis 25,000 Options to purchase shares at 3.16/Share expires 03/21/26 and 25,000 Options to purchase shares at \$3.57/Share expires 05/15/24. Vested	See Endnote	N/A		None (or less than \$201)
17	Glytec Stock Options (value not readily ascertainable) 15,000 Options to purchase shares at \$1.35/Share expires 02/13/24 and 5,578 Options to purchase shares at \$7.60/Share expires 02/13/25 and 6,101 Options to purchase shares at \$5.71/Share expires 06/01/26. Vested	See Endnote	N/A		None (or less than \$201)
18	FPA Capital Fund (MUTF:FPPTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
19	Marsico Focus Fund (MUTF:MFOCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	Scott Gottlieb, MD Consulting (Independent Consulting Business)	N/A		Consulting Fees	\$81,767
21	Doubleline Total Return Bond Fund (MUTF:DLTNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
22	T Rowe Price Global Stock Fund (MUTF:PRGSX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
23	Wintergreen Fund (MUTF:WGRNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24	First Eagle Global Fund Class A (MUTF:SGENX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
25	iShares Select Dividend ETF (NYSE:DVY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
26	Weitz Partners III Opportunity Fund (MUTF:WPOPX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
27	Wasatch International Opportunities Fund (MUTF:WAIOX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
28	Wasatch Small Cap Growth (MUTF:WAAEX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	CombiMatrix Options (value not readily ascertainable) Surrendered in their Entirety Upon Resignation from the Board of Directors 12/19/16	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
30	Columbia European Equity Fund (MUTF:AXEAX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
31	Akre Focus Fund Retail (MUTF:AKREX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
32	Franklin Mutual European Fund (MUTF:TEURX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
33	T. Rowe Price European Stock Fund (MUTF:PRESX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
34	Oakmark Fund (MUTF:OAKMX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
35	Longleaf Partners Fund (MUTF:LLPFX)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
36	FPA Crescent Fund (MUTF:FPACX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
37	Fidelity Japan Smaller Companies (MUTF:FJSCX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
38	Powershares DB Commodity Index ETF (NYSE:DBC)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
39	iShares Select Dividend ETF (NYSE:DVY)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
40	iShares MSCI Emerging Markets ETF (NYSE:EEM)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
41	iShares MSCI Eurozone ETF (NYSE:EZU)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
42	Innovating Healthcare LLC	See Endnote	N/A		Consulting Fees (2016)	\$49,000
43	Van Eck Vectors Natural Resources ETF (NYSE:HAP)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
44	Lillis Energy (NASDAQ:LLEX)		N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45	Lyrical U.S. Value Equity Fund (MUTF:LYRBX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
46	Van Eck Vectors Agribusiness ETF (NYSE:MOO)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
47	Pimco Commodity Real Return (MUTF:PCRDY)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
48	iShares TIPS Bond ETF (NYSE:TIP)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
49	SPDR DoubleLine Total Return Tact ETF (NYSE:TOTL)		Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
50	Vanguard Index Reit ETF (NYSE:VNQ)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
51	Vanguard Index Growth ETF (NYSE:VUG)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
52	Weitz Partners III Opportunity Fund (MUTF:WPOPX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
53	Sector SPDR Energy ETF (NYSE:XLE)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
54	Sector SPDR Utilities ETF (NYSE:XLU)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
55	Tivorsan Pharmaceuticals Warrants (value not readily ascertainable) 256,506 Warrants to purchase shares at \$0.01/Share expires 11/25/20. Vested	See Endnote	No			None (or less than \$201)
56	Combimatrix Corporation		N/A		Director Fees	\$30,662
57	Collective Health Options (value not readily ascertainable) 200,000 options to purchase shares at \$.024/Share expires 08/27/24. Vested	See Endnote	N/A			None (or less than \$201)
58	Social Reality (NASDAQ:SRAX) Warrants (value not readily ascertainable) 16,000 warrants to purchase shares at \$7.50/Share expires 10/30/17 and 7,000 warrants to purchase shares at \$5.00/Share expires 08/22/18. Vested	See Endnote	N/A			None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
59	Angion Pharmaceuticals Warrants (value not readily ascertainable) 85.62 warrants to purchase shares at \$1,247.94/Share expires 09/06/21. Vested	See Endnote	N/A			None (or less than \$201)
60	Synthesis Energy Systems, Inc. (NASDAQ:SYM) Warrants (value not readily ascertainable) 50,000 warrants to purchase shares at \$2.25/Share expires 09/28/17. Vested	See Endnote	N/A			None (or less than \$201)
61	Lillis Energy, Inc (NASDAQ:LLEX) Warrants (value not readily ascertainable) 5,000 warrants to purchase shares at \$25.00/Share expires 08/01/17. Vested	See Endnote	N/A			None (or less than \$201)
62	Emmaus Life Sciences, Inc Warrants (value not readily ascertainable) 54,000 warrants to purchase shares at \$3.50/Share expires 09/11/18. Vested	See Endnote	N/A			None (or less than \$201)
63	Pharma-Bio Serv Inc (NASDAQ:PBSV) Warrants (value not readily ascertainable) 275,000 warrants to purchase shares at \$1.80/Share expires 12/01/19. Vested	See Endnote	N/A			None (or less than \$201)
64	Prosetta Biosciences Warrants (value not readily ascertainable) 40,000 warrants to purchase shares at \$4.50/Share expires 02/11/21. Vested	See Endnote	N/A			None (or less than \$201)
65	Neuralstem, Inc (NASDAQ:CUR) Warrants (value not readily ascertainable) 22,308 warrants to purchase shares at \$39.00/Share expires 08/13/18. Vested	See Endnote	N/A			None (or less than \$201)
66	Inspyr Therapeutics, Inc (NASDAQ:NSPX) Warrants (value not readily ascertainable) 667 warrants to purchase shares at \$52.50/Share expires 08/20/18 and 889 warrants to purchase shares at \$45.00/Share expires 08/20/18. Vested	See Endnote	N/A			None (or less than \$201)
67	MedAvante Stock Options (value not readily ascertainable) 50,000 Options to purchase shares at \$3.25/Share. Vested	See Endnote	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
68	Combimatrix (NASDAQ:CBMX) 4,804 Shares See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
69	Cell Biotherapy, Inc Options (value not readily ascertainable) 101,961 options to purchase shares at \$1.00/Share expires 7/21/26. Vested See Endnote	N/A			None (or less than \$201)
70	Tolero Pharmaceuticals Contingent Value Rights (CVR fully vested. Value not readily ascertainable) 97,946 Shares See Endnote	N/A			None (or less than \$201)
71	Goldman Sachs & Co. - 01/05/16 (Booked through WorldWide Speakers Bureau)	N/A		Speaking Honorarium	\$7,500
72	Merck & Co, Inc - 01/25/16 and 03/29/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorariums	\$10,000
73	InVentiv Health Inc. - 01/12/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
74	Lincoln Healthcare HomeCare 100 - 02/8/16 (Booked through WorldWide Speakers Group)	N/A		Speaker Honorarium	\$11,250
75	Generic Pharmaceutical Association - 02/24/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
76	Biogen Inc. - 04/12/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
77	Thermo Fisher Scientific - 06/15/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$7,000
78	Institute for International Research - 09/21/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$7,500
79	Healthcare Distribution Management Association - 09/27/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
80	University of Tennessee College of Medicine - 09/28/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$7,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
81	Lincoln Healthcare Hospital 100 - 10/17/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$10,000
82	Health Insights - 10/27/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
83	Stifel, Nicolaus & Company - 10/28/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
84	Mallinckrodt Pharmaceuticals (Delivered in London) - 11/16/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$22,500
85	Jeffries & Co. London - 11/16/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
86	Johnson & Johnson - 01/17/17 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
87	Association for Accessible Medicines - 02/15/17 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$11,250
88	CVS Health - 03/29/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$4,000
89	National Comprehensive Cancer Network - 04/01/16	N/A		Speaking Honorarium	\$3,000
90	American Academy of Orthopedic Surgeons - 05/06/16	N/A		Speaking Honorarium	\$3,000
91	HealthCare Royalty Partners - 06/07/16	N/A		Speaking Honorarium	\$5,000
92	Mikart Pharma - 09/28/16	N/A		Speaking Honorarium	\$5,000
93	Association of Independent Physicians - 11/05/16	N/A		Speaking Honorarium	\$5,000
94	GTCR - 02/25/16 (Booked through WorldWide Speakers Group)	N/A		Speaking Honorarium	\$5,000
95	YourEncore	See Endnote	N/A	Consulting Fees	\$43,200

