

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Wilcox, Gwynne

Member, National Labor Relations Board

Report Year: 2022

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Wilcox, Gwynne [electronically signed on 06/29/2022 by Wilcox, Gwynne in Integrity.gov] - Filer received a 45 day filing extension.

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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/ Burow, Kathryn, Certifying Official [electronically signed on 07/12/2022 by Burow, Kathryn in Integrity.gov]

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Other review conducted by

/s/ Novoa, Marta, Ethics Official [electronically signed on 07/08/2022 by Novoa, Marta in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/15/2022 by Granahan, Megan in Integrity.gov]

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Data Revised 07/15/2022

Data Revised 07/13/2022

Data Revised 07/08/2022

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Levy Ratner, PC		New York, New York	Law Firm	Partner	12/1988	8/2021
2	Peggy Browning Fund	See Endnote	Philadelphia, Pennsylvania	Non-Profit	Director	4/2010	7/2021
3	Brandworkers	See Endnote	New York, New York	Non-Profit	Board Member	1/2016	7/2021
4	Workers Defense League	See Endnote	New York, New York	Non-Profit	Board Member	1/2010	7/2021
5	NYC Office of Collective Bargaining	See Endnote	New York, New York	NYC Government Agency	Labor Member, Board of Directors	5/2012	7/2021
6	Afram Associates, Inc.	See Endnote	New York, New York	Non-Profit	President	3/2013	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Levy Ratner, PC (law firm)		N/A		Partnership Share	\$75,000
2	Levy Ratner, PC (law firm)		N/A		Salary	\$227,197
3	Levy Ratner, PC Defined Contribution Plan	See Endnote	No			
3.1	Vanguard Target Retirement 2015 VTXVX		Yes	\$100,001 - \$250,000		None (or less than \$201)
4	IRA #1		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	U.S. money market (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	ISHARES TR CORE S&P SCP ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	ISHARES TR CORE S&P US VLU	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	ISHARES TR US TREAS BD ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	ISHARES TR USD INV GRDE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	NIKE INCORPORATED CLASS B	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.7	SPDR BLOOMBERG BARCLAYS HIGH YIELD BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	VANGUARD FTSE EMERGING MARKETS ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
4.10	VANGUARD MORTGAGE-BACKED SECURITIES ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	VANGUARD TOTAL INTERNATIONAL BOND ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
4.12	Utilities Select Sector SPDR Fund (XLU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	SPDR Gold Shares (GLD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.14	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.15	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.17	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.18	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.19	iShares Convertible Bond ETF (ICVT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.20	iShares Morningstar Multi-Asset Income ETF (IYLD)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.21	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.22	iShares Silver Trust (SLV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.23	iShares Preferred and Income Securities ETF (PFF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.24	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.25	iShares TR INTL Sel Div ETF (IDV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.26	iShares MSCI Emerging Market ETF (EEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.27	Ishares TR Select Divid ETF (DVY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.28	iShares TR Tips BD ETF (TIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.29	Eaton Vance Tax-managed Global (EXG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.30	Eaton Vance Tax-Advantaged Global Dividend Income Fund (ETG)	Yes	\$15,001 - \$50,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Levy Ratner, PC See Endnote	New York, New York	I will continue to participate in this defined contribution plan. Pursuant to the terms of the plan, the plan sponsor will make a contribution for calendar year 2020 in October 2021. This amount has already been fixed. Additionally, the plan sponsor will make a contribution for calendar year 2021 by no later than October 2022. This amount has also been fixed. I will forfeit the calendar year 2021 payment if I have not worked 1,000 hours in calendar year 2021 at the time of my withdrawal.	12/2004
2	Afram Associates	New York, New York	This entity has not been fully operational since 2006 and the dissolution of this entity is pending approval with the New York State Office of the Attorney General. During my appointment, this entity will not advertise or maintain a website.	8/2006
3	Levy Ratner, PC	New York, New York	I will continue to participate in a group long term care insurance policy through John Hancock Insurance Co. and a group long term disability insurance policy through Guardian/Berkshire Life Insurance Company of America. Levy Ratner will bill me for premiums associated with these plans after my separation. The firm will not contribute to the premiums for either of these plans after my separation.	5/2003

