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

Filer's Information

Lehner, Matthew D

Assistant Administrator for Communications, Federal Aviation Administration - Department of Transportation

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/ Matthew Lehner [electronically signed by Matthew Lehner on 2022-05-15 07:35:39 in FDonline]

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/ Jeffrey Harper, Reviewer [electronically signed by Jeffrey Harper on 2022-06-08 13:20:30 in FDonline]

Other review conducted by:

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	ORG TYPE	POSITION	FROM	TO
1	Top Hat Strategies LLC (Dormant)	Chicago, IL, US	Public Affairs Firm	Owner	08/01/2018	Present

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(Stock) NA Uptake Technologies	N/A	$1,001 - $15,000		None (or less than $201)
2	(Trade or Business) Top Hat Strategies LLC Public affairs consulting	N/A	$1,001 - $15,000		None (or less than $201)
3	(ETF) ISHARES TR ESG AWR MSCI USA ESGU	Yes	$15,001 - $50,000		None (or less than $201)
4	(ETF) ISHARES TR U.S. MED DVC ETF IHI	Yes	$1,001 - $15,000		None (or less than $201)
5	Uptake Technologies (401k) Principal	N/A			
5.1	(Other) Principal Fixed Income Guarantee Option	Yes	$1,001 - $15,000		None (or less than $201)
5.2	(Mutual Fund) BRHYX-BlackRock High Yield Bond K	Yes	None (or less than $1,001)		None (or less than $201)
5.3	(Mutual Fund) PIMIX-PIMCO Income Institutional Fund	Yes	None (or less than $1,001)		None (or less than $201)
5.4	(Mutual Fund) WAPSX-Western Asset Core Plus Bond IS Fund	Yes	$1,001 - $15,000		None (or less than $201)
5.5	(Mutual Fund) DFLVX-DFA US Large Cap Value I Fund	Yes	$1,001 - $15,000		None (or less than $201)
5.6	(Mutual Fund) FXAIX-Fidelity 500 Index Fund	Yes	$1,001 - $15,000		None (or less than $201)
					None (or less

5.7	(Mutual Fund) MLRRX-Large Cap Growth R1 Fund	Yes	$1,001 - $15,000	than $201)
5.8	(Mutual Fund) AMDVX-American Century Mid-Cap Value R6 Fund	Yes	$1,001 - $15,000	None (or less than $201)
5.9	(Mutual Fund) HRAUX-Carillon Eagle Mid Cap Growth R6 Fund	Yes	None (or less than $1,001)	None (or less than $201)
5.10	(Mutual Fund) FSMDX-Fidelity Mid Cap Index Fund	Yes	$1,001 - $15,000	None (or less than $201)
5.11	(Mutual Fund) FSSNX-Fidelity Small Cap Index Fund	Yes	$1,001 - $15,000	None (or less than $201)
5.12	(Mutual Fund) JDSNX-Janus Henderson Small Cap Value N Fund	Yes	$1,001 - $15,000	None (or less than $201)
5.13	(Mutual Fund) JVTNX-Janus Henderson Venture N Fund	Yes	None (or less than $1,001)	None (or less than $201)
5.14	(Mutual Fund) FSPSX-Fidelity International Index Fund	Yes	$1,001 - $15,000	None (or less than $201)
5.15	(Mutual Fund) JEMWX-JP Morgan Emerging Markets Equity R6 Fund	Yes	$1,001 - $15,000	None (or less than $201)
6	Top Hat Strategies LLC (401k) Fidelity	N/A		
6.1	(Mutual Fund) FDRXX-Fidelity Government Cash Reserves	Yes	$1,001 - $15,000	None (or less than $201)
6.2	(ETF) EFG-iShares TR EAFE Growth ETF	Yes	$1,001 - $15,000	None (or less than $201)
6.3	(ETF) EFV-iShares TR EAFE Value ETF	Yes	$1,001 - $15,000	None (or less than $201)
6.4	(ETF) ESGE-iShares Inc ESG AWR MSCI EM	Yes	$1,001 - $15,000	None (or less than $201)
6.5	(ETF) ESGU-iShares TR ESG AWR MSCI USA	Yes	$15,001 - $50,000	None (or less than $201)
6.6	(ETF) GOVT-iShares TR US TRES BD ETF	Yes	$1,001 - $15,000	None (or less than $201)
6.7	(ETF) IHI-iShares TR US MED DVC ETF	Yes	$1,001 - $15,000	None (or less than $201)
6.8	(ETF) IJR-iShares Core S&P SMALL-CAP E	Yes	$1,001 - $15,000	None (or less than $201)

