

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

## Filer's Information

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Fernandez, Nuria

Administrator, Federal Transit Administration, Department of Transportation

Report Year: 2022

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Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Administrator, Federal Transit Administration (1/2021 - 6/2021)

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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/ Fernandez, Nuria [electronically signed on 04/26/2022 by Fernandez, Nuria in Integrity.gov]

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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/ Kaleta, Judith, Certifying Official [electronically signed on 06/09/2022 by Kaleta, Judith in Integrity.gov]

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Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/09/2022 by Carlson, Terence W in Integrity.gov]

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U.S. Office of Government Ethics Certification

Data Revised 06/09/2022

Data Revised 06/07/2022

Data Revised 06/02/2022

Data Revised 05/30/2022

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Santa Clara Valley Transportation Authority	San Jose, California	Special District Transportation Authority	General Manager/CEO	12/2013	1/2021
2	Silicon Valley Creates	San Jose, California	Non-Profit	Board Member	10/2016	1/2021
3	California Transit Association	Sacramento, California	Non-Profit	Executive Committee Member	1/2014	1/2021
4	American Public Transportation Association	Washington, District of Columbia	Non-Profit	Board Member	9/2016	1/2021
5	Transportation Learning Center	Washington, DC, District of Columbia	Non-Profit	Board Member	1/2019	1/2021
6	Mineta Transportation Institute	San Jose, California	University/College	Board Member	1/2007	1/2021
7	Transportation Research Board	Washington, DC, District of Columbia	Government - National Academy of Sciences	Executive Committee Member	1/2019	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Santa Clara Valley Transportation Authority	N/A		VTA annual salary - this amount represents earnings through 1/19/21 when I ended my employment with the VTA.	\$29,167
2	Santa Clara Valley Transportation Authority - Cash Pension Plan Payout	N/A		Lump sum payment	\$92,000
3	Santa Clara Valley Transportation Authority - Vacation Balance Payoff	N/A		Lump sum payment at the end of my employment with VTA in January 2021	\$57,306
4	Santa Clara Valley Transportation Authority - annual car allowance	N/A		This amount represents car allowance for the month of January 2021 when I ended my employment with the VTA.	\$750
5	IRA #2	No			
5.1	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	Adyen N V (ADYEV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	AIA Group Ltd. (AAGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Alcon Inc. (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.5	Amadeus IT Group SA (AMADY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.6	Aon Plc (AON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.7	ASML Holding N V (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	Atlas CopCo AB-Sponsored (ATLKY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	Canadian Pacific Railway (CP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	CSL Ltd. (CSLLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.11	DSV Panalpina A S (DSDVY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.12	Experian PLC (EXPGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.13	Ferrari N V (RACE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.14	HDFC BK Ltd (HDB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	ICON PLC (ICLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.16	Lonza Group AG Zuerich (LZAGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	Lululemon Athletica, Inc. (LULU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	LVMH Moet Hennessy Louis Vuitton SE (LVMUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.19	MercadoLibre Inc. (MELI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.20	Mettler-Toledo International, Inc. (MTD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.21	Nestle SA-Sponsored ADR (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	Pernod Ricard SA (PDRDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	ResMed, Inc. (RMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.24	Shopify Inc. (SHOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.25	Sika AG (SXYAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.26	Smith & Nephew PLC (SNN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	STERIS Plc (Ireland) (STE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.28	Taiwan Semiconductor Mfg (TSM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.29	Tencent Holdings Ltd. (TCEHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.30	Wuxi Biologics Cayman Inc. (WXXWY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.31	NVO Novo Nordisk	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.32	EVVY Evolution AV American Depository Receipts	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.33	ASMIY ASM International	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.34	LSRCY Lasertec	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.35	SBGSY SCHNEIDER	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.36	FERG FERGUSON PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.37	SHZSY SHENZHOU INTERNATIONAL GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.38	LNNGY LI NING COMPANY LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.39	TEAM ATLISSIAN CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.40	EPAM Systems, Inc. (EPAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	IRA #1	No			
