

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Coffey, John

General Counsel, Department of the Navy, Department of Defense

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Armed Services
-

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/ Coffey, John [electronically signed on 06/10/2021 by Coffey, John 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/ Thompson, Scott F, Certifying Official [electronically signed on 08/16/2021 by Thompson, Scott F in Integrity.gov]

Other review conducted by

/s/ Sheehan, Devon Romig, Ethics Official [electronically signed on 08/11/2021 by Sheehan, Devon Romig in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 08/19/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Kramer Levin Naftalis & Frankel LLP		New York, New York	Law Firm	Partner	12/2013	Present
2	Common Cause New York		New York, New York	Non-Profit	Director	4/2011	Present
3	Holocaust & Human Rights Education Center		White Plains, New York	Non-Profit	Director	4/2011	Present
4	ThanksUSA		Washington, District of Columbia	Non-Profit	Director	6/2012	Present
5	Federal Bar Foundation		New York, New York	Non-Profit	President	11/2018	Present
6	USNA Class of 1978		Annapolis, Maryland	Non-Profit	Vice President	1/2003	Present
7	Georgetown University Law Center		Washington, District of Columbia	University/College	Member, Board of Visitors	9/2008	Present
8	Equal Justice Works		Washington, District of Columbia	Non-Profit	Counselor	7/2020	Present
9	BlackRobe Capital Partners	See Endnote	New York, New York	Corporation	Managing Member	3/2011	Present
10	Barryroe LLC	See Endnote	Bronxville, New York	Corporation	Managing Member	7/2012	Present
11	Federal Bar Council		New York, New York	Non-Profit	Member of Executive Committee	11/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kramer Levin Naftalis & Frankel LLP (law firm)	N/A		Partnership Share	\$4,080,201
2	Kramer Levin Naftalis & Frankel LLP (law firm)	N/A		Bonus	\$25,000
3	Kramer Levin Naftalis & Frankel LLP capital account	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
4	Kramer Levin Naftalis & Frankel LLP (law firm) anticipated partnership share	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
5	IRA	No			
5.1	Invesco AMT Municipal Fund CMFYX	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.2	Calamos Mkt Neutral Fund CMNIX	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.3	Columbia Total Return Bond Fund SRBFX	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.4	Columbia Mortgage Opportunity Fund CLMZX	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.5	Fidelity Adv Total Return Bond Fund FEPIX	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.6	iShares MSCI USA Min Volatility Factor ETF Fund USMV	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.7	iShares US Core US Aggregate Bond Fund AGG	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.8	iShares Medical Devices Fund IHI	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	iShares Expanded Tech Software IGV		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.10	INVESCO S&P 500 EQUAL WEIGHT ETF (RSP)		Yes	\$250,001 - \$500,000		None (or less than \$201)
5.11	INVESCO QQQ ETF (QQQ)		Yes	\$250,001 - \$500,000		None (or less than \$201)
5.12	Delta Airlines Inc		N/A	\$15,001 - \$50,000		None (or less than \$201)
5.13	Walt Disney Co DIS		N/A	\$15,001 - \$50,000		None (or less than \$201)
5.14	Jacobs Engineering Group J		N/A	\$50,001 - \$100,000		None (or less than \$201)
5.15	MERGER FUND INVESTOR CL (MERFX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.16	Microsoft Corp MSFT		N/A	\$15,001 - \$50,000		None (or less than \$201)
5.17	PIMCO Inc 12 Fund PONPX		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.18	VANGUARD DIVIDEND APPRECIATION ETF (VIG)		Yes	\$250,001 - \$500,000		None (or less than \$201)
5.19	VANGUARD INDUSTRIALS ETF (VIS)		Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Kramer Levin Naftalis & Frankel LLP Tax account	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
7	Kramer Levin, profit sharing defined contribution plan		No			
7.1	Kramer Levin Balanced Fund		Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	Vanguard Target Retirement 2020		Yes	\$50,001 - \$100,000		None (or less than \$201)
8	Kramer Levin 401k Plan		No			
8.1	Vanguard Target Retirement 2020		Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	Barryroe LLC (family investment LLC)	See Endnote	No			
9.1	BlackRobe Capital Partners LLC (non-operating litigation finance firm)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
9.1.1	Note receivable from Broadsheet LLC (investigative firm, in liquidation)	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.2	U.S. bank (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kramer Levin Naftalis & Frankel LLP	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive my final partnership share distribution before I assume the duties of General Counsel, less a reserve for the firm to make payments to the firm's 401(k), profit sharing plan, and cash balance pension plan (which will be calculated after the firms fiscal year ends on September 30, 2021). Any unused reserve will be paid to me no later than June 2022.	12/2013
2	Kramer Levin Naftalis & Frankel LLP (Capital Account)	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive a lump-sum payment of my capital account. This payment will be calculated as of the date of my withdrawal.	12/2013

