# Executive Branch Personnel

# Public Financial Disclosure Report (OGE Form 278e)

## Filer's Information

Turner, Bruce I

U.S. Representative to the Conference on Disarmament, with rank of Ambassador, Department of State

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Assistant Secretary, Bureau of Arms Control, Department of State (1/2018 - 9/2021)

U.S. Representative to the Conference on Disarmament, with rank of Ambassador, State Department (9/2022 - Present)

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/ Turner, Bruce I [electronically signed on 02/12/2023 by Turner, Bruce I 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/ Green, Marcella, Certifying Official [electronically signed on 04/04/2023 by Green, Marcella in Integrity.gov]

Other review conducted by
/s/ Green, Marcella, Ethics Official [electronically signed on 04/04/2023 by Green, Marcella in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 04/10/2023 by Granahan, Megan in Integrity.gov]

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

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|---|---|---|---|---|---|
| 1 | Spouse's revocable living trust | Arlington, Virginia | Trust | Trustee | 2/2017 | Present |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1 | IRA Brokerage Account | No | | | |
| 1.1 | DFUV - Dimensional US Marketwide Value | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.2 | PTSHX - PIMCO Short-Term Fund Institutional Class Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.3 | VFIJX - Vanguard GNMA Fund Admiral Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.4 | APDKX - Artisan International Value Fund Advisor Class Shares | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 1.5 | DEMSX - DFA Emerging Markets Small Cap Portfolio Institutional Class Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.6 | DODGX - Dodge & Cox Stock Fund | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 1.7 | TRAIX - T Rowe Price Capital Appreciation Fund Class I Shares | Yes | $500,001 - $1,000,000 | | None (or less than $201) |
| 1.8 | THIIX - Thornburg Limited Term Income Fund Class I Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1.9 | XMMO - Invesco S&P MidCap Momentum ETF | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.10 | NFFFX - American Fund New World Fund, Inc Class F2 Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.11 | MDIJX - MFS International Diversification Fund Class I Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.12 | APDFX - Artisan High Income Fund Advisor Class Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.13 | BBBIX - BBH Limited Duration Fund Class I Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.14 | CRRRX - Columbia Small Cap Value Fund II Institutional 2 Class | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.15 | IJT - iShares S&P Small-Cap 600 Growth ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.16 | IWY - iShares Russell Top 200 Growth ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.17 | VGSH - Vanguard Short-Term Treasury Index Fund ETF Class Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.18 | SGVIX - Allspring Government Securities Inst | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.19 | LSIIX - Loomis Sayles Investment Grade Bond Fund Class Y Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.20 | MHYIX - MainStay MacKay High Yield Corporate Bond Fund Class I Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.21 | AKRIX - Akre Focus Fund Institutional Class Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.22 | WFMIX - Allspring Special Mid Cap Value Inst | Yes | $100,001 - $250,000 | | None (or less than $201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1.23 | ESPNX - Allspring Special Small Cap Value Fund Institutional Class Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 2 | Roth IRA Brokerage Account | No | | | |
| 2.1 | TRAIX -T Rowe Price Capital Appreciation Fund Class I Shares | Yes | $1,001 - $15,000 | | None (or less than $201) |

