

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

Filer's Information

Althen, William I.

Commissioner, Federal Mine Safety and Health Review Commission

Report Year: 2023

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/ Althen, William I. [electronically signed on 03/23/2023 by Althen, William 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/ Mukherjee, Dhruva, Certifying Official [electronically signed on 04/13/2023 by Mukherjee, Dhruva in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 04/19/2023 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

None

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	CCT Thematic Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1	BlackRock Liquidity Funds FedFund-Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Baird Intermediate Bond Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	Vanguard Short-Term Investment-Grade Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Capital One Savings	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
3	Penn. Tpk. 5%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4	INDIANA ST FIN AUTH 5.00%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5	GARFIELD CNTY OKLA 5.00% 09/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6	GREAT LAKES WTR AUTH 5.00% 07/01/36	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7	STAFFORD CNTY VA 5.00% 06/15/34	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8	NORTH TEX TWY 5.00% 01/01/30	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
9	ILLINOIS FIN AUTH 5.00% 10/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
10	INDIANA ST FIN AUTH 5.00% 03/01/36	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11	WPPI ENERGY WIS PWR 5.00% 07/01/34	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
12	FREDERICKSBURG VA 5.00% 06/15/30	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13	TEXAS ST TRANSPRTN 5.000% 8/15/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
14	NEW JERSEY ST COVID 4.00% 06/01/33	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	MONTGOMERY CNTY MD VAR 01/01/49	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
16	HAMILTON CNTY OHIO 5.00% 12/01/35	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
17	NEW YORK ST DORM 5.00% 07/01/33	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
18	NEW JERSEY ST TRANSN 5.00% 06/15/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19	PHOENIX ARIZ CIVIC IMPT 5.00% 07/01/33	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
20	GEORGETOWN TEX INDPT 5.00% 08/15/35	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
21	TRUCKEE MEADOWS NEV 5.00% 07/01/33	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
22	LONE STAR COLLEGE SYS 5.00% 02/15/30	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
23	WISCONSIN ST HEALTH 5.00% 11/15/36	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
24	MICHIGAN FIN AUTH 5.00% 07/01/35	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
25	EAST PIERCE FIRE 5.00% 12/01/2037	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
26	AMERICAN MUN PWR OHIO IN 5.00% 02/15/37	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
27	CCT THEMATIC EQUITY FUND	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
28	BLACKROCK LIQ FDS FEDFUND-IN	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Federal Thrift Savings Program	See Endnote	Yes	\$1,000,001 - \$5,000,000	\$5,001 - \$15,000
3	U.S Brokerage Accounts				
3.1	MARYLAND ST HLTH & VAR 07/01/41	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
3.2	ILLINOIS ST TOLL HWY 5.00% 01/01/33	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
