Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Neugeboren, Steven

Associate General Counsel for Water, Environmental Protection Agency

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:
None

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/ Neugeboren, Steven [electronically signed on 08/10/2022 by Neugeboren, Steven in Integrity.gov] - Filer received a 91 day filing extension.

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/ Mosley, Ferne L, Certifying Official [electronically signed on 08/31/2022 by Mosley, Ferne L in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Musician	, Maryland		Musical Performer	1/2021	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	RDVY - First Trust Rising Dividend	Yes	$15,001 - $50,000		None (or less than $201)
1.2	QQQ - Invesco QQQ Trust ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Invesco S&P 500 GARP ETF (SPGP)	Yes	$15,001 - $50,000		None (or less than $201)
1.4	iShares Russell 2000 ETF (IWM)	Yes	$1,001 - $15,000		None (or less than $201)
1.5	OUSA - O'Shares US Quality Dividend ETF	Yes	$1,001 - $15,000		$201 - $1,000
1.6	Pacer Trendpilot US Large Cap ETF (PTLC)	Yes	$15,001 - $50,000		None (or less than $201)
1.7	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Yes	$1,001 - $15,000		None (or less than $201)
1.8	SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	$1,001 - $15,000		None (or less than $201)
1.9	VictoryShares US 500 Enhanced Volatility Wtd Index ETF (CFO)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	iShares Core US Aggregate Bond ETF (AGG)	Yes	$15,001 - $50,000		None (or less than $201)
1.11	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	$1,001 - $15,000		None (or less than $201)
1.12	PNTQ - Pacer Trendpilot 100 ETF	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	IRA #1	No			
1.1	RDVY - First Trust Rising Dividend	Yes	$1,001 - $15,000		None (or less than $201)
1.2	SPGP - Invesco S&P 500 GARP ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.3	OUSA - O'Shares US Quality Dividend ETF	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	PTLC - Pacer Trendpilot US Large Cap ETF	Yes	$15,001 - $50,000		None (or less than $201)
1.5	PNTQ - Pacer Trendpilot 100 ETF	Yes	$15,001 - $50,000		None (or less than $201)
1.6	SPYG - SPDR Portfolio S&P 500 Growth ETF	Yes	$15,001 - $50,000		None (or less than $201)
1.7	SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	$15,001 - $50,000		None (or less than $201)
1.8	CFO - VictoryShares US 500 Enhanced Volatility WTD ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.9	iShares Core US Aggregate Bond ETF (AGG)	Yes	$15,001 - $50,000		None (or less than $201)
1.10	IEI - iShares 3-7 Year Treasury Bond ETF	Yes	$50,001 - $100,000		None (or less than $201)
1.11	SPDR Portfolio Developed World ex-US ETF (SPDW)	Yes	$1,001 - $15,000		None (or less than $201)