6.1	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3	Texas Instruments Incorporated (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.4	Broadcom, Inc. (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.5	NIKE, Inc. (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.6	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.8	UnitedHealth Group, Inc. (UNH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.9	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.10	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.11	Comcast Corporation (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.12	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.13	Illinois Tool Works, Inc. (ITW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.14	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.15	Bristol-Myers Squibb Co (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.16	3M Co. (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.17	The PNC Financial Services Group, Inc. (PNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.18	Lam Research Corporation (LRCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.19	Marsh & McLennan Cos., Inc. (MMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.20	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.21	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.22	Clover Health Investments Corp (CL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.23	Mastercard, Inc. (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.24	Air Products and Chemicals, Inc. (APD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.25	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.26	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.27	ETN EATON	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.28	Philip Morris International, Inc. (PM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.29	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.30	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.31	Activision Blizzard, Inc. (ATVI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.32	ConocoPhillips (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.33	Becton, Dickinson and Company (BDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.34	Corning, Inc. (GLW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	California Public Employee Retirement System	N/A	\$15,001 - \$50,000	California Public Employee Retirement System (CalPERS). I receive a monthly pension effective 3/2021.	\$18,510
8	IRA# 3	Yes			
8.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
8.2	CUSUX	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.3	CIUEX	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.4	Fidelity International Index Fund (FSPSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.5	CGLBX	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.6	JPMorgan BetaBuilders Canada ETF (BBCA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.7	JPMorgan BetaBuilders Europe ETF (BBEU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.8	JPMorgan BetaBuilders Japan ETF (BBJP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.9	Blackstone Alternative Multi-Strategy Fund Class Y Shares (BXYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.10	Lord Abbett Short Duration Income Fund Class F3 Shares (LOLDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.11	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.12	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.13	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.14	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.15	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.16	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.17	CRDOX	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.18	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.19	PIMCO Dynamic Bond Fund Institutional Class Shares (PFIUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.20	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.21	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.22	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	IRA #4	Yes			None (or less than \$201)
10	MSCI EAFE Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	Russell 2000 Growth Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	S&P 500 Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Santa Clara Valley Transportation Authority	San Jose, California	Upon separation, I received lump sum payments for vacation balance payoff and a cash pension plan payout. As part of my employment contract, I also received a \$750 per month car allowance. I no longer receive these benefits.	12/2013
2	California Public Employees' Retirement System	Sacramento, California	I retired from my former employment with the Santa Clara Valley Transportation and will receive monthly pension checks from CalPERS	3/2021