3.3	HAMILTON CNTY OHIO 5.00% 12/01/35	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.4	FREDERICKSBURG VA 5.00% 06/15/30	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.5	VIRGINIA SMALL BUSINESS 4.00% 11/01/36	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.6	MARYLAND ST TRANSN AUTH 4.00% 07/01/39	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.7	FLORIDA ST BRD ED PUB 4.000% 06/01/2028	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.8	CALIFORNIA ST 5.000% 10/01/29	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.9	BLACK BELT AL V-A 4.000% 12/01/2048	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.10	FORSYTH MONT POLLUTION 3.9% 03/01/2031	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	SPRINGFIELD MO SCH DIST 5.00% 03/01/37	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.12	VIRGINIA ST PUB BLDG 4.00% 08/01/35	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.13	PENNSYLVANIA ST TPK 4.50% 12/01/34	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.14	PENNSYLVANIA ST GO BDS 3.00% 05/01/36	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.15	YONKERS NY ECONOMIC 4.5% 05/01/25	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.16	MICHIGAN FIN AUTH 5.00% 07/01/35	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3.17	INDIANA ST FIN AUTH 3.125% 12/01/24	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.18	CARMEL IN LOCAL PUB 5.000% 7/15/29	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.19	NEBRASKA PUB PWR DIST 5.00% 01/01/34	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.20	HONOLULU HAWAII CITY 5.00% 10/01/36	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.21	CHESAPEAKE BAY VA 5.500% 7/01/25	No	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
3.22	LANCASTER CNTY PA 4.000% 8/15/25	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.23	VIRGINIA ST PUBLIC BLDG 4.00% 08/01/2025	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.24	NEW YORK NY GO BDS VAR 08/01/2044	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.25	MINNEAPOLIS MINN HEALTH VAR 11/15/2048	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
3.26	CLARK CNTY NEV ARPT REV 07/01/29	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
3.27	FREDERICKSBURG VA 4.000% 6/15/28	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
3.28	VIRGINIA ST PUB BLDG AUTH 4.00% 08/01/35	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.29	S&P 500 DR (SPDRS)	No	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
3.30	CCT THEMATIC EQUITY FUND	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.31	APPLE INC COM	No	\$50,001 - \$100,000	Capital Gains Dividends	\$201 - \$1,000
3.32	MICROSOFT CORP COM	No	\$50,001 - \$100,000	Capital Gains Dividends	\$201 - \$1,000
3.33	IMPINJ INC COM	No	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
3.34	VANGUARD DIVIDEND GROWTH FUND INV	No	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
3.35	NVIDIA CORP	No	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
3.36	ALPHABET INC CL A	No	\$50,001 - \$100,000	Capital Gains	None (or less than \$201)
3.37	VISA INC COM CL A	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.38	DANAHER CORPORATION COM	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.39	AMAZON.COM INC	No	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
3.40	DAIFUKU CO LTD	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.41	NIKE INC CL B COM	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.42	UNILEVER PLC SPON ADR NEW	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.43	NOVARTIS AG SPON ADR	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.44	TERRENO REALTY CORP	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.45	GOLDMAN SACHS GROUP INC COM	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.46	CME GROUP INC	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.47	PEPSICO INC COM	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.48	ECOLAB INC COM	No	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
3.49	DISNEY WALT CO COM	No	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
3.50	ILLUMINA INC COM	No	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
3.51	CITIGROUP INC	No	\$1,001 - \$15,000	Capital Gains Interest	\$201 - \$1,000
3.52	ALCON INC ORD SHS	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.53	BLACKROCK LIQ FDS FEDFUND-IN	No	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	CyrusOne REIT	Purchase	7/10/17	\$1,001 - \$15,000