6.9	(ETF) IUSB-iShares TR CORE TOTAL USD	Yes	$1,001 - $15,000		None (or less than $201)
6.10	(ETF) IVV-iShares S&P 500	Yes	$15,001 - $50,000		None (or less than $201)
6.11	(ETF) IXN-iShare S&P Global Technology Sector Index Fund	Yes	$1,001 - $15,000		None (or less than $201)
6.12	(ETF) IYE-iShare Dow Jones US Energy Sector Fund	Yes	$1,001 - $15,000		None (or less than $201)
6.13	(ETF) MTUM-iShares TR MSCI USA MMENTM	Yes	$1,001 - $15,000		None (or less than $201)
6.14	(ETF) VLUE-iShares TR MSCI USA Value	Yes	$1,001 - $15,000		None (or less than $201)
7	(Self EI) Top Hat Strategies LLC Salary, profit sharing for 2020; Salary profit sharing for January - May 2021. Chicago, IL, US	N/A		Salary, Commission	$314,478.00

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR OTHER PARTY TO AGREEMENT /ARRANGEMENT	CITY, STATE	STATUS AND TERMS	DATE
1	Fidelity Investments	New York City, NY, US	401K established by former employer. Employer no longer contributes. Rolled over to TSP.	11 /2018
2	Principal Financial Group	Des Moines, IA, US	401k established by former employer. Employer no longer contributes. Rolled over to TSP.	07 /2017
3	Top Hat Strategies LLC, owner.	Chicago, IL, US	Top Hat Strategies LLC is dormant, will remain dormant and not take in any business.	05 /2021

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

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

5. Spouse's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(S) (Stock) GLW CORNING INC	N/A	None (or less than $1,001)	Dividends	None (or less than $201)
2	(S) (Stock) MTZ MASTEC INC COM USD0.10	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
3	(S) Rollover 401K (401k) Fidelity	No			
3.1	(Mutual Fund) FBCVX-FIDELITY BLUE CHIP VALUE	Yes	$1,001 - $15,000		None (or less than $201)
3.2	(Mutual Fund) FDEGX-FIDELITY GROWTH STRATEGIES FUND	Yes	$1,001 - $15,000		None (or less than $201)
3.3	(Mutual Fund) FFFHX-FIDELITY FREEDOM 2050	Yes	$50,001 - $100,000		None (or less than $201)
3.4	(Mutual Fund) FFIDX-FIDELITY FUND	Yes	None (or less than $1,001)		None (or less than $201)
3.5	(Mutual Fund) FGRTX-FIDELITY MEGA CAP STOCK FUND	Yes	None (or less than $1,001)		None (or less than $201)
3.6	(Mutual Fund) FIVFX-FIDELITY INTL CAP APPRECIATION FUND	Yes	None (or less than $1,001)		None (or less than $201)
3.7	(Mutual Fund) FMEIX-FIDELITY MID CAP ENHANCED INDEX FUND	Yes	$1,001 - $15,000		None (or less than $201)
3.8	(Mutual Fund) FNCMX-FIDELITY NASDAQ COMPOSITE INDEX	Yes	$1,001 - $15,000		None (or less than $201)
3.9	(Mutual Fund) FOSFX-FIDELITY OVERSEAS	Yes	None (or less than $1,001)		None (or less than $201)
3.10	(Mutual Fund) FSLCX-FIDELITY SMALL CAP STOCK	Yes	None (or less than $1,001)		None (or less than $201)
3.11	(Mutual Fund) FSMVX-FIDELITY MID CAP VALUE	Yes	$1,001 - $15,000		None (or less than $201)
3.12	(Mutual Fund) FTBFX-FIDELITY TOTAL BOND	Yes	$1,001 - $15,000		None (or less than $201)
3.13	(Mutual Fund) FVDFX-FIDELITY VALUE DISCOVERY	Yes	None (or less than $1,001)		None (or less than $201)
4	(S) Opportunity @ Work (401k) Brinker Capital Investments	N/A			
4.1	(ETF) IEMG-iShares Core MSCI Emerging Markets	Yes	None (or less than $1,001)		None (or less than $201)
4.2	(Mutual Fund) DEVDX-Driehaus Event Driven Fund	Yes	None (or less than $1,001)		None (or less than $201)
4.3	(Mutual Fund) DVSMX-Driehaus Small Cap Growth Fund	Yes	None (or less than $1,001)		None (or less than $201)
4.4	(ETF) IXUS-iShares Core MSCI Total International Stock ETF	Yes	$1,001 - $15,000		None (or less than $201)
4.5	(ETF) VTI-Vanguard Total Stock Market ETF	Yes	$1,001 - $15,000		None (or less than $201)