1.12	VB - Vanguard Small Cap ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.13	SHY - iShares 1-3 Year Treasury Bond ETF	Yes	$50,001 - $100,000		None (or less than $201)
2	IRA #2	No			
2.1	Accenture Plc (ACN)	N/A	$1,001 - $15,000		None (or less than $201)
2.2	Alphabet, Inc. (GOOG)	N/A	$1,001 - $15,000		None (or less than $201)
2.3	American Electric Power Co., Inc. (AEP)	N/A	$1,001 - $15,000		None (or less than $201)
2.4	American Water Works Co., Inc. (AWK)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	American Tower Corporation (REIT) (AMT)	N/A	$1,001 - $15,000		None (or less than $201)
2.6	Apple, Inc. (AAPL)	N/A	$1,001 - $15,000		None (or less than $201)
2.7	Applied Materials, Inc. (AMAT)	N/A	$1,001 - $15,000		None (or less than $201)
2.8	The Coca-Cola Co. (KO)	N/A	$1,001 - $15,000		None (or less than $201)
2.9	Comcast Corp. (CMCSA)	N/A	$1,001 - $15,000		None (or less than $201)
2.10	Costco Wholesale Corp. (COST)	N/A	$1,001 - $15,000		None (or less than $201)
2.11	HON - Honeywell Int'l	N/A	$1,001 - $15,000		None (or less than $201)
2.12	Lam Research Corp. (LRCX)	N/A	$1,001 - $15,000		None (or less than $201)
2.13	LLY - Lilly Eli & Co	N/A	$1,001 - $15,000		None (or less than $201)
2.14	Microsoft Corp. (MSFT)	N/A	$1,001 - $15,000		None (or less than $201)
2.15	Mastercard, Inc. (MA)	N/A	$1,001 - $15,000		None (or less than $201)
2.16	ORLY - O'Reilly Automotive Inc	N/A	$1,001 - $15,000		None (or less than $201)
2.17	T. Rowe Price Group, Inc. (TROW)	N/A	$1,001 - $15,000		None (or less than $201)
2.18	S&P Global, Inc. (SPGI)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.19	TSCO - Tractor Supply Company	N/A	$1,001 - $15,000		None (or less than $201)
2.20	UNH - United Health Group	N/A	$1,001 - $15,000		None (or less than $201)
2.21	Visa, Inc. (V)	N/A	$1,001 - $15,000		None (or less than $201)
2.22	Walmart, Inc. (WMT)	N/A	$1,001 - $15,000		None (or less than $201)
2.23	The Walt Disney Co. (DIS)	N/A	$1,001 - $15,000		None (or less than $201)
2.24	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	$15,001 - $50,000		None (or less than $201)
2.25	iShares TIPS Bond ETF (TIP)	Yes	$15,001 - $50,000		None (or less than $201)
2.26	IGSB - iShares 1-5 Year Invest Grade Corp Bond ETF	Yes	$15,001 - $50,000		None (or less than $201)
2.27	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	$15,001 - $50,000		None (or less than $201)
2.28	MINT - PIMCO Enhanced Short Maturity ETF	Yes	$15,001 - $50,000		None (or less than $201)
3	IRA #3	No			None (or less than $201)
3.1	Adobe, Inc. (ADBE)	N/A	$1,001 - $15,000		None (or less than $201)
3.2	Alphabet, Inc. (GOOG)	N/A	$1,001 - $15,000		None (or less than $201)
3.3	Amazon.com, Inc. (AMZN)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	Apple, Inc. (AAPL)	N/A	$1,001 - $15,000		None (or less than $201)
3.5	Applied Materials, Inc. (AMAT)	N/A	$1,001 - $15,000		None (or less than $201)
3.6	Cadence Design Systems, Inc. (CDNS)	N/A	$1,001 - $15,000		None (or less than $201)
