

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

Filer's Information

Sunstein, Cass

Senior Counselor, Department of Homeland Security

Date of Termination: 11/30/2021

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/ Sunstein, Cass [electronically signed on 02/11/2022 by Sunstein, Cass in Integrity.gov] - Filer received a 45 day filing extension.

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/ O'Connor, Michael, Certifying Official [electronically signed on 04/01/2022 by O'Connor, Michael in Integrity.gov]

Other review conducted by

/s/ O'Connor, Michael, Ethics Official [electronically signed on 04/01/2022 by O'Connor, Michael in Integrity.gov]

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Harvard University	Cambridge, Massachusetts	University/College	Professor of Law at Harvard Law School	8/2008	Present
2	Humu Inc	Mountain View, California	A human resource company that makes work better through science and machine learning	Advisor	7/2019	2/2021
3	Behavioral Insights Team, North America	New York, New York	A social purpose organization that generates and applies behavioural insights, officially to inform policy and improve public services	Member of Board of Directors	7/2020	2/2021
4	Bloomberg LP	New York, New York	Media company	Columnist	10/2013	2/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Harvard University	N/A		Salary	\$123,263
2	Retirement Income Plan for Teaching Faculty of Harvard University	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	TIAA Traditional	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.2	CREF Stock R3 (QCSTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Vanguard Total Stock Market Index Fund Institutional Plus (VSMPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Vanguard Institutional Target Retirement 2020 Institutional (VITWX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	Harvard University Tax Deferred Annuity Plan	No			
3.1	Vanguard Institutional Target Retirement 2020 Institutional (VITWX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	The University of Chicago Contributory Retirement Plan	No			
4.1	TIAA Traditional	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
4.2	CREF STOCK R3 (QCSTIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.3	CREF Money Market R3 (QCMMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	CREF Social Choice R3 (QCSCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Yale University Press ("Nudge"); Value not readily ascertainable; New Haven, CT, USA	N/A		Rent or Royalties	\$50,001 - \$100,000
6	Princeton University Press ("#Republic"); Value not readily ascertainable; Princeton, NJ, USA	N/A		Rent or Royalties	\$2,501 - \$5,000
7	"Freedom (Holberg Lecture)", Princeton University Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	"This. Is. Not. Normal", Yale University Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$2,501 - \$5,000
9	"Sludge", The MIT Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$15,001 - \$50,000
10	"Noise", Little, Brown and Company (Value not readily ascertainable)	N/A		Rent or Royalties	\$100,001 - \$1,000,000
11	CCH Inc. - Wolters Kluwer Law & Business ("Administrative Law & Reg Policy: Problems Text And Case 8E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A		Rent or Royalties	\$1,001 - \$2,500
12	CCH Inc. - Wolters Kluwer Law & Business ("Constitutional Law 8E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A		Rent or Royalties	\$5,001 - \$15,000
13	Bloomberg (Columnist)	See Endnote	N/A	Article Fees	\$40,500
14	WW Norton ("Clones and Clones: Facts And Fantasies About Human Cloning"); Value not readily Ascertainable; New York, NY, USA	N/A			None (or less than \$201)
15	WW Norton ("Cost of Rights: Why Liberty Depends on Taxes"); Value not readily Ascertainable; New York, NY, USA	N/A			None (or less than \$201)
