

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

Filer's Information

George, Suzy

Chief of Staff, Department of State

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ George, Suzy [electronically signed on 05/16/2022 by George, Suzy 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/ Merron, Eric, Certifying Official [electronically signed on 06/21/2022 by Merron, Eric in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Maret School	Washington, District of Columbia	Independent K-12 school	Trustee	6/2018	Present
2	National Democratic Institute	Washington, District of Columbia	NGO	Board member	9/2018	1/2021
3	Biden Harris Transition	See Endnote	Washington, District of Columbia	Head of Presidential Appointments	8/2020	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ONE 401k				
1.1	Vanguard Total Stock Market Index Fund Investor Class Shares (VTSMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	American Century Sustainable Equity Fund Class R6 Shares (AFEDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Vanguard Target Retirement 2035 Fund Investor Class Shares (VTTHX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.4	Vanguard Target Retirement 2030 Fund Investor Class Shares (VTHR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Vanguard Inflation-Protected Securities Fund Investor Shares (VIPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	ASG 401k				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	MFS International Diversification Fund Class R4 Shares (MDITX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2	AF NEW World R6	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	MFS International New Discovery Fund Class R6 Shares (MIDLX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.4	MFS Mid Cap Growth Fund Class R6 Shares (OTCKX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.5	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.6	Fidelity Government Money Market Fund (SPAXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	PT Fund	N/A		Salary	\$8,644

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	ASG	Washington, District of Columbia	I continue to participate in ASG's 401 (k) account. Neither ASG nor I have made or will make any additional contributions.	11/2001

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	Qualcomm		\$250,001 - \$500,000	Salary	
2	Qualcomm		\$100,001 - \$250,000	Bonus	
3	Qualcomm	N/A	Over \$1,000,000	Restricted stock units	
4	Qualcomm 401k				
4.1	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5	QUALCOMM, Inc. (QCOM)	N/A	Over \$1,000,000	Unrestricted stock unit	
6	Morgan Stanley Traditional IRA/S				
6.1	ClearBridge Aggressive Growth Fund Class A Shares (SHRAX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
6.2	ClearBridge All Cap Value Fund Class A Shares (SHFVX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.3	ClearBridge Appreciation Fund Class A Shares (SHAPX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.4	ClearBridge International Value Fund Class A Shares (SBIEX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	Morgan Stanley SEP Traditional IRA/S				
7.1	ClearBridge Aggressive Growth Fund Class A Shares (SHRAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	ClearBridge All Cap Value Fund Class A Shares (SHFVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.3	ClearBridge Appreciation Fund Class A Shares (SHAPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.4	ClearBridge International Value Fund Class A Shares (SBIEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	DC1 MS Scholar Choice 529 Legg Mason Sch Ch Age 16-18	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2	DC2 MS Scholar Choice 529 Legg Mason Sch Ch Age 13-15	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3	DC3 MS Scholar Choice 529 Legg Mason Sch Ch Age 10-12	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
4	MetLife Whole Life Insurance Policy	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5	Rental condominium (Danbury, CT)	N/A	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
6	Rosegrove Partners 1 LLP	No	\$500,001 - \$1,000,000	Dividends Capital Gains	\$15,001 - \$50,000