#### 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

None

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Investment Account #1	No			
1.1	U.S. money market (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	AFLAC INCORPORATED	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	ASTRAZENECA PLC SPONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	BERKSHIRE HATHAWAY INCORPORATED DEL CLASS B NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	CHEVRON CORPORATION NEW	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.6	FIRST TRUST DOW JONES INTERNET INDEX FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	GS FINANCE CORP. BANK NOTE LINKED TO S&P 500 INDEX	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	INVESCO PREFERRED ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.9	INVESCO S&P 500 EQUAL WEIGHT ENERGY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	INVESCO SHORT TERM MUNICIPAL FUND CLASS Y N/L	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.11	ISHARES INCORPORATED CORE MSCI EMKT	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.12	ISHARES TR CORE MSCI EAFE	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.13	ISHARES TR IBOXX HI YD ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.14	ISHARES TR MBS ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.15	ISHARES TR NASDAQ BIOTECH	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	ISHARES TR PFD AND INCM SEC	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.17	ISHARES TR SELECT DIVID ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.18	ISHARES TR TIPS BD ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	JPMORGAN CHASE BANK NOTE LINKED TO RUSSELL 2000	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	KINDER MORGAN INCORPORATED DEL	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.21	LORD ABBETT SHORT DUR HIGH YIELD MUNI BOND FD CLS F N/L	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.22	MORGAN STANLEY FINANCE BANK NOTE LINKED TO RUSSEL 2000 Index, NASDAQ-100 INDEX, and DOW JONES INDSTL Avg	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	PRUDENTIAL FINL INCORPORATED	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.24	SPDR GOLD SHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.25	SPDR HEALTH CARE SELECT SECTOR FUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.26	SPDR UTILITIES SELECT SECTOR FUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.27	VANGUARD INFORMATION TECHNOLOGY ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.28	VANGUARD INTERMEDIATE-TERM CORPORATE BOND ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.29	VANGUARD SHORT-TERM CORPORATE BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.30	VANGUARD TAX-EXEMPT BOND ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.31	VANGUARD TOTAL INTERNATIONAL BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.32	VICTORY INCOME FUND FOR INCOME CLASS I N/L	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.33	XTRACKERS USD HIGH YIELD CORPORATE BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.34	Coinbase Global Incorporated Com Class A (COIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Investment Account #2	No			
2.1	U.S. money market (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	HSBC Leveraged Buffered Uncapped Market Participation Securities Linked to EURO STOXX 50 Index	N/A	\$100,001 - \$250,000		None (or less than \$201)
3	US bank account #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Equitable, variable annuity	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	EQ/Moderate-Plus Allocation	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	Investment Account #3	No			
5.1	JPMORGAN U.S. EQUITY FUND CLASS I	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	MFS MASSACHUSETTS INVESTORS GROWTH STOCK FUND CLASS I	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	BNY MELLON INTERNATIONAL EQUITY FUND CLASS I	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	FIDELITY ADVISOR INTERNATIONAL GROWTH FUND CLASS I	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.5	JPMORGAN EMERGING MARKETS EQUITY FUND CLASS I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	MFS NEW DISCOVERY VALUE FUND CLASS I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	EATON VANCE FLOATING RATE FUND (INSTITUTIONAL SHARES)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	PUTNAM HIGH YIELD FUND CLASS Y	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.9	JPMORGAN HEDGED EQUITY FUND CLASS I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	MFS EMERGING MARKET DEBT FUND CLASS I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	MFS GLOBAL REAL ESTATE FUND CLASS I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	PIMCO TRENDS MANAGED FUTURES STRATEGY FUND CLASS I-2	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	LORD ABBETT TOTAL RETURN FUND CLASS F	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.14	U.S. sweep account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	US bank account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	US bank Account #3 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	US bank account #4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	TIAA Barnard College 403B Plan	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AT&T Incorporated (T)	Sale	09/17/2021	\$1,001 - \$15,000