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Kramer Levin Naftalis & Frankel LLP (401K)	New York, New York	I will continue to participate in this defined contribution plan. Other than a mandatory payment that must be contributed to this plan because I was an equity partner in 2021, the plan sponsor will not make further contributions after my separation. As noted in item 1 above, that contribution will be made with funds withheld from my final partnership distribution.	12/2013
4	Kramer Levin Naftalis & Frankel LLP (Profit Sharing Plan)	New York, New York	I will continue to participate in this defined contribution plan. Other than a mandatory payment that must be contributed to this plan because I was an equity partner in 2021, the plan sponsor will not make further contributions after my separation. As noted in item 1 above, that contribution will be made with funds withheld from my final partnership distribution.	12/2013
5	Kramer Levin Naftalis & Frankel LLP (Tax Account)	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive reimbursements of my decreasing share of this account over time, with the final refund paid no later than July 2023 if I withdraw from the partnership before October 1, 2021, or July 2024 if I remain at the firm after October 1, 2021.	12/2013
6	Sun Valley Summer Symphony	Sun Valley, Idaho	Agreement to serve on the Board of Directors starting in August 2021.	4/2021
7	Kramer Levin Naftalis & Frankel LLP (Cash Balance Pension Plan)	New York, New York	This plan currently has no value. Other than a mandatory payment that must be contributed to this plan because I was an equity partner in 2021, the firm will not make further contributions after my separation. As noted in item 1 above, that contribution will be calculated after the firm's fiscal year closes on September 30, 2021, and will be made with funds withheld from my final partnership distribution.	12/2013

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Kramer Levin Naftalis & Frankel LLP	New York, New York	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	American International Group (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
3	Louis Bacon (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services (as an expert witness)
4	BlackRock, Inc. (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
5	Unsecured Creditors Committee of Brazos Electric Cooperative, Inc. (the committee is a client of Kramer Levin Naftalis & Frankel)	Waco, Texas	Legal Services for the Committee of Unsecured Creditors
6	Burford Capital (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
7	Elite Nursing (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
8	Estate of John C. White (client of Kramer Levin Naftalis & Frankel)	Sagaponic, New York	Legal Services
9	ETF Managers Group (client of Kramer Levin Naftalis & Frankel)	Summit, New Jersey	Legal Services
10	Laurence Fink (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
11	First Cardinal LLC (client of Kramer Levin Naftalis & Frankel)	Albany, New York	Legal Services
12	HC2 Holdings (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
13	Crystal Lalime (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
14	Manchester Real Estate & Construction LLC (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
15	Marissa Mayer (client of Kramer Levin Naftalis & Frankel)	Menlo Park, California	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
16	MGT Capital Investments, Inc. (client of Kramer Levin Naftalis & Frankel)	Raleigh, North Carolina	Legal Services
17	Norddeutsche Landesbanke Girozentrate (client of Kramer Levin Naftalis & Frankel)	Hanover, Germany, Outside U.S.	Legal Services
18	Paul O'Brien (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
19	Larry H. Blum (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
20	Philip Turits (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
21	William Rubin (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
22	John Rosen (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
23	Ocwen Financial Corp. (client of Kramer Levin Naftalis & Frankel)	West Palm Beach, Florida	Legal Services
24	Special Litigation Committee of Oracle Corporation (the committee is a client of Kramer Levin Naftalis & Frankel)	Austin, Texas	Legal Services
25	Pershing Square Capital Management, LP (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
26	William Ackman (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
27	Brad Pitt (client of Kramer Levin Naftalis & Frankel)	Los Angeles, California	Legal Services
28	RCS Creditor Trust (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services
29	Stellex Capital Management LLC (client of Kramer Levin Naftalis & Frankel)	New York, New York	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
30	Howard Surloff (client of Kramer Levin Naftalis & Frankel)	Summit, New Jersey	Legal Services
31	Tim Tyson (client of Kramer Levin Naftalis & Frankel)	Stamford, Connecticut	Legal Services
32	Keith Lyon (client of Kramer Levin Naftalis & Frankel)	Stamford, Connecticut	Legal Services
33	James Scandura (client of Kramer Levin Naftalis & Frankel)	Raleigh, North Carolina	Legal Services
34	VEON, Ltd. (client of Kramer Levin Naftalis & Frankel)	Amsterdam, Netherlands, Outside U.S.	Legal Services
35	FCA US, LLC (client of Kramer Levin Naftalis & Frankel)	Detroit, Michigan	Legal Services

