

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

## Filer's Information

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Gomez, Lisa

Assistant Secretary, Employee Benefits Security, Department of Labor

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Gomez, Lisa [electronically signed on 05/13/2023 by Gomez, Lisa in Integrity.gov]

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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/ Constantine, Peter J, Certifying Official [electronically signed on 07/06/2023 by Constantine, Peter J in Integrity.gov]

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Other review conducted by

/s/ Whaley, LaShanda R, Ethics Official [electronically signed on 07/06/2023 by Whaley, LaShanda R in Integrity.gov]

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U.S. Office of Government Ethics Certification

Data Revised 07/06/2023

Data Revised 06/26/2023

Data Revised 06/23/2023

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Cohen, Weiss and Simon LLP	See Endnote	New York, New York	Law Firm	Equity Partner	1/2002	10/2022
2	ABA Labor and Employment Section, Employee Benefits Committee		Chicago, Illinois	Non-Profit	Co-Chair of the Leadership Development Program	7/2019	9/2022
3	ABA/BNA Employee Benefits Law Treatise		Chicago, Illinois	Non-Profit	Co-Chair of the Senior Board of Editors	12/2018	9/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ROTH IRA	No			
1.1	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	WisdomTree US MidCap Dividend Fund (DON)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.5	Cash in Roth IRA	N/A	None (or less than \$1,001)		None (or less than \$201)
2	IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	Goldman Sachs GQG Partners International Opportunities Fund Institutional Shares (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	iShares Global 100 ETF (IOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Lord Abbett Bond-Debenture Fund, Inc Class I Shares (LBNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Pacer Global Cash Cows Dividend ETF (GCOW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.10	Pacer US Small Cap Cash Cows 100 ETF (CALF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.11	Smead Value Fund Class I1 Shares (SVFFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.15	WisdomTree Floating Rate Treasury Fund (USFR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	WisdomTree US MidCap Dividend Fund (DON)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.17	WisdomTree International Hedged Quality Dividend Growth Fund (IHDG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Cohen, Weiss and Simon LLP				
3.1	COHEN, WEISS AND SIMON LLP 401(k) Profit Sharing Plan and Trust - Defined Contribution	No			
3.1.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.1.2	Vanguard Growth Index Fund Admiral Class Shares (VIGAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.1.3	Vanguard Value Index Fund Admiral Shares (VVIAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.1.4	Fidelity US Bond Index Fund (FXNAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.5	Invesco Oppenheimer Discovery Mid Cap Growth Fd Class R6 Shs (OEGIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.6	Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.7	Federated Institutional High Yield Bond Fund Class R6 Shares (FIHLX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.1.8	Vanguard Short-Term Corporate Bond Index Fund Admiral Class Shares (VSCSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.9	Dodge & Cox Income Fund (DODIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1.10	New World Fund, Inc Class R6 Shares (RNWGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.11	BlackRock Strategic Income Opportunities Portfolio Class K Shares (BSIKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.12	Vanguard GNMA Fund Admiral Shares (VFIJX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.1.13	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.1.14	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	Cohen, Weiss and Simon LLP (law firm)	N/A	\$500,001 - \$1,000,000	Partnership Distributions paid in CY 2022	\$550,977
3.3	Cohen, Weiss and Simon LLP (anticipated partnership share)	N/A	\$50,001 - \$100,000	Unpaid partnership share for 2022 payable in 2023	\$83,328

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	COHEN, WEISS AND SIMON LLP 401(K) Profit Sharing Plan and Trust	NEW YORK, New York	I continued to participate in this defined contribution plan after my separation, but the employer/plan sponsor will not make further contributions attributable to any period after my separation.	7/1995

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Cohen, Weiss and Simon LLP	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I receive the distribution of my final partnership share distribution. The payment is calculated based on my share of the firm's 2021 profits as of the close of the month preceding the date of withdrawal (i.e. as of 9/30/2022), less any amounts I have been paid by the firm towards that share as of the date of the withdrawal, and less contributions to be made on my behalf to the firm's retirement plan.	1/2002
3	COHEN, WEISS AND SIMON LLP Capital Account	New York, New York	Pursuant to the partnership agreement, within 6 months following my withdrawal from the firm, I am entitled to receive a lump-sum payment of my capital account. This payment will be calculated as of the date of my withdrawal.	1/2002