2	Verizon Communications Incorporated (VZ)	Sale	09/17/2021	\$1,001 - \$15,000
3	Wells Fargo Company (WFC)	Sale	09/17/2021	\$1,001 - \$15,000
4	Amazon.com, Inc. (AMZN)	Sale	09/17/2021	\$1,001 - \$15,000
5	Facebook, Inc. (FB)	Sale	09/17/2021	\$1,001 - \$15,000
6	Apple, Inc. (AAPL)	Sale	09/17/2021	\$1,001 - \$15,000
7	ISHARES TR MRNGSTR INC ETF (IYLD)	Purchase	12/30/2021	\$15,001 - \$50,000
8	ISHARES TR MRNGSTR INC ETF (IYLD)	Purchase	12/28/2021	\$50,001 - \$100,000
9	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	12/27/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
10	SPDR S&P 500 ETF (SPY)	Purchase	12/20/2021	\$100,001 - \$250,000
11	ISHARES TR CONV BD ETF (ICVT)	Purchase	12/03/2021	\$1,001 - \$15,000
12	SPDR S&P 500 ETF (SPY)	Purchase	12/03/2021	\$50,001 - \$100,000
13	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Sale	12/03/2021	\$50,001 - \$100,000
14	ISHARES TR CORE MSCI EAFE (IEFA)	Purchase	12/03/2021	\$1,001 - \$15,000
15	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Sale	12/03/2021	\$250,001 - \$500,000
16	SPDR S&P 500 ETF (SPY)	Purchase	12/03/2021	\$50,001 - \$100,000
17	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	12/03/2021	\$1,001 - \$15,000
18	ISHARES TR CONV BD ETF (ICVT)	Purchase	12/03/2021	\$15,001 - \$50,000
19	SPDR S&P 500 ETF (SPY)	Purchase	12/03/2021	\$50,001 - \$100,000
20	VICTORY INCORE FUND FOR INCOME CL I N/L (VFFIX)	Sale	11/30/2021	\$15,001 - \$50,000
21	SPDR S&P 500 ETF (SPY)	Purchase	11/26/2021	\$50,001 - \$100,000
22	SPDR S&P 500 ETF (SPY)	Purchase	11/26/2021	\$50,001 - \$100,000
23	ISHARES TR SELECT DIVID ETF (DVF)	Purchase	11/26/2021	\$1,001 - \$15,000
24	SPDR S&P 500 ETF (SPY)	Purchase	11/26/2021	\$50,001 - \$100,000
25	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/26/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	ISHARES TR MSCI EMG MKT ETF (EEM)	Purchase	11/26/2021	\$1,001 - \$15,000
27	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/26/2021	\$15,001 - \$50,000
28	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/24/2021	\$1,001 - \$15,000
29	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	11/24/2021	\$15,001 - \$50,000
30	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	11/24/2021	\$15,001 - \$50,000
31	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Purchase	11/24/2021	\$1,001 - \$15,000
32	ISHARES TR CONV BD ETF (ICVT)	Purchase	11/24/2021	\$15,001 - \$50,000
33	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/24/2021	\$15,001 - \$50,000
34	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	11/23/2021	\$15,001 - \$50,000
35	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/23/2021	\$1,001 - \$15,000
36	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	11/23/2021	\$15,001 - \$50,000
37	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/23/2021	\$100,001 - \$250,000
38	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/02/2021	\$100,001 - \$250,000
39	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	11/10/2021	\$50,001 - \$100,000
40	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/10/2021	\$1,001 - \$15,000
41	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/29/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
42	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	10/27/2021	\$100,001 - \$250,000
43	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/22/2021	\$15,001 - \$50,000
44	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	10/27/2021	\$1,001 - \$15,000
45	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	10/22/2021	\$1,001 - \$15,000
46	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/22/2021	\$50,001 - \$100,000
47	ISHARES TR SELECT DIVID ETF (DVF)	Sale	10/20/2021	\$1,001 - \$15,000
48	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/20/2021	\$50,001 - \$100,000
49	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Purchase	10/19/2021	\$1,001 - \$15,000
50	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/18/2021	\$50,001 - \$100,000
51	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/19/2021	\$15,001 - \$50,000