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
96	iShares U.S. Energy ETF (NYSE:IYE)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
97	VanEck Vector Gold ETF (NYSE:GDX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
98	T.R. Winston & Company (Merchant Bank)		N/A		Retainer/Bonus	\$1,849,784
99	Op Ed Article. The Four Legs of the New Health-Care System, The Wall Street Journal - 11/30/16		N/A		Article Honorarium	\$200
100	Op Ed Article. Clinton's Stealthy Single-Payer Gambit, The Wall Street Journal - 09/14/16		N/A		Article Honorarium	\$600
101	Op Ed Article. How Obama's FDA Keeps Generic Drugs off the Market, The Wall Street Journal - 08/19/16		N/A		Article Honorarium	\$600
102	Op Ed Article. Applying to Zika the Forgotten Lessons of Ebola, The Wall Street Journal - 02/09/16		N/A		Article Honorarium	\$600
103	Op Ed Article. Warning: Medicare May Be Bad for Your Heart, The Wall Street Journal - 04/11/16		N/A		Article Honorarium	\$600
104	NEA 14 Limited Partnership (passive investor)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
105	NEA 15 Limited Partnership (passive investor)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
106	MedAvante Preferred Stock - 95 Series A Preferred Shares and .26% ownership of the MedAvante Co-Invest Fund, for which the only underlying asset is MedAvante Preferred Stock	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
107	U.S. Renal Care Preferred Stock - 82.946 Class A Preferred Units	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
108	Radiology Partners Common Stock - 50,000 common shares	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
109	Bright Health Preferred Stock - 9,796 common and series A preferred shares	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
110	Collective Health Preferred Stock - 66,540 series B preferred shares	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
111	Golden State Medical Preferred Stock - 75,000 preferred shares at \$1.00/share	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
112	Angion Pharmaceuticals Preferred Stock - 20 preferred shares	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
113	Emmaus Life Sciences, Inc Common Stock - 5,988 common shares at \$3.50/share	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
114	Cell BioTherapy Inc Common Stock - 25,000 common shares	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
115	Kure Common Stock - 97,000 common shares	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
116	Chanticleer Holdings (NASDAQ:HOTR) Warrants - 8,000 warrants to purchase shares at \$1.25/share expires 10/27/19	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
117	Emmaus Life Sciences, Inc Warrants - 5,988 warrants to purchase shares at \$3.50/share expires 09/11/18	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
118	Glytec Restricted Stock - 17,738 restricted shares	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
119	MedImpact Speech (Booked through WorldWide Speakers Group) - 03/09/17		N/A		Speaking Honorarium	\$11,250
120	Pharmacy Benefit Managers Institute Speech (Booked through WorldWide Speakers Group) - 03/06/17		N/A		Speaking Honorarium	\$11,250
121	Receivable: GlaxoSmithKline Fourth Quarter 2016 Payment		N/A	\$1,001 - \$15,000		None (or less than \$201)
122	Receivable: GlaxoSmithKline First Quarter 2017 Payment		N/A	\$1,001 - \$15,000		None (or less than \$201)
123	Tolero Pharmaceuticals Common Stock	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	American Enterprise Institute		Washington, DC, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	6/2002
2	New York University School of Medicine		New York, New York	I will relinquish this affiliation	1/2011
3	Tolero Pharmaceuticals		Lehi, Utah	Options have been fully exercised and sold. I will divest myself of the remaining contingent value right.	3/2015
4	American Pathology Partners (AP2)		Nashville, Tennessee	I will divest my vested stock options. All shares vested	3/2012
5	Gradalis and Strike Bio		Dallas, Texas	I will divest my vested stock options. All shares vested	6/2014
6	Glytec		Greenville, South Carolina	I will divest my vested stock options. I will divest my restricted shares. All shares vested	3/2013
7	MedAvante		Princeton, New Jersey	I will divest my vested stock options. All shares vested	9/2007
8	CombiMatrix		Irvine, California	Unvested restricted stock units (RSUs) and all options were forfeited in their entirety upon my prior resignation from Board of Directors	1/2009
9	Scott Gottlieb, MD	See Endnote	Westport, Connecticut	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	9/2009
10	American Enterprise Institute HSA		Washington, District of Columbia	The HSA account will be rolled into a new HSA under the FEHBP	11/2007
11	Cell BioTherapy, Inc		Los Angeles, California	I will divest my vested stock options. All shares vested	5/2016
12	Collective Health		San Francisco, California	I will divest my vested stock options. All shares vested	7/2014
13	Social Reality	See Endnote	Los Angeles, California	I will divest my stock warrants	8/2013
14	Angion Pharmaceuticals	See Endnote	Uniondale, New York	I will divest my stock warrants	9/2016