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	Cash in IRA	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	iShares Global 100 ETF (IOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	Lord Abbett Bond-Debenture Fund, Inc Class I Shares (LBNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Pacer Global Cash Cows Dividend ETF (GCOW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.11	Pacer US Small Cap Cash Cows 100 ETF (CALF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.12	Smead Value Fund Class I1 Shares (SVFFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.16	WisdomTree Floating Rate Treasury Fund (USFR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.17	WisdomTree US MidCap Dividend Fund (DON)	Yes	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.18	WisdomTree International Hedged Quality Dividend Growth Fund (IHDG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	ROTH IRA	No			
2.1	Cash in Roth IRA	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	iShares Global 100 ETF (IOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Lord Abbett Bond-Debenture Fund, Inc Class I Shares (LBNYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	Pacer Global Cash Cows Dividend ETF (GCOW)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.10	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Pacer US Small Cap Cash Cows 100 ETF (CALF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	Smead Value Fund Class I1 Shares (SVFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.16	WisdomTree Floating Rate Treasury Fund (USFR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	WisdomTree US MidCap Dividend Fund (DON)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	WisdomTree International Hedged Quality Dividend Growth Fund (IHDG)	Yes	None (or less than \$1,001)		None (or less than \$201)
3	Titania Solutions Group	N/A		Salary	
4	Titania 401(k) Plan	No			
4.1	EuroPacific Growth Fund Class R6 Shares (RERGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Dodge & Cox Stock Fund (DODGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Nuveen Small Cap Value Fund Class R6 Shares (FSCWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	PIMCO All Asset Fund Institutional Class Shares (PAAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	SSGA S&P 500 Index Fund (NON0F)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	SSGA US Bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8	T Rowe Price Mid-Cap Growth Fund, Inc Class I Shares (RPTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	T Rowe Blue Chip Growth (NON0V)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account	No			
1.1	Cash in Brokerage Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Goldman Sachs Dynamic Municipal Income Fund Institutional Shares (GSMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	iShares Global 100 ETF (IOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Lord Abbett Bond-Debenture Fund, Inc Class I Shares (LBNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Lord Abbett National Tax Free Fund Class I Shares (LTNIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	MainStay MacKay DefinedTerm Municipal Opportunities Fund (MMD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	Pacer Global Cash Cows Dividend ETF (GCOW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.13	Pacer US Small Cap Cash Cows 100 ETF (CALF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.14	Smead Value Fund Class I1 Shares (SVFFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.15	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.17	WisdomTree Floating Rate Treasury Fund (USFR)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.18	WisdomTree US MidCap Dividend Fund (DON)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.19	WisdomTree International Hedged Quality Dividend Growth Fund (IHDG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. bank #1 -checking account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	NextGen 529 Maine College Savings Plan	No		Cash distributions	\$10,729
