

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Apol, David

General Counsel, Office of Government Ethics

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/ Apol, David [electronically signed on 05/15/2023 by Apol, David 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/ Kane-Piasecki, Cheryl, Certifying Official [electronically signed on 05/25/2023 by Kane-Piasecki, Cheryl in Integrity.gov]

Other review conducted by

/s/ Meyers, David, Ethics Official [electronically signed on 05/25/2023 by Meyers, David 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]

Data Revised 05/24/2023

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	Morgan Stanley Account (IRA)	N/A	\$50,001 - \$100,000		\$201 - \$1,000
1.1	Invesco Diversified Dividend A (LCEAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Invesco Global Core Equity (AWSAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Putnam Voyager (PVOMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Morgan Stanley Cash Acct.	N/A	None (or less than \$1,001)		None (or less than \$201)

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	Apple 401k				
1.1	BlackRock LifePath 2020 Investor A	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	Fidelity Contra Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.3	Vanguard Extended Market Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Brillie Grifford International Alpha CIT	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	IRA	No		Interest	\$5,001 - \$15,000
2.1	Deer Park Total Return (DPFNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	US Cash Reserve Account	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	ALGER FOCUS EQUITY CL Z (ALZFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	WCM FOCUSED INTL GROWTH FUND INSTL (WCMIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.5	STERLING CAPITAL EQUITY INCOME CL I (BEGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	DOUBLELINE TOTAL RETURN BOND FD CL I (DBLTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.7	BLACKROCK 80/20 TARGET ALLOC FD CL I (BIAPX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.8	AlphaSimplex Managed Futures Strategy Fund Class Y Shares (ASFYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	AlphaSimplex Managed Futures Strategy Fund Class Y Shares (ASFYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	Georgetown University	N/A		Salary	
4	Shearwater Global, London UK	N/A		Consulting Fee	
5	Arizona State University	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Managed Equity Account	No	\$5,000,001 - \$25,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
1.1	Sterling Capital Equity Income (BEGIX)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
1.2	Barron Real Estate Fund (BREIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.3	Cambair Opportunity Investor (CAMWX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.4	Diamond Hill Long/Short Fund DHLSX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.5	ISHARES MSCI Emerging Mkts (EEM)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.6	iShares MSCI EAFE Index (EFA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.7	Goldman Sachs High Yd Muni (GHYIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	ISHARES Cohen & Steers REIT (ICF)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.9	IShares Core S & P Mid Cap (IJH)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.10	IShares Core S&P 500 (IVV)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.11	IShares Russell 2000 (IWM)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.12	Wasatch Emerging Markets Small Cap (WAEMX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.13	WCM Focused Intl Growth Fd (WCMIX)	Yes	\$1,000,001 - \$5,000,000		\$1,001 - \$2,500