52	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	10/15/2021	\$50,001 - \$100,000
53	SPDR GOLD SHARES (GLD)	Purchase	10/15/2021	\$1,001 - \$15,000
54	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/15/2021	\$15,001 - \$50,000
55	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Purchase	10/15/2021	\$15,001 - \$50,000
56	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/15/2021	\$15,001 - \$50,000
57	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/15/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
58	ISHARES TR SELECT DIVID ETF (DVY)	Purchase	10/13/2021	\$1,001 - \$15,000
59	SPDR S&P 500 ETF (SPY)	Purchase	10/13/2021	\$1,001 - \$15,000
60	ISHARES TR SELECT DIVID ETF (DVY)	Purchase	10/13/2021	\$15,001 - \$50,000
61	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/12/2021	\$50,001 - \$100,000
62	EATON VANCE TAX-MANAGED GLOBAL (EXG)	Purchase	10/12/2021	\$15,001 - \$50,000
63	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Purchase	10/12/2021	\$15,001 - \$50,000
64	EATON VANCE TX ADV GLBL DIV FD (ETG)	Purchase	10/12/2021	\$15,001 - \$50,000
65	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	10/12/2021	\$15,001 - \$50,000
66	ISHARES TR MSCI EMG MKT ETF (EEM)	Purchase	10/12/2021	\$1,001 - \$15,000
67	ISHARES TR CORE MSCI EAFE (IEFA)	Purchase	10/12/2021	\$1,001 - \$15,000
68	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/12/2021	\$1,001 - \$15,000
69	SPDR S&P 500 ETF (SPY)	Purchase	10/11/2021	\$1,001 - \$15,000
70	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/12/2021	\$1,001 - \$15,000
71	ISHARES TR SELECT DIVID ETF (DVY)	Purchase	10/11/2021	\$1,001 - \$15,000
72	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/11/2021	\$1,001 - \$15,000
73	ISHARES TR TIPS BD ETF (TIP)	Purchase	10/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
74	SPDR UTILITIES SELECT SECTOR FUND (XLU)	Purchase	10/11/2021	\$1,001 - \$15,000
75	ISHARES TR PFD AND INCM SEC (PFF)	Purchase	10/11/2021	\$15,001 - \$50,000
76	ISHARES TR MSCI EMG MKT ETF (EEM)	Purchase	10/11/2021	\$1,001 - \$15,000
77	ISHARES TR CORE MSCI EAFE (IEFA)	Purchase	10/11/2021	\$1,001 - \$15,000
78	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/11/2021	\$15,001 - \$50,000
79	VICTORY INCORE FUND FOR INCOME CL I N/L (VFFIX)	Purchase	10/11/2021	\$15,001 - \$50,000
80	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/07/2021	\$15,001 - \$50,000
81	ISHARES SILVER TR ISHARES (SLV)	Purchase	10/07/2021	\$1,001 - \$15,000
82	SPDR GOLD SHARES (GLD)	Purchase	10/07/2021	\$1,001 - \$15,000
83	COINBASE GLOBAL INCORPORATED COM CLASS A (COIN)	Purchase	04/26/2021	\$1,001 - \$15,000
84	SPDR GOLD SHARES (GLD)	Purchase	02/04/2021	\$1,001 - \$15,000
85	Eaton Vance Floating-Rate Fund Institutional Class Shares (EIBLX)	Purchase	12/01/2021	\$1,001 - \$15,000
86	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Sale	12/01/2021	\$1,001 - \$15,000
87	JP Morgan US Equity Fund Class I (JUESX)	Purchase	12/14/2021	\$1,001 - \$15,000
88	MFS Massachusetts Investors Growth Stock (MGTIX)	Purchase	12/15/2021	\$1,001 - \$15,000
89	ISHARES TR MRNGSTR INC ETF (IYLD)	Purchase	12/30/2021	\$15,001 - \$50,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
90	ISHARES TR MRNGSTR INC ETF (IYLD)	Purchase	12/28/2021	\$50,001 - \$100,000
91	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	12/27/2021	\$100,001 - \$250,000
92	SPDR S&P 500 ETF (SPY)	Purchase	12/20/2021	\$100,001 - \$250,000
93	SPDR S&P 500 ETF (SPY)	Purchase	12/03/2021	\$50,001 - \$100,000
94	ISHARES TR CONV BD ETF (ICVT)	Purchase	12/03/2021	\$1,001 - \$15,000
95	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Sale	12/03/2021	\$50,001 - \$100,000
96	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Sale	12/03/2021	\$250,001 - \$500,000
97	ISHARES TR CORE MSCI EAFE (IEFA)	Purchase	12/03/2021	\$1,001 - \$15,000
98	SPDR S&P 500 ETF (SPY)	Purchase	12/03/2021	\$50,001 - \$100,000
99	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	12/03/2021	\$1,001 - \$15,000
100	ISHARES TR CONV BD ETF (ICVT)	Purchase	12/03/2021	\$15,001 - \$50,000
101	SPDR S&P 500 ETF (SPY)	Purchase	12/03/2021	\$50,001 - \$100,000
102	VICTORY INCORE FUND FOR INCOME CL I N/L (VFFIX)	Sale	11/30/2021	\$15,001 - \$50,000
103	SPDR S&P 500 ETF (SPY)	Purchase	11/26/2021	\$50,001 - \$100,000
104	SPDR S&P 500 ETF (SPY)	Purchase	11/26/2021	\$50,001 - \$100,000
105	ISHARES TR SELECT DIVID ETF (DVY)	Purchase	11/26/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
106	SPDR S&P 500 ETF (SPY)	Purchase	11/26/2021	\$50,001 - \$100,000
107	ISHARES TR MSCI EMG MKT ETF (EEM)	Purchase	11/26/2021	\$1,001 - \$15,000
108	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/26/2021	\$1,001 - \$15,000
109	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/26/2021	\$15,001 - \$50,000
