

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Hutchison III, Malcolm Clark

Director Division of Clearing and Risk, Commodity Futures Trading Commission

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/ Hutchison III, Malcolm Clark [electronically signed on 11/18/2020 by Hutchison III, Malcolm Clark 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/ LoPresti, Heather J, Certifying Official [electronically signed on 12/01/2020 by LoPresti, Heather J in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 12/01/2020

Data Revised 11/30/2020

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	ConocoPhillips (COP)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
2	General Electric Co. (GE)	Sale	05/06/2020	Yes	\$1,001 - \$15,000
3	Intercontinental Exchange, Inc. (ICE)	Purchase	05/08/2020	Yes	\$1,001 - \$15,000
4	Microsoft Corp. (MSFT)	Sale	05/06/2020	Yes	\$1,001 - \$15,000
5	Medtronic Plc (MDT)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
6	Alcon Inc (ALC)	Sale	06/30/2020	Yes	\$1,001 - \$15,000
7	LyondellBasell Industries NV (LYB)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
8	Air Products and Chemicals, Inc. (APD)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
9	Alphabet, Inc. (GOOG)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
10	Baker Hughes Co (BKR)	Sale	06/30/2020	Yes	\$1,001 - \$15,000
11	Berkshire Hathaway Inc. (BRKB)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
12	Capital One Financial Corp. (COF)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
13	carrier global corp (crr)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
14	Cisco Systems, Inc. (CSCO)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
15	Citigroup, Inc. (C)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
16	Citizens Financial Group, Inc. (Rhode Island) (CFG)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
17	Conagra Brands, Inc. (CAG)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
18	ConocoPhillips (COP)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
19	Corteva, Inc. (CTVA)	Sale	06/26/2020	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
20	Fortive Corp. (FTV)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
21	Intercontinental Exchange, Inc. (ICE)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
22	Northrop Grumman Corp. (NOC)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
23	otis worldwide corp (otis)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
24	QUALCOMM, Inc. (QCOM)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
25	Raytheon Co. (RTN)	Purchase	06/26/2020	No	\$1,001 - \$15,000
26	trust financial corp (tfc)	Sale	06/26/2020	Yes	\$1,001 - \$15,000
27	Visa, Inc. (V)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
28	Zimmer Biomet Holdings, Inc. (ZBH)	Purchase	06/26/2020	Yes	\$1,001 - \$15,000
29	Dollar Tree, Inc. (DLTR)	Purchase	08/17/2020	Yes	\$1,001 - \$15,000
30	lowes	Sale	08/17/2020	Yes	\$1,001 - \$15,000
31	The PNC Financial Services Group, Inc. (PNC)	Sale	05/22/2020	Yes	\$1,001 - \$15,000
32	Amgen Inc. (AMGN)	Sale	05/19/2020	Yes	\$1,001 - \$15,000
33	Broadcom, Inc. (AVGO)	Sale	05/19/2020	Yes	\$1,001 - \$15,000
34	Cummins, Inc. (CMI)	Sale	05/19/2020	Yes	\$1,001 - \$15,000
35	Gilead Sciences, Inc. (GILD)	Sale	05/19/2020	Yes	\$1,001 - \$15,000
36	The Home Depot, Inc. (HD)	Sale	05/19/2020	Yes	\$1,001 - \$15,000
37	QUALCOMM, Inc. (QCOM)	Purchase	05/19/2020	No	\$15,001 - \$50,000
38	Quest Diagnostics, Inc. (DGX)	Sale	05/19/2020	Yes	\$1,001 - \$15,000
39	Newmont Corp. (NEM)	Purchase	06/02/2020	Yes	\$1,001 - \$15,000
40	T-Mobile US, Inc. (TMUS)	Sale	06/02/2020	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
41	Exxon Mobil Corp. (XOM)	Sale	06/25/2020	No	\$15,001 - \$50,000
42	Reinsurance Group of America, Inc. (RGA)	Sale	06/25/2020	Yes	\$1,001 - \$15,000
43	Spirit AeroSystems Holdings, Inc. (SPR)	Sale	06/25/2020	Yes	\$1,001 - \$15,000
44	T. Rowe Price Group, Inc. (TROW)	Sale	06/09/2020	Yes	\$15,001 - \$50,000
45	AbbVie, Inc. (ABBV)	Sale	06/25/2020	Yes	\$1,001 - \$15,000
46	The Home Depot, Inc. (HD)	Sale	06/25/2020	Yes	\$1,001 - \$15,000
47	Maxim Integrated Products, Inc. (MXIM)	Sale	06/23/2020	Yes	\$1,001 - \$15,000
48	Omnicom Group, Inc. (OMC)	Sale	06/29/2020	Yes	\$1,001 - \$15,000
49	CDW Corp. (CDW)	Sale	07/24/2020	Yes	\$1,001 - \$15,000
50	Ciena Corp. (CIEN)	Purchase	07/24/2020	Yes	\$15,001 - \$50,000
51	Omnicom Group, Inc. (OMC)	Sale	07/01/2020	Yes	\$1,001 - \$15,000
52	Walgreens Boots Alliance, Inc. (WBA)	Sale	07/13/2020	Yes	\$15,001 - \$50,000
53	Maxim Integrated Products, Inc. (MXIM)	Sale	07/15/2020	Yes	\$50,001 - \$100,000
54	Paychex, Inc. (PAYX)	Purchase	07/20/2020	Yes	\$15,001 - \$50,000
55	Portland General Electric Co. (POR)	Purchase	07/22/2020	Yes	\$15,001 - \$50,000
56	Carter's, Inc. (CRI)	Purchase	08/04/2020	Yes	\$1,001 - \$15,000
57	Cigna Corp. (CI)	Purchase	08/04/2020	Yes	\$1,001 - \$15,000
58	CVS Health Corp. (CVS)	Purchase	08/07/2020	Yes	\$1,001 - \$15,000
59	Exxon Mobil Corp. (XOM)	Sale	08/26/2020	Yes	\$15,001 - \$50,000
60	at&t	Purchase	08/27/2020	Yes	\$1,001 - \$15,000
61	American Electric Power Co., Inc. (AEP)	Purchase	08/27/2020	Yes	\$1,001 - \$15,000

