

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Ahluwalia, Gundeep

CIO, Department of Labor

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/ Ahluwalia, Gundeep [electronically signed on 10/27/2021 by Ahluwalia, Gundeep 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/ Myers, Vanessa J, Certifying Official [electronically signed on 11/23/2022 by Myers, Vanessa J in Integrity.gov]

Other review conducted by

/s/ Brown, Marilyn C, Ethics Official [electronically signed on 11/08/2022 by Brown, Marilyn C in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 11/08/2022

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	General Electric Co. (GE)	Purchase	10/25/2021	No	\$1,001 - \$15,000
2	Fidelity MSCI Materials Index ETF (FMAT)	Purchase	10/19/2021	No	\$1,001 - \$15,000
3	Monster Beverage Corp. (MNST)	Purchase	10/19/2021	No	\$1,001 - \$15,000
4	Thermo Fisher Scientific, Inc. (TMO)	Purchase	10/15/2021	No	\$1,001 - \$15,000
5	Fidelity MSCI Financials Index ETF (FNCL)	Purchase	10/12/2021	No	\$1,001 - \$15,000
6	iShares Interest Rate Hedged High Yield Bond ETF (HYGH)	Purchase	10/08/2021	No	\$1,001 - \$15,000
7	iShares MBS ETF (MBB)	Purchase	10/07/2021	No	\$1,001 - \$15,000
8	VanEck Vectors High-Yield Municipal Index ETF (HYD)	Purchase	10/07/2021	No	\$1,001 - \$15,000
9	Amazon.com, Inc. (AMZN)	Purchase	10/06/2021	No	\$1,001 - \$15,000
10	AbbVie, Inc. (ABBV)	Purchase	10/01/2021	No	\$1,001 - \$15,000
11	Allstate Corp (ALL)	Purchase	10/01/2021	No	\$1,001 - \$15,000
12	ArcelorMittal SA (MT)	Purchase	10/01/2021	No	\$1,001 - \$15,000
13	Microsoft Corp. (MSFT)	Purchase	10/01/2021	No	\$1,001 - \$15,000
14	Caterpillar, Inc. (CAT)	Purchase	09/30/2021	No	\$1,001 - \$15,000
15	Citigroup, Inc. (C)	Purchase	09/30/2021	No	\$1,001 - \$15,000
16	Invesco S&P 500 Equal Weight ETF (RSP)	Purchase	09/30/2021	No	\$1,001 - \$15,000
17	Invesco Senior Loan ETF (BKLN)	Purchase	09/30/2021	No	\$1,001 - \$15,000
18	iShares Core S&P Small-Cap ETF (IJR)	Purchase	09/30/2021	No	\$1,001 - \$15,000
19	iShares Core S&P 500 ETF (IVV)	Purchase	09/30/2021	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
20	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	09/30/2021	No	\$1,001 - \$15,000
21	Union Pacific Corp. (UNP)	Purchase	09/30/2021	No	\$1,001 - \$15,000
22	The Goldman Sachs Group, Inc. (GS)	Purchase	09/29/2021	No	\$1,001 - \$15,000
23	Proshares S&P 500 Dividend Aristocrats ETF (NOBL)	Purchase	09/29/2021	No	\$1,001 - \$15,000
24	AbbVie, Inc. (ABBV)	Purchase	09/28/2021	No	\$1,001 - \$15,000
25	ArcelorMittal SA (MT)	Purchase	09/24/2021	No	\$1,001 - \$15,000
26	Bank of America Corp. (BAC)	Purchase	09/24/2021	No	\$1,001 - \$15,000
27	Lockheed Martin Corp. (LMT)	Purchase	09/24/2021	No	\$1,001 - \$15,000
28	Adobe, Inc. (ADBE)	Purchase	09/23/2021	No	\$1,001 - \$15,000
29	QUALCOMM, Inc. (QCOM)	Purchase	09/23/2021	No	\$1,001 - \$15,000
30	BlackRock, Inc. (BLK)	Purchase	09/22/2021	No	\$1,001 - \$15,000
31	UnitedHealth Group, Inc. (UNH)	Purchase	09/21/2021	No	\$1,001 - \$15,000
