

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Cisneros, Gilbert R

Under Secretary of Defense for Personnel and Readiness, DoD - Department of Defense -- DAEO Agency

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/ Cisneros, Gilbert R [electronically signed on 12/09/2021 by Cisneros, Gilbert R 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/ Raab, Dean, Certifying Official [electronically signed on 12/09/2021 by Raab, Dean in Integrity.gov]

Other review conducted by

/s/ Raab, Dean, Ethics Official [electronically signed on 12/09/2021 by Raab, Dean in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 01/14/2022 by Granahan, Megan in Integrity.gov]

Transactions

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	BlackRock Special Credit Opportunities ASP Fund		Sale	11/15/2021	No	\$1,001 - \$15,000
2	Carlyle Energy Mezzanine ASP Fund		Sale	11/15/2021	No	\$15,001 - \$50,000
3	Credit Suisse Floating Rate High Income Fund Institutional Class Shares (CSHIX)		Purchase	11/01/2021	No	\$1,001 - \$15,000
4	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)		Purchase	11/01/2021	No	\$1,001 - \$15,000
5	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX)		Purchase	11/01/2021	No	\$1,001 - \$15,000
6	Listed Funds Horizon Kinetics Inflation Beneficiaries		Purchase	11/04/2021	No	\$50,001 - \$100,000
7	Baron Opportunity Fund Institutional Class Shares (BIOIX)		Purchase	11/24/2021	No	\$15,001 - \$50,000
8	PUT SPDR S&P 500 ETF Trust (SPY)	See Endnote		11/12/2021	No	\$1,001 - \$15,000
9	Adobe, Inc. (ADBE)		Purchase	11/12/2021	No	\$100,001 - \$250,000
10	Advanced Micro Devices, Inc. (AMD)		Purchase	11/12/2021	No	\$100,001 - \$250,000
11	Alphabet, Inc. (GOOGL)		Sale	11/12/2021	No	\$100,001 - \$250,000
12	Amazon.com, Inc. (AMZN)		Sale	11/12/2021	No	\$250,001 - \$500,000
13	Apple, Inc. (AAPL)		Sale	11/12/2021	No	\$1,000,001 - \$5,000,000
14	Applied Materials, Inc. (AMAT)		Purchase	11/12/2021	No	\$100,001 - \$250,000
15	Caterpillar, Inc. (CAT)		Purchase	11/12/2021	No	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
16	The Walt Disney Co. (DIS)	Purchase	11/12/2021	No	\$100,001 - \$250,000
17	EOG Resources, Inc. (EOG)	Purchase	11/12/2021	No	\$100,001 - \$250,000
18	The Goldman Sachs Group, Inc. (GS)	Purchase	11/12/2021	No	\$100,001 - \$250,000
19	iShares Cohen & Steers REIT ETF (ICF)	Sale	11/12/2021	No	\$100,001 - \$250,000
20	iShares Russell 2000 ETF (IWM)	Purchase	11/12/2021	No	\$100,001 - \$250,000
21	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Purchase	11/12/2021	No	\$100,001 - \$250,000
22	JPMorgan Chase & Co. (JPM)	Sale	11/12/2021	No	\$50,001 - \$100,000
23	lululemon athletica, Inc. (LULU)	Purchase	11/12/2021	No	\$100,001 - \$250,000
24	Netflix, Inc. (NFLX)	Sale	11/12/2021	No	\$250,001 - \$500,000
25	NIKE, Inc. (NKE)	Purchase	11/12/2021	No	\$100,001 - \$250,000
26	NVIDIA Corp. (NVDA)	Sale	11/12/2021	No	\$250,001 - \$500,000
27	PayPal Holdings, Inc. (PYPL)	Sale	11/12/2021	No	\$50,001 - \$100,000
28	Pioneer Natural Resources Co. (PXD)	Sale	11/12/2021	No	\$100,001 - \$250,000
29	Roku, Inc. (ROKU)	Purchase	11/12/2021	No	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
