

**2020
CODE OF CONDUCT
STATEMENT OF FINANCIAL INTEREST
FOR 2019 FILING YEAR**

THIS FINANCIAL INTEREST STATEMENT IS REQUIRED UNDER THE GOVERNOR'S CODE OF CONDUCT PROMULGATED BY EXECUTIVE ORDER 1980-18 DATED MAY 16, 1984, AS AMENDED SEPTEMBER 28, 1987 AND MAY 09, 2007. ADDITIONALLY, THIS STATEMENT SATISFIES THE FILING REQUIREMENTS UNDER THE PENNSYLVANIA LIQUOR CONTROL BOARD CODE OF CONDUCT. IT IS NOT TO BE CONFUSED WITH ANY FINANCIAL INTEREST STATEMENT COMPLETED AND SUBMITTED UNDER THE PUBLIC OFFICIAL AND EMPLOYEE ETHICS ACT.

LAST NAME Nolan **FIRST** James **MI** G
NAME OF AGENCY, BOARD OR COMMISSION State Employes Retirement Sys

POLICY

1. Statements of Financial Interest. *The following officials, appointees and employees of the Commonwealth shall file a statement of financial interest with the personnel office of the respective department, agency, board or commission or other office as designated hereafter:*

- a.** *Governor*
- b.** *Lieutenant Governor*
- c.** *Heads of agencies and departments, their respective deputy secretaries, all Commonwealth officials or employees at the level of division chief and above, and all attorneys, press secretaries, legislative liaisons, and executive and special assistants*
- d.** *Chairpersons and members of compensated boards and commissions under the Governor's jurisdiction*
- e.** *Executive directors, counsel, and administrative secretaries of compensated boards and commissions under the Governor's jurisdiction*
- f.** *Employees of all classes required by the Office of Administration to file financial disclosure under The Public Official and Employee Ethics Act*

2. Additional Filings. *The Governor may require other officials, appointees and employees in the Executive Branch to file financial interest statements.*

Officials, appointees and employees required to file this financial interest statement shall do so within 30 days of the date they assume office and shall file a financial interest statement on May 1 of each year thereafter for the duration of their employment

or term of office. **All financial interest statements must cover the preceding calendar year (January 1 through December 31).** Persons who are required to file this financial interest statement and fail to do so will be subject to disciplinary action including discharge or removal from office.

Financial disclosure is required only for the individual completing this statement.

INSTRUCTIONS FOR COMPLETING THIS STATEMENT

1. Review entire form before completing any items.
2. Complete all sections, indicating NONE or N/A where applicable. The information is to be typewritten or completed in print, using a ballpoint pen.
3. If additional space is necessary, provide information in same format on 8 1/2 X 11 sheet(s) and securely attach to this form.
4. Make and retain a completed copy of this statement.
5. FILING PERIOD: Information requested is to cover the preceding calendar year.
6. Individuals required to complete this form are to file as follows: **a.)** Heads of agencies are to file with the HR Service Center, PO Box 824, Harrisburg, PA 17108-0824. **b.)** Chairpersons and Members of Compensated Boards and Commissions are to file with the HR Service Center, PO Box 824, Harrisburg PA 17108-0824. **c.)** All other officials, appointees, and employees are to file with their central agency Human Resource Office.

**A. To be completed by
Chairpersons and Members of Compensated Boards and Commissions
under the Governor's jurisdiction:**

Name of Board or Commission N/A
 Principal Occupation or Profession _____
 Principal Work Address _____
 Business Telephone Number _____
 (xxx) xxx-xxxx

**B. To be completed by
Heads of Agencies and all other Officials, Appointees and Employees
required to file this statement**

Agency in which employed State Employees Retirement Sys
 Position Title Dep Chf Invmnt Ofr SERS
 Work Address 30 N 3rd St Harrisburg, PA 17101
 Work Telephone Number _____
 (xxx) xxx-xxxx

PERSONAL ECONOMIC INTEREST

List all investments (including but not limited to stocks, notes, bonds, consulting arrangements, etc.) in any in-state or out-of-state business entity held during the preceding calendar year, whether or not such entity is involved in any transaction involving the Commonwealth. Exclude any items reported under Real Property Interests.

Name/address of principal office of the business entity(ies)
See attachment
 Nature/description of interest(s), including conditions and encumbrances

Transfers:
 Nature/description of transferred interest(s)
N/A
 Name/address of person(s)/entity(ies) to whom transferred

BUSINESS INTERESTS

List all interests (including but not limited to stocks, notes, bonds, partnerships, sole and/or joint proprietorship/ownership, etc.) in any business entity or not-for-profit entity held during the preceding calendar year and doing business with the Commonwealth (if known). "Interests" shall include not only personal financial interest, but also non-paid memberships on

boards of directors of business entities or not-for-profit entities.