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
15	Tivorsan Pharmaceuticals	See Endnote	Providence, Rhode Island	I will divest my stock warrants	1/2016
16	Synthesis Energy Systems, Inc	See Endnote	Houston, Texas	I will divest my stock warrants	9/2014
17	Lillis Energy, Inc	See Endnote	Houston, Texas	I will divest my stock warrants	1/2014
18	Emmaus Life Sciences	See Endnote	Los Angeles, California	I will divest my stock warrants	9/2013
19	Pharma-Bio Serv Inc	See Endnote	Plymouth Meeting, Pennsylvania	I will divest my stock warrants	4/2015
20	Prosetta Biosciences	See Endnote	San Francisco, California	I will divest my stock warrants	2/2016
21	Neuralstem, Inc	See Endnote	Germantown, Maryland	I will divest my stock warrants	8/2013
22	Inspyr Therapeutics, Inc	See Endnote	San Antonio, Texas	I will divest my stock warrants	8/2013
23	MedAvante		Hamilton, New Jersey	There could be one-time cash payment to compensate for past, uncompensated consulting and board service from 2007-2017 in the event of a financial sale of the company, in the amount of \$400,000.	9/2007
24	GlaxoSmithKline		Philadelphia, Pennsylvania	Pursuant to the company's compensation arrangement for my service on the Product Investment Board (PIB) I will receive a payment within two months for my service in the fourth quarter of 2016, from October 1, 2016 to December 31, 2016. It will be in the amount of \$15,000, reflecting my contracted retainer of \$5,000 per month. I will also receive a \$15,000 payment for my service during the first quarter of 2017, which will be invoiced on the last day of March 2017 and be payable within 60 days, pursuant to the Company's 60-day payment terms.	1/2010

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

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	American Enterprise Institute		Washington, DC, District of Columbia	Resident Fellow
2	New Enterprise Associates		Chevy Chase, Maryland	Venture Partner
3	T.R. Winston & Company		Los Angeles, California	Managing Director
4	BDO Center for Healthcare Excellence & Innovation		New York, New York	Independent Senior Advisor
5	GlaxoSmithKline plc		Philadelphia, Pennsylvania	Independent Member of the Portfolio Investment Board
6	Daichii Sankyo U.S.		Parsippany, New Jersey	Independent Member of the Board of Directors
7	Tolero Pharmaceuticals		Lehi, Utah	Independent Member of the Board of Directors
8	Gradalis and Strike Bio		Dallas, Texas	Independent Member of the Board of Directors
9	Combimatrix Corporation		Irvine, California	Independent Member of the Board of Directors
10	Vertex Pharmaceuticals (Through YourEncore)	See Endnote	Boston, Massachusetts	Independent Consultant
11	Bristol Meyers Squibb (Also paid through Innovating Healthcare LLC)	See Endnote	Princeton, New Jersey	Independent Consultant
12	Omeros		Seattle, Washington	Independent Consultant
13	Avalere Health		Washington, District of Columbia	Independent Consultant
14	MedImpact Healthcare Systems, Inc		La Jolla, California	Speaking Honorariums (booked through WorldWide Speakers Group)
15	Jeffries & Company, Inc.		New York, New York	Speaking Honorariums (booked through WorldWide Speakers Group)
16	Goldman Sachs & Co		New York, New York	Speaking Honorarium (booked through WorldWide Speakers Group)
17	Merck & Co, Inc.		Kenilworth, New Jersey	Speaking Honorariums (booked through WorldWide Speakers Group)

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
18	inVentiv Health Inc.		New York, New York	Speaking Honorarium (booked through WorldWide Speakers Group)
19	Lincoln Healthcare HomeCare 100		Southport, Connecticut	Speaking Honorarium (booked through WorldWide Speakers Group)
20	Generic Pharmaceutical Association		Washington, District of Columbia	Speaking Honorarium (booked through WorldWide Speakers Group)
21	Biogen Idec		Boston, Massachusetts	Speaking Honorarium (booked through WorldWide Speakers Group)
22	Thermo Fisher Scientific		Waltham, Massachusetts	Speaking Honorarium (booked through WorldWide Speakers Group)
23	Institute for International Research		New York, New York	Speaking Honorarium (booked through WorldWide Speakers Group)
24	Healthcare Distribution Management Association		Arlington, Virginia	Speaking Honorarium (booked through WorldWide Speakers Group)
25	University of Tennessee College of Medicine		Chattanooga, Tennessee	Speaking Honorarium (booked through WorldWide Speakers Group)
26	Lincoln Healthcare Hospital 100		Southport, Connecticut	Speaking Honorarium (booked through WorldWide Speakers Group)
27	Health Insights		Baton Rouge, Louisiana	Speaking Honorarium (booked through WorldWide Speakers Group)
28	Stifel, Nicolaus & Company		New York, New York	Speaking Honorarium (booked through WorldWide Speakers Group)
29	Mallinckrodt Pharmaceuticals		St. Louis, Missouri	Speaking Honorarium (booked through WorldWide Speakers Group)
30	Johnson & Johnson		New Brunswick, New Jersey	Speaking Honorarium (booked through WorldWide Speakers Group)
31	Association for Accessible Medicines		Washington, District of Columbia	Speaking Honorarium (booked through WorldWide Speakers Group)
32	Clinical Care Targeted Communications	See Endnote	Cranbury, New Jersey	Speaking Honorariums

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
33	National Comprehensive Cancer Network	See Endnote	Fort Washington, Pennsylvania	Speaking Honorariums
34	Academy of Managed Care Pharmacy		Alexandria, Virginia	Speaking Honorarium (booked through WorldWide Speakers Group)
35	Bausch & Lomb	See Endnote	Rochester, New York	Speaking Honorarium
36	Kaye Scholer LLP	See Endnote	New York, New York	Independent Expert
37	Cahill Gordon & Reindel	See Endnote	New York, New York	Independent Expert
38	Morgan, Lewis & Bockius LLP	See Endnote	New York, New York	Independent Expert
39	DCI Group LLC		Washington, District of Columbia	Unpublished Expert White Paper
40	Coda Octopus Group, Inc		New York, New York	Payment made to T.R. Winston for professional services
41	FujiFilm USA		Boston, Massachusetts	Payment made to T.R. Winston for professional services
42	KURE		Charlotte, North Carolina	Payment made to T.R. Winston for professional services
43	Synthesis Energy		Houston, Texas	Payment made to T.R. Winston for professional services
44	Angion Pharmaceuticals		Uniondale, New York	Payment made to T.R. Winston for professional services
45	Celgene Corporation		Summit, New Jersey	Payment made to T.R. Winston for professional services
46	Prosetta BioSciences		San Francisco, California	Payment made to T.R. Winston for professional services
47	Pharma-Bio Serv		Plymouth Meeting, Pennsylvania	Payment made to T.R. Winston for professional services
48	Glytec		Greenville, South Carolina	Independent Member of the Board of Directors