3.7	Charter Communications, Inc. (CHTR)	N/A	$1,001 - $15,000		None (or less than $201)
3.8	Comcast Corp. (CMCSA)	N/A	$1,001 - $15,000		None (or less than $201)
3.9	Costco Wholesale Corp. (COST)	N/A	$1,001 - $15,000		None (or less than $201)
3.10	Danaher Corp. (DHR)	N/A	$1,001 - $15,000		None (or less than $201)
3.11	Dollar General Corp. (DG)	N/A	$1,001 - $15,000		None (or less than $201)
3.12	KLA Corp. (KLAC)	N/A	None (or less than $1,001)		None (or less than $201)
3.13	Lam Research Corp. (LRCX)	N/A	$1,001 - $15,000		None (or less than $201)
3.14	LLY - Lilly Eli & Co	N/A	$1,001 - $15,000		None (or less than $201)
3.15	Lockheed Martin Corp. (LMT)	N/A	$1,001 - $15,000		None (or less than $201)
3.16	Medtronic Plc (MDT)	N/A	$1,001 - $15,000		None (or less than $201)
3.17	Microsoft Corp. (MSFT)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.18	Moody's Corp. (MCO)	N/A	None (or less than $1,001)		None (or less than $201)
3.19	NextEra Energy, Inc. (NEE)	N/A	None (or less than $1,001)		None (or less than $201)
3.20	NVIDIA Corp. (NVDA)	No	$1,001 - $15,000		None (or less than $201)
3.21	ORLY - O'Reilly Automotive Inc	N/A	$1,001 - $15,000		None (or less than $201)
3.22	Overstock.com, Inc. (OSTK)	N/A	$1,001 - $15,000		None (or less than $201)
3.23	Target Corp. (TGT)	N/A	$1,001 - $15,000		None (or less than $201)
3.24	Thermo Fisher Scientific, Inc. (TMO)	N/A	$1,001 - $15,000		None (or less than $201)
3.25	Walmart, Inc. (WMT)	N/A	$1,001 - $15,000		None (or less than $201)
3.26	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	$15,001 - $50,000		None (or less than $201)
3.27	iShares TIPS Bond ETF (TIP)	Yes	$15,001 - $50,000		None (or less than $201)
3.28	IGSB - iShares 1-5 Year Invest Grade Corp Bond ETF	Yes	$15,001 - $50,000		None (or less than $201)
3.29	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	$15,001 - $50,000		None (or less than $201)
3.30	MINT - PIMCO Enhanced Short Maturity ETF	Yes	$15,001 - $50,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Domestic Brokerage Institution	No			
1.1	AOK - iShares Core Conservative Allocation ETF	Yes	$15,001 - $50,000		None (or less than $201)
1.2	Microsoft Corp. (MSFT)	N/A	$1,001 - $15,000		None (or less than $201)
1.3	AOA - iShares Core Aggressive Allocation ETF	Yes	$1,001 - $15,000		None (or less than $201)
2	Truist Bank (cash checking/savings/CD)	N/A	$50,001 - $100,000	Interest	None (or less than $201)
3	Prudential Alliance Account (cash)	N/A	$50,001 - $100,000	Interest	$201 - $1,000
4	U.S. Senate Federal Credit Union (cash)	N/A	$15,001 - $50,000	Interest	None (or less than $201)
5	Bank of America (cash / checking)	N/A	$1,001 - $15,000	Interest	None (or less than $201)
6	T. Rowe Price College Savings Plan of MD Portfolio for Education Today	Yes	$50,001 - $100,000		None (or less than $201)
7	Capital One Checking	N/A	None (or less than $1,001)		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	First Trust Rising Dividend Achievers ETF (RDVY)	Purchase	08/19/2021	$1,001 - $15,000