16	"Conformity", NYU Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
17	"Human Agency and Behavioral Economics", Palgrave Macmillan (Value not readily ascertainable;)	N/A		Rent or Royalties	\$201 - \$1,000
18	The Wylie Agency LLC (republication for quotes); New York, NY, USA	N/A		Republication Rights Fees	\$504
19	"Liars: Falsehoods and Free Speech", Oxford University Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	"Unleashed: #MeToo and Beyond", Princeton University Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
21	"The World According to Star Wars", Dey Street Books (Value not readily ascertainable)	N/A			None (or less than \$201)
22	"Choosing Not to Choose", Oxford University Press (Value not readily ascertainable)	N/A			None (or less than \$201)
23	"On Rumors", Princeton University Press (Value not readily ascertainable)	N/A			None (or less than \$201)
24	"Why Societies Need Dissent", China University of Politic (Value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
25	CCH Inc. - Wolters Kluwer Law & Business ("Constitutional Law 7E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
26	CCH Inc. - Wolters Kluwer Law & Business ("Global Edition: Constitutional Law 7E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
27	CCH Inc. - Wolters Kluwer Law & Business ("Global Edition: Constitutional Law 8E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
28	CCH Inc. - Wolters Kluwer Law & Business ("Constitutional Law 2020 Supplement"); Value not readily ascertainable; Riverwoods, IL, USA	N/A		Rent or Royalties	\$1,001 - \$2,500
29	CCH Inc. - Wolters Kluwer Law & Business ("Constitutional Law 2019 Supplement"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
30	Harvard University Press ("Why Societies Need Dissent"); Value not readily ascertainable; Cambridge, MA, USA	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31	Harvard University Press ("Worst-Case Scenarios"); Value not readily ascertainable; Cambridge, MA, USA	N/A			None (or less than \$201)
32	WW Norton ("Reassessing The Sixties: Debating Political and Cultural Legacy"); Value not readily Ascertainable; New York, NY, USA	N/A			None (or less than \$201)
33	Princeton University Press ("A Constitution of Many Minds"); Value not readily ascertainable; Princeton, NJ, USA	N/A			None (or less than \$201)
34	Princeton University Press ("Climate Change Justice"); Value not readily ascertainable; Princeton, NJ, USA	N/A			None (or less than \$201)
35	Princeton University Press ("Republic.com 2.0"); Value not readily ascertainable; Princeton, NJ, USA	N/A			None (or less than \$201)
36	CCH Inc. - Wolters Kluwer Law & Business ("The First Amendment 6E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
37	CCH Inc. - Wolters Kluwer Law & Business ("Constitutional Law 2018 Supplement"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
38	CCH Inc. - Wolters Kluwer Law & Business ("Administrative Law and Regulatory Policy: 2015-2016 Case Supplement"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
39	Harvard University Press ("After the rights Revolution"); Value not readily ascertainable; Cambridge, MA, USA	N/A			None (or less than \$201)
40	Harvard University Press ("One Case at a Time"); Value not readily ascertainable; Cambridge, MA, USA	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
41	Harvard University Press ("The Partial Constitution"); Value not readily ascertainable; Cambridge, MA, USA	N/A			None (or less than \$201)
42	Humu, Inc. - Stock Options (8/1/2021); 20,000 shares at a strike price of \$.026; exp. 10/2029 (value not readily ascertainable)(a human resource company that makes work better through science and machine learning)	N/A			None (or less than \$201)
43	Oxford University Press ("Legal Reasoning and Political Conflict"), Value not readily ascertainable; New York, NY, USA	N/A			None (or less than \$201)