## 3. Filer's Employment Agreements and Arrangements

None

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

(N/A) - Not required for this type of report

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1 | Brokerage IRA account | No | | | |
| 1.1 | VGSH - Vanguard Short Term Treasury Index | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.2 | PTSHX - Short Term Instl | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.3 | THIIX - Thornburg Ltd Term Incm | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.4 | DFSVX - DFA US Small Cap Value | Yes | $1,001 - $15,000 | | None (or less than $201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1.5 | DODGX - Dodge & Cox Stock Fund | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.6 | XMMO -Invesco S&P MidCap Momentum ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.7 | IMCG - iShares Morgstar Mid Cap | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.8 | ISCG - iShares Morn Small Cap | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.9 | IMCV - iShares Morningstar Mid Cap | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.10 | IWY - iShares Russell Top 200 | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.11 | IJJ - iShares S&P Mid-Cap 400 Value ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.12 | IQLT - iShares Edge MSCI Intl Quality Factor ETF | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.13 | FNDE - Schwab FundamentalEmerging Markets Large Company Index ETF | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 1.14 | SCHD - Schwab US Dividend Equity ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.15 | SPTI - SPDR Portfolio Intermediate Term Treasury ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.16 | SPYG - SPDR Portfolio S&P 500 Growth ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.17 | VBR - Vanguard Small-Cap Value Index Fund ETF Class Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.18 | SGVIX - Allspring Government Securities Fund Institutional Class Shares | Yes | $1,001 - $15,000 | | None (or less than $201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1.19 | WFMIX - Allspring Special Mid Cap Value Fund Institutional Class Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.20 | NFFFX - New World Fund, Inc Class F2 Shares | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.21 | APDFX - Artisan High Income Fund Advisor Class Shares | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.22 | APDKX - Artisan International Value Fund Advisor Class Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.23 | BBBIX - BBH Limited Duration Fund Class I Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.24 | EIHIX - Eaton Vance High Income Opportunities Fund Class I Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.25 | DODBX - Dodge & Cox Balanced Fund | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.26 | JBALX - Janus Henderson Balanced Fund Class I Shares | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 1.27 | LSIIX -Loomis Sayles Investment Grade Bond Fund Class Y Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.28 | LLDYX - Lord Abbett Short Duration Income Fund Class I Shares | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.29 | TRAIX - T Rowe Price Capital Appreciation Fund Class I Shares | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 1.30 | UBVLX - Undiscovered Managers Behavioral Value Fund Class L Shares | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.31 | VFIAX - Vanguard 500 Index Fund Admiral Shares | Yes | $50,001 - $100,000 | | None (or less than $201) |

## 6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1 | U.S. bank (cash) | N/A | $100,001 - $250,000 | Interest | None (or less than $201) |
| 2 | Brokerage Account | No | | | |
| 2.1 | XMMO - Invesco S&P Midcap Momentum | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 2.2 | IMCV - iShares Morningstar Mid-Cap ETF | Yes | $15,001 - $50,000 | | $201 - $1,000 |
| 2.3 | VGSH - Vanguard Short Term Treasury Index | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 2.4 | LLDYX - Lord Abbett Short Duration Income | Yes | $15,001 - $50,000 | | $201 - $1,000 |
| 2.5 | PTSHX -PIMCO Short-Term Fund Institutional Class Shares | Yes | $50,001 - $100,000 | | $1,001 - $2,500 |
| 2.6 | DODGX - Dodge & Cox Stock Fund | Yes | $15,001 - $50,000 | | $201 - $1,000 |
| 2.7 | JBALX - Janus Henderson Balanced | Yes | $100,001 - $250,000 | | $201 - $1,000 |
| 2.8 | TRAIX - T Rowe Price Cap Appr Fd | Yes | $100,001 - $250,000 | | $1,001 - $2,500 |
| 2.9 | VBR - Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR) | Yes | $15,001 - $50,000 | | $201 - $1,000 |
| 2.10 | IMCG - iShares Morgstar Mid Cap Gro | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 2.11 | ISCG - iShares Morn Small Cap Growth | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 2.12 | IJJ - iShares S&P Mid-Cap 400 Value ETF | Yes | $15,001 - $50,000 | | $201 - $1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 2.13 | IQLT - ISHS MSCI Intl Quality Fact | Yes | $50,001 - $100,000 | | $201 - $1,000 |
| 2.14 | FNDE - Schwab FundamentalEmerging Markets Large Company Index ETF | Yes | $15,001 - $50,000 | | $1,001 - $2,500 |
| 2.15 | SCHD - Schwab US Dividend Equity ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 2.16 | SPTI - SPDR Portfolio Intermediate Term Treasury ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 2.17 | SPYG - SPDR S&P 500 Growth ETF | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 2.18 | EIHIX - Eaton Vance High Income Opportunities Fund Class I Shares | Yes | $15,001 - $50,000 | | $201 - $1,000 |
| 2.19 | LSIIX - Loomis Sayles Investment Grade Bond Fund Class Y Shares | Yes | $15,001 - $50,000 | | $201 - $1,000 |
| 2.20 | DFSVX - US Small Cap Value Portfolio Institutional Class Shares | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 2.21 | DODBX - Dodge & Cox Balanced Fund | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 2.22 | DODIX - Dodge & Cox Income Fund | Yes | $15,001 - $50,000 | | $201 - $1,000 |
| 2.23 | VFIAX -Vanguard 500 Index Fund Admiral Shares | Yes | $50,001 - $100,000 | | $201 - $1,000 |
| 3 | Family farmland, Rouvray St. Denis, France (owned by 3 siblings, leased to brother) | N/A | $50,001 - $100,000 | Rent or Royalties | $2,501 - $5,000 |
| 4 | Residential family apartment, Le Mont Dore, France (owned by 3 siblings) | N/A | $15,001 - $50,000 | | None (or less than $201) |
| 5 | Permanent Personal Residence | | $500,001 - $1,000,000 | Rent or Royalties | $2,501 - $5,000 |