4.6	(Mutual Fund) WIIOX-Wasatch International Opportunities Fund	Yes	None (or less than $1,001)	None (or less than $201)
4.7	(ETF) AGG-iShares Core US Aggregate Bond ETF	Yes	None (or less than $1,001)	None (or less than $201)
4.8	(Mutual Fund) DELNX-Low Duration Emerging Markets Fund	Yes	None (or less than $1,001)	None (or less than $201)
4.9	(Mutual Fund) DBLTX-DoubleLine Total Return Bond I	Yes	None (or less than $1,001)	None (or less than $201)
4.10	(Mutual Fund) JSOSX-JPMorgan Strategic Income Opportunities	Yes	None (or less than $1,001)	None (or less than $201)
4.11	(Mutual Fund) PVCMX-Palm Valley Capital Fund Investor Class	Yes	None (or less than $1,001)	None (or less than $201)
4.12	(Mutual Fund) RSIIX-RiverPark Strategic Income Fund	Yes	None (or less than $1,001)	None (or less than $201)
4.13	(Mutual Fund) WIIOX-Wasatch International Opportunities FundÂ® Institutional	Yes	None (or less than $1,001)	None (or less than $201)
5	(S) Motorola (401k) Fidelity	N/A		
5.1	(Mutual Fund) SSDLX-State Street Target Retirement 2050 Fund Class K	Yes	$100,001 - $250,000	None (or less than $201)
6	(S) (Spouse EI) Motorola Chicago, IL, US	N/A		
7	(S) (Spouse EI) Opportunity @ Work Washington, DC, US	N/A		

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(J) (Stock) DIS Disney	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
2	(J) (Stock) NFLX Netflix	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
3	(J) (Stock) AAPL Apple	N/A	$15,001 - $50,000	Dividends	None (or less than $201)
4	(J) (Stock) NVDA NVIDIA	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
5	(J) (Stock) MSFT Microsoft	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
6	(Stock) PTON Peloton Interactive	N/A	None (or less than $1,001)	Dividends	None (or less than $201)
			None (or less than		None (or less than

7	(Stock) BRK.B Berkshire Hathaway	N/A	$1,001)	Dividends	$201)
8	(Stock) UNH UnitedHealth	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
9	(S) (Stock) CRM SALESFORCE INC COM	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
10	(S) (Stock) CRWD CROWDSTRIKE HLDGS INC CL A	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
11	(S) (Stock) DOCU DOCUSIGN INC COM	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
12	(J) (Stock) HD Home Depot	N/A	None (or less than $1,001)	Dividends, Capital Gains	None (or less than $201)
13	(S) (Stock) HERO GLOBAL X FDS VDEO GAM ESPRT	N/A	None (or less than $1,001)	Capital Gains	None (or less than $201)
14	(S) (Stock) HUBS HUBSPOT INC	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
15	(S) (Stock) MDB MONGODB INC CL A	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
16	(S) (Stock) MELI MERCADOLIBRE INC COM USD0.001	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
17	(S) (Stock) MLM MARTIN MARIETTA MATERIALS INC COM USD0.01	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
18	(S) (Stock) MU MICRON TECHNOLOGY INC	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
19	(S) (Stock) NKE NIKE INC CLASS B COM NPV	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
20	(S) (Stock) NYT NEW YORK TIMES CO	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
21	(S) (Stock) PLUG PLUG POWER INC	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
22	(J) (Stock) PYPL PAYPAL HLDGS INC COM	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
23	(S) (Stock) RBLX ROBLOX CORP CL A	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
					None (or less than