7	PRB Partners LLP	No	\$500,001 - \$1,000,000	Capital Gains Dividends	\$100,001 - \$1,000,000
8	Bank of America - ML Bank Deposit Program	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
9	Merrill Lynch Investment Account				
9.1	Galena Park Texas Indpt	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.2	Dallas TX Performing RV	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.3	Invesco FTSE RAFI US 1000 ETF (PRF)		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
9.4	BlackRock International Fund Investor C Shares (MCILX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.5	Georgia ST GO BDS	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.6	San Antonio TEX GEN IMPT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.7	Michigan ST Grant ANTIC	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.8	New York NY GO BDS	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.9	Florida ST BRD ED PUB ED	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.10	Atlanta GA WTR&	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.11	Triborough Bridge & Tunnel	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.12	Port Seattle Wash REV	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.13	PRIVATE COLLEGES & UNIVS AUTH GA REV BDS EMORY A AUG19 05.000%SEP01 2032	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.14	Massachusetts Department Revenue Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.15	New York ST Dorm Auth ST	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.16	AB Municipal Income Shares Fund (MISHX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
9.17	AB Taxable Multisector (CSHTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.18	Communication Services Select Sector SPDR Fund (XLC)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.19	iShares Nasdaq Biotechnology ETF (IBB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.20	Pacer Benchmark Data & Infrastructure Real Estate SCTR ETF (SRVR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.21	Proshares Online Retail	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.22	SPDR US Financial Sector	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.23	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.24	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.25	Health Care Select SPDR	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.26	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.27	Energy Select Sector SPDR Fund (XLE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.28	Industrial Select Sector SPDR Fund (XLI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.29	Financial Select Sector SPDR Fund (XLF)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.30	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.31	Vanguard Pacific Stock Index Fund Vanguard FTSE Pacific ETF Shares (VPL)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.32	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.33	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.34	Eaton Vance Atlanta Capital Select Equity Fund Class C Shares (ESECX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.35	MFS Value Fund Class C Shares (MEICX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
9.36	Massachusetts St Port Auth		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.37	Ohio State Tpk Comm		\$15,001 - \$50,000	Interest	\$201 - \$1,000
9.38	Los Angeles Co CA Pub		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.39	Brownsburg Ind 1999 Sch		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.40	Texas State Univ Sys Fing		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.41	NY State Urban Dev		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.42	Port Houston Auth Tex		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.43	Travis Cnty Tex CTFS		\$15,001 - \$50,000	Interest	\$201 - \$1,000
9.44	Washington DC Met Area		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.45	Wisconsin State Hlth Ed FAC		\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.46	Global X US Infrastructure Development ETF (PAVE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.47	iShares US Regional Banks ETF (IAT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.48	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.49	iShares US Financial Services ETF (IYG)		\$1,001 - \$15,000		None (or less than \$201)
