

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

Filer's Information

Murphy, W Patrick

Chief of Mission, Department of State

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Murphy, W Patrick [electronically signed on 03/31/2023 by Murphy, W Patrick 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/ Mann, Judy, Certifying Official [electronically signed on 05/23/2023 by Mann, Judy in Integrity.gov]

Other review conducted by

/s/ Mann, Judy, Ethics Official [electronically signed on 05/23/2023 by Mann, Judy in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/12/2023 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	RCM - Roth IRA - Equities	No			
1.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	BlackRock Health Sciences Opps Instl (SHSSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.12	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.14	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.16	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	GMO Resources; I (GEACX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.18	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.20	Dodge & Cox Stock Fund (DODGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	RCM - Roth IRA - Fixed Income	No			
2.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.6	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.7	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.10	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	RCM - Roth IRA - Alternatives	No			
3.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	RCM - Traditional IRA - Equities	No			
4.1	Akre Focus Fund Institutional Class Shares (AKRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
4.3	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	RCM - Traditional IRA - Fixed Income				
5.1	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	RCM - Traditional IRA - Equities (S)	No			
1.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.11	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.13	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	GMO Resources; I (GEACX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.18	Dodge & Cox Stock Fund (DODGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	RCM - Traditional IRA - Fixed Income (S)	No			
2.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.8	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.10	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.11	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	RCM - Traditional IRA - Alternatives (S)	No			
3.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	RCM - Roth IRA - Equities (S)	No			
4.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.11	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.13	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	GMO Resources; I (GEACX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.16	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.17	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.18	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	RCM - Roth IRA - Fixed Income (S)	No			
5.1	Axonix Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.5	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.7	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.8	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.9	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.10	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.11	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	RCM - Roth IRA - Alternatives (S)	No			
6.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
7	RCM - Inherited IRA - Equities (S)	No			
7.1	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.2	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.3	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.4	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.5	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.6	GMO Resources; I (GEACX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.7	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.8	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.11	Ishares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.12	MFS Value Fund Class I Shares (MEIIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.13	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
7.14	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7.15	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	RCM - Inherited IRA - Fixed Income (S)	No			
8.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.2	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.3	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.4	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
8.5	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.6	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.7	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
8.8	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.9	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9	RCM - Inherited IRA - Alternatives (S)	No			
9.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia Pre-paid529-3	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Virginia Invest529-3	No			