1.14	U.S. brokerage cash account	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
1.15	Touchstone Small Cap Core Inst (TSFIX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.16	AlphaSimplex Managed Futures Strategy Fund Class Y Shares (ASFYX)	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
1.17	ISHARES TR EAFE SML CP ETF (SCZ)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.18	ISHARES TR RUS MD CP GR ETF (IWP)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.19	ISHARES TR RUS 1000 GRW ETF (IWF)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.20	ISHARES INC CORE MSCI EMERGING MKTS	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.21	ISHARES TR MBS ETF (MBB)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Tax Free Bond Account	No	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
2.1	FAIRFAX CNTY VA ECONOMIC DEV AUTH (2 bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.2	GRAND RIVER DAM AUTH OKLA REV REV BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.3	JEA FLA WTR & SWR SYS REV REV BDS SER. (2 bonds)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.4	LOUDOUN CNTY VA GO PUB IMPT BDS SER	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.5	NEW YORK ST DORM AUTH ST PERS INCOME	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
2.6	OSAGE SCH LAKE OZARK MO GO SCH BDS SER. C	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.7	VIRGINIA ST RES AUTH INFRASTRUCTURE REV	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
2.8	VIRGINIA ST PUB SCH AUTH SCH FING REF	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
2.9	US bank money market acct	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
2.10	PENNSYLVANIA ST GO BDS	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
2.11	CONNECTICUT ST SPL TAX OBLIG REV	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.12	UPPER OCCOQUAN SEW AUTH VA	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.13	BROWARD CNTY FLA SCH BRD	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.14	REGIONAL TRANSN AUTH ILL GO BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.15	MIAMI -DADE CNTY FLA GO REF BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.16	TYLER TEX INDPT SCH DIST	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
2.17	MISS ST UNIV EDL BLDG CORP REV BD	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.18	ARLINGTON CNTY VA INDL DEV AUTH REV	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.19	HAMPTON ROADS VA TRANS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.20	ALEXANDRIA VA GO REF BDS SER. 2017	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.21	RICHMOND VA GO PUB IMPT REF BDS SER. +	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.22	VIRGINIA COMMONWEALTH TRANSN BRD	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.23	MARICOPA CNTY ARIZ INDL DEV AUTH HOSP +	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.24	CONNECTICUT ST GO BDS SER. 2019	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.25	CHESTERFIELD CNTY VA GO PUB IMPT BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.26	PALM BEACH CNTY FLA HEALTH FACS AUTH +	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.27	AUBURN ALA WTR WKS BRD WTR B REV BDS SER.	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.28	NEW MEXICO ST SEVERANCE TAX TAX		N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
2.29	MURRIETA VY CALIF UNI SCH B DIST TAXABLE	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.30	FLORIDA ST DEPT B ENVIRONMENTAL PROTN		N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
2.31	HUMBLE TEX INDPT SCH DIST B UNLTD TAX BLDG		N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