2	O'Shares US Quality Dividend ETF (OUSA)	Purchase	08/19/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
3	Pacer Trendpilot US Large Cap ETF (PTLC)	Purchase	08/19/2021	$1,001 - $15,000
4	VictoryShares US 500 Enhanced Volatility Wtd Index ETF (CFO)	Purchase	08/19/2021	$1,001 - $15,000
5	Invesco S&P 500 GARP ETF (SPGP)	Purchase	08/19/2021	$1,001 - $15,000
6	iShares Core US Aggregate Bond ETF (AGG)	Purchase	08/19/2021	$15,001 - $50,000
7	iShares 1-3 Year Treasury Bond ETF (SHY)	Purchase	08/19/2021	$15,001 - $50,000
8	iShares 3-7 Year Treasury Bond ETF (IEI)	Purchase	08/19/2021	$15,001 - $50,000
9	Pimco Enhanced Short Maturity Active ETF (MINT)	Purchase	08/19/2021	$15,001 - $50,000
10	CFO - VictoryShares US 500 ETF	Purchase	09/22/2021	$1,001 - $15,000
11	PTLC - Pacer Trendpilot ETF	Purchase	09/22/2021	$1,001 - $15,000
12	SPGP - Invesco S&P GARP ETF	Purchase	09/22/2021	$1,001 - $15,000
13	OUSA - Oshares US Quality Dividend ETF	Purchase	09/22/2021	$1,001 - $15,000
14	RDVY - First Trust Rising Dividend ETF	Purchase	09/28/2021	$1,001 - $15,000
15	RDVY - First Trust Rising Dividend ETF	Purchase	09/22/2021	$1,001 - $15,000
16	SPGP - Invesco S&P GARP ETF	Purchase	09/28/2021	$1,001 - $15,000
17	OUSA - Oshares US Quality Dividend ETF	Purchase	09/28/2021	$1,001 - $15,000
18	CFO - VictoryShares US 500 ETF	Purchase	09/28/2021	$1,001 - $15,000
19	PTLC - Pacer Trendpilot ETF	Purchase	09/28/2021	$1,001 - $15,000
20	AGG - iShares Core US Aggregate Bond ETF	Purchase	09/28/2021	$1,001 - $15,000
21	SHY - iShares 1-3 Year Treasury Bond ETF	Purchase	09/28/2021	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	IEI - iShares 3-7 Year Treasury Bond ETF	Purchase	09/28/2021	$15,001 - $50,000
23	MINT - Pimco Enhanced Short Maturity Active ETF	Purchase	09/28/2021	$1,001 - $15,000
24	SPGP - Invesco S&P GARP ETF	Purchase	09/28/2021	$1,001 - $15,000
25	RDVY - First Trust Rising Dividend ETF	Purchase	09/28/2021	$1,001 - $15,000
26	OUSA - Oshares US Quality Dividend ETF	Purchase	09/28/2021	$1,001 - $15,000
27	PTLC - Pacer Trendpilot ETF	Purchase	09/28/2021	$1,001 - $15,000
28	CFO - VictoryShares US 500 ETF	Purchase	09/28/2021	$1,001 - $15,000
29	SHY - iShares 1-3 Year Treasury Bond ETF	Sale	09/29/2021	$1,001 - $15,000
30	AGG - iShares Core US Aggregate Bond ETF	Purchase	09/28/2021	$1,001 - $15,000
31	SHY - iShares 1-3 Year Treasury Bond ETF	Purchase	09/28/2021	$15,001 - $50,000
32	TRRCX - T Rowe Price Retirement 2030 Fund	Sale	09/28/2021	$50,001 - $100,000
33	QQQ - Invesco QQQ Trust	Purchase	09/28/2021	$1,001 - $15,000
34	IWM - iShares Russell 2000 ETF	Purchase	09/28/2021	$1,001 - $15,000
35	IEI - iShares 3-7 Year Treasury Bond ETF	Purchase	09/28/2021	$15,001 - $50,000
36	PTNQ - Pacer Trendpilot 100 ETF	Purchase	09/28/2021	$1,001 - $15,000
37	SPYG - SPDR Portfolio S&P 500 Growth ETF	Purchase	09/28/2021	$1,001 - $15,000
38	SPYV - SPDR Portfolio S&P 500 Value ETF	Purchase	09/28/2021	$1,001 - $15,000