Name/address of the principal office of the business(es) and/or non-profit entity(ies)

N/A

Nature and dollar value of interest(s), including any liens, encumbrances, etc.

Transfers:

Nature/description of transferred interest(s)

N/A

Name/address of person(s)/entity(ies) to whom transferred

LIABILITIES

List all liabilities or debts owed to any person, entity, or institution during the preceding calendar year. Exclude retail credit accounts, commercial banks, savings and loans and finance company loans.

Name/address of person(s), entity(ies), institution(s) to whom liability or debt was owed

Quicken Loans Detroit, MI

Manner in which debt/liability was secured

Mortgage Loan

Amount of debt(s)/liability(ies) and terms of payment

\$250,000

Amortized monthly payments

EMPLOYMENT

List all payments, compensation, or consideration of any nature (including but not limited to salaried employment, consultant fees, offices, directorships, honoraria, travel/related expenses and other fees, etc.) earned during the preceding calendar year. Exclude Commonwealth employment listed on Page 2.

Name/address of person(s), entity(ies), for whom service(s) were, are or will be rendered

N/A

Title/description of service(s)

Period(s) of time during which services were, are or will be rendered

Total amount of monies, compensation, consideration received

REAL PROPERTY INTERESTS

List all in-state and out-of-state real estate property interests including revenue producing leased facilities and interests in gas, oil, coal or other mineral royalty producing interest held during the preceding calendar year. Exclude principal residence.

Name, nature/description and mailing address of real estate property interest(s)

N/A

Nature and extent of interest(s), including any conditions or encumbrances, and any partners in the interest

Acquisition:

Date(s) Acquired

Name/Address of person(s)/entity(ies) from whom acquired

Manner of transfer or conveyance (Purchase, inheritance, etc.)

Transfers:

Name, nature/description and mailing address of property interest(s)

N/A

Consideration or amount received (Dollar value or payment in kind)

Name and address of person(s)/entity(ies) to whom transferred

SEVERANCE PAYMENTS

List any severance payments received or to be received, or any proceeds received or to be received from the sale or redemption of interest in any corporation (which represents 5% or more of the common stock or assets of the corporation), professional corporation, partnership, or other entity, which payments or proceeds result from the termination of employment or withdrawal from a corporation, professional corporation, partnership, or other entity upon the assumption of public office. Attach to this statement a copy(ies) of any agreement(s) relating to receipt of such severance payments or proceeds.

Source(s) of any severance payments or proceeds

N/A

Nature/description of payments or proceeds (ATTACH COPIES)

In the event that a severance arrangement or sale or redemption of any interest specified above is concluded more than 30 days following the date of assuming office or position, a supplement to this statement shall be filed within 10 calendar days following the conclusion of the transaction. Such supplement shall disclose any payments or proceeds received or to be received and the filing of any agreements relating to such payments or proceeds.

GIFTS

List all gifts of value in excess of \$100, including the forgiveness of a debt received during the preceding calendar year. For the purpose of this section, payment or reimbursement for transportation, lodging or hospitality that exceeds \$100 shall be disclosed as a gift. Gifts received from family members need not be disclosed in this section.

N/A

Name/Address of the person(s)/entity(ies) from whom or on behalf of whom the gift was directly or indirectly received

Nature and value of gift(s)

I HEREBY CERTIFY THAT THE INFORMATION PRESENTED HEREIN IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, AND IS PROVIDED IN COMPLIANCE WITH THE GOVERNOR'S CODE OF CONDUCT PROMULGATED BY EXECUTIVE ORDER 1980-18 DATED MAY 16, 1984, AS AMENDED SEPTEMBER 28, 1987 AND MAY 09, 2007.

Form electronically submitted by James G Nolan [REDACTED]

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SIGNATURE

DATE

(MM/DD/YYYY)

PERSONAL ECONOMIC INTEREST - ATTACHMENT

Name/Address of principal office of the business entity(ies):

Schwab US Broad Market ETF 211 Main St.
San Francisco, CA 94105

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Berkshire Hathaway B New 3555 Farnam Street
Omaha, NE 68131

Nature/description of interest(s), including conditions and encumbrances:

Exchange Listed Equity Investment

Name/Address of principal office of the business entity(ies):

Vanguard Prime Money Market Fund 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Passive Cash Equivalent Fund

Name/Address of principal office of the business entity(ies):