2	Equifax, Inc. 2.3%	Purchase	11/8/2017	\$15,001 - \$50,000
3	Andarko Petroleum	Purchase	11//17/2017	\$1,001 - \$15,000
4	Andarko Petroleum	Purchase	11/21/2017	\$1,001 - \$15,000
5	Range Resources Corp	Sale	11/29/2017	\$1,001 - \$15,000
6	Anheuser Busch 3/3%	Purchase	02/11/2019	\$15,001 - \$50,000
7	Modesto Calif. 1.5%	Sale	02/15/2019	\$15,001 - \$50,000
8	Minneapolis Mn. Health Var.	Purchase	02/15/2019	\$15,001 - \$50,000
9	Springfield Mo. School Dist. Education Bond	Purchase	02/17/2022	\$50,001 - \$100,000
10	North Texas Twy Authority Transportation Bond	Purchase	01/21/2022	\$50,001 - \$100,000
11	VIRGINIA ST CMWLTH 5.000% 9/15/27	Sale	03/15/2022	\$50,001 - \$100,000
12	NEW YORK ST DORM 5.000% 3/15/27	Sale	04/11/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
13	Tobacco Settlement	Sale	06/01/2022	\$50,001 - \$100,000
14	Halifax Florida Hospital 5%	Sale	06/01/2022	\$15,001 - \$50,000
15	Salt River Project 5%	Sale	06/01/2022	\$50,001 - \$100,000
16	Pa. State 5%	Sale	06/01/2022	\$1,001 - \$15,000
17	Va. State 5%	Sale	05/15/2022	\$15,001 - \$50,000
18	North Texas State	Sale	05/13/2022	\$50,001 - \$100,000
19	Pa. State 3%	Purchase	05/13/2022	\$50,001 - \$100,000
20	Yonkers N.Y. 4.5 %	Sale	05/02/2022	\$1,001 - \$15,000
21	General Mills	Purchase	06/07/2017	\$1,001 - \$15,000
22	Impinj	Purchase	06/15/2017	\$1,001 - \$15,000
23	Amazon	Sale	06/01/2017	\$1,001 - \$15,000
24	Unilever	Sale	06/01/2017	\$1,001 - \$15,000
25	NVIDA	Sale	06/15/2017	\$1,001 - \$15,000
26	Indiana St. 3.125%	Purchase	06/05/2017	\$50,001 - \$100,000
27	Range Resources Corp.	Sale	06/19/2017	\$1,001 - \$15,000
28	Blackrock Liq.Fds	Sale	08/02/17	\$15,001 - \$50,000
29	Blackrocl Liq. Fds.	Purchase	8/1/17	\$1,001 - \$15,000
30	Blackrock Liq. Fds.	Purchase	8/1/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	TJX	Sale	7/25/17	\$1,001 - \$15,000
32	Blackrock Liq. Fds.	Purchase	7/10/17	\$1,001 - \$15,000
33	Blackrock Liq. Fds.	Sale	7/5/17	\$1,001 - \$15,000
34	Blackrock Liq. Fds.	Sale	08/2/17	\$1,001 - \$15,000
35	United Airlines	Purchase	8/2/17	\$1,001 - \$15,000
36	Blackrock Liq. Fds.	Purchase	8/1/17	\$1,001 - \$15,000
37	Blackrock Liq. Fds.	Purchase	7/28/17	\$1,001 - \$15,000
38	General Mills	Sale	7/28/17	\$1,001 - \$15,000
39	Blackrock Liq. Fds.	Sale	7/24/17	\$1,001 - \$15,000
40	Terreno Realty Corp REIT	Purchase	7/24/17	\$1,001 - \$15,000
41	Blackrock Liq. Fds.	Purchase	7/21/17	\$1,001 - \$15,000
42	TJX	Sale	7/21/17	\$1,001 - \$15,000
43	Verizon Communications Inc	Purchase	7/20/17	\$1,001 - \$15,000
44	Target Corp	Sale	7/10/17	\$1,001 - \$15,000
45	Regeneron Pharma.	Purchase	7/17/17	\$1,001 - \$15,000
46	American Int'l Group	Sale	7/7/17	\$1,001 - \$15,000
47	Ing Groep NV	Purchase	7/7/17	\$1,001 - \$15,000
48	Blackrock Liq. Fds.	Sale	7/7/17	\$1,001 - \$15,000
49	Foundation Medicine	Sale	7/6/17	\$1,001 - \$15,000
50	Regeneron Pharma.	Purchase	7/6/17	\$1,001 - \$15,000
51	Blackrock Liq. Fds.	Purchase	7/5/17	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	MSD of Lawrence In	Sale	7/5/17	\$15,001 - \$50,000
53	Blackrock Liq. Funds	Sale	7/6/17	\$1,001 - \$15,000
54	MONTGOMERY CNTY PA 4.000% 10/01/25	Sale	10/03/2022	\$15,001 - \$50,000
55	MICHIGAN FIN AUTH 5.00% 07/01/35	Purchase	09/30/2022	\$50,001 - \$100,000
56	HAMILTON CNTY OHIO 5.00% 12/01/35	Purchase	08/25/2022	\$50,001 - \$100,000
57	MARYLAND ST HLTH & VAR 07/01/41	Purchase	07/29/2022	\$100,001 - \$250,000
58	ILLINOIS ST TOLL HWY 5.00% 01/01/33	Purchase	07/29/2022	\$100,001 - \$250,000
59	MICHIGAN FIN AUTH 5.00% 07/01/35	Purchase	09/29/2022	\$15,001 - \$50,000
60	TEXAS ST TRANSPRTN 5.000% 8/15/31	Purchase	09/29/2022	\$15,001 - \$50,000
61	WPPI ENERGY WIS PWR 5.00% 07/01/34	Purchase	09/28/2022	\$15,001 - \$50,000
62	PENNSYLVANIA ST TPK 5.25% 12/01/39	Purchase	09/27/2022	\$15,001 - \$50,000
63	STAFFORD CNTY VA 5.00% 06/15/34	Purchase	09/22/2022	\$15,001 - \$50,000
64	NORTH TEX TWY 5.00% 01/01/30	Purchase	09/21/2022	\$15,001 - \$50,000