110	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	11/24/2021	\$15,001 - \$50,000
111	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	11/24/2021	\$15,001 - \$50,000
112	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Purchase	11/24/2021	\$1,001 - \$15,000
113	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/24/2021	\$15,001 - \$50,000
114	ISHARES TR CONV BD ETF (ICVT)	Purchase	11/24/2021	\$15,001 - \$50,000
115	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	11/23/2021	\$15,001 - \$50,000
116	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/23/2021	\$1,001 - \$15,000
117	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	11/10/2021	\$50,001 - \$100,000
118	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/02/2021	\$100,001 - \$250,000
119	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/29/2021	\$15,001 - \$50,000
120	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	10/27/2021	\$100,001 - \$250,000
121	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	10/27/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
122	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	10/22/2021	\$1,001 - \$15,000
123	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/24/2021	\$1,001 - \$15,000
124	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/22/2021	\$15,001 - \$50,000
125	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/22/2021	\$50,001 - \$100,000
126	ISHARES TR SELECT DIVID ETF (DVY)	Sale	10/20/2021	\$1,001 - \$15,000
127	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/20/2021	\$50,001 - \$100,000
128	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	11/23/2021	\$15,001 - \$50,000
129	ISHARES TR BROAD USD HIGH (USHY)	Purchase	11/23/2021	\$100,001 - \$250,000
130	ISHARES TR INTL SEL DIV ETF (IDV)	Purchase	11/10/2021	\$1,001 - \$15,000
131	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/19/2021	\$15,001 - \$50,000
132	BLACKROCK TAX MUNICPAL BD TR SHS (BBN)	Purchase	10/19/2021	\$1,001 - \$15,000
133	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/18/2021	\$50,001 - \$100,000
134	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	10/15/2021	\$50,001 - \$100,000
135	SPDR GOLD SHARES (GLD)	Purchase	10/15/2021	\$1,001 - \$15,000
136	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/15/2021	\$15,001 - \$50,000
137	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/15/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
138	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/15/2021	\$50,001 - \$100,000
139	ISHARES TR SELECT DIVID ETF (DVY)	Purchase	10/13/2021	\$1,001 - \$15,000
140	SPDR S&P 500 ETF (SPY)	Purchase	10/13/2021	\$1,001 - \$15,000
141	ISHARES TR SELECT DIVID ETF (DVY)	Purchase	10/13/2021	\$15,001 - \$50,000
142	INVESCO TAXABLE MUNICIPAL BOND ETF (BAB)	Purchase	10/12/2021	\$50,001 - \$100,000
143	EATON VANCE TAX-MANAGED GLOBAL (EXG)	Purchase	10/12/2021	\$15,001 - \$50,000
144	EATON VANCE TX ADV GLBL DIV FD (ETG)	Purchase	10/12/2021	\$15,001 - \$50,000
145	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Purchase	10/12/2021	\$15,001 - \$50,000
146	VANGUARD SHORT-TERM CORPORATE BOND ETF (VCSH)	Purchase	10/12/2021	\$15,001 - \$50,000
147	ISHARES TR MSCI EMG MKT ETF (EEM)	Purchase	10/12/2021	\$1,001 - \$15,000
148	ISHARES TR CORE MSCI EAFE (IEFA)	Purchase	10/12/2021	\$1,001 - \$15,000
149	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/12/2021	\$1,001 - \$15,000
150	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/12/2021	\$1,001 - \$15,000
151	SPDR S&P 500 ETF (SPY)	Purchase	10/11/2021	\$1,001 - \$15,000
152	ISHARES TR SELECT DIVID ETF (DVY)	Purchase	10/11/2021	\$1,001 - \$15,000
153	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
154	ISHARES TR TIPS BD ETF (TIP)	Purchase	10/11/2021	\$1,001 - \$15,000
155	SPDR UTILITIES SELECT SECTOR FUND (XLU)	Purchase	10/11/2021	\$1,001 - \$15,000
156	ISHARES TR PFD AND INCM SEC (PFF)	Purchase	10/11/2021	\$15,001 - \$50,000
157	ISHARES TR MSCI EMG MKT ETF (EEM)	Purchase	10/11/2021	\$1,001 - \$15,000
158	ISHARES TR CORE MSCI EAFE (IEFA)	Purchase	10/11/2021	\$1,001 - \$15,000
159	ISHARES TR IBOXX HI YD ETF (HYG)	Purchase	10/11/2021	\$15,001 - \$50,000
160	VICTORY INCORE FUND FOR INCOME CL I N/L (VFFIX)	Purchase	10/11/2021	\$15,001 - \$50,000
161	ISHARES TR BROAD USD HIGH (USHY)	Purchase	10/07/2021	\$15,001 - \$50,000
162	ISHARES SILVER TR ISHARES (SLV)	Purchase	10/07/2021	\$1,001 - \$15,000
163	BLACKROCK TAX MUNICIPAL BD TR SHS (BBN)	Purchase	10/15/2021	\$15,001 - \$50,000
164	SPDR GOLD SHARES (GLD)	Purchase	10/07/2021	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Ridgewood Savings Bank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2019	3.875	30 year