### 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	Washington Metropolitan Transit Authority	N/A	\$50,001 - \$100,000	Retirement Payments	\$78,882
2	Chicago Transit Authority	N/A	\$15,001 - \$50,000	Retirement Payments	\$16,014

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TOD Brokerage Account	Yes			
1.1	JP Morgan Deposit Sweep (QCPCM) (Money Market Fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Edgewood Growth Fund Class Institutional (EGFIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Cohen & Steers Low Duration Preferred and Income Fund (LPXFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	iShares MSCI Germany ETF (EWG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	JPMorgan Large Cap Growth Fund Class R6 (JLGMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Nuveen Preferred Securities & Income Fund Class R (NPSRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	Vanguard Financials Index Fund ETF (VFH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	WCM Focused International Growth Fund Institutional (WCMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	iShares 7-10 Year Treasury Bond ETF (IEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	JPMorgan Mortgage-Backed Securities Fund Class R6 (JMBUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	MFS Municipal High Income Fund Class R6 (MMHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	PGIM Short Duration High Yield Income R6 (HYSQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	PGIM Total Return Bond R6 (PTRQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	BlackRock Event Driven Equity Instl (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	CRM Long/Short Opportunities Fund Institutional Shares (CRIHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	JPMorgan Hedged Equity R6 (JHQRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	Neuberger Berman Long Short Instl (NLSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	PIMCO Mortgage Opportunities and BdInstl (PMZIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	SPDR Gold Trust (GLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.22	Schwab Intermediate-Term US Treasury ETF (SCHR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.23	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.24	iShares Short Treasury Bond ETF (SHV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.25	Vanguard Long-Term Treasury Index Fund ETF Class Shares (VGLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.26	JPMorgan Income Fund Class R6 Shares (JMSFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.27	JPMorgan Short Duration Bond Fund Class R6 Shares (JSDUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.28	JHTRX	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.29	JEPI	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.30	Hartford International Value Fund Class F Shares (HILDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.31	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Bank #1 (Cash)	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Sale of Timeshare	Sale	07/19/2021	\$1,001 - \$15,000
2	WUXI Biologics Cayman Inc	Purchase	01/28/2021	\$1,001 - \$15,000