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62	Gilead Sciences, Inc. (GILD)	Purchase	08/27/2020	Yes	\$1,001 - \$15,000
63	International Business Machines Corp. (IBM)	Purchase	08/27/2020	Yes	\$1,001 - \$15,000
64	MetLife, Inc. (MET)	Purchase	08/27/2020	No	\$15,001 - \$50,000
65	Portland General Electric Co. (POR)	Purchase	08/27/2020	Yes	\$1,001 - \$15,000
66	Walmart, Inc. (WMT)	Sale	09/01/2020	No	\$15,001 - \$50,000
67	Dollar General Corp. (DG)	Purchase	09/02/2020	No	\$15,001 - \$50,000
68	Cisco Systems, Inc. (CSCO)	Purchase	09/15/2020	No	\$1,001 - \$15,000
69	CVS Health Corp. (CVS)	Purchase	09/15/2020	No	\$1,001 - \$15,000
70	Evergy, Inc. (EVERG)	Purchase	09/15/2020	No	\$1,001 - \$15,000
71	Omnicom Group, Inc. (OMC)	Purchase	09/15/2020	No	\$1,001 - \$15,000
72	Ciena Corp. (CIEN)	Purchase	09/22/2020	No	\$15,001 - \$50,000
73	Vistra Energy Corp. (VST)	Purchase	09/22/2020	No	\$1,001 - \$15,000
74	Advance Auto Parts, Inc. (AAP)	Purchase	09/28/2020	No	\$15,001 - \$50,000
75	Carter's, Inc. (CRI)	Sale	09/28/2020	No	\$15,001 - \$50,000
76	CVS Health Corp. (CVS)	Purchase	09/01/2020	No	\$15,001 - \$50,000
77	Walmart, Inc. (WMT)	Sale	09/01/2020	No	\$50,001 - \$100,000
78	Genuine Parts Co. (GPC)	Purchase	09/23/2020	No	\$50,001 - \$100,000
79	Delta Air Lines, Inc. (DAL)	Sale	06/10/2020	Yes	\$15,001 - \$50,000
80	ACADIA Pharmaceuticals, Inc. (ACAD)	Purchase	07/30/2020	Yes	\$15,001 - \$50,000
81	pagseguro	Purchase	08/20/2020	Yes	\$15,001 - \$50,000

Endnotes

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

Privacy Act Statement

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