2.1	2021 Portfolio	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3	U.S. Fed Savings Bank (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	Undeveloped land, New Hampton, NH	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Rental House, Falls Church, VA	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
6	Virginia Pre-paid529-1	No	\$1,001 - \$15,000		None (or less than \$201)
7	Virginia Pre-paid529-2	No	None (or less than \$1,001)		None (or less than \$201)
8	Virginia Invest529-1	No			
8.1	Stable Value	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Virginia Invest529-2	No			
9.1	2018 Portfolio	Yes	None (or less than \$1,001)		\$201 - \$1,000
10	RCM - Joint - Equities - 1	No			
10.1	Akre Focus Fund Institutional Class Shares (AKRIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.2	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.6	Cohen & Steers Tax Advantaged Pfd Secs & Income Fu(PTA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.7	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.8	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.12	iShares MSCI Emerging Markets ETF (EEM)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.13	MFS International Growth Fund Class I Shares (MQGIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.14	MFS Value Fund Class I Shares (MEIIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
10.15	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.16	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.17	Vanguard Value Index Fund ETF Shares (VTV)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10.18	Alger Small Cap Growth Fund Class Z Shares (ASCZX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.19	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.20	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
10.21	Royce Special Equity Fund Institutional Class Shares (RSEIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.22	Dodge & Cox Stock (DODGX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
10.23	Undiscovered Managers Behavioral Value (UBVSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.24	Fidelity Agricultural Productivity Fund (FARMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	RCM - Joint - Fixed Income - 1	No			
11.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.4	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.5	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.6	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.7	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
11.8	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
11.9	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.10	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.11	Virtus Newfleet Multi-Sector Short Term Bond Fund Class I Shares (PIMSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.12	Eaton Vance Floating Rate Advantage (EIFAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
11.13	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.14	SPDR Bloomberg Barclays Convertible Securities ETF (CWB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	RCM - Joint - Alternatives - 1	No			
12.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.2	JPMorgan Hedged Equity Fund Class I Shares (JHEQX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
13	RCM - Joint - Equities - 2	No			
13.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.2	ColumbiaGlobal Technology Growth Fund Class C Shares (CTHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.4	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	RCM - Joint - Fixed Income - 2	No			
14.1	Virginia Commonwealth Transn Brd Tr (927793HS1)	No	None (or less than \$1,001)		None (or less than \$201)
14.2	Virginia Commonwealth Transn Brd Tr (927793KG3)	No	\$15,001 - \$50,000		None (or less than \$201)
14.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
14.4	Virginia St Res Auth Wtr & Swr (928181HU3)	No	\$15,001 - \$50,000		None (or less than \$201)
14.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)
15	RCM - Joint - Equities - 3	No			
15.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.2	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.3	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	RCM - Joint - Fixed Income - 3	No			
16.1	Virginia Commonwealth Transn Brd Tr (927793HS1)	No	None (or less than \$1,001)		None (or less than \$201)
16.2	Virginia Commonwealth Transn Brd Tr (927793KH1)	No	\$50,001 - \$100,000		None (or less than \$201)
16.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
16.4	Virginia St Res Auth Wtr & Swr (928181HU3)	No	\$15,001 - \$50,000		None (or less than \$201)
16.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)
17	RCM - Joint - Equities - 4	No			
17.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.2	Washington Mutual Investors Fund Class F2 Shares (WMFFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.3	Pioneer Fundamental Growth Fund Class Y Shares (FUNYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.4	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.5	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	RCM - Joint - Fixed Income - 4	No			