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	"This is Spinal Tap", Universal Studios (value not readily ascertainable), royalty payments	N/A			None (or less than \$201)
2	"Rockford Files", Universal Studios (value not readily ascertainable), royalty payments	N/A			None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage account #1 (current)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	CALAMOS MARKET NEUTRAL INCOME CL I (CMNIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.2	AMANA GROWTH INVESTOR CL (AMAGX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.3	CALAMOS MARKET NEUTRAL INCOME CL I (CMNIX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
1.4	CALVERT SHORT DURATION INCOME CL I (CDSIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.5	U.S. sweep account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.6	COLUMBIA MORTGAGE OPPTYS INSTL CL (CLMZX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.7	COLUMBIA TOTAL RETURN BOND INSTL CL (SRBFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.8	DELAWARE TAX FREE NEW YORK INSTL CL (DTNIX)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
1.9	FIDELITY ADVISOR TOTAL BOND CL I (FEPIX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.10	FIRST TRUST DOW JONES INTERNET INDEX ETF (FDN)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.11	ISHARES MSCI USA MIN VOLATILITY FACTOR ETF (USMV)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.12	ISHARES CORE U S AGGREGATE BOND ETF (AGG)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.13	ISHARES U S MEDICAL DEVICES ETF (IHI)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
1.14	ISHARES EXPANDED TECH SOFTWARE SECTOR ETF (IGV)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.15	INVESCO S&P 500 EQUAL WEIGHT ETF (RSP)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.16	INVESCO QQQ ETF (QQQ)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
1.17	IVY SCIENCE & TECHNOLOGY CL I (ISTIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.18	MATTHEWS ASIA CHINA INVESTOR CL (MCHFX) See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.19	MERGER FUND INVESTOR CL (MERFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.20	NUVEEN ALL AMERICAN MUN BOND CL I (FAARX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.21	PIMCO INCOME CL I2 (PONPX)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
1.22	PROSHARES TRUST S&P 500 DIV ARISTOCRATS ARISTOCRATS ETF (NOBL)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.23	SECTOR FINANCIAL SELECT SECTOR SPDR ETF (XLF)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.24	VANGUARD DIVIDEND APPRECIATION ETF (VIG)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.25	VANGUARD INDUSTRIALS ETF (VIS)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2	U.S. brokerage (cash) #1	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. brokerage (cash) #2	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	New York's 529 Advisor-Guided College Savings Program	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	JPM 529 NY US Gov Money Market	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Wisconsin's Tomorrow's Scholar Adv 529 Plan	No			
5.1	TIAA Prin Pro (VWWSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Brokerage Account	No			
6.1	U.S. brokerage (cash) #3	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2	COLUMBIA GOVT MONEY MARKET CL A (IDSXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
6.3	CORPORATE PROPERTY ASSOCIATES 18 GLOBAL CL Anon-traded REIT (income-generating commercial properties and real estate-related assets)	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
7	RiverSource RVS RAVA 4 ADVANT NQ (variable annuity)	No			
7.1	VP US FLEXIBLE CON GROWTH CL2 FUND	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
8	RiverSource RVS RAVA 4 ADVANT NQ 2 (variable annuity)	No			
8.1	VP US FLEXIBLE CON GROWTH CL2 FUND 2	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	RiverSource RVS RAVA 4 ADVANT NQ 3 (variable annuity)	No			
9.1	VP US FLEXIBLE CON GROWTH CL2 FUND 3	Yes	\$250,001 - \$500,000		None (or less than \$201)
10	RiverSource RVS RAVA 4 ADVANT NQ 4 (variable annuity)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1	VP US FLEXIBLE CON GROWTH CL2 FUND 4	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
11	RiverSource RVS RAVA 4 ADVANT NQ 5 (variable annuity)	No			