2.32	VIRGINIA COLLEGE BLDG AUTH B VA ED		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.33	VIRGINIA COLLEGE BLDG AUTH B VA ED		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.34	NEW YORK N Y CITY B TRANSITIONAL FIN		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2.35	YORK CNTY PA GO BDS SER. 2020 B A		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.36	NORFOLK VA GO CAP IMPT BDS B SER. 2019	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.37	FLORIDA ST DEPT CHILDREN & B FAMILIES		N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.38	CLARK CNTY WASH PUB UTIL		N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
2.39	MINNEAPOLIS MINN SPL SCH DIST B NO 001 CTFS		N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2.40	WASHINGTON ST MOTOR B VEHICLE FUEL TAX GO		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.41	LAKE CNTY ILL TWP HIGH SCH B DIST NO 113		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.42	FAIRFAX CNTY VA PUB IMPT BDS B SER. 2022A		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.43	PRINCE WILLIAM CNTY VA INDL B DEV AUTH	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
3	US Bank Accounts		N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
4	US Bank Savings Acct		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
5	Columbia Global Equity Value Fund		Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	JP Morgan Strategic Income Fund (JSOCX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Gabelli Asset Fund (GABAX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
8	DWS Int'l Fund (SCOBX)	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9	Janus Global Research (JANWX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Janus Research Fund (JNRFX) (previously identified as Janus Fund)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	Vanguard Intermediate Tax Exempt Bond Fd		Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	Vanguard Windsor II Fund		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
13	Virginia College Prepaid Savings Plan		Yes	\$15,001 - \$50,000		None (or less than \$201)
14	America Funds VCSP Money Market fund		Yes	\$250,001 - \$500,000		None (or less than \$201)
15	Northwest Mutual Whole Life Policy		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	US Savings Bonds	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	02/08/2022 FAIRFAX CNTY VA PUB IMPT BDS SER. 2022A 04.00000% 10/01/2032	Purchase	01/20/2022	\$100,001 - \$250,000
2	CONNECTICUT ST GO BDS SER. 2019 A 05.00000% 04/15/2024	Sale	03/28/2022	\$50,001 - \$100,000
3	TYLER TEX INDPT SCH DIST ULTD TAX SCH 05.00000% 02/15/2023 BLDG BDS SER. 2017	Sale	03/25/2022	\$50,001 - \$100,000
4	VIRGINIA BEACH VA WTR & SWR REV SYS 05.00000% 10/01/2028 REF BDS SER. 2020 B	Purchase	03/25/2022	\$50,001 - \$100,000
5	VIRGINIA ST PUB SCH AUTH SCH FING SCH 05.00000% 08/01/2023 FING REF BDS 1997 RESOLUTION SER.2015A	Sale	03/25/2022	\$50,001 - \$100,000
6	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 11/01/2032 AUTH REV FUTURE TAX SECURED SUB BDS SER. FISCAL 2021 F-1	Purchase	03/22/2022	\$100,001 - \$250,000
7	FAIRFAX CNTY VA ECONOMIC DEV AUTH 05.00000% 06/01/2024 REV REV REF BDS LAUREL HILL PUB FAC PROJ LAUREL HILL PUB	Sale	03/21/2022	\$15,001 - \$50,000
8	VIRGINIA ST RES AUTH INFRASTRUCTURE REV 05.00000% 11/01/2022 REV BDS SER. 2013A	Sale	03/21/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	VIRGINIA COLLEGE BLDG AUTH VA EDL 05.00000% 02/01/2029 FACS REV 21ST CENTY COLLEGE & EQUIP PROG REF BDS SER. 2019 C	Purchase	03/18/2022	\$100,001 - \$250,000
10	CONNECTICUT ST SPL TAX OBLIG REV SPL 05.00000% 08/01/2023 TAX OBLIG BDS SER. A	Sale	03/16/2022	\$100,001 - \$250,000
11	CONNECTICUT ST SPL TAX OBLIG REV SPL 05.00000% 08/01/2023 TAX OBLIG BDS SER. A	Sale	03/16/2022	\$100,001 - \$250,000
12	LAKE CNTY ILL TWP HIGH SCH DIST NO 113 04.00000% 01/01/2032 HIGHLAND PK GO BDS SER. 2022 A	Purchase	03/16/2022	\$100,001 - \$250,000