44	Oxford University Press ("Free Markets and Social Justice"), Value not readily ascertainable; New York, NY, USA	N/A			None (or less than \$201)
45	Oxford University Press ("Designing Democracy: What Constitutions Do"), Value not readily ascertainable; New York, NY, USA	N/A			None (or less than \$201)
46	Oxford University Press ("Sunstein: Animal Rights"), Value not readily ascertainable; New York, NY, USA	N/A			None (or less than \$201)
47	Oxford University Press ("Infotopia: How Many Minds Produce Knowledge"), Value not readily ascertainable; New York, NY, USA	N/A			None (or less than \$201)
48	Humu Inc., vested stock options (human resource company that makes work better through science and machine learning)	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	Oxford University Press ("Going To Extremes"), Value not readily ascertainable; New York, NY, USA	N/A			None (or less than \$201)
50	"Bounded Rationality: Heuristics, Judgement & Public Policy," The MIT Press, Value not readily ascertainable	N/A		Rent or Royalties	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51	Harvard University Press ("Law and Leviathan: Redeeming the Administrative State"); Value not readily ascertainable; Cambridge, MA, USA	N/A		Rent or Royalties	\$5,001 - \$15,000
52	"Too Much Information: Understanding What You Don't Want to Know," The MIT Press, (Value not readily ascertainable)	N/A		Rent or Royalties	\$2,501 - \$5,000
53	"The Ethics of Influence" & "Simpler", Cambridge University (Value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
54	"Behavioral Science and Public Policy", Cambridge University (Value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
55	CCH Inc. - Wolters Kluwer Law & Business ("The First Amendment 5E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A		Rent or Royalties	\$201 - \$1,000
56	CCH Inc. - Wolters Kluwer Law & Business ("Constitutional Law 2017 Supplement"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
57	CCH Inc. - Wolters Kluwer Law & Business ("Administrative Law & Reg Policy: Problems Text And Case 7E"); Value not readily ascertainable; Riverwoods, IL, USA	N/A			None (or less than \$201)
58	"Averting Catastrophe", NYU Press (Value not readily ascertainable)	N/A			None (or less than \$201)
59	"How Change Happens", The MIT Press (Value not readily ascertainable)	N/A			None (or less than \$201)
60	Harvard University Press ("Impeachment"); Value not readily ascertainable; Cambridge, MA, USA	N/A			None (or less than \$201)
61	"Simpler", Simon & Schuster (Value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62	"Why Nudge", Yale University Press (Value not readily ascertainable)	N/A			None (or less than \$201)
63	"Conspiracy Theories and Other Dangerous Ideas", Simon & Schuster (Value not readily ascertainable)	N/A			None (or less than \$201)
64	"Impeachment", Penguin Books (Value not readily ascertainable)	N/A			None (or less than \$201)
65	"The Curse of Conformity", NYU Press (Value not readily ascertainable)	N/A			None (or less than \$201)
66	"Freedom (Holberg Lecture)", Princeton University Press (Value not readily ascertainable)	N/A			None (or less than \$201)
67	New York Review of Books, Robert Shiller "Narrative Economics: How Stories Go Viral and Drive Major Economic Events" (01/14/2021) & Howard Steven Friedman "Ultimate Price: The Value We Place on Life" (06/10/2021)	N/A		Article Fees	\$3,100
68	"Liars & This Is Not Normal", Oxford University Press & Yale University Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$5,001 - \$15,000
69	"Sludge & Too Much Information" The MIT Press (Value not readily ascertainable)	N/A		Rent or Royalties	\$5,001 - \$15,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Harvard University	Cambridge, Massachusetts	I will take an unpaid, two-year leave of absence from my faculty position.	1/2021