9.50	Consumer Discretionary Select Sector SPDR Fund (XLY)		\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.51	iShares Core MSCI Europe ETF (IEUR)		\$15,001 - \$50,000		\$201 - \$1,000
9.52	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
9.53	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.54	SPDR S&P Transportation ETF (XTN)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.55	First Trust Dow Jones Internet Index Fund (FDN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.56	First Trust Cloud Computing ETF (SKYY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.57	District Columbia Income		\$1,001 - \$15,000	Interest	\$201 - \$1,000
10	Capital One Bank Account (checking and saving)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
11	SDFCU Account checking and saving	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	E Trade Account	No			
12.1	QUALCOMM, Inc. (QCOM)	N/A	Over \$1,000,000	Dividends	\$2,501 - \$5,000
12.2	Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Inherited IRA	No			
13.1	Glaxosmithkline	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.2	The Williams Cos., Inc. (WMB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13.3	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.4	Gabelii Div & Inc	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13.5	Cisco	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.6	CVS Health Corp. (CVS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.7	ClearBridge Appreciation Fund Class A Shares (SHAPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.8	ClearBridge Dividend Strategy Fund Class A Shares (SOPAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
14	Morgan Stanley Filer	No			
14.1	Intel	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
14.2	JP Morgan Chase & Co (JPM)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
14.3	PC Finl-P6 125 FITS		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.4	IBM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14.5	Pfizer Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.6	Verizon	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.7	Viatis (VTRS)	N/A	None (or less than \$1,001)		None (or less than \$201)
14.8	ClearBridge Appreciation Fund Class A Shares (SHAPX)		\$1,001 - \$15,000		None (or less than \$201)
14.9	ClearBridge Dividend Strategy Fund Class A Shares (SOPAX)		\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Morgan Stanley DC1/F	No			
15.1	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
15.2	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
15.3	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15.4	Gilead Sciences, Inc. (GILD)	N/A	None (or less than \$1,001)		None (or less than \$201)
16	Morgan Stanley DC3/F	No			
16.1	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16.2	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16.3	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16.4	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.5	JP Morgan Chase & Co		\$1,001 - \$15,000		None (or less than \$201)
17	Morgan Stanley DC2/F	No			
17.1	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.2	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17.3	JP Morgan Chase & Co		None (or less than \$1,001)		None (or less than \$201)
18	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
19	DC 1 Roth IRA		\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.1	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.2	Invesco S&P 500 Equal Weight ETF (RSP)		\$1,001 - \$15,000		
20	TIAA CREF bank account		\$1,001 - \$15,000		None (or less than \$201)
21	Ethereum		\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Massachusetts St Port Auth	Purchase	04/20/2021	\$1,001 - \$15,000
2	AB Municipal Income Shares (MISHX)	Purchase	04/16/2021	\$1,001 - \$15,000
3	Ohio St Tpk Commn Tpk	Purchase	04/15/2021	\$15,001 - \$50,000
4	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	04/14/2021	\$1,001 - \$15,000