3	Texas Instruments Incorporated (TXN)	Sale	01/20/2021	\$1,001 - \$15,000
4	Wuxi Biologics Cayman Inc. (WXXWY)	Purchase	01/28/2021	\$1,001 - \$15,000
5	Cisco Systems, Inc. (CSCO)	Sale	03/04/2021	\$1,001 - \$15,000
6	Lam Research Corp. (LRCX)	Sale	03/11/2021	\$1,001 - \$15,000
7	Accenture Plc (ACN)	Sale	04/09/2021	\$1,001 - \$15,000
8	TSM - Taiwan Semiconductor Mfg	Sale	04/08/2021	\$1,001 - \$15,000
9	MELI- Mercado Libre Inc.	Sale	03/25/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
10	Philip Morris International, Inc. (PM)	Purchase	04/23/2021	\$1,001 - \$15,000
11	Cisco Systems, Inc. (CSCO)	Sale	04/19/2021	\$1,001 - \$15,000
12	Philip Morris International, Inc. (PM)	Purchase	04/19/2021	\$1,001 - \$15,000
13	HDFC BK LTD	Sale	04/28/2021	\$1,001 - \$15,000
14	ASML HOLDINGS NV	Sale	04/14/2021	\$1,001 - \$15,000
15	TAIWAN SEMICONDUCTOR MFG CO LTD	Sale	04/12/2021	\$1,001 - \$15,000
16	Accenture Plc (ACN)	Sale	04/13/2021	\$1,001 - \$15,000
17	Cisco Systems, Inc. (CSCO)	Sale	05/27/2021	\$1,001 - \$15,000
18	EPAM Systems, Inc. (EPAM)	Purchase	05/20/2021	\$1,001 - \$15,000
19	EVVTY Evolution Gaming Group	Purchase	05/20/2021	\$1,001 - \$15,000
20	EVVTY Evolution Gaming Group	Purchase	05/21/2021	\$1,001 - \$15,000
21	JHDRX JPMORGAN TR IV HEDGED EQUITY	Purchase	05/20/2021	\$1,001 - \$15,000
22	Broadcom, Inc. (AVGO)	Sale	05/17/2021	\$1,001 - \$15,000
23	Broadcom, Inc. (AVGO)	Sale	05/14/2021	\$1,001 - \$15,000
24	LSRCY LASERTEC CORP	Purchase	05/14/2021	\$1,001 - \$15,000
25	Lam Research Corp. (LRCX)	Purchase	05/14/2021	\$1,001 - \$15,000
26	iShares 7-10 Year Treasury Bond ETF (IEF)	Sale	05/10/2021	\$1,001 - \$15,000
27	Broadcom, Inc. (AVGO)	Sale	05/06/2021	\$1,001 - \$15,000
28	Philip Morris International, Inc. (PM)	Purchase	05/06/2021	\$1,001 - \$15,000
29	JPMorgan Mortgage-Backed Securities Fund Class R6 Shares (JMBUX)	Sale	05/04/2021	\$1,001 - \$15,000
30	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Purchase	05/05/2021	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
31	SHZHY SHENZHOU GROUP	Purchase	05/04/2021	\$1,001 - \$15,000
32	Philip Morris International, Inc. (PM)	Purchase	06/17/2021	\$1,001 - \$15,000
33	Philip Morris International, Inc. (PM)	Purchase	06/22/2021	\$1,001 - \$15,000
34	Mastercard, Inc. (MA)	Purchase	06/22/2021	\$1,001 - \$15,000
35	Philip Morris International, Inc. (PM)	Purchase	06/25/2021	\$1,001 - \$15,000
36	Colgate-Palmolive Co. (CL)	Sale	06/25/2021	\$1,001 - \$15,000
37	Broadcom, Inc. (AVGO)	Sale	06/25/2021	\$1,001 - \$15,000
38	Philip Morris International, Inc. (PM)	Purchase	07/02/2021	\$1,001 - \$15,000
39	Broadcom, Inc. (AVGO)	Sale	07/02/2021	\$1,001 - \$15,000
40	Colgate-Palmolive Co. (CL)	Sale	06/17/2021	\$1,001 - \$15,000
41	Philip Morris International, Inc. (PM)	Purchase	06/17/2021	\$1,001 - \$15,000
42	Colgate-Palmolive Co. (CL)	Sale	06/17/2021	\$1,001 - \$15,000
43	Mastercard, Inc. (MA)	Purchase	06/22/2021	\$1,001 - \$15,000
44	Colgate-Palmolive Co. (CL)	Sale	06/25/2021	\$1,001 - \$15,000
45	Broadcom, Inc. (AVGO)	Sale	06/25/2021	\$1,001 - \$15,000
46	Philip Morris International, Inc. (PM)	Purchase	07/02/2021	\$1,001 - \$15,000
47	Broadcom, Inc. (AVGO)	Sale	07/02/2021	\$1,001 - \$15,000
48	Tencent Holdings Limited (TCEHY)	Sale	07/28/2021	\$1,001 - \$15,000
49	Mastercard, Inc. (MA)	Purchase	07/22/2021	\$1,001 - \$15,000