18.1	Virginia St Res Auth Wtr & Swr (928181HS8)	No	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.2	Virginia St Res Auth Wtr & Swr (928181HL3)	No	None (or less than \$1,001)		None (or less than \$201)
18.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
18.4	Virginia St Res Auth Wtr & Swr (928181HU3)	No	\$50,001 - \$100,000		None (or less than \$201)
18.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)
19	RCM - Joint - Alternatives 2				
19.1	JP Morgan Hedged Equity (JHDCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	RCM - Joint - Alternatives - 3				
20.1	JP Morgan Hedged Equity (JHDCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
21	RCM - Joint - Alternatives - 4				
21.1	JP Morgan Hedged Equity (JHDCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	SPDR Bloomberg Barclays Convertible Securities ETF (CWB)	Purchase	12/16/2022	\$15,001 - \$50,000
2	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Purchase	10/07/2022	\$50,001 - \$100,000
3	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	08/31/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	Fidelity Agricultural Productivity Fund (FARMX)	Purchase	08/31/2022	\$15,001 - \$50,000
5	iShares Morningstar Large-Cap Growth (ILCG)	Purchase	08/31/2022	\$1,001 - \$15,000
6	iShares MSCI Emerging Markets ETF (EEM)	Purchase	08/31/2022	\$50,001 - \$100,000
7	Washington Mutual Investors Fund Class C Shares (WSHCX)	Purchase	06/10/2022	\$15,001 - \$50,000
8	JP Morgan Hedged Equity (JHDCX)	Purchase	06/10/2022	\$15,001 - \$50,000
9	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Purchase	06/10/2022	\$15,001 - \$50,000
10	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Purchase	06/10/2022	\$1,001 - \$15,000
11	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Purchase	06/10/2022	\$15,001 - \$50,000
12	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Purchase	06/10/2022	\$1,001 - \$15,000
13	Undiscovered Managers Behavioral Value Fund Class I Shares (UBVSX)	Purchase	06/10/2022	\$15,001 - \$50,000
14	Washington Mutual Investors Fund Class C Shares (WSHCX)	Purchase	02/02/2022	\$15,001 - \$50,000
15	JP Morgan Hedged Equity (JHDCX)	Purchase	02/02/2022	\$50,001 - \$100,000
16	Axonic Strategic Income Fund (AXSIX)	Purchase	02/02/2022	\$50,001 - \$100,000
17	Dodge & Cox Stock Fund (DODGX)	Purchase	02/02/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
18	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	02/02/2022	\$15,001 - \$50,000
19	GMO Resources (GEACX)	Purchase	02/02/2022	\$15,001 - \$50,000
20	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Sale	02/02/2022	\$15,001 - \$50,000
21	iShares MSCI Emerging Markets ETF	Sale	10/07/2022	\$50,001 - \$100,000
22	Alger Small Cap Growth Fund Class Z Shares (ASCZX)	Sale	08/31/2022	\$1,001 - \$15,000
23	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Sale	08/31/2022	\$1,001 - \$15,000
24	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Sale	08/31/2022	\$1,001 - \$15,000
25	ClearBridge Large Cap Growth Fund Class I Shares (SBLIX)	Sale	08/31/2022	\$1,001 - \$15,000
26	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Sale	08/31/2022	\$50,001 - \$100,000
27	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Sale	08/31/2022	\$1,001 - \$15,000
28	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Sale	08/31/2022	\$1,001 - \$15,000
29	USAA Cornerstone Aggressive Fund (UCAGX)	Sale	06/10/2022	\$1,001 - \$15,000
30	iShares MSCI Emerging Markets ETF (EEM)	Sale	06/10/2022	\$1,001 - \$15,000
31	Royce Special Equity Fund Institutional Class Shares (RSEIX)	Sale	06/10/2022	\$15,001 - \$50,000
32	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	06/10/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	MFS International Growth Fund Class I Shares (MQGIX)	Sale	06/10/2022	\$1,001 - \$15,000
34	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	06/10/2022	\$1,001 - \$15,000
35	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	06/10/2022	\$15,001 - \$50,000
36	Virginia Commonwealth Transportation Bond	Sale	06/10/2022	\$15,001 - \$50,000
37	PIMCO Income Fund Class I-2 Shares (PONPX)	Sale	03/14/2022	\$15,001 - \$50,000
38	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Sale	02/02/2022	\$15,001 - \$50,000
39	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	02/02/2022	\$15,001 - \$50,000
40	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	10/06/2022	\$1,001 - \$15,000
41	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Purchase	06/10/2022	\$15,001 - \$50,000
42	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Purchase	06/10/2022	\$1,001 - \$15,000
43	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Purchase	06/01/2022	\$15,001 - \$50,000
44	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Purchase	06/01/2022	\$1,001 - \$15,000
45	Dodge & Cox Stock Fund (DODGX)	Purchase	03/04/2022	\$1,001 - \$15,000
46	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	03/04/2022	\$1,001 - \$15,000
47	GMO Resources (GEACX)	Purchase	03/04/2022	\$1,001 - \$15,000
48	Dodge & Cox Stock Fund (DODGX)	Purchase	03/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
49	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	03/04/2022	\$1,001 - \$15,000