5	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Sale	04/14/2021	\$1,001 - \$15,000
6	First Trust Dow Jones Internet Index Fund (FDN)	Sale	04/14/2021	\$1,001 - \$15,000
7	Communication Services Select Sector SPDR Fund (XLC)	Sale	04/14/2021	\$1,001 - \$15,000
8	Metropolitan Transn Auth N Y	Sale	03/11/2021	\$1,001 - \$15,000
9	XLF	Purchase	03/11/2021	\$1,001 - \$15,000
10	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Sale	03/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	XLE	Purchase	03/11/2021	\$1,001 - \$15,000
12	VDC	Sale	03/11/2021	\$1,001 - \$15,000
13	Communication Services Select Sector SPDR Fund (XLC)	Sale	03/11/2021	\$1,001 - \$15,000
14	First Trust Cloud Computing ETF (SKYY)	Sale	03/11/2021	\$1,001 - \$15,000
15	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Purchase	03/11/2021	\$1,001 - \$15,000
16	First Trust Dow Jones Internet Index Fund (FDN)	Sale	03/11/2021	\$1,001 - \$15,000
17	Massachusetts Dept Transn Met Hwy Sys	Sale	01/25/2021	\$1,001 - \$15,000
18	eBay, Inc. (EBAY)	Sale	03/01/2021	\$15,001 - \$50,000
19	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Sale	04/14/2021	\$1,001 - \$15,000
20	MFS Value Fund Class C Shares (MEICX)	Purchase	05/06/2021	\$15,001 - \$50,000
21	BlackRock International Fund Investor C Shares (MCILX)	Purchase	05/06/2021	\$50,001 - \$100,000
22	Eaton Vance Atlanta Capital Select Equity Fund Class C Shares (ESECX)	Purchase	05/06/2021	\$15,001 - \$50,000
23	AB Municipal Income Shares (MISHX)	Purchase	05/14/2021	\$1,001 - \$15,000
24	Los Angeles Co CA Pub	Purchase	05/13/2021	\$1,001 - \$15,000
25	District Columbia Income	Sale	05/12/2021	\$1,001 - \$15,000
26	Ventura Cnty CA Tax	Purchase	05/13/2021	\$1,001 - \$15,000
27	MISHX	Purchase	05/12/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
28	AB Taxable Multi-Sector Income Shares (CSHTX)	Purchase	05/14/2021	\$1,001 - \$15,000
29	Washington DC Met Area	Purchase	05/12/2021	\$1,001 - \$15,000
30	Denver Colo City & Cnty	Purchase	05/11/2021	\$1,001 - \$15,000
31	iShares 3-7 Year Treasury Bond ETF (IEI)	Purchase	05/06/2021	\$1,001 - \$15,000
32	iShares MSCI All Country Asia ex Japan ETF (AAXJ)	Purchase	05/06/2021	\$1,001 - \$15,000
33	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Purchase	05/06/2021	\$1,001 - \$15,000
34	Energy Select Sector SPDR Fund (XLE)	Sale	05/06/2021	\$1,001 - \$15,000
35	SPSB	Purchase	05/06/2021	\$1,001 - \$15,000
36	iShares US Financial Services ETF+ (IYG)	Purchase	05/06/2021	\$1,001 - \$15,000
37	XLC	Sale	05/06/2021	\$1,001 - \$15,000
38	XLK	Purchase	05/06/2021	\$1,001 - \$15,000
39	New York St Urban Dev	Purchase	05/11/2021	\$1,001 - \$15,000
40	iShares Core MSCI Europe ETF (IEUR)	Purchase	05/06/2021	\$15,001 - \$50,000
41	iShares Russell 2000 ETF (IWM)	Sale	05/06/2021	\$15,001 - \$50,000
42	Industrial Select Sector SPDR Fund (XLI)	Sale	05/06/2021	\$15,001 - \$50,000
43	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	05/06/2021	\$1,001 - \$15,000
44	Financial Select Sector SPDR Fund (XLF)	Sale	05/06/2021	\$1,001 - \$15,000
45	GMAC Cap Trust	Sale	05/24/2021	\$1,001 - \$15,000
46	JPMorgan Chase & Co. (JPM)	Sale	06/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
47	GMAC Cap Trust	Sale	07/02/2021	\$1,001 - \$15,000
48	Ventura Cnty CA Tax and Revenue	Sale	06/30/2021	\$1,001 - \$15,000
49	ClearBridge Appreciation Fund Class A Shares (SHAPX)	Purchase	07/14/2021	\$15,001 - \$50,000
50	ClearBridge Dividend Strategy Fund Class A Shares (SOPAX)	Purchase	07/14/2021	\$15,001 - \$50,000
51	District Columbia Income	Purchase	07/23/2021	\$1,001 - \$15,000
52	SPDR US Financial Sector	Purchase	07/28/2021	\$1,001 - \$15,000
53	Metro Wash DC Arpts At	Purchase	07/27/2021	\$1,001 - \$15,000
54	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Sale	07/15/2021	\$15,001 - \$50,000
55	iShares MSCI All Country Asia ex Japan ETF (AAXJ)	Sale	07/28/2021	\$1,001 - \$15,000
56	Comm Services Select	Sale	07/28/2021	\$1,001 - \$15,000
57	Health Care Select Sector SPDR Fund (XLV)	Sale	07/28/2021	\$1,001 - \$15,000
58	ClearBridge Appreciation Fund Class A Shares (SHAPX)	Purchase	07/14/2021	\$15,001 - \$50,000
59	Select Sector SPDR TR	Sale	07/28/2021	\$1,001 - \$15,000