4.1	Franklin Templeton Age 20+	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	NextGen 529 Maine College Savings Plan	No		cash distributions	\$20,464
5.1	Franklin Templeton Age 20 Years	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	NextGen 529 Maine College Savings Plan	No		cash distributions	\$6,955
6.1	Franklin Templeton Age 20 Years	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	ETHEREUM (coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	U.S. bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Apple, Inc. (AAPL)	Sale	12/16/2022	\$1,001 - \$15,000
2	Activision Blizzard, Inc. (ATVI)	Sale	12/06/2022	\$1,001 - \$15,000
3	Adobe, Inc. (ADBE)	Sale	12/06/2022	\$1,001 - \$15,000
4	Advanced Micro Devices, Inc. (AMD)	Sale	12/06/2022	\$1,001 - \$15,000
5	Airbnb, Inc. (ABNB)	Sale	12/06/2022	\$1,001 - \$15,000
6	Alphabet, Inc. (GOOGL)	Sale	12/06/2022	\$1,001 - \$15,000
7	Amazon.com, Inc. (AMZN)	Sale	12/06/2022	\$1,001 - \$15,000
8	American Electric Power Co., Inc. (AEP)	Sale	12/06/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	American Tower Corporation (REIT) (AMT)	Sale	12/06/2022	\$1,001 - \$15,000
10	Elevance Health Inc. (ELV)	Sale	12/06/2022	\$1,001 - \$15,000
11	Apple, Inc. (AAPL)	Sale	12/06/2022	\$1,001 - \$15,000
12	Atlassian Corporation (TEAM)	Sale	12/06/2022	\$1,001 - \$15,000
13	Bristol-Myers Squibb (BMY)	Sale	12/06/2022	\$1,001 - \$15,000
14	Capital One Financial Corp. (COF)	Sale	12/06/2022	\$1,001 - \$15,000
15	Centene Corp. (CNC)	Sale	12/06/2022	\$1,001 - \$15,000
16	Chevron Corp. (CVX)	Sale	12/06/2022	\$1,001 - \$15,000
17	Cigna Corp. (CI)	Sale	12/06/2022	\$1,001 - \$15,000
18	ConocoPhillips (COP)	Sale	12/06/2022	\$1,001 - \$15,000
19	Costco Wholesale Corp. (COST)	Sale	12/06/2022	\$1,001 - \$15,000
20	CrowdStrike Holdings, Inc. (CRWD)	Sale	12/06/2022	\$1,001 - \$15,000
21	Crown Castle International Corp. (CCI)	Sale	12/06/2022	\$1,001 - \$15,000
22	Danaher Corp. (DHR)	Sale	12/06/2022	\$1,001 - \$15,000
23	DexCom, Inc. (DXCM)	Sale	12/06/2022	\$1,001 - \$15,000
24	Enphase Energy, Inc. (ENPH)	Sale	12/06/2022	\$1,001 - \$15,000
25	Equinix, Inc. (EQIX)	Sale	12/06/2022	\$1,001 - \$15,000
26	Equity Residential (EQR)	Sale	12/06/2022	\$1,001 - \$15,000
27	Meta Platforms, Inc. (META)	Sale	12/06/2022	\$1,001 - \$15,000
28	Jazz Pharmaceuticals Plc (JAZZ)	Sale	12/06/2022	\$1,001 - \$15,000
29	Hess Corp. (HES)	Sale	12/06/2022	\$1,001 - \$15,000
30	The Home Depot, Inc. (HD)	Sale	12/06/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	Honeywell International, Inc. (HON)	Sale	12/06/2022	\$1,001 - \$15,000
32	IDEXX Laboratories, Inc. (IDXX)	Sale	12/06/2022	\$1,001 - \$15,000
33	Incyte Corp. (INCY)	Sale	12/06/2022	\$1,001 - \$15,000
34	International Paper Co. (IP)	Sale	12/06/2022	\$1,001 - \$15,000
35	Intuitive Surgical, Inc. (ISRG)	Sale	12/06/2022	\$1,001 - \$15,000
36	JPMorgan Chase & Co. (JPM)	Sale	12/06/2022	\$1,001 - \$15,000
37	Lockheed Martin Corp. (LMT)	Sale	12/06/2022	\$1,001 - \$15,000
38	L3Harris Technologies, Inc. (LHX)	Sale	12/06/2022	\$1,001 - \$15,000
39	Marvell Technology Group Ltd. (MRVL)	Sale	12/06/2022	\$1,001 - \$15,000
40	Mastercard, Inc. (MA)	Sale	12/06/2022	\$1,001 - \$15,000
41	McDonald's Corp. (MCD)	Sale	12/06/2022	\$1,001 - \$15,000
42	Microsoft Corp. (MSFT)	Sale	12/06/2022	\$1,001 - \$15,000
43	Netflix, Inc. (NFLX)	Sale	12/06/2022	\$1,001 - \$15,000
44	NextEra Energy, Inc. (NEE)	Sale	12/06/2022	\$1,001 - \$15,000
45	NVIDIA Corp. (NVDA)	Sale	12/06/2022	\$1,001 - \$15,000