## 7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 1 | BBBIX - BBH Limited Duration Fund Class I Shares | Purchase | 12/21/2022 | $15,001 - $50,000 |
| 2 | TRAIX - T Rowe Price Capital Appreciation Fund Class I Shares | Purchase | 12/21/2022 | $1,001 - $15,000 |
| 3 | SCHD -Schwab US Dividend Equity ETF | Purchase | 12/21/2022 | $15,001 - $50,000 |
| 4 | DODIX - Dodge & Cox Income Fund | Sale | 10/18/2022 | $15,001 - $50,000 |
| 5 | IWY - iShares Russell Top 200 Growth ETF | Sale | 10/18/2022 | $15,001 - $50,000 |
| 6 | MDIDX - MFS International Diversification Fund Class A Shares | Sale | 10/18/2022 | $15,001 - $50,000 |
| 7 | VGIT - Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares | Sale | 10/18/2022 | $1,001 - $15,000 |
| 8 | VGIT - Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares | Sale | 10/18/2022 | $1,001 - $15,000 |
| 9 | VEA - Vanguard Developed Markets Index Fund ETF Shares | Sale | 10/18/2022 | $15,001 - $50,000 |
| 10 | WAMCX - Wasatch Ultra Growth Fund Investor Class Shares | Sale | 10/18/2022 | $1,001 - $15,000 |
| 11 | ISCG - iShares Morningstar Small-Cap | Purchase | 10/19/2022 | $1,001 - $15,000 |
| 12 | IQLT - iShares Edge MSCI Intl Quality Factor ETF | Purchase | 10/19/2022 | $50,001 - $100,000 |
| 13 | FNDE - Schwab FundamentalEmerging Markets Large Company Index ETF | Purchase | 10/19/2022 | $15,001 - $50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 14 | TRAIX - T Rowe Price Capital Appreciation Fund Class I Shares | Purchase | 10/20/2022 | $1,001 - $15,000 |
| 15 | NFFFX - New World Fund, Inc Class F2 Shares | Purchase | 11/16/2022 | $1,001 - $15,000 |
| 16 | SGVIX - Allspring Government Securities Fund Institutional Class Shares | Purchase | 11/16/2022 | $1,001 - $15,000 |
| 17 | AKRIX - Focus Fund Institutional Class Shares | Purchase | 11/16/2022 | $15,001 - $50,000 |
| 18 | XMMO - Invesco S&P MidCap Momentum ETF | Purchase | 11/16/2022 | $1,001 - $15,000 |
| 19 | IJT - iShares S&P SmallCap 600 | Purchase | 11/16/2022 | $1,001 - $15,000 |
| 20 | LSIIX - Loomis Sayles Investment Grade Bond Fund Class Y Shares | Purchase | 11/16/2022 | $50,001 - $100,000 |
| 21 | WFMIX - Wells Fargo Special Mid Cap Value Fund Institutional Class Shares | Sale | 11/16/2022 | $1,001 - $15,000 |
| 22 | APDKX - Artisan International Value Fund Advisor Class Shares | Sale | 11/16/2022 | $1,001 - $15,000 |
| 23 | CTBRX - Columbia Total Return Bond Fund Institutional 2 Class Shares | Sale | 11/16/2022 | $50,001 - $100,000 |
| 24 | PTSHX - PIMCO Short-Term Fund Institutional Class Shares | Sale | 11/16/2022 | $1,001 - $15,000 |
| 25 | THIIX - Thornburg Limited Term Income Fund Class I Shares | Sale | 11/16/2022 | $1,001 - $15,000 |
| 26 | DODGX - Dodge & Cox Stock Fund | Sale | 11/16/2022 | $1,001 - $15,000 |
| 27 | TRAIX - T Rowe Price Capital Appreciation Fund Class I Shares | Sale | 11/16/2022 | $15,001 - $50,000 |
| 28 | WFMIX - Wells Fargo Special Mid Cap Value Fund Institutional Class Shares | Purchase | 12/23/2022 | $1,001 - $15,000 |
| 29 | DODGX - Dodge & Cox Stock Fund | Purchase | 12/23/2022 | $1,001 - $15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 30 | Wells Fargo Special Mid Cap Value Fund Institutional Class Shares (WFMIX) | Sale | 11/16/2022 | $1,001 - $15,000 |