39	TRRBX - T Rowe Price Retirement 2020 Fund	Sale	09/28/2021	$50,001 - $100,000
40	CFO - VictoryShares US 500 ETF	Purchase	10/07/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
41	OUSA - Oshares US Quality Dividend ETF	Purchase	10/07/2021	$1,001 - $15,000
42	MINT - PIMCO Enhanced Short Maturity ETF	Purchase	10/07/2021	$1,001 - $15,000
43	QQQ - Invesco QQQ Trust	Purchase	10/07/2021	$1,001 - $15,000
44	IEI - iShares 3-7 Year Treasury Bond ETF	Purchase	10/07/2021	$15,001 - $50,000
45	PTNQ - Pacer Trendpilot 100 ETF	Purchase	10/07/2021	$1,001 - $15,000
46	OUSA - Oshares US Quality Dividend ETF	Purchase	10/07/2021	$1,001 - $15,000
47	PTNQ - Pacer Trendpilot 100 ETF	Purchase	10/07/2021	$1,001 - $15,000
48	SPDW - SPDR Developed World Ex US ETF	Purchase	10/07/2021	$1,001 - $15,000
49	RDVY - First Trust Rising Dividend ETF	Purchase	10/07/2021	$1,001 - $15,000
50	SHY - iShares 1-3 Year Treasury Bond ETF	Purchase	10/07/2021	$15,001 - $50,000
51	SPGP - Invesco S&P GARP ETF	Purchase	10/07/2021	$1,001 - $15,000
52	SPYG - SPDR Portfolio S&P 500 Growth ETF	Purchase	10/07/2021	$1,001 - $15,000
53	SPYV - SPDR Portfolio S&P 500 Value ETF	Purchase	10/07/2021	$1,001 - $15,000
54	ADBE- Adobe	Purchase	10/20/2021	$1,001 - $15,000
55	AEP- American Electric Power	Purchase	10/20/2021	$1,001 - $15,000
56	AMAT- Applied Materials	Purchase	10/20/2021	$1,001 - $15,000
57	AWK- American Water Works	Purchase	10/20/2021	$1,001 - $15,000
58	AMZN- Amazon	Purchase	10/20/2021	$1,001 - $15,000
59	CHTR- Charter Communication	Purchase	10/20/2021	$1,001 - $15,000
60	CMCSA- Comcast	Purchase	10/20/2021	$1,001 - $15,000
61	DG- Dollar General	Purchase	10/20/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
62	GLD- SPDR Gold	Purchase	10/20/2021	$1,001 - $15,000
63	DIS- Walt Disney Co	Purchase	10/20/2021	$1,001 - $15,000
64	GOOG- Alphabet	Purchase	10/20/2021	$1,001 - $15,000
65	KLAC- KLA Corp	Purchase	10/20/2021	$1,001 - $15,000
66	KO- Coca Cola Co	Purchase	10/20/2021	$1,001 - $15,000
67	LRCX- Lam Research Corp	Purchase	10/20/2021	$1,001 - $15,000
68	MA- Mastercard	Purchase	10/20/2021	$1,001 - $15,000
69	MCO- Moody's Corp	Purchase	10/20/2021	$1,001 - $15,000
70	MDT- Medtronic	Purchase	10/20/2021	$1,001 - $15,000
71	MSFT- Microsoft	Purchase	10/20/2021	$1,001 - $15,000
72	NVDA- NVidia	Purchase	10/20/2021	$1,001 - $15,000
73	ORLY- O'Reilly Automotive	Purchase	10/20/2021	$1,001 - $15,000
74	OSTK- Overstock.com	Purchase	10/20/2021	$1,001 - $15,000
75	SPGI- S&P Global Inc	Purchase	10/20/2021	$1,001 - $15,000
76	AOA - iShares Aggressive Allocation	Purchase	10/19/2021	$1,001 - $15,000
77	WMT- Walmart	Purchase	10/20/2021	$1,001 - $15,000
78	TROW- T Rowe Price Group	Purchase	10/20/2021	$1,001 - $15,000
79	AOK - iShares Conservative Allocation	Purchase	10/19/2021	$15,001 - $50,000
80	T Rowe Price Retirement 2020	Sale	10/15/2021	$15,001 - $50,000
81	T Rowe Price International Equity Index Fund	Sale	10/15/2021	$1,001 - $15,000