50	Axonic Strategic Income Fund (AXSIX)	Purchase	02/02/2022	\$1,001 - \$15,000
51	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	02/02/2022	\$1,001 - \$15,000
52	GMO Resources (GEACX)	Purchase	02/02/2022	\$1,001 - \$15,000
53	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	02/02/2022	\$1,001 - \$15,000
54	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	02/02/2022	\$1,001 - \$15,000
55	GMO Resources Series Fund Class PS Shares (GREPX)	Purchase	02/02/2022	\$1,001 - \$15,000
56	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	02/02/2022	\$1,001 - \$15,000
57	Artisan International Value Fund Institutional Shares (APHKX)	Purchase	02/02/2022	\$15,001 - \$50,000
58	Axonic Strategic Income Fund (AXSIX)	Purchase	02/02/2022	\$15,001 - \$50,000
59	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	02/02/2022	\$15,001 - \$50,000
60	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	02/02/2022	\$15,001 - \$50,000
61	GMO Resources (GEACX)	Purchase	02/02/2022	\$15,001 - \$50,000
62	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Purchase	02/02/2022	\$15,001 - \$50,000
63	MFS Value Fund Class I Shares (MEIIX)	Purchase	02/02/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	02/02/2022	\$15,001 - \$50,000
65	Artisan International Value Fund Institutional Shares (APHKX)	Sale	10/06/2022	\$1,001 - \$15,000
66	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	10/06/2022	\$1,001 - \$15,000
67	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	06/10/2022	\$15,001 - \$50,000
68	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	06/10/2022	\$1,001 - \$15,000
69	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	06/01/2022	\$1,001 - \$15,000
70	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	06/01/2022	\$1,001 - \$15,000
71	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	06/01/2022	\$1,001 - \$15,000
72	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	03/14/2022	\$15,001 - \$50,000
73	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	03/10/2022	\$1,001 - \$15,000
74	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	03/10/2022	\$1,001 - \$15,000
75	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Sale	03/04/2022	\$1,001 - \$15,000
76	MFS Value Fund Class I Shares (MEIIX)	Sale	03/04/2022	\$1,001 - \$15,000
77	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Sale	03/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
78	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	03/04/2022	\$1,001 - \$15,000
79	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	03/04/2022	\$1,001 - \$15,000
80	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Sale	03/04/2022	\$1,001 - \$15,000
81	MFS Value Fund Class I Shares (MEIIX)	Sale	03/04/2022	\$1,001 - \$15,000
82	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Sale	03/04/2022	\$1,001 - \$15,000
83	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	03/04/2022	\$1,001 - \$15,000
84	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	10/06/2022	\$1,001 - \$15,000
85	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Purchase	08/25/2022	\$15,001 - \$50,000
86	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Purchase	06/01/2022	\$1,001 - \$15,000
87	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Purchase	06/01/2022	\$1,001 - \$15,000
88	Dodge & Cox Stock Fund (DODGX)	Purchase	03/04/2022	\$1,001 - \$15,000
89	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	03/04/2022	\$1,001 - \$15,000
90	GMO Resources (GEACX)	Purchase	03/04/2022	\$1,001 - \$15,000
91	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	02/02/2022	\$1,001 - \$15,000
92	GMO Resources (GEACX)	Purchase	02/02/2022	\$1,001 - \$15,000
93	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	02/02/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
94	Artisan International Value Fund Institutional Shares (APHKX)	Sale	10/06/2022	\$1,001 - \$15,000
95	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	10/06/2022	\$1,001 - \$15,000
96	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	06/01/2022	\$1,001 - \$15,000
97	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	06/01/2022	\$1,001 - \$15,000
98	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	03/10/2022	\$1,001 - \$15,000
99	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Sale	03/04/2022	\$1,001 - \$15,000
100	MFS Value Fund Class I Shares (MEIIX)	Sale	03/04/2022	\$1,001 - \$15,000
101	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Sale	03/04/2022	\$1,001 - \$15,000
102	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Sale	03/04/2022	\$1,001 - \$15,000
103	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	03/04/2022	\$1,001 - \$15,000
104	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	03/04/2022	\$1,001 - \$15,000
105	iShares Core S&P Small-Cap ETF (IJR)	Sale	02/02/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Specialized Loan Servicing	Mortgage on Personal Residence	\$50,001 - \$100,000	2017	3.5	15-year fixed

9. Gifts and Travel Reimbursements

None

Endnotes

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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

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.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