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
49	Tivorsan Pharmaceuticals	Providence, Rhode Island	Payment made to T.R. Winston for professional services
50	Cell BioTherapy, Inc	Los Angeles, California	Acting CEO and Director
51	Scott Gottlieb, MD Consulting	Westport, Connecticut	Independent Consulting Business

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Doubleline Total Return Bond Fund (MUTF:DLTNX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	Fidelity Dividend Growth (MUTF:FDGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Fidelity Diversified International (MUTF:FDIVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Fidelity Equity Income (MUTF:FEQIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Fidelity Mid Cap Stock (MUTF:FMCSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Janus Overseas Fund (MUTF:JAOSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	Oakmark International Fund (MUTF:OAKIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	Fairholme Fund (MUTF:FAIRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9	Wintergreen Fund (MUTF:WGRNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Social Reality Stock (NASDAQ:SRAX)		N/A	\$50,001 - \$100,000		None (or less than \$201)
2	SPDR DoubleLine Total Return Tactical ETF (NYSE:TOTL)		Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
3	iShares TIPS Bond ETF (NYSE:TIP)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Vanguard REIT Index Fund ETF (NYSE:VNQ)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	U.S. Bank Account (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
6	U.S. Bank Account (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
7	U.S. Bank Account (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
8	New Hampshire Moderate Growth Fidelity 529	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	U.S. Bank Account (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
10	Coinbase Account (Bitcoin)		N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Navient Sallie Mae	See Endnote	Student Loan	\$15,001 - \$50,000	2002	3.50%	20 Year Fixed

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	Navient MedLoans	See Endnote	Student Loan	\$15,001 - \$50,000	2002	3.00%	20 Year Variable
3	TD Bank		Exercised Line of Credit	\$100,001 - \$250,000	2016	3.25%	Variable Line of Credit
4	Caliber Home Loan		Mortgage on Personal Residence	\$250,001 - \$500,000	2013	3.50%	30 Year Fixed
5	Bank of America		Mortgage on Personal Residence	\$500,001 - \$1,000,000	2010	4.35%	30 Year Fixed

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	2	Venture Partner was Dr. Gottlieb's working title. He received no equity as part of his compensation. The notation of "partner" in his title should not be assumed to imply that he had carried interest in the firm's venture funds. He had no such equity interest.
1.	3	Uncompensated Postion
1.	4	Managing Director was Dr. Gottlieb's working title. He received no equity in the firm as part of his compensation. He was paid for consulting services. His working title should not be assumed to imply that he had carried interest. He had no such equity interest.
1.	5	Uncompensated Postion
1.	14	New Enterprise Associates (NEA) portfolio company. Position held in conjunction with professional responsibilities to NEA.
1.	15	Position held through considerations related to T.R. Winston
1.	16	Position held through considerations related to T.R. Winston

PART	#	ENDNOTE
1.	17	Position held through considerations related to T.R. Winston
1.	18	Position held through considerations related to T.R. Winston. Uncompensated Postion
1.	21	Contracting entity for independent consulting work related to Bristol Meyers Squibb. This LLC is currently inactive since December 2016.
1.	22	Contracting entity for independent consulting work related to Vertex Pharmaceuticals
1.	23	Position held through considerations related to NEA
2.	5	Total consulting fee includes reimbursed travel expenses
2.	6	This total reported fee includes reimbursed travel expenses. It will be reported on the CMS "Open Payments" website in a category marked "promotional speaking/other."
2.	8	Options fully exercised and sold
2.	14	Granted for Board of Directors Service. All shares vested
2.	16	Granted for Board of Directors Service. All shares vested. Line of business: biotech company
2.	17	Granted for Board of Directors Service. All shares vested. Line of business: medical software company
2.	29	Granted for Board of Directors Service
2.	42	Contracting entity for independent consulting work related to Bristol Meyers Squibb. This LLC is currently inactive.
2.	55	Related to professional services delivered by T.R. Winston. Line of business: biotech company
2.	57	Option grant related to advisory board service. All shares vested. Line of business: health benefits company
2.	58	Related to professional services delivered by T.R. Winston
2.	59	Related to professional services delivered by T.R. Winston. Line of business: biotech company
2.	60	Related to professional services delivered by T.R. Winston
2.	61	Related to professional services delivered by T.R. Winston
2.	62	Related to professional services delivered by T.R. Winston. Line of business: biotech company
2.	63	Related to professional services delivered by T.R. Winston
2.	64	Related to professional services delivered by T.R. Winston. Line of business: biotech company
2.	65	Related to professional services delivered by T.R. Winston

PART	#	ENDNOTE
2.	66	Related to professional services delivered by T.R. Winston
2.	67	Granted for Board of Directors Service. All shares vested. Line of business: e-scribe software company
2.	68	All shares sold
2.	69	Granted for Board of Directors and Officer Services. All shares vested. Line of business: biotech company
2.	70	CVR entitling holder to payments based on achievement of future clinical milestones.
2.	95	For independent consulting work related to Vertex Pharmaceuticals