60	ClearBridge Dividend Strategy Fund Class A Shares (SOPAX)	Purchase	07/14/2021	\$15,001 - \$50,000
61	ClearBridge Appreciation Fund Class A Shares (SHAPX)	Purchase	07/14/2021	\$1,001 - \$15,000
62	ClearBridge Appreciation Fund Class A Shares (SHAPX)	Purchase	07/14/2021	\$15,001 - \$50,000
63	ClearBridge Dividend Strategy Fund Class A Shares (SOPAX)	Purchase	07/14/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	Invesco Equally-Weighted S&P 500 Fund Cl Y Shs (VADDX)	Purchase	08/24/2021	\$1,001 - \$15,000
65	Rose Grove Henley Fund	Purchase	11/01/2021	\$250,001 - \$500,000
66	BlackRock International Fund Investor C Shares (MCILX)	Purchase	11/02/2021	\$50,001 - \$100,000
67	Eaton Vance Atlanta Capital Select Equity Fund Class C Shares (ESECX)	Purchase	11/02/2021	\$50,001 - \$100,000
68	MFS Value Fund Class C Shares (MEICX)	Purchase	11/02/2021	\$50,001 - \$100,000
69	Travis Cnty Tex CTFS	Purchase	10/14/2021	\$1,001 - \$15,000
70	GMAC Cap Trust	Sale	10/15/2021	\$1,001 - \$15,000
71	Metro Wash DC ARPTS AT	Sale	10/01/2021	\$1,001 - \$15,000
72	Harris Cnty Tex ULTD Tax	Sale	10/01/2021	\$1,001 - \$15,000
73	MFS value fd cl c	Purchase	11/02/2021	\$50,001 - \$100,000
74	Eaton Vance Atlanta Capital Select Equity Fund Class C Shares (ESECX)	Purchase	11/02/2021	\$50,001 - \$100,000
75	Blackrock international FD C	Purchase	11/02/2021	\$50,001 - \$100,000
76	Vanguard MSCI Pacific	Purchase	11/12/2021	\$1,001 - \$15,000
77	Port Houston Auth Tex	Purchase	11/10/2021	\$1,001 - \$15,000
78	Oregon St GO BDS Article	Sale	11/01/2021	\$1,001 - \$15,000
79	iShares 3-7 Year Treasury Bond ETF (IEI)	Purchase	11/12/2021	\$1,001 - \$15,000
80	Communication Services Select Sector SPDR Fund (XLC)	Purchase	11/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
81	Vanguard Intermediate-Term Corporate Bond Index Fund Admiral Class Shares (VICSX)	Purchase	11/12/2021	\$1,001 - \$15,000
82	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Purchase	11/12/2021	\$1,001 - \$15,000
83	iShares Core MSCI Europe ETF (IEUR)	Purchase	11/12/2021	\$1,001 - \$15,000
84	iShares MSCI All Country Asia ex Japan ETF (AAXJ)	Sale	11/12/2021	\$15,001 - \$50,000
85	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	11/12/2021	\$1,001 - \$15,000
86	SPDR US Financial Sector	Sale	11/12/2021	\$1,001 - \$15,000
87	Select Sector SPDR TR	Sale	11/12/2021	\$1,001 - \$15,000
88	Wisconsin St Hlth ED FAC	Purchase	12/06/2021	\$1,001 - \$15,000
89	Brownsburg Ind 1999 Sch	Purchase	12/06/2021	\$1,001 - \$15,000
90	Texas St Univ Sys FING	Purchase	12/06/2021	\$1,001 - \$15,000
91	Vanguard Materials Index Fund ETF Shares (VAW)	Purchase	12/09/2021	\$1,001 - \$15,000
92	Pacer Benchmark Data & Infrastructure Real Estate SCTR ETF (SRVR)	Purchase	12/09/2021	\$1,001 - \$15,000
93	Denver Colo City & CNTY	Sale	12/01/2021	\$15,001 - \$50,000
94	District Columbia Income	Sale	12/01/2021	\$1,001 - \$15,000
95	iShares US Regional Banks ETF (IAT)	Purchase	12/09/2021	\$1,001 - \$15,000
96	First Trust Dow Jones Internet Index Fund (FDN)	Purchase	12/09/2021	\$1,001 - \$15,000
97	Real Estate Select Sector SPDR Fund (XLRE)	Purchase	12/09/2021	\$1,001 - \$15,000
98	Communication Services Select Sector SPDR Fund (XLC)	Purchase	12/09/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
99	SPDR S&P Transportation ETF (XTN)	Purchase	12/09/2021	\$1,001 - \$15,000
100	Global X US Infrastructure Development ETF (PAVE)	Purchase	12/09/2021	\$1,001 - \$15,000
101	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Sale	12/09/2021	\$1,001 - \$15,000
102	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Sale	12/09/2021	\$1,001 - \$15,000
103	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Sale	12/09/2021	\$15,001 - \$50,000
104	Health Care Select Sector SPDR Fund (XLV)	Sale	12/09/2021	\$1,001 - \$15,000
105	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Sale	12/09/2021	\$1,001 - \$15,000
106	SPDR US Financial Sector	Sale	12/09/2021	\$1,001 - \$15,000
107	Nuveen Co In School PTF A	Sale	12/01/2021	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	3	Known as PT Fund

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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