46	Procter & Gamble Co. (PG)	Sale	12/06/2022	\$1,001 - \$15,000
47	Progressive Corp. (PGR)	Sale	12/06/2022	\$1,001 - \$15,000
48	Prologis, Inc. (PLD)	Sale	12/06/2022	\$1,001 - \$15,000
49	ServiceNow, Inc. (NOW)	Sale	12/06/2022	\$1,001 - \$15,000
50	The Southern Co. (SO)	Sale	12/06/2022	\$1,001 - \$15,000
51	Starbucks Corp. (SBUX)	Sale	12/06/2022	\$1,001 - \$15,000
52	Take-Two Interactive Software, Inc. (TTWO)	Sale	12/06/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
53	Thermo Fisher Scientific, Inc. (TMO)	Sale	12/06/2022	\$1,001 - \$15,000	
54	The Toronto-Dominion Bank (TD)	Sale	12/06/2022	\$1,001 - \$15,000	
55	Union Pacific Corp. (UNP)	Sale	12/06/2022	\$1,001 - \$15,000	
56	Visa, Inc. (V)	Sale	12/06/2022	\$1,001 - \$15,000	
57	Vistra Energy Corp. (VST)	Sale	12/06/2022	\$1,001 - \$15,000	
58	Walmart, Inc. (WMT)	Sale	12/06/2022	\$1,001 - \$15,000	
59	Xcel Energy, Inc. (XEL)	Sale	12/06/2022	\$1,001 - \$15,000	
60	Zoetis, Inc. (ZTS)	Sale	12/06/2022	\$1,001 - \$15,000	
61	Zscaler, Inc. (ZS)	Sale	12/06/2022	\$1,001 - \$15,000	
62	Abbott Laboratories (ABT)	Sale	12/06/2022	\$1,001 - \$15,000	
63	Activision Blizzard, Inc. (ATVI)	Sale	12/06/2022	\$1,001 - \$15,000	
64	Adobe, Inc. (ADBE)	Sale	12/06/2022	\$1,001 - \$15,000	
65	Advanced Micro Devices, Inc. (AMD)	Sale	12/06/2022	\$1,001 - \$15,000	
66	Alibaba Group Holding Limited (BABA)	Sale	12/06/2022	\$1,001 - \$15,000	
67	Alphabet, Inc. (GOOGL)	Sale	12/06/2022	\$1,001 - \$15,000	
68	Amazon.com, Inc. (AMZN)	Sale	12/06/2022	\$1,001 - \$15,000	
69	American Tower Corporation (REIT) (AMT)	Sale	12/06/2022	\$1,001 - \$15,000	
70	American Electric Power Co., Inc. (AEP)	Sale	12/06/2022	\$1,001 - \$15,000	
71	Apple, Inc. (AAPL)	Sale	12/06/2022	\$1,001 - \$15,000	
72	Atlassian Corporation (TEAM)	Sale	12/06/2022	\$1,001 - \$15,000	
73	Blackstone Inc. (BX)	Sale	12/06/2022	\$1,001 - \$15,000	
74	Block, Inc. (SQ)	See Endnote	Sale	12/06/2022	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
75	Bristol-Myers Squibb (BMY)	Sale	12/06/2022	\$1,001 - \$15,000
76	Broadcom, Inc. (AVGO)	Sale	12/06/2022	\$1,001 - \$15,000
77	Capital One Financial Corp. (COF)	Sale	12/06/2022	\$1,001 - \$15,000
78	Centene Corp. (CNC)	Sale	12/06/2022	\$1,001 - \$15,000
79	Chevron Corp. (CVX)	Sale	12/06/2022	\$1,001 - \$15,000
80	Cigna Corp. (CI)	Sale	12/06/2022	\$1,001 - \$15,000
81	Comcast Corp. (CMCSA)	Sale	12/06/2022	\$1,001 - \$15,000
82	ConocoPhillips (COP)	Sale	12/06/2022	\$1,001 - \$15,000
83	Costco Wholesale Corp. (COST)	Sale	12/06/2022	\$1,001 - \$15,000
84	CrowdStrike Holdings, Inc. (CRWD)	Sale	12/06/2022	\$1,001 - \$15,000
85	D.R. Horton, Inc. (DHI)	Sale	12/06/2022	\$1,001 - \$15,000
86	Danaher Corp. (DHR)	Sale	12/06/2022	\$1,001 - \$15,000
87	DexCom, Inc. (DXCM)	Sale	12/06/2022	\$1,001 - \$15,000
88	Elevance Health Inc. (ELV)	Sale	12/06/2022	\$1,001 - \$15,000
89	Enphase Energy, Inc. (ENPH)	Sale	12/06/2022	\$1,001 - \$15,000
90	Equity Residential (EQR)	Sale	12/06/2022	\$1,001 - \$15,000
91	FirstEnergy Corp. (FE)	Sale	12/06/2022	\$1,001 - \$15,000
92	Ford Motor Co. (F)	Sale	12/06/2022	\$1,001 - \$15,000
93	Hess Corp. (HES)	Sale	12/06/2022	\$1,001 - \$15,000
94	The Home Depot, Inc. (HD)	Sale	12/06/2022	\$1,001 - \$15,000
95	Honeywell International, Inc. (HON)	Sale	12/06/2022	\$1,001 - \$15,000
96	IDEXX Laboratories, Inc. (IDXX)	Sale	12/06/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
97	International Paper Co. (IP)	Sale	12/06/2022	\$1,001 - \$15,000
98	Intuitive Surgical, Inc. (ISRG)	Sale	12/06/2022	\$1,001 - \$15,000
99	JPMorgan Chase & Co. (JPM)	Sale	12/06/2022	\$1,001 - \$15,000
100	KKR & Co., Inc. (KKR)	Sale	12/06/2022	\$1,001 - \$15,000
101	Lockheed Martin Corp. (LMT)	Sale	12/06/2022	\$1,001 - \$15,000
102	L3Harris Technologies, Inc. (LHX)	Sale	12/06/2022	\$1,001 - \$15,000