13	VIRGINIA COLLEGE BLDG AUTH VA EDL 05.00000% 09/01/2028 FACS REV PUB HIGHER ED FING PROG EDU FACS REV REF BDS	Purchase	06/10/2022	\$100,001 - \$250,000
14	FLORIDA ST DEPT CHILDREN & FAMILIES 05.00000% 10/01/2029 CTFS PARTN REF CTFS PARTN FLA CIVIL COMMITMENT CTR FIN	Purchase	07/29/2022	\$100,001 - \$250,000
15	GEORGETOWN TEX GO REF BDS SER. 2021 05.00000% 08/15/2030	Sale	07/29/2022	\$100,001 - \$250,000
16	HAYS CNTY TEX LTD TAX BDS SER. 2021 05.00000% 02/15/2029	Purchase	07/20/2022	\$50,001 - \$100,000
17	MINNEAPOLIS MINN SPL SCH DIST NO 001 GO 05.00000% 02/01/2029 BLDG BDS SER. 2021 B	Sale	07/20/2022	\$50,001 - \$100,000
18	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 11/01/2028 AUTH REV FUTURE TAX SECD SUB BDS	Purchase	08/26/2022	\$100,001 - \$250,000
19	FORT BEND TEX INDPT SCH DIST UNLTD TAX 04.00000% 08/15/2024	Sale	08/29/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
20	COLORADO ST CTFS PARTN NATL WESTN CTR 05.00000% 09/01/2031	Sale	08/03/2022	\$100,001 - \$250,000
21	WASHINGTON ST MOTOR VEHICLE FUEL TAX GO 05.00000% 06/01/2030	Purchase	08/03/2022	\$100,001 - \$250,000
22	HUMBLE TEX INDPT SCH DIST UNLTD TAX BLDG 05.00000% 02/15/2028 BDS SER. 2021	Purchase	09/21/2022	\$50,001 - \$100,000
23	SEATTLE WASH MUN LT & PWR REV IMPT AND 05.00000% 09/01/2029 REF REV BDS SER. 2017 C	Sale	09/21/2022	\$50,001 - \$100,000
24	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 03/15/2028 TAX REV PERSONAL INCOME TAX REV BDS GROUP B SER. 2014C	Sale	09/19/2022	\$50,001 - \$100,000
25	FLORIDA ST BRD ED LOTTERY REV REF BDS	Sale	11/03/2022	\$50,001 - \$100,000
26	FLORIDA ST DEPT ENVIRONMENTAL PROTN	Purchase	11/03/2022	\$50,001 - \$100,000
27	HAYS CNTY TEX LTD TAX BDS SER. 2021	Sale	11/03/2022	\$50,001 - \$100,000
28	YORK CNTY PA GO BDS SER. 2020	Purchase	11/03/2022	\$50,001 - \$100,000
29	NEW YORK N Y CITY TRANSITIONAL FIN	Sale	11/09/2022	\$100,001 - \$250,000
30	PENNSYLVANIA ST GO BDS SER.2016	Purchase	11/09/2022	\$100,001 - \$250,000
31	CONNECTICUT ST SPL TAX OBLIG REV TRANSN	Purchase	11/10/2022	\$100,001 - \$250,000
32	FAIRFAX CNTY VA ECONOMIC DEV AUTH	Purchase	11/10/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	NEW YORK N Y CITY TRANSITIONAL FIN	Sale	11/10/2022	\$100,001 - \$250,000
34	VIRGINIA BEACH VA WTR & SWR REV SYS	Sale	11/10/2022	\$50,001 - \$100,000
35	NEW MEXICO ST SEVERANCE TAX TAX	Sale	11/18/2022	\$50,001 - \$100,000
36	CLARK CNTY WASH PUB UTIL DIST NO 001 05.00000%	Purchase	10/13/2022	\$50,001 - \$100,000
37	MINNEAPOLIS MINN SPL SCH DIST NO 001 CTFS 05.00000% 02/01/2030 PARTN REF COPS SER. 2022C	Purchase	12/06/2022	\$50,001 - \$100,000
38	DRIEHAUS INTERNAT'L SMALL CAP a GROWTH FD	Sale	12/09/2022	\$250,001 - \$500,000
39	ISHARES TR EAFE SML CP ETF	Purchase	12/12/2022	\$250,001 - \$500,000
40	ALGER CAPITAL APPRECIATION CL Z-2	Sale	12/21/2022	\$1,000,001 - \$5,000,000
41	ALGER CAPITAL APPRECIATION CL Z-2	Sale	12/21/2022	\$250,001 - \$500,000
42	DEER PARK TOTAL RETURN CREDIT a FUND I	Sale	12/21/2022	\$250,001 - \$500,000
43	INVESCO DEVELOPING MARKETS R6	Sale	12/21/2022	\$250,001 - \$500,000
44	ISHARES INC CORE MSCI EMERGING MKTS	Purchase	12/22/2022	\$250,001 - \$500,000
45	ISHARES TR MBS ETF UNSOLICITED ORDER	Purchase	12/22/2022	\$250,001 - \$500,000
46	ISHARES TR RUS MD CP GR ETF	Purchase	12/22/2022	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
47	ISHARES TR RUS 1000 GRW ETF	Purchase	12/22/2022	\$1,000,001 - \$5,000,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	2.29	Purchase reported on last year's report. Inadvertently left off Sch. 6.
6.	2.36	Purchase reported on last year's report. Inadvertently left off Sch. 6.
6.	2.43	Purchase reported on last year's report. Inadvertently left off Sch. 6.
6.	8	previously called Deutsche Global Int'l

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).