| 31 | Dodge & Cox Stock Fund (DODGX) | Sale | 11/16/2022 | $1,001 - $15,000 |
| 32 | American Funds New World F2 Cash (NFFFX) | Purchase | 11/16/2022 | $1,001 - $15,000 |
| 33 | Akre Focus Fund Institutional Class Shares (AKRIX) | Purchase | 11/16/2022 | $15,001 - $50,000 |
| 34 | Artisan International Value Fund Investor Shares (ARTKX) | Sale | 11/03/2022 | $1,001 - $15,000 |
| 35 | Artisan International Value Fund Advisor Class Shares (APDKX) | Purchase | 11/03/2022 | $1,001 - $15,000 |
| 36 | Invesco S&P MidCap Momentum ETF (XMMO) | Sale | 07/13/2022 | $1,001 - $15,000 |
| 37 | iShares Morningstar mid cap (IMCV) | Sale | 07/13/2022 | $15,001 - $50,000 |
| 38 | Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU) | Sale | 07/13/2022 | $15,001 - $50,000 |
| 39 | Artisan International Value Fund Investor Shares (ARTKX) | Sale | 07/13/2022 | $15,001 - $50,000 |
| 40 | DFA Emerging Markets Small Cap (DEMSX) | Sale | 07/13/2022 | $15,001 - $50,000 |
| 41 | Eaton Vance High Income Opportunities Fund Class I Shares (EIHIX) | Sale | 07/13/2022 | $15,001 - $50,000 |
| 42 | Loomis Sayles Investment Grade Bond Y (LSIIX) | Sale | 07/13/2022 | $15,001 - $50,000 |
| 43 | Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX) | Sale | 07/13/2022 | $1,001 - $15,000 |
| 44 | Vanguard Equity-Income Adm Cash Divs (VEIRX) | Sale | 07/13/2022 | $15,001 - $50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 45 | Wasatch Core Growth Fund Investor Class Shares (WGROX) | Sale | 07/13/2022 | $15,001 - $50,000 |
| 46 | iShares Morningstar Mid Cap Gro (IMCG) | Purchase | 07/13/2022 | $1,001 - $15,000 |
| 47 | iShares S&P Mid Cap Gro (IMCG) | Purchase | 07/13/2022 | $1,001 - $15,000 |
| 48 | iShares S&P Mid-Cap 400 Value ETF (IJJ) | Purchase | 07/13/2022 | $15,001 - $50,000 |
| 49 | Vanguard FTSE Developed Markets (VEA) | Purchase | 07/13/2022 | $15,001 - $50,000 |
| 50 | DFA US Small Cap Value I | Purchase | 07/13/2022 | $1,001 - $15,000 |
| 51 | Artisan High Income Fund Advisor Class Shares (APDFX) | Purchase | 07/13/2022 | $15,001 - $50,000 |
| 52 | Dodge & Cox Stock Fund (DODGX) | Purchase | 07/13/2022 | $50,001 - $100,000 |
| 53 | American Funds New World F2 (NFFFX) | Purchase | 07/13/2022 | $15,001 - $50,000 |
| 54 | MFS Intl Diversifiction A (MDIDX) | Purchase | 07/13/2022 | $15,001 - $50,000 |
| 55 | Wasatch Ultra Growth Fund Investor Class Shares (WAMCX) | Purchase | 07/13/2022 | $15,001 - $50,000 |
| 56 | Allspring Special Mid Cap Value (WFMIX) | Purchase | 07/11/2022 | $1,001 - $15,000 |
| 57 | iShares Russell Top 200 Growth ETF (IWY) | Purchase | 06/21/2022 | $1,001 - $15,000 |
| 58 | Invesco S&P MidCap Momentum ETF (XMMO) | Purchase | 06/21/2022 | $1,001 - $15,000 |
| 59 | Allspring Government Securities Admin (WGSDX) | Sale | 06/17/2022 | $1,001 - $15,000 |
| 60 | Artisan Mid Cap Fund Advisor Class Shares (APDMX) | Sale | 06/17/2022 | $1,001 - $15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 61 | AB Small Cap Growth Portfolio Class A Shares (QUASX) | Sale | 06/17/2022 | $1,001 - $15,000 |
| 62 | Dodge & Cox Stock Fund (DODGX) | Sale | 06/17/2022 | $1,001 - $15,000 |
| 63 | DFA US Small Cap Value (DFSVX) | Sale | 06/17/2022 | $1,001 - $15,000 |
| 64 | MainStay MacKay High Yield Corporate Bond Fund Class I Shares (MHYIX) | Sale | 06/17/2022 | $1,001 - $15,000 |