24	(S) (Stock) RH RH COM	N/A	$1,001 - $15,000	Dividends	$201)
25	(S) (Stock) SHOP SHOPIFY INC COM NPV CL A ISIN #CA82509L1076 SEDOL #BX865C7	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
26	(J) (Stock) SONO Sonos	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
27	(S) (Stock) TWTR Twitter	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
28	(S) (Stock) WCLD WISDOMTREE TR CLOUD COMPUTNG	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
29	(S) (Stock) WMT WALMART INC COM	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
30	(Cash Deposit/Savings) Discover Bank Riverwoods, IL, US Savings	N/A	$100,001 - $250,000	Interest	$201 - $1,000
31	(Cash Deposit/Savings) Discover Bank Riverwoods, IL, US CD	N/A	None (or less than $1,001)	Interest	None (or less than $201)
32	(Cash Deposit/Savings) US Bank Minneapolis, MN, US Checking account	N/A	$1,001 - $15,000		None (or less than $201)
33	(Cash Deposit/Savings) Chase Bank New York, NY, US Checking	N/A	$1,001 - $15,000		None (or less than $201)
34	(S) (Cash Deposit/Savings) Chase Bank New York, NY, US Checking	N/A	$1,001 - $15,000		None (or less than $201)
35	(S) (Cash Deposit/Savings) Chase Bank New York, NY, US Savings	N/A	$15,001 - $50,000		None (or less than $201)
36	(Mutual Fund) FDRXX FIDELITY GOVERNMENT CASH RESERVES	Yes	$1,001 - $15,000		None (or less than $201)
37	(WLI) Mass Mutual Whole Life Legacy 20 Pay	N/A	$250,001 - $500,000		None (or less than $201)
38	(ETF) Vanguard Utilities ETF	Yes	$1,001 - $15,000		None (or less than $201)
39	(ETF) Vanguard Information Technology ETF	Yes	$1,001 - $15,000		None (or less than $201)
40	(ETF) iShares S&P 500 Value ETF	Yes	$1,001 - $15,000		None (or less than $201)
41	(ETF) iShares Global Clean Energy ETF	Yes	$1,001 - $15,000		None (or less than $201)

42	(ETF) Guggenheim Solar ETF	Yes	$1,001 - $15,000	None (or less than $201)
43	(ETF) ISHARES CORE S&P SMALL-CAP E	Yes	$1,001 - $15,000	None (or less than $201)
44	(ETF) ISHARES INC ESG AWR MSCI EM	Yes	$1,001 - $15,000	None (or less than $201)
45	(ETF) ISHARES S&P GLOBAL TECHNOLOGY SECTOR IXN INDEX FUND	Yes	$1,001 - $15,000	$201 - $1,000
46	(ETF) ISHARES S&P 500	Yes	$50,001 - $100,000	$201 - $1,000
47	(ETF) ISHARES TR EAFE GRWTH ETF EFG	Yes	$1,001 - $15,000	$201 - $1,000
48	(ETF) ISHARES TR MSCI USA MIN VOL USMV	Yes	$1,001 - $15,000	None (or less than $201)
49	(ETF) ISHARES TR MSCI USA VALUE VLUE	Yes	$1,001 - $15,000	$201 - $1,000
50	(ETF) ISHARES TRUST CORE MSCI EAFE ETF IEFA	Yes	$1,001 - $15,000	None (or less than $201)
51	(ETF) ISHARES NATIONAL MUNI BOND ETF MUB	Yes	$1,001 - $15,000	$201 - $1,000
52	(ETF) ISHARES TR 20 YR TR BD ETF TLT	Yes	None (or less than $1,001)	None (or less than $201)
53	(ETF) ISHARES DOW JONES US ENERGY SECTOR FUND	Yes	$1,001 - $15,000	None (or less than $201)
54	(ETF) ISHARES TR EAFE VALUE ETF EFV	Yes	$1,001 - $15,000	None (or less than $201)
55	(ETF) ISHARES TR MSCI USA MMENTM MTUM	Yes	None (or less than $1,001)	None (or less than $201)
56	(S) (ETF) FINX - Global X FinTech ETF	Yes	$1,001 - $15,000	None (or less than $201)
57	(S) (ETF) ICLN - ISHARES TR GL CLEAN ENE ETF	Yes	$1,001 - $15,000	None (or less than $201)
58	(S) (ETF) ISHARES TRUST ROBOTICS AND ARTFCIAL INTELGNC MULTSCTR	Yes	$1,001 - $15,000	None (or less than $201)
59	(S) (ETF) ISHARES S&P 500	Yes	$1,001 - $15,000	None (or less than $201)
60	(S) (ETF) ISHARES S&P 500 GROWTH ETF	Yes	$1,001 - $15,000	None (or less than $201)