82	Vanguard Federal Money Market Investor	Sale	10/15/2021	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
83	SHY - iShares 1-3 Year Treasury Bond	See Endnote	Sale	11/02/2021	$1,001 - $15,000
84	MINT - PIMCO Enhanced Short Mat		Sale	11/30/2021	$15,001 - $50,000
85	SPYG - SPDR S&P 500 Growth ETF		Purchase	11/30/2021	$1,001 - $15,000
86	PTNQ - Pacer Trendpilot 100 ETF		Purchase	11/30/2021	$1,001 - $15,000
87	SPYV - SPDR S&P 500 Value ETF		Purchase	11/30/2021	$1,001 - $15,000
88	SPDW - SPDR Developed World Ex US		Sale	11/26/2021	$1,001 - $15,000
89	PTLC - Pacer Trendpilot US Large Cap ETF		Purchase	11/30/2021	$1,001 - $15,000
90	SPGP - Invesco S&P 500 GARP ETF		Purchase	11/30/2021	$1,001 - $15,000
91	CFO - Victory Shares US 500 Enhanced Vol ETF	See Endnote	Purchase	11/26/2021	
92	SPYV - SPDR S&P 500 Value ETF		Purchase	11/26/2021	$1,001 - $15,000
93	RDVY - First Trust Rising Dividend ETF		Purchase	11/30/2021	$1,001 - $15,000
94	VB - Vanguard Small Cap ETF		Purchase	11/26/2021	$1,001 - $15,000
95	SPYG - SPDR S&P 500 Growth ETF		Purchase	11/26/2021	$1,001 - $15,000
96	PTLC - Pacer Trendpilot US Large Cap ETF		Purchase	11/26/2021	$1,001 - $15,000
97	SPGP - Invesco S&P 500 GARP ETF		Purchase	11/26/2021	$1,001 - $15,000
98	OUSA - O'Shares US Quality Dividend ETF		Purchase	11/26/2021	$1,001 - $15,000
99	RDVY - First Trust Rising Dividend ETF		Purchase	11/26/2021	$1,001 - $15,000
100	TGT - Target Corp		Purchase	11/30/2021	$1,001 - $15,000
101	MDT - Medtronic PLC	See Endnote	Purchase	11/30/2021	
102	LMT - Lockheed Martin		Purchase	11/30/2021	$1,001 - $15,000
103	LLY - Lilly Eli & Co		Purchase	11/30/2021	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
104	LRCX - Lam Research Corp		Purchase	11/30/2021	$1,001 - $15,000
105	DG - Dollar General		Purchase	11/30/2021	$1,001 - $15,000
106	CHTR - Charter Communications		Purchase	11/30/2021	$1,001 - $15,000
107	CDNS - Cadence Design System		Purchase	11/30/2021	$1,001 - $15,000
108	AAPL - Apple		Purchase	11/30/2021	$1,001 - $15,000
109	AMAT - Applied Materials		Purchase	11/30/2021	$1,001 - $15,000
110	MINT - PIMCO Enhanced Short Mat ETF		Purchase	11/26/2021	$15,001 - $50,000
111	CMCSA - Comcast		Purchase	11/30/2021	$1,001 - $15,000
112	OSTK - Overstock.com		Purchase	11/26/2021	$1,001 - $15,000
113	ORLY - Oreilly Automotive		Purchase	11/26/2021	$1,001 - $15,000
114	MCO - Moody's Corp		Purchase	11/26/2021	$1,001 - $15,000
115	MSFT - Microsoft		Purchase	11/26/2021	$1,001 - $15,000
116	IEI - iShares 3-7 Year Treasury Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
117	IGSB - iShares 1-5 Year Invt Grade Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
118	TIP - iShares TIPS Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
119	CHTR - Charter Communications		Purchase	11/26/2021	$1,001 - $15,000
120	SHY - iShares 1-3 Year Treasury Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
121	WMT - Walmart	See Endnote	Purchase	11/30/2021	