Vanguard S&P 500 Index ETF 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Vanguard Institutional Index Fund 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Vanguard Small-Cap Index Fund
100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Vanguard Mid-Cap Index Fund 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

The Hershey Company (Stock, Options and RSU's) 100 Crystal A Drive
Hershey, PA 17033

Nature/description of interest(s), including conditions and encumbrances:

Exchange Listed Equity Investment

Name/Address of principal office of the business entity(ies):

iShares Core S&P 500 ETF 400 Howard St.
San Francisco, CA 94105

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Vanguard Index 500 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Schwab US Small Cap ETF
Schwab US Broad Market ETF 211 Main St.
San Francisco, CA 94105

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Schwab US Large Cap ETF
Schwab US Broad Market ETF 211 Main St.
San Francisco, CA 94105

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Vanguard Russell 2000 Index Fund 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

iShares Core S&P Small Cap ETF 400 Howard St.
San Francisco, CA 94105

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

PA DCP Stock Index Fund
Empower Retirement 212 Locust Street, Suite 410
Harrisburg, Pennsylvania 17101

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

PA DCP Extended Market Fund
Empower Retirement 212 Locust Street, Suite 410
Harrisburg, Pennsylvania 17101

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

FPA Crescent Fund 11601 Wilshire Blvd.
Los Angeles, CA 90025

Nature/description of interest(s), including conditions and encumbrances:

Name/Address of principal office of the business entity(ies):

Berkshire Hathaway B Common Stock 3555 Farnam Street
Omaha, NE 68131

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

PepsiCo Inc. 700 Anderson Hill Road
Purchase, NY 10577

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

JP Morgan Prime Money Market Fund 270 Park Ave.
New York, NY 10017

Nature/description of interest(s), including conditions and encumbrances:

Money Market Fund

Name/Address of principal office of the business entity(ies):

Care Capital Properties Inc. Common 191 North Wacker Drive
Chicago, NY 60654

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Ventas Inc. 353 North Clark Street
Chicago, IL 60654

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Square, Inc. 1455 MARKET STREET SUITE 600
SAN FRANCISCO, CA 94103

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Apple Inc. 1 Infinite Loop
Cupertino, CA 95014

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Alphabet Inc. 1600 Amphitheatre Parkway
Mountain View, CA 94043

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Facebook Inc. 1601 Willow Road
Menlo Park, CA 94025

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Amazon.com Inc. 410 Terry Avenue North
Seattle, WA 98109

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Microsoft Corp. 1 Microsoft Way
Redmond, WA 98052

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Netflix Inc. 100 Winchester Circle
Los Gatos, CA 95032

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Tesla Motors Inc. 3500 Deer Creek Road
Palo Alto, CA 94304

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Snap Inc. 63 Market Street
Venice, CA 90291

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Schwab US Dividend ETF 211 Main St.
San Francisco, CA 94105

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Vanguard S&P Small Cap 600 ETF 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Vanguard Russell 2000 ETF 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Vanguard S&P MID CAP 400 ETF 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Vanguard High Yield Dividend Yield ETF 100 Vanguard Blvd.
Malvern, PA 19355

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Blackrock Equity Dividend 100 Bellevue Parkway
Wilmington, DE 19809

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Columbia Small Cap Index
225 Franklin Street
Boston, MA 02111

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Columbia Mid Cap Index 225 Franklin Street
Boston, MA 02111

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Blackrock S&P 500 Index 100 Bellevue Parkway
Wilmington, DE 19809

Nature/description of interest(s), including conditions and encumbrances:

Passive Equity Index Fund Investment

Name/Address of principal office of the business entity(ies):

Twitter Inc. 1355 Market Street
San Francisco, CA 94103

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Workday Inc. 6230 Stoneridge Mall Road
Pleasanton, CA 94588

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Intuitive Surgical Inc. 1020 Kifer Road
Sunnyvale, CA 94086

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Coupa Software Inc. San Mateo, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Crowdstrike Hldgs Inc. Sunnyvale, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Irhythm Technologies Inc. San Francisco, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Pinterest Inc. San Francisco, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Service Now Inc. Santa Clara, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Veeva Systems Inc. Pleasanton, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Datadog Inc. 620 8th Ave.
New York, NY 10018

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Pagerduty Inc. San Francisco, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Palo Alto Networks Santa Clara, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Shopify Inc. Ottawa, Canada

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Smartsheet Inc. Bellevue, WA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock

Name/Address of principal office of the business entity(ies):

Uber Technologies Inc. 1455 Market St.
San Francisco, CA

Nature/description of interest(s), including conditions and encumbrances:

Equity Stock