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	The University of Chicago	Chicago, Illinois	I will continue to participate in the Defined Contribution Retirement Plan. The university has not made contributions since my departure.	8/1981
3	Harvard University	Cambridge, Massachusetts	I will continue to participate in the Tax Deferred Annuity Plan. The university will not make contributions during my leave.	8/2008
4	Harvard University	Cambridge, Massachusetts	I will continue to participate in the Retirement Income Plan. The university will not make contributions during my leave	8/2008
5	Harvard University	Cambridge, Massachusetts	As part of the incentive package to teach at Harvard, I received a mortgage loan for half the value of the residence. Harvard University paid half the value of the home and I must repay the loan (and 50% of any appreciation value) upon sale of the home. The terms of the agreement between myself and Harvard are not affected by my leave of absence for up to two years. If I do not return to Harvard at the end of two years, the entire mortgage becomes immediately due.	1/2017

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	Harvard University Defined Contribution Retirement Plan	No			
1.1	CCREF Money Market R3 (QCMMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Harvard University Retirement Income Plan	No			
2.1	Vanguard Federal Money Market Inv (VMFXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Harvard University Tax Deferred Annuity Plan	No			
3.1	Vanguard Inst Tg Trm 35 Inst (VITFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Harvard University	N/A		Salary	
5	"The Education of an Idealist", Day Street Books/William Collins (value not readily ascertainable)	N/A		Rent or Royalties	\$15,001 - \$50,000
6	"A Problem From Hell", Basic Books/Flamingo (Value not readily ascertainable)	N/A		Rent or Royalties	\$5,001 - \$15,000
7	The Wylie Agency, LLC ("A Problem From Hell" republication for quotes; October 2021); New York, NY, USA	N/A		Republication Rights fees	\$216
8	"Chasing the Flame"; Penguin Press (Value not readily ascertainable)	N/A			None (or less than \$201)
9	The Social+Capital Partership GP III, L.P.	No	None (or less than \$1,001)	Capital Gains	Over \$1,000,000
10	Tufts University - Speaking Engagement - 04/14/2021	N/A		Honorarium	\$1,500
11	Societe Des Produits Nestle Saavenue - Speaking Engagement - 02/22/2021	N/A		Honorarium	\$2,000
12	Tortoise Media Ltd. - Speaking Engagement - 01/21/2021	N/A		Honorarium	\$9,975
13	Copyright Clearance Center (Publications, value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
2	U.S. bank #4 (cash)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
3	U.S. bank #6 (cash)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
4	U.S. bank #8 (cash)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
5	U.S. bank #9 (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
6	US brokerage account	No			
6.1	Vanguard Value ETF Holding (VTV)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.2	Vanguard Total Bond Mkt Holding (BND)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.3	Johnson & Johnson Company Holdings (JNJ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
6.4	Blackrock International FD A (MDILX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
6.5	Templeton Global Bond FD CL A (TPINX)	Yes	None (or less than \$1,001)		None (or less than \$201)
6.6	Vanguard Short-Term Corporate Bond Holding (VCSH)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
6.7	Vanguard 500 Index Fund SHS ETF Holding (VOO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	Vanguard Total Stk Mkt ETF Holding (VTI)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
6.9	Vanguard INTL High Divid Yield ETF SHS Holding (VYMI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.10	BLACKROCK INFLATION PROTECTED BD PORT CL A (BPRAX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.11	BLACKROCK CAPITAL APPRECIATION FD, INC. A (MDFGX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.12	BLACKROCK ADV U.S. TTL MARKET FD, INC. CL A (MDSPX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.13	BLACKROCK ADVANTAGE SMALL CAP GROWTH FD CL A (CSGEX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.14	TEMPLETON FOREIGN FUND CLASS A (TEMFx)	Yes	None (or less than \$1,001)		None (or less than \$201)
6.15	DAVIS NY VENTURE FD CL A (NYVTX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.16	Vanguard FTSE Emerging Markets ETF Holding (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	American Washington Mutual Investors Fund CL A (AWSHX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.18	Vanguard High DVD Yield ETF Holding (VYM)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
6.19	Vanguard Growth ETF (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.20	Vanguard Small Cap Growth ETF (VBK)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.21	Vanguard Small Cap Value ETF (VBR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.22	American Growth Fund of America CI A (AGTHX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	US Brokerage Account				
7.1	Tesla Inc (TSLA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.2	VANGUARD TARGET RETIREMENT INC FD INV CL (VTINX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.3	VANGUARD WELLESLEY INCOME FUND CL INV (VWINX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.4	Vanguard Intermediate Term Bond ETF (BIV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7.5	Vanguard Total Bond Mkt Holding (BND)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.6	Vanguard Short Term Bond Holding (BSV)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