103	Marvell Technology Group Ltd. (MRVL)	Sale	12/06/2022	\$1,001 - \$15,000
104	McDonald's Corp. (MCD)	Sale	12/06/2022	\$1,001 - \$15,000
105	Merck & Co., Inc. (MRK)	Sale	12/06/2022	\$1,001 - \$15,000
106	Meta Platforms, Inc. (META)	Sale	12/06/2022	\$1,001 - \$15,000
107	Microsoft Corp. (MSFT)	Sale	12/06/2022	\$1,001 - \$15,000
108	Moderna, Inc. (MRNA)	Sale	12/06/2022	\$1,001 - \$15,000
109	Netflix, Inc. (NFLX)	Sale	12/06/2022	\$1,001 - \$15,000
110	NextEra Energy, Inc. (NEE)	Sale	12/06/2022	\$1,001 - \$15,000
111	Northrop Grumman Corp. (NOC)	Sale	12/06/2022	\$1,001 - \$15,000
112	NVIDIA Corp. (NVDA)	Sale	12/06/2022	\$15,001 - \$50,000
113	Palo Alto Networks, Inc. (PANW)	Sale	12/06/2022	\$1,001 - \$15,000
114	Plug Power, Inc. (PLUG)	Sale	12/06/2022	\$1,001 - \$15,000
115	Procter & Gamble Co. (PG)	Sale	12/06/2022	\$1,001 - \$15,000
116	Progressive Corp. (PGR)	Sale	12/06/2022	\$1,001 - \$15,000
117	Prologis, Inc. (PLD)	Sale	12/06/2022	\$1,001 - \$15,000
118	Pure Storage, Inc. (PSTG)	Sale	12/06/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
119	Raytheon Technologies Corporation (RTX)	Sale	12/06/2022	\$1,001 - \$15,000
120	salesforce.com, inc. (CRM)	Sale	12/06/2022	\$1,001 - \$15,000
121	ServiceNow, Inc. (NOW)	Sale	12/06/2022	\$1,001 - \$15,000
122	The Southern Company (SO)	Sale	12/06/2022	\$1,001 - \$15,000
123	Splunk, Inc. (SPLK)	Sale	12/06/2022	\$1,001 - \$15,000
124	Starbucks Corp. (SBUX)	Sale	12/06/2022	\$1,001 - \$15,000
125	SVB Financial Group (SIVB)	Sale	12/06/2022	\$1,001 - \$15,000
126	Take-Two Interactive Software, Inc. (TTWO)	Sale	12/06/2022	\$1,001 - \$15,000
127	Tesla, Inc. (TSLA)	Sale	12/06/2022	\$1,001 - \$15,000
128	Thermo Fisher Scientific, Inc. (TMO)	Sale	12/06/2022	\$1,001 - \$15,000
129	The Toronto-Dominion Bank (TD)	Sale	12/06/2022	\$1,001 - \$15,000
130	Union Pacific Corp. (UNP)	Sale	12/06/2022	\$1,001 - \$15,000
131	UnitedHealth Group, Inc. (UNH)	Sale	12/06/2022	\$1,001 - \$15,000
132	Visa, Inc. (V)	Sale	12/06/2022	\$1,001 - \$15,000
133	Walmart, Inc. (WMT)	Sale	12/06/2022	\$1,001 - \$15,000
134	Waste Management, Inc. (WM)	Sale	12/06/2022	\$1,001 - \$15,000
135	Workday, Inc. (WDAY)	Sale	12/06/2022	\$1,001 - \$15,000
136	Xcel Energy, Inc. (XEL)	Sale	12/06/2022	\$1,001 - \$15,000
137	Zoetis, Inc. (ZTS)	Sale	12/06/2022	\$1,001 - \$15,000
138	Zscaler, Inc. (ZS)	Sale	12/06/2022	\$1,001 - \$15,000
139	Alphabet, Inc. (GOOGL)	Sale	12/19/2022	\$1,001 - \$15,000
140	Amazon.com, Inc. (AMZN)	Sale	12/19/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
141	Atlassian Corporation (TEAM)	Sale	12/19/2022	\$1,001 - \$15,000
142	NVIDIA Corp. (NVDA)	Sale	12/19/2022	\$1,001 - \$15,000
143	Apple, Inc. (AAPL)	Sale	12/19/2022	\$1,001 - \$15,000
144	Abbott Laboratories (ABT)	Sale	12/19/2022	\$1,001 - \$15,000
145	Advanced Micro Devices, Inc. (AMD)	Sale	12/19/2022	\$1,001 - \$15,000
146	Airbnb, Inc. (ABNB)	Sale	12/19/2022	\$1,001 - \$15,000
147	Alphabet, Inc. (GOOGL)	Sale	12/19/2022	\$1,001 - \$15,000
148	Amazon.com, Inc. (AMZN)	Sale	12/19/2022	\$1,001 - \$15,000
149	American Tower Corporation (REIT) (AMT)	Sale	12/19/2022	\$1,001 - \$15,000
150	American Water Works Co., Inc. (AWK)	Sale	12/19/2022	\$1,001 - \$15,000
151	Apple, Inc. (AAPL)	Sale	12/19/2022	\$1,001 - \$15,000
152	Atlassian Corporation (TEAM)	Sale	12/19/2022	\$1,001 - \$15,000
153	Block, Inc. (SQ) See Endnote	Sale	12/19/2022	\$1,001 - \$15,000
154	Bristol-Myers Squibb (BMY)	Sale	12/19/2022	\$1,001 - \$15,000
155	Capital One Financial Corp. (COF)	Sale	12/19/2022	\$1,001 - \$15,000
156	Chevron Corp. (CVX)	Sale	12/19/2022	\$1,001 - \$15,000
157	Cigna Corp. (CI)	Sale	12/19/2022	\$1,001 - \$15,000
158	ConocoPhillips (COP)	Sale	12/19/2022	\$1,001 - \$15,000
159	Costco Wholesale Corp. (COST)	Sale	12/19/2022	\$1,001 - \$15,000
160	CrowdStrike Holdings, Inc. (CRWD)	Sale	12/19/2022	\$1,001 - \$15,000