30	SPDR S&P 500 ETF Trust (SPY)	Purchase	11/12/2021	No	\$100,001 - \$250,000
31	SPDR S&P MidCap 400 ETF (MDY)	Purchase	11/12/2021	No	\$100,001 - \$250,000
32	Schlumberger NV (SLB)	Purchase	11/12/2021	No	\$100,001 - \$250,000
33	Square, Inc. (SQ)	Purchase	11/12/2021	No	\$100,001 - \$250,000
34	Starbucks Corp. (SBUX)	Purchase	11/12/2021	No	\$100,001 - \$250,000
35	Tesla, Inc. (TSLA)	Purchase	11/12/2021	No	\$100,001 - \$250,000
36	Adobe, Inc. (ADBE)	Sale	11/15/2021	No	\$50,001 - \$100,000
37	Advanced Micro Devices, Inc. (AMD)	Purchase	11/15/2021	No	\$15,001 - \$50,000
38	Alphabet, Inc. (GOOGL)	Purchase	11/15/2021	No	\$1,001 - \$15,000
39	Amazon.com, Inc. (AMZN)	Purchase	11/15/2021	No	\$15,001 - \$50,000
40	Apple, Inc. (AAPL)	Purchase	11/15/2021	No	\$15,001 - \$50,000
41	Applied Materials, Inc. (AMAT)	Sale	11/15/2021	No	\$15,001 - \$50,000
42	Caterpillar, Inc. (CAT)	Sale	11/15/2021	No	\$100,001 - \$250,000
43	The Walt Disney Co. (DIS)	Sale	11/15/2021	No	\$50,001 - \$100,000
44	EOG Resources, Inc. (EOG)	Sale	11/15/2021	No	\$100,001 - \$250,000
45	The Goldman Sachs Group, Inc. (GS)	Sale	11/15/2021	No	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
46	iShares Russell 2000 ETF (IWM)	Purchase	11/15/2021	No	\$250,001 - \$500,000
47	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Purchase	11/15/2021	No	\$100,001 - \$250,000
48	JPMorgan Chase & Co. (JPM)	Sale	11/15/2021	No	\$100,001 - \$250,000
49	lululemon athletica, Inc. (LULU)	Sale	11/15/2021	No	\$100,001 - \$250,000
50	Netflix, Inc. (NFLX)	Sale	11/15/2021	No	\$15,001 - \$50,000
51	NIKE, Inc. (NKE)	Sale	11/15/2021	No	\$100,001 - \$250,000
52	NVIDIA Corp. (NVDA)	Purchase	11/15/2021	No	\$250,001 - \$500,000
53	PayPal Holdings, Inc. (PYPL)	Purchase	11/15/2021	No	\$15,001 - \$50,000
54	Pioneer Natural Resources Co. (PXD)	Sale	11/15/2021	No	\$100,001 - \$250,000
55	Roku, Inc. (ROKU)	Sale	11/15/2021	No	\$100,001 - \$250,000
56	SPDR Portfolio S&P 500 ETF (SPLG)	Purchase	11/15/2021	No	\$500,001 - \$1,000,000
57	SPDR S&P MidCap 400 ETF (MDY)	Purchase	11/15/2021	No	\$250,001 - \$500,000
58	Schlumberger NV (SLB)	Sale	11/15/2021	No	\$50,001 - \$100,000
59	Square, Inc. (SQ)	Sale	11/15/2021	Yes	\$100,001 - \$250,000
60	Starbucks Corp. (SBUX)	Sale	11/15/2021	No	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT	
61	Tesla, Inc. (TSLA)	Sale	11/15/2021	No	\$100,001 - \$250,000	
62	iShares Core S&P Small-Cap ETF (IJR)	Purchase	11/18/2021	No	\$100,001 - \$250,000	
63	iShares U.S. ETF TR ISHS GSCI Commodity Dynamic Roll Strategy ETF	Purchase	11/18/2021	No	\$100,001 - \$250,000	
64	Tesla, Inc. (TSLA)	Purchase	12/01/2021	No	\$1,001 - \$15,000	
65	Alibaba Group Holdings Ltd (BABA)	Sale	11/18/2021	No	\$100,001 - \$250,000	
66	Meridian Bancorp, Inc. (EBSB)	See Endnote	Exchange	11/15/2021	No	\$1,001 - \$15,000

Endnotes

PART	#	ENDNOTE
Transactions	8	opened written put position; 100 shares; \$275 strike price; 1/21/22 expiration.
Transactions	66	Exchange of Meridian Bancorp Inc. for Independent Bank Corp following merger

Summary of Contents

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

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the

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