61	(S) (ETF) VANECK ETF TRUST SEMICONDUCTR ETF	Yes	$1,001 - $15,000	None (or less than $201)
62	(ETF) FDMO - Fidelity Momentum Factor ETF	Yes	$1,001 - $15,000	None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AMDVX - American Century Mid-Cap Value R6 Fund	sale	09/06/2021	$1,001 - $15,000
2	AMZN - Amazon	sale	09/10/2021	$15,001 - $50,000
3	BRHYX - BlackRock High Yield Bond K	sale	09/06/2021	$1,001 - $15,000
4	COMT - ISHARES US ETF TRUST GSCI	sale	06/18/2021	$1,001 - $15,000
5	DFLVX - DFA US Large Cap Value I Fund	sale	09/06/2021	$1,001 - $15,000
6	DIS - The Walt Disney Company	purchase	11/29/2021	$1,001 - $15,000
7	DOCU - DocuSign	purchase	09/10/2021	$1,001 - $15,000
8	EFG - ISHARES TR EAFE GRWTH ETF	sale	06/15/2021	$1,001 - $15,000
9	EFG - ISHARES TR EAFE GRWTH ETF	sale	06/18/2021	$1,001 - $15,000
10	EFG - ISHARES TR EAFE GRWTH ETF	sale	06/18/2021	$1,001 - $15,000
11	EFV - ISHARES TR EAFE VALUE ETF	sale	06/15/2021	$1,001 - $15,000
12	EFV - ISHARES TR EAFE VALUE ETF EXEC	sale	06/16/2021	$1,001 - $15,000
13	EFV - ISHARES TR EAFE VALUE ETF EXEC	sale	06/18/2021	$1,001 - $15,000
14	ESGE - ISHARES INC ESG AWR MSCI	sale	06/15/2021	$1,001 - $15,000
15	ESGE - ISHARES INC ESG AWR MSCI	sale	06/18/2021	$1,001 - $15,000
16	ESGE - ISHARES INC ESG AWR MSCI EM A	sale	06/18/2021	$1,001 - $15,000
17	ESGE - ISHARES TR ESG AWR MSCI	sale	06/15/2021	$15,001 - $50,000
18	ESGU - ISHARES TR ESG AWR MSCI USA	sale	06/18/2021	$15,001 - $50,000
19	ESGU - ISHARES TR ESG AWR MSCI USA	sale	06/18/2021	$1,001 - $15,000

20	FDMO - Fidelity Momentum Factor ETF	purchase	06/29/2021	$1,001 - $15,000
21	FINX - Global X FinTech ETF	purchase	09/10/2021	$1,001 - $15,000
22	FSMDX - Fidelity Mid Cap Index Fund	sale	09/06/2021	$1,001 - $15,000
23	FSPSX - Fidelity International Index Fund	sale	09/06/2021	$1,001 - $15,000
24	FSSNX - Fidelity Small Cap Index Fund	sale	09/06/2021	$1,001 - $15,000
25	FXAIX - Fidelity 500 Index Fund	sale	09/06/2021	$1,001 - $15,000
26	GOVT - ISHARES TR US TREAS BD ETF	sale	06/15/2021	$1,001 - $15,000
27	GOVT - ISHARES TR US TREAS BD ETF	sale	06/18/2021	$1,001 - $15,000
28	HD - Home Depot	purchase	09/06/2021	$1,001 - $15,000
29	HRAUX - Carillon Eagle Mid Cap Growth R6 Fund	sale	09/06/2021	$1,001 - $15,000
30	IBOXX - ISHARES IBOXX	sale	05/28/2021	$1,001 - $15,000
31	IEFA - ISHARES TRUST CORE MSCI EAFE ETF	sale	06/18/2021	$1,001 - $15,000
32	IGSB - ISHARES TR ISHS 1-5YR INVS	sale	06/18/2021	$1,001 - $15,000
33	IHI - ISHARES TR U.S. MED DVC ETF	sale	06/18/2021	$1,001 - $15,000
34	IJR - ISHARES CORE S&P SMALL-CAP	sale	06/15/2021	$1,001 - $15,000
35	IJR - ISHARES CORE S&P SMALL-CAP	sale	06/18/2021	$1,001 - $15,000
36	IJR - ISHARES CORE S&P SMALL-CAP E	sale	06/18/2021	$1,001 - $15,000
37	iShares Core S&P 500 ETF | IVV	purchase	06/01/2021	$15,001 - $50,000
38	ISHARES DOW JONES US ENERGY SECTOR FUND	purchase	05/28/2021	$1,001 - $15,000
39	ISHARES S&P GLOBAL FINANCIALS SECTOR INDEX FUND	purchase	05/28/2021	$1,001 - $15,000
40	ISHARES S&P GLOBAL TECHNOLOGY SECTOR	sale	05/28/2021	$1,001 - $15,000
41	ISHARES TR CORE TOTAL USD TRD	purchase	05/28/2021	$1,001 - $15,000
42	ISHARES TR EAFE VALUE ETF	purchase	05/28/2021	$1,001 - $15,000
43	ISHARES TR ESG AWR MSCI USA	sale	05/28/2021	$1,001 - $15,000
44	ISHARES TR US MED DVC ETF	sale	05/28/2021	$1,001 - $15,000
45	ISHARES TR US TREAS BD ETF	purchase	05/28/2021	$1,001 - $15,000
46	ISHARES US ETF TRUST GSCI	purchase	05/28/2021	$1,001 - $15,000