161	Danaher Corp. (DHR)	Sale	12/19/2022	\$1,001 - \$15,000
162	DexCom, Inc. (DXCM)	Sale	12/19/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
163	Elevance Health Inc. (ELV)	Sale	12/19/2022	\$1,001 - \$15,000
164	Enphase Energy, Inc. (ENPH)	Sale	12/19/2022	\$1,001 - \$15,000
165	Equity Residential (EQR)	Sale	12/19/2022	\$1,001 - \$15,000
166	Ford Motor Co. (F)	Sale	12/19/2022	\$1,001 - \$15,000
167	Hess Corp. (HES)	Sale	12/19/2022	\$1,001 - \$15,000
168	Hilton Worldwide Holdings, Inc. (HLT)	Sale	12/19/2022	\$1,001 - \$15,000
169	Honeywell International, Inc. (HON)	Sale	12/19/2022	\$1,001 - \$15,000
170	IDEXX Laboratories, Inc. (IDXX)	Sale	12/19/2022	\$1,001 - \$15,000
171	International Paper Co. (IP)	Sale	12/19/2022	\$1,001 - \$15,000
172	JPMorgan Chase & Co. (JPM)	Sale	12/19/2022	\$1,001 - \$15,000
173	L3Harris Technologies, Inc. (LHX)	Sale	12/19/2022	\$1,001 - \$15,000
174	McDonald's Corp. (MCD)	Sale	12/19/2022	\$1,001 - \$15,000
175	Microsoft Corp. (MSFT)	Sale	12/19/2022	\$1,001 - \$15,000
176	NextEra Energy, Inc. (NEE)	Sale	12/19/2022	\$1,001 - \$15,000
177	NVIDIA Corp. (NVDA)	Sale	12/19/2022	\$1,001 - \$15,000
178	Parker-Hannifin Corp. (PH)	Sale	12/19/2022	\$1,001 - \$15,000
179	PayPal Holdings, Inc. (PYPL)	Sale	12/19/2022	\$1,001 - \$15,000
180	Procter & Gamble Co. (PG)	Sale	12/19/2022	\$1,001 - \$15,000
181	Progressive Corp. (PGR)	Sale	12/19/2022	\$1,001 - \$15,000
182	Prologis, Inc. (PLD)	Sale	12/19/2022	\$1,001 - \$15,000
183	Roblox Corporation (RBLX)	Sale	12/19/2022	\$1,001 - \$15,000
184	ServiceNow, Inc. (NOW)	Sale	12/19/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
185	Take-Two Interactive Software, Inc. (TTWO)	Sale	12/19/2022	\$1,001 - \$15,000
186	Thermo Fisher Scientific, Inc. (TMO)	Sale	12/19/2022	\$1,001 - \$15,000
187	The Toronto-Dominion Bank (TD)	Sale	12/19/2022	\$1,001 - \$15,000
188	Uber Technologies, Inc. (UBER)	Sale	12/19/2022	\$1,001 - \$15,000
189	Union Pacific Corp. (UNP)	Sale	12/19/2022	\$1,001 - \$15,000
190	Visa, Inc. (V)	Sale	12/19/2022	\$1,001 - \$15,000
191	Walmart, Inc. (WMT)	Sale	12/19/2022	\$1,001 - \$15,000
192	Waste Management, Inc. (WM)	Sale	12/19/2022	\$1,001 - \$15,000
193	Xcel Energy, Inc. (XEL)	Sale	12/19/2022	\$1,001 - \$15,000
194	Zoetis, Inc. (ZTS)	Sale	12/19/2022	\$1,001 - \$15,000
195	WisdomTree U.S. MidCap Dividend Fund (DON)	Purchase	12/19/2022	\$15,001 - \$50,000
196	Pacer US Small Cap Cash Cows 100 ETF (CALF)	Purchase	12/19/2022	\$15,001 - \$50,000
197	Pacer US Cash Cows 100 ETF (COWZ)	Purchase	12/19/2022	\$15,001 - \$50,000
198	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	12/19/2022	\$1,001 - \$15,000
199	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	12/19/2022	\$1,001 - \$15,000
200	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	12/19/2022	\$50,001 - \$100,000
201	Pacer Global Cash Cows Dividend ETF (GCOW)	Purchase	12/19/2022	\$1,001 - \$15,000
202	WisdomTree International Hedged Quality Dividend Growth Fund (IHDG)	Purchase	12/19/2022	\$1,001 - \$15,000
203	iShares Global 100 ETF (IOO)	Purchase	12/19/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
204	Marvell Technology Group Ltd. (MRVL)	Sale	12/19/2022	\$1,001 - \$15,000
205	Smead Value Fund Class I1 Shares (SVFFX)	Purchase	12/16/2022	\$15,001 - \$50,000
206	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Purchase	12/16/2022	\$15,001 - \$50,000
207	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Purchase	12/16/2022	\$1,001 - \$15,000
208	American Water Works Co., Inc. (AWK)	Sale	12/06/2022	\$1,001 - \$15,000
209	Hilton Worldwide Holdings, Inc. (HLT)	Sale	12/06/2022	\$1,001 - \$15,000
210	The Home Depot, Inc. (HD)	Sale	12/19/2022	\$1,001 - \$15,000
211	Raytheon Technologies Corporation (RTX)	Sale	12/19/2022	\$1,001 - \$15,000