PART	#	ENDNOTE
2.	104	<p>All Investments in NEA 14 Have Been Fully Divested</p> <p>Portfolio Investments</p> <p>42Floors Inc. - Website to find office space rentals and commercial real estate listings</p> <p>Acquia Inc. - Enterprise platform to combine content, commerce, and community</p> <p>Adaptimmune Therapeutics plc - Biopharma company developing affinity enhanced T cell receptor (TCR) engineered T cells to treat hematologic and solid tumor cancers</p> <p>Advanced Cardiac Therapeutics, Inc. - Early-stage medical device company developing a novel cardiac catheter ablation technology</p> <p>Ajax Vascular, Inc. - Medical device company focused on treatment of peripheral vascular disease</p> <p>Alfred Club Inc. - Concierge service that manages weekly personal needs</p> <p>Alimera Sciences, Inc - Engages in the research, development, and commercialization of prescription ophthalmic pharmaceuticals.</p> <p>Appian Corporation - Cloud-based platform for building custom software</p> <p>Apropose, Inc.- Web design mining platform</p> <p>Barkly Protects, Inc. - Defense against malware that gets past antivirus</p> <p>BetterDoctor, Inc. - Provides Web and mobile apps that let users to find doctors</p> <p>Bitglass, Inc.- Cloud computing service to protect, secure, track sensitive corporate data</p> <p>Blend Systems, Inc - Offers Blend, a college-exclusive application that lets students to share their experiences and get stuff from their favorite brands</p> <p>BlisPay Inc - Develops a mobile application for paying bills online</p> <p>BloomReach, Inc - Develops and provides Big Data marketing applications for Internet retailers.</p> <p>Bonsai AI, Inc.- An AI platform</p> <p>Braintree, Inc.- Leading provider of online and mobile payment solutions</p> <p>Branch Metrics, Inc. - A tool that tracks and encourages organic growth</p> <p>BVCF III-A, L.P. - Healthcare/life sciences - International fund operating in China</p> <p>Canopy Tax, Inc. - Project management software for accountants and tax professionals.</p> <p>Cape Productions, Inc. - End-to-end drone video service.</p>

Captora Inc. - Inbound marketing acceleration software solutions

Care Zone, Inc. - Social utility site that provides communication and productivity tools to those caring for children, senior parents or loved ones

Casper Sleep Inc. - Online e-Commerce brand that sells mattresses and sleepwear

Cerecor Inc. - Clinical stage biopharmaceutical company focused on the development of drugs to treat diseases of the central nervous system

Champions Oncology, Inc. personalized cancer treatment options for patients and translational oncology solutions for pharma and biotech

ClearMotion, Inc. - Develops and creates automotive technologies (ClearMotion)

Cleave Biosciences, Inc. - Drug discovery company developing orally-administrable inhibitors

Cohere Technologies, Inc. - Developer of Orthogonal Time Frequency Space (OTFS)

CollectiveHealth, Inc - Provider of a SaaS solution that enables businesses to self-insure

Console Connect Inc - Building a network of distributed Internet Exchange Points (IXPs) that enable a customer to virtually extend its network and directly connect with peers

Cydan, LLC - Orphan drug accelerator

Cyence, Inc - Platform for economic modeling of cyber risk for the insurance industry

D and E Cowboys Holdings, Inc. - Enables consumers to be aware of nearby people and connections by leveraging social data

D2L Inc - Providing cloud-based learning management systems for higher education, K-12 and Fortune 1000 companies

DataBricks, Inc. - An open source cluster computing framework for in memory processing of massive scale data sets

DataRobot, Inc. - Develops machine learning automation software for enterprises.

DataVisor, Inc.- Provides security analytics for consumer facing web and mobile sites

Datrium, Inc - Building network attached storage solutions

Duolingo, Inc. - Offers a language learning website

EarLens Corporation - Medical device company developing a next -generation hearing aid which uses light to transmit sound to achieve high definition sound performance

PART	#	ENDNOTE
		Edimer Pharmaceuticals, Inc.- Develops products for patients with X-linked hypohidrotic ectodermal dysplasia (XLHED)
		Edmodo, Inc. - Secure social learning platform for teachers, students, and parents
		Elasticsearch Global B.V. - Provides solutions to help a client to take data from various sources and formats
		Envisia Therapeutics Inc - Engaged in the discovery and development of ocular therapeutics for the critical needs in ophthalmology.
		Exploramed IV, L.L.C. - A medical device incubator
		ExploraMed NC7, Inc - OTC device that reimagines the traditional breast pump
		FabricLock, Inc - Stealth-mode network security product
		Folloze, Inc. - Provides Account Based Marketing (ABM) Sales Platform
		Forter Ltd. - Provides accurate frictionless fraud prevention for enterprise online retail.
		Foundry Innovation & Research 1, Limited (FIRE1) - Focuses on developing novel remote monitoring devices
		Framebridge, Inc. - A mobile and online custom framing service
		Fugue, Inc. - A cloud operations and management company
		FusionOps, Inc. - Provides cloud-based supply chain intelligence solutions.
		Fyusion, Inc. - Company built on the combination of 3D computer vision, mobile, and machine learning
		Gainspeed, Inc.- Operates a virtual Converged Cable Access Platform
		Galera Therapeutics, Inc. - A clinical-stage biotechnology company, develops drugs targeting oxygen metabolic pathways
		Global Uprising, PBC - d/b/a - Cotopaxi - Manufactures, and sells outdoor products
		GoEuro Corp.Europe's first online service to aggregate all major travel modes
		Graphite Systems, Inc. - Developing and building performance computing appliances using Flash as main memory
		Growth Equity Opportunities Fund III, LLC - NEA sub-partnership investment vehicle focused on life sciences growth companies
		GuideSpark, Inc. - Cloud-based application for developing customized, short-form videos for employee communications on HR topics

Gushengtang (Cayman) Ltd. - A fast growing TCM clinic operator in China

Houzz Inc - Leading platform for home remodeling and design

Hyperfair, Inc - A 3D virtual platform that allows anyone to host, exhibit or attend an event from anywhere in the world

Igneous Systems, Inc - Builds and maintains enterprise data center infrastructures.

iHorizon Group - Leading one-stop service platform for Chinese students seeking overseas education.

Indiaworld Technologies Private Limited - Provides property services in India.

Infinitas Energy Solutions Private Limited - Provides wind, solar, community wind, oil refining, and other infrastructure solutions

Innovation Group Investors, L.P. - Provides business process services, and software

J.B.F. Interlude 2009 Ltd. - A digital media company

Jet.com, Inc. - Membership-based marketplace

Kaazing Corporation - Leading enterprise web and mobile communication platform

Kensho Technologies Inc. - Platform that enables financial professionals to compute and visualize massive data.