47	IUSB - ISHARES TR CORE TOTA	sale	06/15/2021	$1,001 - $15,000
48	IUSB - ISHARES TR CORE TOTAL	sale	06/18/2021	$1,001 - $15,000
49	IVV - iShares Core S&P 500 ETF	purchase	07/06/2021	$15,001 - $50,000
50	IVV - ISHARES S&P 500	sale	06/15/2021	$15,001 - $50,000
51	IVV - ISHARES S&P 500	sale	06/18/2021	$1,001 - $15,000
52	IVV - ISHARES S&P 500	purchase	06/29/2021	$1,001 - $15,000
53	IXG - ISHARES S&P GLOBAL FINANCIALS SECTOR INDEX FUND	sale	06/15/2021	$1,001 - $15,000
54	IXG - ISHARES S&P GLOBAL FINANCIALS SECTOR INDEX FUND	sale	06/18/2021	$1,001 - $15,000
55	IXN - ISHARES S&P GLOBAL TECHNOLOGY SECTOR INDEX FUND	sale	06/15/2021	$1,001 - $15,000
56	IXN - ISHARES S&P GLOBAL TECHNOLOGY SECTOR INDEX FUND	sale	06/18/2021	$1,001 - $15,000
57	IYE - ISHARES DOW JONES US ENERGY SECTOR FUND	sale	06/15/2021	$1,001 - $15,000
58	IYF - ISHARES US ETF TRUST	sale	06/15/2021	$1,001 - $15,000
59	JDSNX - Janus Henderson Small Cap Value N Fund	sale	09/06/2021	$1,001 - $15,000
60	JEMWX - JP Morgan Emerging Markets Equity R6 Fund	sale	09/06/2021	$1,001 - $15,000
61	JVTNX - Janus Henderson Venture N Fund	sale	09/06/2021	$1,001 - $15,000
62	LNVGY - Lenovo Group Limited	sale	09/13/2021	$1,001 - $15,000
63	MBB - ISHARES TR MBS ETF	sale	06/18/2021	$1,001 - $15,000
64	MDB - MongoDB	purchase	09/10/2021	$1,001 - $15,000
65	MELI - Mercadolibre Inc	purchase	11/29/2021	$1,001 - $15,000
66	MLM - Martin Marietta	purchase	09/10/2021	$1,001 - $15,000
67	MLRRX - Large Cap Growth R1 Fund	sale	09/06/2021	$1,001 - $15,000
68	MTUM - ISHARES TR MSCI USA MMENTM	sale	06/15/2021	$1,001 - $15,000
69	MUB - ISHARES NATIONAL MUNI BOND ETF	sale	06/18/2021	$1,001 - $15,000
70	NVDA - NVIDIA	purchase	09/10/2021	$1,001 - $15,000
71	NVDA - NVIDIA Corporation	sale	11/04/2021	$1,001 - $15,000
72	PIMIX - PIMCO Income Institutional Fund	sale	09/06/2021	$1,001 - $15,000
73	Principal Fixed Income Guarantee Option	sale	09/06/2021	$1,001 - $15,000