## 9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Carolyn Mason	South Orange, New Jersey	Ring from a close personal friend.	\$437

## Endnotes

PART	#	ENDNOTE
1.	2	The Peggy Browning Fund provides mainly summer paid fellowships to encourage law students to become workers rights advocates. Also, it has an annual National Law Students' Workers Rights conference that provides labor law and related programming and networking opportunities for law students with labor leaders and labor attorneys. Additionally, there are regional workshops focused on labor law and workers rights practices and the PBF fellowship program.
1.	3	Brandworkers provides training and assistance to workers who are in the food production industry to empower them to advocate for themselves with their employers.
1.	4	The Workers Defense League provides free unemployment insurance advice and representation to members of the public.
1.	5	The NYC Office of Collective Bargaining is the agency for NYC public sector employees and employers that processes improper practice and representation cases. As a Labor Member of the Board of Directors, I decide and sign off on improper practice decisions only, not representation matters.
1.	6	This organization was created with a mission dedicated to researching, archiving, and sharing information about Black organizations, education, history, and resources and to serve as a resource for community groups. The business has not been fully operating since 2006. I am working with the New York State Attorney General's office to dissolve the organization, pending distribution of funds to another non-profit organization.
2.	3	A portion of this retirement account has been rolled-over to IRA #1.
3.	1	Calendar year 2020 contribution, originally anticipated in October 2021, was distributed to all partners' defined contribution plans in March 2021.
6.	9	Inheritance

# 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.

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