122	CMCSA - Comcast		Purchase	11/26/2021	$1,001 - $15,000
123	V - Visa		Purchase	11/30/2021	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
124	UNH - United Health Group		Purchase	11/30/2021	$1,001 - $15,000
125	GLD - SPDR Gold ETF		Purchase	11/30/2021	$1,001 - $15,000
126	SPGI - S&P Global Inc	See Endnote	Purchase	11/30/2021	
127	TROW - T. Rowe Price	See Endnote	Purchase	11/30/2021	
128	ACN - Accenture PLC		Purchase	11/30/2021	$1,001 - $15,000
129	MSFT - Microsoft		Purchase	11/30/2021	$1,001 - $15,000
130	ORLY - Oreilly Automotive		Purchase	11/30/2021	$1,001 - $15,000
131	MA - Mastercard		Purchase	11/30/2021	$1,001 - $15,000
132	LLY - Lilly Eli & Co		Purchase	11/30/2021	$1,001 - $15,000
133	KO - Coca Cola	See Endnote	Purchase	11/30/2021	
134	DIS - Walt Disney	See Endnote	Purchase	11/30/2021	
135	AMT - American Tower REIT		Purchase	11/30/2021	$1,001 - $15,000
136	AAPL - Apple		Purchase	11/30/2021	$1,001 - $15,000
137	CMCSA - Comcast	See Endnote	Purchase	11/30/2021	
138	AWK - American Water Works		Purchase	11/30/2021	$1,001 - $15,000
139	BSV - Vanguard Short Term Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
140	MINT - PIMCO Enhanced Short Mat		Purchase	11/26/2021	$15,001 - $50,000
141	IEI - iShares 3-7 Year Treasury Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
142	IGSB - iShares 1-5 Year Invt Grade Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
143	TIP - iShares TIPS Bond ETF		Purchase	11/26/2021	$15,001 - $50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
144	SHY - iShares 1-3 Year Treasury Bond ETF		Purchase	11/26/2021	$15,001 - $50,000
145	DIS - Walt Disney		Purchase	11/26/2021	$1,001 - $15,000
146	AMT - American Tower REIT		Purchase	11/26/2021	$1,001 - $15,000
147	AWK - American Water Works	See Endnote	Purchase	11/26/2021	
148	CMCSA - Comcast		Purchase	11/26/2021	$1,001 - $15,000
149	AEP - American Electric Power Co		Purchase	11/26/2021	$1,001 - $15,000
150	PTNQ - Pacer Trendpilot 100 ETF		Purchase	11/30/2021	$1,001 - $15,000
151	SPGP - Invesco S&P 500 GARP ETF		Purchase	11/30/2021	$1,001 - $15,000
152	QQQ - Invesco QQQ ETF		Purchase	11/30/2021	$1,001 - $15,000
153	IWM - iShares Russell 2000 ETF	See Endnote	Purchase	11/30/2021	
154	RDVY - First Trust Rising Dividend ETF		Purchase	11/30/2021	$1,001 - $15,000
155	IEI - iShares 3-7 Year Treasury Bond ETF		Sale	11/30/2021	$1,001 - $15,000
156	SHY - iShares 1-3 Year Treasury Bond ETF		Sale	11/30/2021	$1,001 - $15,000
157	AGG - iShares Core US Agg Bond ETF		Sale	11/30/2021	$1,001 - $15,000
158	SPYV - SPDR S&P 500 Value ETF		Purchase	11/26/2021	$1,001 - $15,000
159	SPYG - SPDR S&P 500 Growth ETF		Purchase	11/26/2021	$1,001 - $15,000
160	PTNQ - Pacer Trendpilot 100 ETF		Purchase	11/26/2021	$1,001 - $15,000
161	SPGP - Invesco S&P 500 GARP ETF	See Endnote	Purchase	11/26/2021	
162	RDVY - First Trust Rising Dividend ETF	See Endnote	Purchase	11/26/2021	
163	SHY - iShares 1-3 Year Treasury Bond ETF		Sale	11/26/2021	$1,001 - $15,000