7.7	Delaware Value Fund Class A (DDVAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.8	Vanguard Extended Duration Treasury ETF Holding (EDV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.9	Vanguard Intrmdiate-Term Corporate Bond Holding (VCIT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.10	Vanguard Short-Term Corporate Bond Holding (VCSH)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
7.11	Vanguard Consumer Staples ETF Holding (VDC)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.12	Vanguard FTSE Developed Markets ETF Holding (VEA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.13	Vanguard Short-Term Treasury ETF Holding (VGSH)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.14	Vanguard Dividend Appreciation ETF Holding (VIG)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.15	Vanguard Real Estate ETF Holding (VNQ)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7.16	Vanguard Mid-Cap ETF Holding (VO)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
7.17	Vanguard Total World Stk I Holding (VT)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
7.18	Vanguard Tax-Exempt Bond Index ETF Holding (VTEB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.19	Vanguard Total Stk Mkt ETF Holding (VTI)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
7.20	Vanguard Large-Cap ETF Holding (VV)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
7.21	Vanguard INTL High Divid Yield ETF Shs Holding (VYMI)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7.22	Chicago ILL BRD ED BDS SCHOOL 5.21%	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.23	SP500 MITTS ISS HSBC PART 125.05% (MLUOJ)(Bank of America Note Linked to S&P 500 Index)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.24	INTL BKT MITTSS ISS HSBC Part 125.05% (MLUOM)(HSBC Note Linked to International Equity Index)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.25	Vanguard FTSE Emerging Markets ETF Holding (VWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.26	Vanguard High DVD Yield ETF Holding (VYM)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
8	U.S. bank #3 (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
9	Indestructible, LLC - .464% interest in partnership (film company)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	US brokerage account (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
11	U.S. bank #10 (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
12	Bank of India (CD)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
13	U.S. bank #7 (cash)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
14	U.S. bank #12 (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Johnson & Johnson Com (JNJ)	Sale	06/21/2021	\$15,001 - \$50,000
2	Blackrock International FD A (MDILX)	Sale	07/07/2021	\$1,001 - \$15,000
3	Blackrock ADV SMID Cap Fund Inc CL A (MDSPX)	Sale	07/07/2021	\$1,001 - \$15,000
4	Vanguard Short-Term Corporate Bond (VCSH)	Purchase	07/07/2021	\$250,001 - \$500,000
5	Vanguard Total STK MKT EFT (VTI)	Purchase	07/07/2021	\$250,001 - \$500,000
6	Davis NY Venture FD CL A (NYVTX)	Sale	07/07/2021	\$1,001 - \$15,000
7	Templeton Foreign Fund CL A (TEMTX)	Sale	07/07/2021	\$1,001 - \$15,000
8	Templeton Global Bond FD CL A (TPINX)	Sale	07/07/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	Blackrock Advantage Small Cap Growth FD CL A (CSGEX)	Sale	07/07/2021	\$1,001 - \$15,000
10	Blackrock Capital Appreciation FD, Inc. A (MDFGX)	Sale	07/07/2021	\$15,001 - \$50,000
11	Blackrock Inflation Protected BD Port CL A (BPRAX)	Sale	07/07/2021	\$1,001 - \$15,000
12	Vanguard Small Cap Value ETF (VBR)	Purchase	07/07/2021	\$15,001 - \$50,000
13	Vanguard Short-Term Corporate Bond (VCSH)	Purchase	01/22/2021	\$50,001 - \$100,000
14	Vanguard High DVD Yield ETF (VYM)	Purchase	03/29/2021	\$1,001 - \$15,000
15	American Growth Fund of American CL F1 (GFAFX) to American Growth Fund of American CL A (AGTHX)	Exchange	04/26/2021	\$100,001 - \$250,000
16	American Washington Mutual Inv FD CL F1 (WSHFX) to American Washington Mutual Inv FD CL A (AWSHX)	Exchange	04/26/2021	\$50,001 - \$100,000
17	Vanguard Wellesley Income Fund CL (VWINX)	Purchase	06/10/2021	\$1,001 - \$15,000
18	The Social+Capital Partnership GP III, L.P. (0.7855% Partnership Percentage)	Sale	06/29/2021	Over \$1,000,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	President and Fellows of Harvard College	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2017	Appreciation interest per agreement	Due on sale

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	13	Columns dated: 01/04/2021; 01/04/2021; 01/06/2021; 01/07/2021; 01/08/2021; 01/11/2021; 01/13/2021; 01/17/2021; 01/19/2021; 01/21/2021; 01/22/2021; 01/26/2021; 01/28/2021; 02/02/2021/ 02/07/2021
6.	9	The LLC is a film company that was started by one of spouse's friends. It has never actually made any films.
8.	1	As part of the incentive package to teach at Harvard, the nominee received mortgage loan for half the value of the residence. Harvard University paid half the value of the home and the nominee must repay the loan (and 50% of any appreciation value) upon sale of the home. The terms of the agreement between the nominee and Harvard are not affected by the nominee taking a leave of absence for up to two years. If the nominee does not return to Harvard at the end of two years, the entire mortgage becomes immediately due.

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.

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