212	Equinix, Inc. (EQIX)	Sale	12/06/2022	\$1,001 - \$15,000
213	Calamos Convertible & High Income Fund (CHY)	Sale	12/06/2022	\$1,001 - \$15,000
214	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Sale	12/05/2022	\$1,001 - \$15,000
215	American Funds Global Balanced Fund Class F2 Shares (GBLFX)	Sale	12/05/2022	\$1,001 - \$15,000
216	Eaton Vance Tax-Advantaged Global Dividend Income Fund (ETG)	Sale	12/06/2022	\$1,001 - \$15,000
217	iShares Core S&P Mid-Cap ETF (IJH)	Sale	12/23/2022	\$1,001 - \$15,000
218	iShares Edge MSCI Min Vol Global ETF (ACWV)	Sale	12/23/2022	\$1,001 - \$15,000
219	MainStay MacKay Defined Term Municipal Opportunities Fund (MMD)	Sale	12/06/2022	\$1,001 - \$15,000
220	MFS Global Total Return Fund Class I Shares (MFWIX)	Sale	12/05/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
221	Nuveen Municipal High Income Opportunity Fund (NMZ)	Sale	12/06/2022	\$1,001 - \$15,000
222	PIMCO Corporate & Income Opportunity Fund (PTY)	Sale	12/06/2022	\$1,001 - \$15,000
223	SPDR S&P Dividend ETF (SDY)	Sale	12/23/2022	\$1,001 - \$15,000
224	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	12/06/2022	\$1,001 - \$15,000
225	Vanguard Intermediate-Term Bond Index Fund ETF Shares (BIV)	Sale	12/23/2022	\$1,001 - \$15,000
226	American FundsGlobal Balanced Fund Class F2 Shares (GBLFX)	Sale	12/05/2022	\$1,001 - \$15,000
227	Calamos Convertible & High Income Fund (CHY)	Sale	12/06/2022	\$1,001 - \$15,000
228	First EagleGlobal Fund Class I Shares (SGIIX)	Sale	12/07/2022	\$1,001 - \$15,000
229	Invesco Preferred ETF (PGX)	Sale	12/06/2022	\$1,001 - \$15,000
230	iShares Edge MSCI Min VolGlobal ETF (ACWV)	Sale	12/23/2022	\$15,001 - \$50,000
231	iShares Nasdaq Biotechnology ETF (IBB)	Sale	12/06/2022	\$1,001 - \$15,000
232	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Sale	12/05/2022	\$1,001 - \$15,000
233	MainStay MacKay DefinedTerm Municipal Opportunities Fund (MMD)	Sale	12/06/2022	\$1,001 - \$15,000
234	MFS Global Total Return Fund Class I Shares (MFWIX)	Sale	12/05/2022	\$1,001 - \$15,000
235	PIMCO Corporate & Income Opportunity Fund (PTY)	Sale	12/06/2022	\$1,001 - \$15,000
236	SPDR S&P Dividend ETF (SDY)	Sale	12/23/2022	\$15,001 - \$50,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
237	WisdomTree US Quality Dividend Growth Fund (DGRW)		Sale	12/06/2022	\$15,001 - \$50,000
238	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)		Sale	12/01/2022	\$1,001 - \$15,000
239	iShares Core S&P Mid-Cap ETF (IJH)		Sale	12/23/2022	\$1,001 - \$15,000
240	MFS Global Total Return Fund Class I Shares (MFWIX)		Sale	12/15/2022	\$1,001 - \$15,000
241	SPDR S&P Dividend ETF (SDY)		Sale	12/16/2022	\$1,001 - \$15,000
242	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)		Sale	12/16/2022	\$1,001 - \$15,000
243	Vanguard Intermediate-Term Bond Index Fund ETF Shares (BIV)		Sale	12/16/2022	\$1,001 - \$15,000
244	WisdomTree Europe Hedged Equity Fund (HEDJ)	See Endnote	Sale	12/16/2022	\$1,001 - \$15,000
245	WisdomTree US Quality Dividend Growth Fund (DGRW)		Sale	12/16/2022	\$1,001 - \$15,000
246	DoubleLine Income Solutions Fund (DSL)		Sale	12/19/2022	\$1,001 - \$15,000
247	Eaton Vance Tax-Advantaged Global Dividend Income Fund (ETG)		Sale	12/19/2022	\$1,001 - \$15,000
248	iShares Core S&P Mid-Cap ETF (IJH)		Sale	12/23/2022	\$1,001 - \$15,000
249	MFS Global Total Return Fund Class I Shares (MFWIX)		Sale	12/16/2022	\$1,001 - \$15,000
250	SPDR S&P 500 ETF Trust (SPY)		Sale	12/19/2022	\$1,001 - \$15,000
251	SPDR S&P Dividend ETF (SDY)		Sale	12/19/2022	\$1,001 - \$15,000
252	Vanguard Russell 2000 Value Index Fund ETF Shares (VTWV)		Sale	12/19/2022	\$1,001 - \$15,000
253	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)		Purchase	12/05/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
254	JPMorgan Ultra-Short Income ETF (JPST)		Purchase	12/06/2022	\$1,001 - \$15,000