164	CFO - Victory Shares US 500 Enhanced Vol ETF		Purchase	12/03/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
165	SPYV - SPDR S&P 500 Value ETF	Purchase	12/03/2021	$1,001 - $15,000
166	PTLC - Pacer Trendpilot US Large Cap ETF	Purchase	11/30/2021	$1,001 - $15,000
167	SPYG - SPDR S&P 500 Growth ETF	Purchase	12/03/2021	$1,001 - $15,000
168	PTNQ - Pacer Trendpilot 100 ETF	Purchase	12/03/2021	$1,001 - $15,000
169	RDVY - First Trust Rising Dividend ETF	Purchase	12/03/2021	$1,001 - $15,000
170	MINT - PIMCO Enhanced Short Mat ETF	Sale	12/03/2021	$1,001 - $15,000
171	SHY - iShares 1-3 Year Treasury Bond ETF	Sale	12/03/2021	$1,001 - $15,000
172	MDT - Medtronic PLC	Purchase	12/03/2021	$1,001 - $15,000
173	MSFT - Microsoft	Purchase	12/03/2021	$1,001 - $15,000
174	CDNS - Cadence Design System	Purchase	12/03/2021	$1,001 - $15,000
175	GOOG - Alphabet Inc	Purchase	12/03/2021	$1,001 - $15,000
176	CMCSA - Comcast	Purchase	12/03/2021	$1,001 - $15,000
177	AAPL - Apple	Purchase	12/03/2021	$1,001 - $15,000
178	ADBE - Adobe Inc	Purchase	12/03/2021	$1,001 - $15,000
179	WMT - Walmart	Purchase	12/03/2021	$1,001 - $15,000
180	UNH - United Health Group	Purchase	12/03/2021	$1,001 - $15,000
181	V - Visa	Purchase	12/03/2021	$1,001 - $15,000
182	GLD - SPDR Gold ETF	Purchase	12/03/2021	$1,001 - $15,000
183	SPGI - S&P Global Inc	Purchase	12/03/2021	$1,001 - $15,000
184	ORLY - Oreilly Automotive	Purchase	12/03/2021	$1,001 - $15,000
185	MA - Mastercard	Purchase	12/03/2021	$1,001 - $15,000
186	LRCX - Lam Research Corp	Purchase	12/03/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
187	AAPL - Apple	Purchase	12/03/2021	$1,001 - $15,000
188	BSV - Vanguard Short Term Bond ETF	Sale	12/03/2021	$15,001 - $50,000
189	CMCSA - Comcast	Purchase	12/03/2021	$1,001 - $15,000
190	TSCO - Tractor Supply Company	Purchase	12/20/2021	$1,001 - $15,000
191	HON - Honeywell	Purchase	12/20/2021	$1,001 - $15,000
192	GOOG - Alphabet Inc	Purchase	12/20/2021	$1,001 - $15,000
193	COST - Costco	Purchase	12/20/2021	$1,001 - $15,000
194	SHY - iShares 1-3 Year Treasury Bond ETF	Sale	12/20/2021	$1,001 - $15,000
195	AMAT - Applied Materials	Purchase	12/20/2021	$1,001 - $15,000
196	WMT - Walmart	Purchase	12/20/2021	$1,001 - $15,000
197	NEE - Nextera Energy	Purchase	12/20/2021	$1,001 - $15,000
198	TMO - Thermo Fisher Scientific	Purchase	12/20/2021	$1,001 - $15,000
199	DHR - Danaher	Purchase	12/20/2021	$1,001 - $15,000
200	COST - Costco	Purchase	12/20/2021	$1,001 - $15,000
201	MINT - PIMCO Enhanced Short Mat ETF	Sale	12/20/2021	$1,001 - $15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
7.	83	Under $1,000
7.	91	Under $1,000
7.	101	Under $1,000
7.	121	Under $1,000
7.	126	Under $1,000
7.	127	Under $1,000
7.	133	Under $1,000
7.	134	Under $1,000
7.	137	Under $1,000
7.	147	Under $1,000
7.	153	Under $1,000
7.	161	Under $1,000
7.	162	Under $1,000

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).