11.1	VP US FLEXIBLE CON GROWTH CL2 FUND 5	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
12	U.S. brokerage account # 2 (sold)	No			
12.1	SPDR Gold Tr ETF (GLD)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
12.2	Federated Hermas Corp Bond Fund (FDBIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
12.3	Franklin Convertible Securities Fund (FCSZX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
12.4	General Motors (CUSIP 37045V100)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
12.5	Templeton Global T/R Adv Fund (TTRZX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
12.6	Fidelity Adv Health Care Bond Fund (FHCIX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
12.7	iShares Select Dividend ETF (DVY)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
12.8	Vanguard Small-Cap Value ETF (VBR)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
12.9	Fidelity Advisor Real Estate Income (FRIRX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
12.10	Motors Liquidation Co GUC Trust (MTLQU)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.11	Proshares S&P 500 Dividend Aristocrats ETF (NOBL)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.12	Columbia Diversified Fixed Inc Allc ETF (DIAL)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
13	USAA Qualified Retirement Fixed Annuity	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	USAA Qualified Retirement Fixed Annuity	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	U.S. credit union (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Shenandoah Life Universal Insurance	N/A	\$15,001 - \$50,000		None (or less than \$201)
17	U.S. bank account (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
18	Family Trust #1 (irrevocable)	No			
18.1	Calamos Market Neutral Inc ETF (CMNIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.2	Delaware TF NY Municipal Bond furn (DTNIX)	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
18.3	Fidelity Adv Total Bond Fund (FEPIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
18.4	iShares Core US Aggregate Bond ETF (AGG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.5	Merger Fund (MERFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.6	PIMCO Income Fund (PONPX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
18.7	Vanguard Dividend Appreciation ETF (VIG)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
18.8	Columbia Diversified Fixed Income Allocation ETF (DIAL)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.9	Lord Abbett Shot Dur Inc fund (LDLDX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
18.10	Carillon Scout Mid Cap Fund Class I Shares (UMBMX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
18.11	Columbia Mortgage Opportunity Fund (CLMZK)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
18.12	Invesco QQQ Trust, Series 1 (QQQ)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
18.13	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Note receivable from Broadsheet LLC (investigative firm, in liquidation)	N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Ameriprise Financial	See Endnote	Margin	\$100,001 - \$250,000	2020	2.15%	Indefinite
2	Citibank	See Endnote	Exercised Line of Credit	\$100,001 - \$250,000	2019	2.2%	Revolving
3	Citibank	See Endnote	Exercised Line of Credit	\$100,001 - \$250,000	2020	2.5%	Revolving

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
4	Citibank	See Endnote	Exercised Line of Credit	\$15,001 - \$50,000	2020	2.9%	Revolving
5	Citibank		Exercised Line of Credit	\$50,001 - \$100,000	2021	3.25%	Revolving

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	9	Non-operating LLC. Filer is co-owner by virtue of his 50% ownership of Barryroe LLC, which owns 40% of BlackRobe.
1.	10	Filer owns 50% of this LLC, which owns 40% of BlackRobe Capital Partners LLC.
2.	6	An account for federal enhanced payment deposits I have made over the years. This will be returned to me after I leave the firm, on a schedule TBD before my departure.
2.	9	Filer is 50% owner of this LLC, but full value of this LLC's interests are reported.
2.	9.1	Non-operating LLC. Barryroe LLC owns 40% of this entity.
2.	9.1.1	Full value of this note is reported.
6.	1.18	No longer held. This asset was divested shortly after submission of this report.
8.	1	Paid in 2021
8.	2	Paid in 2020
8.	3	Paid in 2020

PART	#	ENDNOTE
8.	4	Paid in 2020

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).