Koudai Corporation - A mobile Chinese marketplace

Kumu Networks, Inc - Designs and manufactures wireless systems

KURMA Biofund II FCPR - European venture capital fund focused on rare diseases

Lattice Engines, Inc. - Provides SaaS based predictive applications

LearnUp, Inc. - Provides entry-level job seekers with job-specific training and coaching

Long Hill Capital Venture Partners 1, L.P. - China-based investment partnership

Loxo Oncology, Inc. - Biopharma company developing targeted cancer therapies for genetically-defined patient populations

Lumena Pharmaceuticals, Inc. - Biopharma company developing oral therapeutics for rare liver diseases

Luminate Wireless, Inc. - Early stage wireless infrastructure company

Lumos Pharma, Inc. - Biopharmaceutical company developing a drug for the treatment of creatine

PART	#	ENDNOTE
		transporter deficiency
		MeCommerce, Inc. - Next-generation e-commerce technology platform
		MediSys EduTech Private Limited - Medical education company focused on developing teaching and learning aids targeting both B2B and B2C healthcare education
		MENA 360 HOLDING LIMITED - Partner for large businesses and SME's to achieve their commercial goals in the MENA region through digital platforms
		Mersana Therapeutics, Inc. - Biopharmaceutical company creating the next generation of antibody drug conjugates using its Fleximer-ADC technology
		Mighty AI, Inc.- Developed a mobile application which helps users to provide expert insights in their spare time
		Mimosa Networks, Inc. - Cloud-managed, fiber-fast wireless solutions
		Mirna Therapeutics, Inc. - Biopharma company focused on microRNA (miRNA)-directed oncology therapies
		MixBit, Inc. - Mobile application that lets users to record, edit, share, and publish videos
		Nectar, Inc. - Developed mobile app virtualization technology
		MongoDB, Inc. - Scalable NoSQL database powering big data applications
		Move Guides Limited - Operates a talent mobility cloud platform
		MuleSoft, Inc. - Integration platform for connecting SaaS and enterprise applications
		nea:seed II llc - NEA sub-partnership investment vehicle focused on seed investments
		Nevro Corp. - A medical device company, focuses on providing products for the patients suffering from chronic pain
		NewGlobe Schools, Inc. - The world's largest chain of nursery and primary schools
		NexImmune, Inc. - A biopharmaceutical company, develops novel immuno- therapeutics based on the proprietary Artificial IMMune (AIMTM) technology.
		NextNav Holdings, LLC - Deploying its urban and indoor positioning service
		Nginx, Inc. - High-performance web company
		Niara, Inc. - Provides security analytics for attack detection and incident response
		Nuelle, Inc. - A sexual wellness company

PART	#	ENDNOTE
		Oculeve, Inc. - Medical device company
		Olio Devices, Inc. - Develops and manufactures analog and digital smart watches
		Onshape Inc. - Develops a cloud-based 3D computer-aided designing software
		OpsClarity, Inc. - Develops modern data center and cloud environments
		Out of the Box Software, Inc. - Mobile business intelligence and communication tool
		Panacea Medical Technologies Private Limited - Develops and manufactures medical equipment's for radiotherapy and radiology.
		Pinetree Group Ltd. - Leading provider of home health care services for seniors in China
		Placemeter, Inc. - Develops and operates a cloud based platform that senses and unlocks data about activity in physical places, and delivers real-time data.
		Plaid Technologies, Inc. - API for banking data
		PsiKick, Inc. - Develops ultra-low-power wireless sensing devices.
		Radiology Partners Holdings, LLC - Comprehensive professional radiology services solution delivered through a technology-enabled national group practice
		Raise Marketplace Inc. - Operates a peer to peer marketplace to buy and sell gift cards
		Ravel Law, Inc. - Legal case search utilizing visualization platforms
		RezNext Global Solutions Private Limited - Provides real-time distribution management solutions for hotels in Asia, Africa, the Middle East, and internationally.
		Say Media, Inc. - Digital publishing company that creates passionate media brands
		ScoutRFP, Inc - Early stage startup focused on procurement software market
		Scratch Music Group, Inc. - DJ booking and tech platform
		Silk Internet Corp. - Platform for delivery of content on the web
		Sonatype, Inc.- Developer of component lifecycle management technologies
		Sportsrocket, Inc. - Provides a platform for managing video content
		Springpath, Inc. - Virtualized storage software for enterprise storage and data management
		Stride Health, Inc. - Operates a benefits platform that allows independent workers and part-time employees to select and enroll in affordable health coverage.

PART	#	ENDNOTE
		Surf Airlines, Inc. - Private air travel club
		Surface Oncology, Inc. - Next-generation cancer immunotherapies
		Synlogic, LLC - A biotechnology company focused on the development of therapeutic microbes
		Tamr, Inc. - Provides a data connection platform that allows data scientists, analysts, and managers to focus on data driven innovation.
		TechFellow 2011 Fund, L.P. - Investment fund focusing on investing in early-stage technology companies
		Topera, Inc. - A clinical stage medical device company developing a novel catheter based mapping system used for guiding cardiac ablation procedures
		TrackMaven, Inc. - Marketing analytics software
		TRACON Pharmaceuticals, Inc. - Oncology development company
		Traina Interactive Corp. - Charitable marketplace where luminaries (celebrities, athletes, chefs, etc.) can sell experiences and personal items directly to consumers
		Transifex Limited - Provides a localization automation platform for translating digital content into local, culturally fitting languages
		Turi, Inc. - Open-source software platform for machine learning on graphs
		Tuya Inc. - An innovative mobile smartphone application enhancing cross-platform/device photo storage in the cloud
		Uber (China), Ltd. - Smartphone app that connects drivers with people who need a ride.
		Uber Technologies - Smartphone app that connects drivers with people who need a ride.
		ULINK GROUP INC. - Resells telecom service of destination countries
		Upskill, Inc. - Software development platform and framework for enterprise usage of smart glasses
		Veriflow Systems, Inc - Provides software-defined network breach and outage prevention solutions.
		Viddy, Inc. (original) - An app allowing users to capture, create, and share mobile videos
		Virtru Corporation - A digital privacy company that integrates with commercially available email and file sharing programs
		Vtesse Inc. - Develops drugs for patients suffering from rare diseases
		Watermelon Express, Inc. - Develops and operates cloud-based learning solutions on smart phones

PART	#	ENDNOTE
		WellTok, Inc. - Designs and develops a technology that drives engagement through a combination of social, gaming, and personalization technologies in the healthcare
		Xfund 2, L.P. - Xfund offers seed- and early-stage capital, expert guidance, and access to America's top-tier universities and venture firms
		ZeroFox, Inc. - Cloud-based security platform
		Ziarco Group Limited - Develops therapeutics targeting inflammatory and allergic diseases, using both oral and topical routes of deliver
		Zoomdata, Inc. - Develops and deploys visualization and analytics systems for big data