50	3M Co. (MMM)	Sale	08/27/2021	\$1,001 - \$15,000
51	Activision Blizzard, Inc. (ATVI)	Purchase	08/27/2021	\$1,001 - \$15,000
52	Tencent Holdings Limited	Sale	08/27/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	EPAM Systems, Inc. (EPAM)	Purchase	08/23/2021	\$1,001 - \$15,000
54	Activision Blizzard, Inc. (ATVI)	Sale	10/04/2021	\$1,001 - \$15,000
55	Activision Blizzard, Inc. (ATVI)	Sale	09/30/2021	\$1,001 - \$15,000
56	Bank of America Corp. (BAC)	Purchase	09/28/2021	\$1,001 - \$15,000
57	Activision Blizzard, Inc. (ATVI)	Sale	09/28/2021	\$1,001 - \$15,000
58	Activision Blizzard, Inc. (ATVI)	Sale	09/27/2021	\$1,001 - \$15,000
59	3M Co. (MMM)	Sale	09/16/2021	\$1,001 - \$15,000
60	TEAM - ATCLASSIAN CORPORATION	Purchase	09/27/2021	\$1,001 - \$15,000
61	3M Co. (MMM)	Sale	09/23/2021	\$1,001 - \$15,000
62	Activision Blizzard, Inc. (ATVI)	Purchase	09/15/2021	\$1,001 - \$15,000
63	3M Co. (MMM)	Sale	09/15/2021	\$1,001 - \$15,000
64	Accenture Plc (ACN)	Sale	09/13/2021	\$1,001 - \$15,000
65	Activision Blizzard, Inc. (ATVI)	Purchase	09/09/2021	\$1,001 - \$15,000
66	Activision Blizzard, Inc. (ATVI)	Purchase	09/13/2021	\$1,001 - \$15,000
67	3M Co. (MMM)	Sale	09/09/2021	\$1,001 - \$15,000
68	Bristol-Myers Squibb (BMY)	Purchase	11/01/2021	\$1,001 - \$15,000
69	Verizon Communications, Inc. (VZ)	Sale	11/01/2021	\$1,001 - \$15,000
70	Verizon Communications, Inc. (VZ)	Sale	10/22/2021	\$1,001 - \$15,000
71	Verizon Communications, Inc. (VZ)	Sale	10/19/2021	\$1,001 - \$15,000
72	Bank of America Corp. (BAC)	Purchase	10/07/2021	\$1,001 - \$15,000
73	Verizon Communications, Inc. (VZ)	Sale	10/15/2021	\$1,001 - \$15,000
74	The PNC Financial Services Group, Inc. (PNC)	Sale	10/07/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
75	Activision Blizzard, Inc. (ATVI)	Sale	10/04/2021	\$1,001 - \$15,000
76	The Home Depot, Inc. (HD)	Sale	11/26/2021	\$1,001 - \$15,000
77	Activision Blizzard, Inc. (ATVI)	Purchase	11/30/2021	\$1,001 - \$15,000
78	The Home Depot, Inc. (HD)	Sale	11/12/2021	\$1,001 - \$15,000
79	Activision Blizzard, Inc. (ATVI)	Purchase	11/26/2021	\$1,001 - \$15,000
80	Novo Nordisk	Purchase	12/29/2021	\$1,001 - \$15,000
81	Activision Blizzard, Inc. (ATVI)	Purchase	12/20/2021	\$1,001 - \$15,000
82	Philip Morris International, Inc. (PM)	Sale	12/20/2021	\$1,001 - \$15,000
83	Activision Blizzard, Inc. (ATVI)	Purchase	12/15/2021	\$1,001 - \$15,000
84	Philip Morris International, Inc. (PM)	Sale	12/15/2021	\$1,001 - \$15,000
85	Philip Morris International, Inc. (PM)	Sale	12/14/2021	\$1,001 - \$15,000
86	Li Ning Company Ltd.	Purchase	12/10/2021	\$1,001 - \$15,000
87	MELI - Mercado Libre Inc.	Sale	12/09/2021	\$1,001 - \$15,000
88	Philip Morris International, Inc. (PM)	Sale	12/08/2021	\$1,001 - \$15,000
89	Activision Blizzard, Inc. (ATVI)	Purchase	12/02/2021	\$1,001 - \$15,000
90	HDB - HDFC BK Ltd	Sale	12/06/2021	\$1,001 - \$15,000
91	Broadcom, Inc. (AVGO)	Sale	06/25/2021	\$1,001 - \$15,000
92	QBPNZ - Blackrock Liquidity Fed Fund	Sale	06/22/2021	\$1,001 - \$15,000
93	Broadcom, Inc. (AVGO)	Sale	05/17/2021	\$1,001 - \$15,000
94	Broadcom, Inc. (AVGO)	Sale	05/06/2021	\$1,001 - \$15,000
95	Cisco Systems, Inc. (CSCO)	Sale	03/04/2021	\$1,001 - \$15,000
96	Texas Instruments Incorporated (TXN)	Sale	01/22/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