| 65 | PIMCO Short-Term Fund Institutional Class Shares (PTSHX) | Sale | 06/17/2022 | $15,001 - $50,000 |
| 66 | T Rowe Price Growth Stock Fund, Inc Class I Shares (PRUFX) | Sale | 06/17/2022 | $1,001 - $15,000 |
| 67 | Western Asset Core Plus Bond Fund Class I Shares (WACPX) | Sale | 06/17/2022 | $1,001 - $15,000 |
| 68 | Artisan International Value Fund Investor Shares (ARTKX) | Purchase | 06/17/2022 | $1,001 - $15,000 |
| 69 | BBH Limited Duration Fund Class I Shares (BBBIX) | Purchase | 06/17/2022 | $1,001 - $15,000 |
| 70 | Artisan High Income Fund Advisor Class Shares (APDFX) | Purchase | 06/17/2022 | $1,001 - $15,000 |
| 71 | Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX) | Purchase | 06/17/2022 | $1,001 - $15,000 |
| 72 | Loomis Sayles Investment Grade Bond (LSIIX) | Purchase | 06/17/2022 | $1,001 - $15,000 |
| 73 | Allspring Government Securities Inst (SGVIX) | Purchase | 06/17/2022 | $1,001 - $15,000 |
| 74 | Wasatch Core Growth Fund Institutional Class Shares (WIGRX) | Purchase | 06/17/2022 | $1,001 - $15,000 |
| 75 | iShares Russell Top 200 Growth ETF (IWY) | Purchase | 05/26/2022 | $15,001 - $50,000 |
| 76 | iShares Morningstar Mid-Cap (IMCV) | Purchase | 05/18/2022 | $15,001 - $50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 77 | Invesco S&P MidCap Momentum ETF (XMMO) | Purchase | 05/18/2022 | $1,001 - $15,000 |
| 78 | VAG ITM-Term Treasury (VGIT) | Purchase | 05/18/2022 | $15,001 - $50,000 |
| 79 | Dodge & Cox Balanced Fund (DODBX) | Purchase | 05/18/2022 | $1,001 - $15,000 |
| 80 | Vanguard Equity-Income Adm (VEIRX) | Purchase | 05/18/2022 | $15,001 - $50,000 |
| 81 | Allspring Government Securities Inst (SGVIX) | Sale | 05/17/2022 | $15,001 - $50,000 |
| 82 | Allspring Special Mid Cap Value Inst (WFMIX) | Sale | 05/17/2022 | $15,001 - $50,000 |
| 83 | American Funds New World F2 (NFFFX) | Sale | 05/17/2022 | $50,001 - $100,000 |
| 84 | Artisan High Income Fund Advisor Class Shares (APDFX) | Sale | 05/17/2022 | $15,001 - $50,000 |
| 85 | Artisan Mid Cap Fund Advisor Class Shares (APDMX) | Sale | 05/17/2022 | $1,001 - $15,000 |
| 86 | BBH Limited Duration Fund Class I Shares (BBBIX) | Sale | 05/17/2022 | $50,001 - $100,000 |
| 87 | Columbia Total Return Bond Fund Institutional 2 Class Shares (CTBRX) | Sale | 05/17/2022 | $15,001 - $50,000 |
| 88 | Dodge & Cox Stock Fund (DODGX) | Sale | 05/17/2022 | $1,001 - $15,000 |
| 89 | Lord Abbett Short Duration Income Fund Class I Shares (LLDYX) | Sale | 05/17/2022 | $15,001 - $50,000 |
| 90 | T Rowe Price Capital Appreciation Fund Class I Shares (TRAIX) | Sale | 05/17/2022 | $15,001 - $50,000 |
| 91 | DFA Emerging Markets Small Cap I (DEMSX) | Purchase | 05/17/2022 | $50,001 - $100,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 92 | Loomis Sayles Investment Grade Bond Y (LSIIX) | Purchase | 05/17/2022 | $15,001 - $50,000 |
| 93 | PIMCO Short-Term Fund Institutional Class Shares (PTSHX) | Purchase | 05/17/2022 | $50,001 - $100,000 |
| 94 | Eaton Vance High Income Opportunities Fund Class I Shares (EIHIX) | Purchase | 05/17/2022 | $15,001 - $50,000 |
| 95 | Thornburg Limited Term Income Fund Class I Shares (THIIX) | Purchase | 05/17/2022 | $15,001 - $50,000 |