PART	#	ENDNOTE
2.	105	<p>All Investments in NEA 15 Have Been Fully Divested</p> <p>Portfolio Investments</p> <p>Amplyx Pharmaceuticals, Inc - Developing drugs to treat systemic fungal infections</p> <p>Velocloud Networks, Inc. - Cloud-based wide area networking (WAN) service</p> <p>Snap Inc. - Mobile app for sharing photos</p> <p>440 Labs, Inc - Builds a cloud-based data processing and analysis engine</p> <p>51Hunter Group Holding Limited - Platform for Chinese students seeking overseas education.</p> <p>Annexon, Inc - Therapeutic products based on classical complement pathway</p> <p>Arcellx, Inc. - Developing next generation chimeric antigen receptor therapies</p> <p>Ardelyx, Inc. - Developing oral therapeutics to correct metabolic disorders</p> <p>Baldor Technologies Private Limited - Platform for people search, authentication and classification</p> <p>Banjo, Inc - Provides real time content discovery by location across social networks</p> <p>Battersea Biotech, LLC - A next-generation cell therapy company</p> <p>Berkshire Grey, Inc - Stealth-mode robotics company</p> <p>Bit Kitchen, Inc. - Mobile-focused video community</p> <p>Brainbees Solutions Private Limited - Online baby and kids retailing market in India</p> <p>Bright Health Inc - Health plan serving individual and Medicare markets</p> <p>Busybees Logistics Solutions - E-commerce logistics solutions provider in India</p> <p>Catalina Labs, Inc - Solutions company to humanize how people communicate with technology</p> <p>Catalytic, Inc. - Business Process Optimization and Automation Company</p> <p>CCP hf - Develops, operates, and maintains massively multiplayer online</p> <p>Chuqu Limited - An online service connecting travelers in overseas destinations to people living there</p> <p>Clementia Pharmaceuticals Inc - Biotech company focused on developing treatments for rare diseases.</p> <p>Code 42 Software, Inc. - Endpoint data protection and management company</p> <p>CRISPR Therapeutics AG - Development of gene-based medicines for serious diseases</p>

DeepAssist Inc - China's first mobile in-app search product

Desktop Metal, Inc - Produce desktop metals.

Docent Health, Inc - Software applications to organize and monitor patient care

DOTS Technology Corp - Consumer health technology company developing a novel handheld oligonucleotide based personal diagnostic system.

Eargo, Inc - Consumer medical device company focused on hearing solutions.

Enigma Technologies, Inc. - Platform that provides users with a searchable database of public records, information, and documents

Expel, Inc - Cyber security company for research and investing information

FabFitFun, Inc - Website that publishes content on life, wellness, entertainment, beauty, and style for women

FiftyThree, Inc - Technology company that specializes in tools for mobile creation and visual thinking

Food Perfection Limited - Manufactures and markets evaporated and sweetened condensed milk

Frontier Car Group, Inc - Builds marketplaces for emerging markets in the auto sector.

Functional Software, Inc - Open-source, real-time application crash reporting platform

Genesis Supply Holdings, LLC - Provider of generic drugs to the federal market.

GitStar, Inc. - A web-application security company

Gladly Software, Inc - SaaS based contact center platform catering to large B2C companies

GlamSquad, Inc - App-based provider of on-demand beauty services.

Goop International Holdings Inc. - An eCommerce company focused on the verticals of beauty, fashion, home and food.

GoQii Inc. - Personalized healthy lifestyle coaching technology platform.

Green Bay Ventures, LLC - Capital firm investing in technology and life sciences

Green Chef Corporation - An online organic meal-delivery business.

Greytip Software Private Limited - A SaaS based payroll and HR solution

Growing Corporation - Data visualization platform for web-based and mobile applications

PART	#	ENDNOTE
		Growth Equity Opportunities Fund IV, LLC - NEA sub-partnership investment vehicle focused on life sciences growth companies
		Guideline Technologies, Inc – Software platform to assist in company 401k set-up and maintenance
		HackerOne Inc - A marketplace that provides a solution for security vulnerability.
		Heap Inc - Mobile and web application analytics company
		HMY (CAYMAN) INC - Online fashion technology company
		Illusive Networks Ltd - Network security company
		Inozyme Pharma, Inc - Developing enzyme replacement therapy for diseases of calcification
		Instabase, Inc. - Platform for data, applications, and programming services
		Intact Vascular, Inc - Medical device company developing a novel, minimally invasive medical device for the treatment of peripheral arterial disease (PAD)
		IntelligenceNode Consulting Private Limited – A technology backed pricing strategy and business intelligence consulting firm.
		ionQ, Inc. - Early stage quantum computing initiative
		Kiswe Mobile Inc. - Video technology company, providing live media solutions to sports & entertainment
		KONUX Inc. - End-to-end solution combining smart sensors and AI-based analytics.
		Krypton Project, Inc - Computer Software Development and Applications
		Letgo USA B.V. - Marketplace that allows users to buy and sell locally.
		LinkDoc Technology Limited - Oncology big data company.
		Long Hill Capital Venture Partners 1, L.P. - Invests in companies located in China.
		Lowell, Inc. - Medical Device Contract Manufacturing company
		Lytmus Inc. - Machine-based platform that sourced and assessed technical talent
		Matroid, Inc. - Deep Learning and Machine Learning, focused on computer vision
		Millendo Therapeutics, Inc. - Biopharmaceutical company, develops a portfolio of disease-modifying therapies/treatments for specialty and orphan endocrine disorders
		MindTickle Inc. – A sales enablement platform for on-boarding, product training, coaching and ongoing readiness

MobiSocial, Incorporated - Provides a chat application for mobile phones

More Health, Inc. - A cloud based physician collaboration platform that connects the patient's attending doctors with physician specialists

MuleSoft, Inc. - Integration platform for connecting SaaS and enterprise applications in the cloud and on-premise.

MyCash Fintech Pte. Ltd. - e-Marketplace designed for Malaysia & Singapore

MyTherapist Inc. - An online discovery engine and marketplace for psychotherapy

Nefeli Networks, Inc. - Software-defined networking (SDN)

NightstaRx Limited - Clinical-stage biotech company developing a therapy for a rare degenerative diseases

Nimble Collective, Inc - End-to-end content development and distribution platform for the animation community around the globe

NKarta, Inc - Biotech company developing natural Killer (NK) cellular therapies

Northern Light Strategic Fund IV - Early-stage venture capital fund in China

Nuvolo Technologies Corporation - Implement and support cloud-based applications

ObsEva SA - A clinical stage biopharmaceutical company

OpenDoor Labs Inc - A platform to allow consumers to buy/sell houses without brokers.