32	L3Harris Technologies, Inc. (LHX)	Purchase	09/17/2021	No	\$1,001 - \$15,000
33	iShares MSCI Japan ETF (EWJ)	Purchase	09/14/2021	No	\$1,001 - \$15,000
34	Exxon Mobil Corp. (XOM)	Purchase	09/10/2021	No	\$1,001 - \$15,000
35	The Sherwin-Williams Co. (SHW)	Purchase	09/10/2021	No	\$1,001 - \$15,000
36	Yum! Brands, Inc. (YUM)	Purchase	09/10/2021	No	\$1,001 - \$15,000
37	iShares Interest Rate Hedged High Yield Bond ETF (HYGH)	Purchase	09/09/2021	No	\$1,001 - \$15,000
38	Microsoft Corp. (MSFT)	Purchase	09/09/2021	No	\$1,001 - \$15,000
39	iShares MBS ETF (MBB)	Purchase	09/08/2021	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
40	VanEck Vectors High-Yield Municipal Index ETF (HYD)	Purchase	09/08/2021	No	\$1,001 - \$15,000
41	Johnson & Johnson (JNJ)	Purchase	09/07/2021	No	\$1,001 - \$15,000
42	Walmart, Inc. (WMT)	Purchase	09/07/2021	No	\$1,001 - \$15,000
43	AbbVie, Inc. (ABBV)	Purchase	09/03/2021	No	\$1,001 - \$15,000
44	Facebook, Inc. (FB)	Purchase	09/03/2021	No	\$1,001 - \$15,000
45	Intel Corp. (INTC)	Purchase	09/01/2021	No	\$1,001 - \$15,000
46	Wells Fargo & Co. (WFC)	Purchase	09/01/2021	No	\$1,001 - \$15,000
47	Zoetis, Inc. (ZTS)	Purchase	09/01/2021	No	\$1,001 - \$15,000
48	Proshares S&P 500 Dividend Aristocrats ETF (NOBL)	Sale	10/21/2021	No	\$1,001 - \$15,000
49	The Sherwin-Williams Co. (SHW)	Sale	10/21/2021	No	\$1,001 - \$15,000
50	Fidelity MSCI Consumer Staples Index ETF (FSTA)	Sale	10/19/2021	No	\$1,001 - \$15,000
51	Proshares S&P 500 Dividend Aristocrats ETF (NOBL)	Sale	10/19/2021	No	\$1,001 - \$15,000
52	The Sherwin-Williams Co. (SHW)	Sale	10/19/2021	No	\$1,001 - \$15,000
53	Fidelity MSCI Real Estate Index ETF (FREL)	Sale	10/12/2021	No	\$1,001 - \$15,000
54	Fidelity MSCI Health Care Index ETF (FHLC)	Sale	10/12/2021	No	\$1,001 - \$15,000
55	Adobe, Inc. (ADBE)	Sale	10/06/2021	No	\$1,001 - \$15,000
56	CVS Health Corp. (CVS)	Sale	10/06/2021	No	\$1,001 - \$15,000
57	SAP SE (SAP)	Sale	10/06/2021	No	\$1,001 - \$15,000
58	iShares Core S&P 500 ETF (IVV)	Sale	10/05/2021	No	\$1,001 - \$15,000
59	Devon Energy Corp. (DVN)	Sale	10/04/2021	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
60	FedEx Corp. (FDX)	Sale	10/04/2021	No	\$1,001 - \$15,000
61	Lockheed Martin Corp. (LMT)	Sale	10/04/2021	No	\$1,001 - \$15,000
62	FedEx Corp. (FDX)	Sale	09/30/2021	No	\$1,001 - \$15,000
63	Lockheed Martin Corp. (LMT)	Sale	09/30/2021	No	\$1,001 - \$15,000
64	Morgan Stanley (MS)	Sale	09/30/2021	No	\$1,001 - \$15,000
65	FedEx Corp. (FDX)	Sale	09/24/2021	No	\$1,001 - \$15,000
66	iShares Core S&P Mid-Cap ETF (IJH)	Sale	09/14/2021	No	\$1,001 - \$15,000
67	Nintendo ADR (NTDOY)	Sale	09/13/2021	No	\$1,001 - \$15,000
68	Big Lots, Inc. (BIG)	Sale	09/08/2021	No	\$1,001 - \$15,000
69	Lowe's Companies Inc (LOW)	Sale	09/08/2021	No	\$1,001 - \$15,000
70	Big Lots, Inc. (BIG)	Sale	09/07/2021	No	\$1,001 - \$15,000
71	Lowe's Companies Inc (LOW)	Sale	09/03/2021	No	\$1,001 - \$15,000

Endnotes

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.