97	QBPNZ - Blackrock Liquidity Fed Fund	Sale	12/29/2021	\$1,001 - \$15,000
98	QBPNZ - Blackrock Liquidity Fed Fund	Sale	12/10/2021	\$1,001 - \$15,000
99	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	12/09/2021	\$1,001 - \$15,000
100	QBPNZ - Blackrock Liquidity Fed Funds	Sale	12/06/2021	\$1,001 - \$15,000
101	MELI - Mercado Libre	Sale	12/09/2021	\$1,001 - \$15,000
102	QBPNZ- Blackrock Liquidity Fed Funds	Purchase	12/06/2021	\$1,001 - \$15,000
103	HDB - HDFC BK LTD ADR REPSTG 3 SHS	Sale	12/06/2021	\$1,001 - \$15,000
104	QBPNZ - Blackrock Liquidity Fed Funds	Sale	09/27/2021	\$1,001 - \$15,000
105	QBPNZ - Blackrock Liquidity Fed Fund	Purchase	09/02/2021	\$1,001 - \$15,000
106	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	08/31/2021	\$1,001 - \$15,000
107	LVMUY - LVMH Moet Hennessy Louis Vitton	Sale	09/02/2021	\$1,001 - \$15,000
108	QBPNZ - Blackrock Liquidity Fed Funds	Sale	08/23/2021	\$1,001 - \$15,000
109	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	07/30/2021	\$1,001 - \$15,000
110	QBPNZ - Blackrock Liquidity Fed Funds	Sale	05/24/2021	\$1,001 - \$15,000
111	QBPNZ - Blackrock Liquidity Fed Funds	Sale	05/20/2021	\$1,001 - \$15,000
112	QBPNZ - Blackrock Liquidity Fed Funds	Sale	05/21/2021	\$1,001 - \$15,000
113	QBPNZ - Blackrock Liquidity Fed Funds	Sale	05/14/2021	\$1,001 - \$15,000
114	QBPNZ - Blackrock Liquidity Fed Funds	Sale	05/04/2021	\$1,001 - \$15,000
115	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	05/03/2021	\$1,001 - \$15,000
116	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	04/29/2021	\$1,001 - \$15,000
117	SNN - Smith & Nephew PLC	Sale	05/03/2021	\$1,001 - \$15,000
118	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	05/13/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
119	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	05/14/2021	\$1,001 - \$15,000
120	ASML - Holdings	Sale	05/14/2021	\$1,001 - \$15,000
121	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	03/29/2021	\$1,001 - \$15,000
122	QBPNZ - Blackrock Liquidity Fed Funds	Sale	02/01/2021	\$1,001 - \$15,000
123	QBPNZ - Blackrock Liquidity Fed Funds	Sale	01/28/2021	\$1,001 - \$15,000
124	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	01/11/2021	\$1,001 - \$15,000
125	QBPNZ - Blackrock Liquidity Fed Funds	Purchase	01/05/2021	\$1,001 - \$15,000
126	QBERQ - JP Morgan IRA Deposit Sweep	Purchase	12/27/2021	\$1,001 - \$15,000
127	CUSUX - Six Circles TR Unconstrained Equity	Sale	12/20/2021	\$1,001 - \$15,000
128	CUSUX - Six Circles Unconstrained Equity	Purchase	12/20/2021	\$1,001 - \$15,000
129	CUSUX - Six Circles Unconstrained Equity	Purchase	12/20/2021	\$1,001 - \$15,000
130	CUSUX - Six Circles Unconstrained Equity	Purchase	12/20/2021	\$1,001 - \$15,000
131	CUSUX - Six Circles Unconstrained Equity	Purchase	12/20/2021	\$1,001 - \$15,000
132	CUSUX - Six Circles Unconstrained Equity	Purchase	12/20/2021	\$1,001 - \$15,000
133	CIUEX - SIX CIRCLES UNCONSTRAINED EQUITY	Purchase	12/20/2021	\$1,001 - \$15,000
134	CIUEX - Six Circles Intl Unconstrained Equity	Purchase	12/20/2021	\$1,001 - \$15,000
135	Fidelity 500 Index Fund (FXAIX)	Purchase	12/13/2021	\$1,001 - \$15,000
136	Fidelity International Index Fund (FSPSX)	Purchase	12/13/2021	\$1,001 - \$15,000