Pager, Inc - Healthcare dispatch and technology platform which provides doctor house calls services for non-emergency care

Paysa, Inc - Compensation platform and data information.

Personal Genome Diagnostics Inc - Genomic diagnostic technologies for oncology.

Pilot AI Labs, Inc. - Deep-learning based computer vision platform

Placester, Inc. - An end to end marketing platform for the residential real estate vertical

Qadium, Inc. - Internet sensing cybersecurity company

Read It Later, Inc. - A cross-platform service for the web

Reltio, Inc. - Designs and develops software solutions.

Reneo Pharmaceuticals, Inc - A biopharmaceutical company licensing and developing drugs to treat

PART	#	ENDNOTE
		fibrosis.
		Robinhood Markets, Inc. - App built around no-fee stock trading
		Rocket.Chat Holdings, Ltd. - Develops and operates an open source Web chat platform
		Runtime, Inc. - Provides IoT device management and monitoring by Apache Mynewt OS
		Senti Biosciences, Inc - Biotech developing novel therapeutics for complex diseases
		SetPoint Medical Corporation - A biomedical company developing therapies for debilitating inflammatory autoimmune diseases
		SineWave Ventures Fund I, L.P. - SineWave Ventures is an early-stage enterprise tech investment firm
		SolveBot, Inc.- Builds apps from spreadsheets
		Speedinvest II EuVECA Gmbh & Co KG - European Venture Capital
		StreamSets, Inc - Provides data ingest technology for big data applications
		Swift Navigation, Inc - Develops hardware and software in the area of global positioning system (GPS)
		Tamara Mellon Brand, Inc - Offers apparel and accessories for women
		Tectus Corporation - Developing a next-generation Augmented Reality wearable display.
		TherAchon Holding AG - Developing a novel biologic therapy for achondroplasia.
		ThreatQuotient, Inc. - A cyber security software firm
		Tigera, Inc. - Commercializing advanced network security and SDN functionality.
		Transfix, Inc - On-demand shipping marketplace for manufacturers and distributors.
		Travelator Inc.- TravelBank, develops expense management software solution.
		Uhana, Inc - Develops a software to make the mobile edge a distributed, cloud-scale datacenter rather than a network.
		VividCortex, Inc - Develops and delivers Software as a Service based MySQL monitoring and analysis tools.
		Wallapop, S.L.- A mobile first peer to peer marketplace for secondhand goods.
		Waltz Networks, Inc - Cloud platform for automatic high performance traffic management applications
		Wheels Up Partners Holdings LLC - Membership-based private aviation company

PART	#	ENDNOTE
		Xiang He Fund I, L.P. - Specializes in late stage growth capital investments
		XTuit Pharmaceuticals - Biopharmaceutical company developing novel microenvironment-activated therapeutics
		Yanka Industries, Inc - Provides online video education solutions
2.	106	Investment of personal capital in company on which I serve on the Board of Directors. Line of business: e-scribe software company
2.	107	Investment of personal capital in an NEA portfolio company that I helped support with professional services rendered under my obligations to NEA. Line of business: dialysis provider
2.	108	Investment of personal capital in an NEA portfolio company that I helped support with professional services rendered under my obligations to NEA. Line of business: radiology services provider
2.	109	Investment of personal capital in an NEA portfolio company that I helped support with professional services rendered under my obligations to NEA. Line of business: health plan
2.	110	Investment of personal capital in an NEA portfolio company that I helped support with professional services rendered under my obligations to NEA. Line of business: health benefits provider
2.	111	Investment of personal capital in an NEA portfolio company that I helped support with professional services rendered under my obligations to NEA. Line of business: drug packaging and distribution
2.	112	Investment of personal capital in a TR Winston related company that I helped support with professional services rendered under my obligations to TR Winston. Line of business: biotech company
2.	113	Investment of personal capital in a TR Winston related company that I helped support with professional services rendered under my obligations to TR Winston. Line of business: biotech company
2.	114	Investment of personal capital in a TR Winston related company that I helped support with professional services rendered under my obligations to TR Winston. Line of business: biotech company
2.	115	Investment of personal capital in a TR Winston related company that I helped support with professional services rendered under my obligations to TR Winston. Line of business: specialty retailer
2.	116	Personal investment of capital acquired through T.R. Winston equity raise. Valuation modeling an assumed value below \$1,000 is based on a Black-Scholes valuation adjusted for warrants. The value is based on the common shares outstanding, not the fully diluted shares. The 90-day volatility used for modeling purposes was as provided by Thomson Reuters.
2.	117	Investment of personal capital in a TR Winston related company that I helped support with professional services rendered under my obligations to TR Winston. Line of business: biotech company
2.	118	Line of business: medical software
2.	123	All shares sold

PART	#	ENDNOTE
3.	9	The sole proprietorship will be placed into inactive status during my government service and any outstanding fees will be fixed before I enter government.
3.	13	Related to professional services delivered by T.R. Winston
3.	14	Related to professional services delivered by T.R. Winston
3.	15	Related to professional services delivered by T.R. Winston
3.	16	Related to professional services delivered by T.R. Winston
3.	17	Related to professional services delivered by T.R. Winston
3.	18	Related to professional services delivered by T.R. Winston
3.	19	Related to professional services delivered by T.R. Winston
3.	20	Related to professional services delivered by T.R. Winston
3.	21	Related to professional services delivered by T.R. Winston
3.	22	Related to professional services delivered by T.R. Winston
4.	10	Work performed under a consulting arrangement with YourEncore.
4.	11	Work performed under a consulting arrangement with Innovating Healthcare LLC
4.	32	Related to three separate speaking engagements for the American Journal of Managed Care and for the publication's Patient-Centered Oncology Care forum.
4.	33	For two separate events on 9/11/15 and 11/18/15 and 4/1/16
4.	35	Work performed for Bausch & Lomb, which was a subsidiary of Valeant Pharmaceuticals North America LLC. Paying entity was Virtuoso Healthcare Communications
4.	36	In conjunction with legal services provided for King Pharmaceuticals
4.	37	In conjunction with legal services provided for Amarin Pharmaceuticals
4.	38	In conjunction with legal services provided for Baxalta Corporation
6.	8	Owned across three different dependent child accounts
8.	1	Loan first acquired in 1995 while a medical student and re-financed in 2002 into a 20-year fixed loan
8.	2	Loan first acquired in 1995 while a medical student and re-financed in 2002 into a 20-year variable loan

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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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.

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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.

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