255	Lord Abbett Bond-Debenture Fund, Inc Class I Shares (LBNYX)		Purchase	12/06/2022	\$1,001 - \$15,000
256	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)		Purchase	12/06/2022	\$1,001 - \$15,000
257	WisdomTree Floating Rate Treasury Fund (USFR)		Purchase	12/06/2022	\$1,001 - \$15,000
258	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)		Purchase	12/05/2022	\$15,001 - \$50,000
259	JPMorgan Ultra-Short Income ETF (JPST)		Purchase	12/06/2022	\$15,001 - \$50,000
260	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)		Purchase	12/06/2022	\$1,001 - \$15,000
261	Lord Abbett Bond-Debenture Fund, Inc Class I Shares (LBNYX)		Purchase	12/05/2022	\$1,001 - \$15,000
262	JPMorgan Ultra-Short Income ETF (JPST)		Purchase	12/06/2022	\$1,001 - \$15,000
263	Lord Abbett Bond-Debenture Fund, Inc Class I Shares (LBNYX)		Purchase	12/05/2022	\$1,001 - \$15,000
264	WisdomTree Europe Hedged Equity Fund (HEDJ)		Sale	12/16/2022	\$1,001 - \$15,000
265	WisdomTree US Quality Dividend Growth Fund (DGRW)		Sale	12/16/2022	\$1,001 - \$15,000
266	Elevance Health Inc. Common Stock (ELV)	See Endnote	Sale	12/06/2022	\$1,001 - \$15,000
267	Elevance Health Inc. Common Stock (ELV)	See Endnote	Sale	06/06/2023	\$1,001 - \$15,000
268	GW Pharmaceuticals PLC	See Endnote	Sale	12/06/2022	\$1,001 - \$15,000
269	Hilton Worldwide Holdings, Inc. (HLT)		Sale	12/06/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
270	Twilio, Inc. (TWLO)		Sale	12/06/2022	\$1,001 - \$15,000
271	Xilinx, Inc. (XLNX)		Sale	12/06/2022	\$1,001 - \$15,000
272	Broadcom, Inc. (AVGO)		Sale	12/06/2022	\$1,001 - \$15,000
273	Incyte Corp. (INCY)		Sale	12/06/2022	\$1,001 - \$15,000
274	Twilio, Inc. (TWLO)		Sale	12/06/2022	\$1,001 - \$15,000
275	Xilinx, Inc. (XLNX)		Sale	12/06/2022	\$1,001 - \$15,000
276	Twilio, Inc. (TWLO)	See Endnote	Sale	12/19/2022	\$1,001 - \$15,000
277	Alibaba Group Holding Limited (BABA)		Sale	12/19/2022	\$1,001 - \$15,000
278	Elevance Health Inc. Common Stock (ELV)		Sale	12/19/2022	\$1,001 - \$15,000
279	Canopy Growth Corporation Common Shares (CGC)		Sale	12/19/2022	\$1,001 - \$15,000
280	DocuSign, Inc. (DOCU)		Sale	12/19/2022	\$1,001 - \$15,000
281	Block, Inc. (SQ)	See Endnote	Sale	12/19/2022	\$1,001 - \$15,000
282	SVB Financial Group (SIVB)		Sale	12/19/2022	\$1,001 - \$15,000
283	Twilio, Inc. (TWLO)		Sale	12/19/2022	\$1,001 - \$15,000
284	Goldman Sachs Dynamic Municipal Income Fund Institutional Shares (GSMTX)		Sale	12/05/2022	\$1,001 - \$15,000
285	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)		Sale	12/05/2022	\$1,001 - \$15,000
286	Parametric TABS 5-to-15 Year Laddered Municipal Bond Fund Class I Shares (EILTX)		Sale	12/05/2022	\$1,001 - \$15,000
287	WisdomTree Europe Hedged Equity Fund (HEDJ)	See Endnote	Sale	12/16/2022	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of America	Mortgage on Personal Residence	\$250,001 - \$500,000	2021	2.625	30 years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	1	Associate attorney from May 1994 to December 2001 Non-equity partner in 2002 Equity partner from January 2003 to September 2022 Chair of the Firm's Management Committee from December 2020 to May 2022
7.	74	previously called Square. Name changed 12/10/21, but ticker symbol did not.
7.	153	previously called Square. Name changed 12/10/21, but ticker symbol did not.
7.	244	Roth IRA
7.	266	Was previously Anthem, Inc. (ANTM), but stock changed name on 6/28/22.
7.	267	Was previously Anthem, Inc. (ANTM), but stock changed name on 6/28/22.
7.	268	Merged/Acquired by Jazz Pharmaceuticals on 5/6/21
7.	276	roth IRA
7.	281	Square, Inc. (SQ) changed its name on 12/10/21, but kept the ticker symbol

PART	#	ENDNOTE
7.	287	IRA

# 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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