| 96 | Goldman Sachs Intl Small Cap Insights (GICAX) | Sale | 05/04/2022 | $1,001 - $15,000 |
| 97 | MFS International Diversification Fund Class A Shares (MDIDX) | Sale | 05/04/2022 | $1,001 - $15,000 |
| 98 | Artisan International Value Fund Investor Shares (ARTKX) | Purchase | 05/04/2022 | $1,001 - $15,000 |
| 99 | Western Asset Core Plus Bond Fund Class I Shares (WACPX) | Purchase | 05/04/2022 | $1,001 - $15,000 |
| 100 | Invesco S&P MidCap Low Volatility ETF (XMLV) | Sale | 04/25/2022 | $50,001 - $100,000 |
| 101 | Allspring Discovery Inst Reinv (WFDSX) | Sale | 04/25/2022 | $50,001 - $100,000 |
| 102 | Morgan Stanley Institutional Fund Trust Growth Portfolio Class I Shares (MSEQX) | Sale | 04/25/2022 | $15,001 - $50,000 |
| 103 | T Rowe Price Growth Stock Fund, Inc Class I Shares (PRUFX) | Sale | 04/25/2022 | $15,001 - $50,000 |
| 104 | iShares Russell Top 200 Growth ETF (IWY) | Purchase | 04/25/2022 | $50,001 - $100,000 |
| 105 | Invesco S&P MidCap Momentum ETF (XMMO) | Purchase | 04/25/2022 | $50,001 - $100,000 |
| 106 | Allspring Special Mid Cap Value Inst (WFMIX) | Purchase | 04/25/2022 | $15,001 - $50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 107 | Invesco S&P MidCap Low Volatility ETF (XMLV) | Sale | 03/18/2022 | $1,001 - $15,000 |
| 108 | Alger Small Cap Focus Fund Class Z Shares (AGOZX) | Sale | 03/18/2022 | $1,001 - $15,000 |
| 109 | Janus Henderson Balanced Fund Class I Shares (JBALX) | Sale | 03/18/2022 | $1,001 - $15,000 |
| 110 | Vaughan Nelson International Small Cap Fund Institutional Class Shares (ADVLX) | Sale | 03/18/2022 | $15,001 - $50,000 |
| 111 | Invesco S&P MidCap Momentum ETF (XMMO) | Purchase | 03/18/2022 | $15,001 - $50,000 |
| 112 | Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH) | Purchase | 03/18/2022 | $1,001 - $15,000 |
| 113 | Artisan International Value Fund Investor Shares (ARTKX) | Purchase | 03/18/2022 | $15,001 - $50,000 |
| 114 | BBH Limited Duration Fund Class I Shares (BBBIX) | Purchase | 03/18/2022 | $15,001 - $50,000 |
| 115 | T Rowe Price Capital Appreciation Fund Class I Shares (TRAIX) | Purchase | 03/18/2022 | $15,001 - $50,000 |
| 116 | Artisan High Income Fund Advisor Class Shares (APDFX) | Purchase | 03/18/2022 | $15,001 - $50,000 |
| 117 | Dodge & Cox Stock Fund (DODGX) | Purchase | 03/18/2022 | $15,001 - $50,000 |
| 118 | Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX) | Purchase | 03/18/2022 | $1,001 - $15,000 |
| 119 | New World Fund, Inc Class F2 Shares (NFFFX) | Purchase | 03/21/2022 | $15,001 - $50,000 |
| 120 | NatixisLoomis Sayles Investment Grade Bond Fund Class Y Shares (LSIIX) | Purchase | 03/18/2022 | $1,001 - $15,000 |
| 121 | Wells Fargo Special Mid Cap Value Fund Institutional Class Shares (WFMIX) | Purchase | 03/18/2022 | $15,001 - $50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 122 | Allspring Government Securities Fund Institutional Class Shares (SGVIX) | Purchase | 03/18/2022 | $1,001 - $15,000 |
| 123 | Lord Abbett Short Duration Income Fund Class I Shares (LLDYX) | Purchase | 03/18/2022 | $1,001 - $15,000 |
| 124 | Wasatch Core Growth Fund Investor Class Shares (WGROX) | Purchase | 03/18/2022 | $15,001 - $50,000 |

## 8. Liabilities

None

## 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.

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