65	WISCONSIN ST HEALTH 5.00% 11/15/36	Purchase	09/21/2022	\$15,001 - \$50,000
66	NEW YORK ST DORM 5.00% 07/01/33	Purchase	09/19/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
67	GEORGETOWN TEX INDPT 5.00% 08/15/35	Purchase	09/09/2022	\$15,001 - \$50,000
68	INDIANA ST FIN AUTH 5.00% 03/01/36	Purchase	09/06/2022	\$15,001 - \$50,000
69	CCT THEMATIC EQUITY FUND	Purchase	09/01/2022	\$15,001 - \$50,000
70	HAMILTON CNTY OHIO 5.00% 12/01/35	Purchase	08/25/2022	\$15,001 - \$50,000
71	INDIANA ST FIN AUTH 5.00% 10/01/34	Purchase	08/24/2022	\$15,001 - \$50,000
72	GREAT LAKES WTR AUTH 5.00% 07/01/36	Purchase	08/24/2022	\$15,001 - \$50,000
73	GREAT LAKES WTR AUTH 5.00% 07/01/36	Purchase	08/24/2022	\$15,001 - \$50,000
74	Prince William VA. 4%	Sale	11/01/2022	\$15,001 - \$50,000
75	DANAHER CORPORATION COM	Sale	10/28/2022	\$15,001 - \$50,000
76	TELEDYNE TECHNOLOGIES INC	Sale	10/28/2022	\$15,001 - \$50,000
77	APPLE INC COM	Sale	10/28/2022	\$15,001 - \$50,000
78	CITIGROUP INC	Sale	10/28/2022	\$1,001 - \$15,000
79	JUST EAT TAKEAWAY	Sale	10/28/2022	\$1,001 - \$15,000
80	FREDERICKSBURG VA 5%	Purchase	10/20/2022	\$50,001 - \$100,000
81	FANUC LTD	Purchase	10/31/2022	\$1,001 - \$15,000
82	CCT THEMATIC EQUITY FUND	Purchase	10/28/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
83	MICROSOFT CORP COM	Sale	10/28/2022	\$15,001 - \$50,000
84	PENNSYLVANIA ST TPK 4.50% 12/01/34	Purchase	10/11/2022	\$50,001 - \$100,000
85	MONTGOMERY CNTY PA 4.000% 10/01/25	Sale	10/03/2022	\$15,001 - \$50,000
86	MICHIGAN FIN AUTH 5.00% 07/01/35	Purchase	09/30/2022	\$50,001 - \$100,000
87	CCT THEMATIC EQUITY FUND	Purchase	11/01/2022	\$15,001 - \$50,000
88	FREDERICKSBURG VA 5.00% 06/15/30	Purchase	10/20/2022	\$15,001 - \$50,000
89	MICHIGAN FIN AUTH 5.00% 07/01/35	Sale	09/30/2022	\$15,001 - \$50,000
90	WPPI ENERGY WIS PWR 5.00% 07/01/34	Purchase	09/28/2022	\$15,001 - \$50,000
91	WPPI ENERGY WIS PWR 5.00% 07/01/34	Purchase	09/28/2022	\$15,001 - \$50,000
92	PENNSYLVANIA ST TPK 5.25% 12/01/39	Purchase	09/27/2022	\$15,001 - \$50,000
93	ILLINOIS FIN AUTH 5.00% 10/01/31	Purchase	09/22/2022	\$15,001 - \$50,000
94	NORTH TEX TWY 5.00% 01/01/30	Purchase	09/21/2022	\$15,001 - \$50,000
95	WISCONSIN ST HEALTH 5.00% 11/15/36	Purchase	09/21/2022	\$15,001 - \$50,000
96	LONE STAR COLLEGE SYS 5.00% 02/15/30	Purchase	09/20/2022	\$15,001 - \$50,000
97	NEW YORK ST DORM 5.00% 07/01/33	Purchase	09/20/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
98	GEORGETOWN TEX INDPT 5.00% 08/15/35	Purchase	09/09/2022	\$15,001 - \$50,000
99	INDIANA ST FIN AUTH 5.00% 03/01/36	Purchase	09/06/2022	\$15,001 - \$50,000
100	CCT THEMATIC EQUITY FUND	Purchase	09/01/2022	\$15,001 - \$50,000
101	HAMILTON CNTY OHIO 5.00% 12/01/35	Purchase	08/25/2022	\$15,001 - \$50,000
102	GREAT LAKES WTR AUTH 5.00% 07/01/36	Purchase	08/25/2022	\$15,001 - \$50,000
103	PHOENIX ARIZ CIVIC IMPT 5.00% 07/01/33	Purchase	08/23/2022	\$15,001 - \$50,000
104	NEW JERSEY ST COVID 4.00% 06/01/33	Purchase	08/19/2022	\$15,001 - \$50,000
105	BRAZOSPORT TEX INDPT 5.00% 02/15/33	Purchase	08/19/2022	\$15,001 - \$50,000
106	TRUCKEE MEADOWS NEV 5.00% 07/01/33	Purchase	08/18/2022	\$15,001 - \$50,000
107	NEW JERSEY ST TRANSN 5.00% 06/15/	Purchase	08/17/2022	\$15,001 - \$50,000
108	GARFIELD CNTY OKLA 5.00% 09/01/31	Purchase	08/16/2022	\$15,001 - \$50,000
109	MONTGOMERY CNTY MD VAR 01/01/49	Purchase	08/09/2022	\$15,001 - \$50,000
110	PENNSYLVANIA ST TPK 5.00% 12/01/36PENNSYLVANIA ST TPK 5.00% 12/01/36	Purchase	08/04/2022	\$15,001 - \$50,000
111	FHLB 2.74%	Purchase	11/6/2017	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
112	Univ. of N. Fl. full call	Sale	11/1/2017	\$15,001 - \$50,000
113	Impinj Inc.	Sale	11/15/2017	\$1,001 - \$15,000
114	Impinj Inc.	Sale	11/16/2016	\$1,001 - \$15,000
115	AEP	Sale	11/29/2107	\$15,001 - \$50,000
116	Henry Schein, Inc. - Common Stock	Sale	11/29/2017	\$1,001 - \$15,000
117	CVS	Sale	11/29/2017	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	2	In 2021, I rolled over a SEP-IRA into the TSP

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).