137	Fidelity International Index Fund (FSPSX)	Purchase	12/13/2021	\$1,001 - \$15,000
138	QBERQ - JP Morgan IRA Deposit Sweep	Purchase	10/25/2021	\$1,001 - \$15,000
139	Fidelity 500 Index Fund (FXAIX)	Purchase	10/25/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
140	iShares Core MSCI Emerging Markets ETF (IEMG)	Sale	10/25/2021	\$15,001 - \$50,000
141	JPMorgan BetaBuilders Japan ETF (BBJP)	Sale	10/25/2021	\$1,001 - \$15,000
142	CUSUX - Six Circles	Purchase	10/25/2021	\$1,001 - \$15,000
143	Fidelity 500 Index Fund (FXAIX)	Purchase	10/04/2021	\$1,001 - \$15,000
144	Blackstone Alternative Multi-Strategy Fund Class Y Shares (BXYX)	Purchase	10/04/2021	\$15,001 - \$50,000
145	GMO SGM Major Markets Fund Class VI Shares (GSMHX)	Sale	07/27/2021	\$1,001 - \$15,000
146	PIMCO Mortgage Opportunities and Bond Fund Institutional Class Shares (PMZIX)	Sale	07/27/2021	\$1,001 - \$15,000
147	Fidelity 500 Index Fund (FXAIX)	Purchase	07/06/2021	\$1,001 - \$15,000
148	QBERQ - JP Morgan IRA Sweep Deposit - Withdrawal	Sale	06/24/2021	\$100,001 - \$250,000
149	QBERQ - JPMorgan IRA Deposit Sweep Intra-Day Withdrawal	Sale	06/23/2021	\$500,001 - \$1,000,000
150	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Purchase	06/23/2021	\$1,001 - \$15,000
151	Fidelity 500 Index Fund (FXAIX)	Purchase	06/23/2021	\$250,001 - \$500,000
152	Fidelity International Index Fund (FSPSX)	Purchase	06/23/2021	\$50,001 - \$100,000
153	GMO SGM Major Markets Fund Class VI Shares (GSMHX)	Purchase	06/23/2021	\$1,001 - \$15,000
154	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	06/24/2021	\$1,001 - \$15,000
155	iShares US Treasury Bond ETF (GOVT)	Purchase	06/24/2021	\$1,001 - \$15,000
156	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	06/24/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
157	JPMorgan BetaBuilders Europe ETF (BBEU)	Purchase	06/24/2021	\$15,001 - \$50,000
158	JPMorgan BetaBuilders Japan ETF (BBJP)	Purchase	06/24/2021	\$15,001 - \$50,000
159	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Purchase	06/24/2021	\$15,001 - \$50,000
160	JPMorgan BetaBuilders Canada ETF (BBCA)	Purchase	06/24/2021	\$15,001 - \$50,000
161	Lord Abbett Short Duration Income Fund Class F3 Shares (LOLDX)	Purchase	06/23/2021	\$15,001 - \$50,000
162	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Purchase	06/23/2021	\$1,001 - \$15,000
163	PIMCO Dynamic Bond Fund Institutional Class Shares (PFIUX)	Purchase	06/23/2021	\$1,001 - \$15,000
164	PIMCO Mortgage Opportunities and Bond Fund Institutional Class Shares (PMZIX)	Purchase	06/23/2021	\$1,001 - \$15,000
165	CUSUX - SIX CIRCLES TR UNCONSTRAINED EQUITY FUND	Purchase	06/23/2021	\$100,001 - \$250,000
166	CIUEX - SIX CIRCLES TR UNCONSTRAINED EQUITY	Purchase	06/23/2021	\$50,001 - \$100,000
167	CGLBX - SIX CIRCLES TR GLOBAL BD	Purchase	06/23/2021	\$15,001 - \$50,000
168	CRDOX - SIX CIRCLES TRUST CREDIT OPPORTUNITIES	Purchase	06/23/2021	\$15,001 - \$50,000
169	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	06/24/2021	\$15,001 - \$50,000
170	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Purchase	06/24/2021	\$1,001 - \$15,000
171	QBERQ - JP Morgan IRA Intra-Day Deposit	Purchase	06/21/2021	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