74	SCHA - Schwab small-cap ETF	purchase	09/10/2021	$1,001 - $15,000
75	SMH - Vaneck Semiconductor ETF	purchase	09/10/2021	$1,001 - $15,000
76	SUB - ISHARES SHORT-TERM NATIONAL MUNI BOND ETF	sale	06/18/2021	$1,001 - $15,000
77	TDOC - Teledoc	purchase	11/29/2021	$1,001 - $15,000
78	TSLA - TESLA INC	sale	11/04/2021	$1,001 - $15,000
79	USMV - ISHARES TR MSCI USA MIN VOL	sale	06/18/2021	$1,001 - $15,000
80	VLUE - ISHARES TR MSCI USA VALUE	sale	06/15/2021	$1,001 - $15,000
81	VLUE - ISHARES TR MSCI USA VALUE	sale	06/18/2021	$1,001 - $15,000
82	VLUE - ISHARES TR MSCI USA VALUE	sale	06/18/2021	$1,001 - $15,000
83	VOO - Vanguard 500 Index Fund ETF	purchase	07/01/2021	$15,001 - $50,000
84	WAPSX - Western Asset Core Plus Bond IS Fund	sale	09/06/2021	$1,001 - $15,000

8. Liabilities

None

9. Gifts and Reimbursements

None

Endnotes

PART	#	ENDNOTE
2	2	Business remains dormant.
2	5	Rolled over to TSP.
2	6	Rolled over to TSP.
5	1	Married in 2021.
5	2	Married in 2021.
5	3	Married in 2021.
5	4	Married in 2021.
5	5.1	Spouse's former employer.
6	1	Acquired additional shares through marriage in 2021.
6	2	Acquired additional shares through marriage in 2021.
6	3	Acquired additional shares through marriage in 2021.
6	4	Acquired additional shares through marriage in 2021.
6	9	Acquired through marriage in 2021.
6	10	Married in 2021.
6	11	Married in 2021.
6	12	Acquired through marriage in 2021.
6	13	Married in 2021.
6	14	Married in 2021.
6	15	Married in 2021.
6	16	Married in 2021.
6	17	Married in 2021.
6	18	Married in 2021.
6	19	Married in 2021.
6	20	Married in 2021.

6	21	Married in 2021.
6	22	Acquired additional shares through marriage in 2021.
6	23	Married in 2021.
6	24	Married in 2021.
6	25	Married in 2021.
6	26	Acquired additional shares through marriage in 2021.
6	27	Married in 2021.
6	28	Married in 2021.
6	29	Married in 2021.
6	30	Savings account.
6	31	CD did not renew.
6	32	Checking account consolidated with other checking account.
6	34	Married in 2021.
6	35	Married in 2021.
6	56	Married in 2021.
6	57	Married in 2021.
6	58	Married in 2021.
6	59	Married in 2021.
6	60	Married in 2021.
6	61	Married in 2021.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses the following: Positions held by the filer at any time during the reporting period (excluding positions with the United States Government). Reportable positions include those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any for-profit or non-profit organization (whether compensated or uncompensated).

2. Filer's Employment Assets and Income

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 if the value of the asset at the end of the reporting period exceeded $1,000 or if 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, anticipated payments such as severance payments, 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 the following: Agreements or arrangements that the filer had during the reporting period for the following:

- Continuing participation in an employee welfare or benefit plan maintained by a former employer
- Leave of absence
- Future employment
- Continuation of payments by a former employer (e.g., severance payments)

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 and Income

Part 5 discloses the following:

- Source of earned income (excluding honoraria) for the filer's spouse over $1,000 during the reporting period.
- Sources of honoraria for the filer's spouse over $200 during the reporting period.

- Assets related to the 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, that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in investment income 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 of income was produced). 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 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

Part 9 discloses the following:

- 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. Â§ 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena;
4. to a source when necessary to obtain information relevant to a conflict of interest investigation or determination;
5. to the National Archives and Records Administration or the General Services Administration in records management inspections;
6. to the Office of Management and Budget during legislative coordination on private relief legislation;
7. to the Department of Justice or in certain legal proceedings when OGE, an employee of OGE, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation;
8. to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another;
9. to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record;
10. 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;
11. 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;
12. on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE;
13. 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;
14. 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;
15. 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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