172	ALLFIRST IRA ROLLOVER DEPOSIT	Purchase	06/18/2021	\$250,001 - \$500,000
173	ALLFIRST IRA ROLLOVER DEPOSIT	Purchase	06/18/2021	\$500,001 - \$1,000,000
174	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Purchase	12/10/2021	\$1,001 - \$15,000
175	QCPCM - JP Morgan Deposit Sweep	Purchase	12/07/2021	\$1,001 - \$15,000
176	QCPCM - JP Morgan Intra - Day Deposit	Purchase	11/26/2021	\$1,001 - \$15,000
177	QCPCM - JP Morgan Deposit Sweep Intra-Day Withdrawal	Sale	11/24/2021	\$1,001 - \$15,000
178	JPMorgan Short Duration Bond Fund Class R6 Shares (JSDUX)	Purchase	11/24/2021	\$1,001 - \$15,000
179	iShares 7-10 Year Treasury Bond ETF (IEF)	Purchase	11/22/2021	\$1,001 - \$15,000
180	Schwab Intermediate-Term US Treasury ETF (SCHR)	Sale	11/22/2021	\$1,001 - \$15,000
181	JHTRX - JP Morgan TR IV Hedge Fund	Purchase	10/01/2021	\$1,001 - \$15,000
182	QCPCM - JP Morgan Deposit Sweep Intra-Day Withdrawal	Sale	12/10/2021	\$1,001 - \$15,000
183	iShares 3-7 Year Treasury Bond ETF (IEI)	Sale	12/10/2021	\$1,001 - \$15,000
184	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Purchase	12/10/2021	\$1,001 - \$15,000
185	QCPCM - JP Morgan Intra-Day Sweep Deposit	Purchase	12/07/2021	\$1,001 - \$15,000
186	iShares 3-7 Year Treasury Bond ETF (IEI)	Sale	12/07/2021	\$1,001 - \$15,000
187	Fidelity 500 Index Fund (FXAIX)	Purchase	12/13/2021	\$1,001 - \$15,000
188	Fidelity 500 Index Fund (FXAIX)	Purchase	10/04/2021	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
189	Blackstone Alternative Multi-Strategy Fund Class Y Shares (BXMYX)	Purchase	07/27/2021	\$15,001 - \$50,000
190	GMO SGM Major Markets Fund Class VI Shares (GSMHX)	Sale	07/27/2021	\$1,001 - \$15,000
191	Fidelity 500 Index Fund (FXAIX)	Purchase	07/06/2021	\$1,001 - \$15,000
192	Fidelity 500 Index Fund (FXAIX)	Purchase	06/23/2021	\$250,001 - \$500,000
193	Fidelity International Index Fund (FSPSX)	Purchase	06/23/2021	\$50,001 - \$100,000
194	GMO SGM Major Markets Fund Class VI Shares (GSMHX)	Purchase	06/23/2021	\$1,001 - \$15,000
195	TLT - I SHARES 20PLUS YEARS TREASURY BONDS	Purchase	06/24/2021	\$1,001 - \$15,000
196	iShares US Treasury Bond ETF (GOVT)	Purchase	06/24/2021	\$1,001 - \$15,000
197	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	06/24/2021	\$15,001 - \$50,000
198	JPMorgan BetaBuilders Europe ETF (BBEU)	Purchase	06/24/2021	\$15,001 - \$50,000
199	JPMorgan BetaBuilders Japan ETF (BBJP)	Purchase	06/24/2021	\$15,001 - \$50,000
200	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Purchase	06/24/2021	\$15,001 - \$50,000
201	JPMorgan BetaBuilders Canada ETF (BBCA)	Purchase	06/24/2021	\$15,001 - \$50,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citi/Advantage	Credit Card	\$10,001 - \$15,000	2015	22.93%	Revolving
2	Barclays	Credit Card	\$10,001 - \$15,000	2012	21.42%	Revolving
3	Chase United	Credit Card	\$10,001 - \$15,000	2017	21.62%	Revolving
4	CENLAR	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2015	3.75%	360 months

## 9. Gifts and Travel Reimbursements

None

## Endnotes

# Summary of Contents

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

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

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

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

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