

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Ferriero, David S

Archivist of the United States, National Archives and Records Administration

Report Year: 2020

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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/ Ferriero, David S [electronically signed on 05/14/2020 by Ferriero, David S 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/ Runkel, Christopher M, Certifying Official [electronically signed on 07/13/2020 by Runkel, Christopher M in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/16/2020 by Granahan, Megan in Integrity.gov]

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Data Revised 07/13/2020

Data Revised 07/10/2020

Data Revised 07/08/2020

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/13/2020, Runkel, Christopher M): The filer has been advised of several potential conflicts involving current or potential NARA vendors, and receives updated guidance on possible conflicts regularly.

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New York State/Local Retirement System - Defined Benefit Plan	See Endnote	N/A	Monthly payments of \$1,703.68.	\$20,444
2	Massachusetts Institute of Technology Basic Retirement Plan - Defined Benefit Plan	See Endnote	N/A	Monthly payments of \$1,026.	\$7,182

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## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New York State/Local Retirement System; State Comptroller	Albany, New York	Defined Benefit Plan. Filer began receiving pension payments of \$1,703.68/month in October 2017. Total value of Plan is not readily ascertainable.	9/2004
2	Massachusetts Institute of Technology Basic Retirement Plan - Defined Benefit Plan	Cambridge, Massachusetts	Defined Benefit Plan. Filer began receiving pension payments of \$1,026/month in June 2019. Total value of Plan is not readily ascertainable.	/

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## 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	Fidelity Rollover IRA		No	\$50,001 - \$100,000	Cash distributions	\$2,857
1.1	FDIC Insured Deposit at Fifth Third Bank		No	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2	TIAA-CREF Defined Contribution Plans	See Endnote	N/A	Over \$1,000,000	Cash distributions	\$40,467
2.1	TIAA Traditional	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.2	CREF Stock Fund CI R2	See Endnote	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.3	CREF Money Market Fund CI R3		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	Vanguard Institutional Target Retirement 2015 Fund Inst CI VITVX		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.5	Vanguard Target Retirement Income Trust Plus		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Art Collection - Works on paper, oils, canvas		N/A	\$250,001 - \$500,000		None (or less than \$201)
2	Merrill Lynch Bank Deposit Program	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Bank of America Preferred Deposit Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
4	Chevron Corporation Stock CVX		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5	Cincinnati Bell Inc. Preferred Series B Stock CBBPRB		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6	Constellation Brands, Inc. Stock STZ	See Endnote	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7	Disney Company Stock DIS	See Endnote	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8	Eaton Corporation PLC Stock ETN	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9	Honeywell International Inc. Stock HON	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10	Johnson and Johnson Services, Inc. Stock JNJ	See Endnote	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
11	Motorola Solutions, Inc. Stock MSI	See Endnote	No	Over \$1,000,000	Dividends Capital Gains	\$50,001 - \$100,000
12	Pfizer, Inc. Stock PFE		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13	Thermo Fisher Scientific Inc.	See Endnote	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
14	UGI Corporation Stock UGI	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
15	BB&T Bank Accounts		No	\$15,001 - \$50,000		None (or less than \$201)
16	UnitedHealth Group Inc. Stock UNH	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
17	JPMorgan Chase & Co. Stock JPM	See Endnote	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	Lockheed Martin Corporation Stock LMT	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19	Microsoft Corporation Stock MSFT	See Endnote	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
20	NextEra Energy, Inc. Stock NEE		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
21	The Toronto-Dominion Bank Stock TD	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
22	Visa Inc. Cl A Stock V		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23	3M Company Stock MMM	See Endnote	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
24	Raytheon Company Stock RTN	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
25	Royal Dutch Shell PLC Stock RDS.A	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
26	CD - Flushing Bank, Uniondale, NY	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
27	CD - East West Bank, Pasadena, CA	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
28	Ecolab Inc. Stock ECL	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
29	ONEOK, Inc. Stock OKE	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
30	Prologis, Inc. Stock PLD	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31	Cohen & Steers Infrastructure Fund UTF	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	Wells Fargo and Company Bonds	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
33	JP Morgan Chase & Co. Bonds	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
34	American Express Credit Corporation Bonds	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
35	CD - Bank of India, New York, NY	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
36	CD - Key Bank National Association, Cleveland, OH	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
37	CD - Sallie Mae Bank, Newark, DE	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
38	Exxon Mobil Corporation Stock XOM	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
39	Iron Mountain REIT Incorporated Stock IRM	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
40	JP Morgan Chase and Co. Bonds, 2.2% Oct 22 2019	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
41	Target Corporation Stock TGT	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
42	The Toronto-Dominion Bank Bonds	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
43	Merrill Lynch Individual Retirement Rollover Account		N/A	\$15,001 - \$50,000	Cash distributions	\$922
43.1	Bank of America Account	See Endnote	No			None (or less than \$201)
43.2	AIG Focused Dividend Strategy Fund Class W FDSWX		Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43.3	Alger Capital Appreciation Fund Class Z ACAZX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
43.4	American Beacon Bridgeway Large Cap Value Fund Y Class BWLYX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
43.5	Hennessy Focus Fund Institutional Class HFCIX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
43.6	Parnassus Endeavor Fund Institutional Shares PPWXX	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	CD - Flushing Bank, Uniondale, NY - REDEEMED	See Endnote		01/07/2019	\$100,001 - \$250,000
2	CD - Home Savings Bank, Youngstown, OH	See Endnote	Purchase	01/02/2019	\$1,001 - \$15,000
3	ONEOK, Inc. Stock OKE	See Endnote	Purchase	02/01/2019	\$15,001 - \$50,000
4	CD - East West Bank, Pasadena, CA - REDEEMED	See Endnote		01/28/2019	\$100,001 - \$250,000
5	3M Company Stock MMM	See Endnote	Sale	02/01/2019	\$15,001 - \$50,000
6	CD - Key Bank National Association, Cleveland, OH		Purchase	02/06/2019	\$100,001 - \$250,000
7	CD - Sallie Mae Bank, Newark, DE		Purchase	02/06/2019	\$100,001 - \$250,000
8	Iron Mountain REIT Incorporated Stock IRM	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
9	CD - Key Bank National Association, Cleveland, OH - REDEEMED	See Endnote		03/06/2019	\$100,001 - \$250,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
10	Ecolab Inc. Stock ECL	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
11	Disney Company Stock DIS	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
12	Microsoft Corporation Stock MSFT	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
13	Prologis, Inc. Stock PLD	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
14	Thermo Fisher Scientific, Inc. Stock TMO	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
15	Royal Bank of Canada Stock RY	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
16	Constellation Brands, Inc. Stock STZ	See Endnote	Sale	03/12/2019	\$15,001 - \$50,000
17	Target Corporation Stock TGT	See Endnote	Purchase	03/12/2019	\$1,001 - \$15,000
18	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	03/12/2019	\$15,001 - \$50,000
19	UnitedHealth Group Inc. Stock UNH	See Endnote	Sale	03/12/2019	\$15,001 - \$50,000
20	CD - Bank of India, New York, NY	See Endnote	Purchase	03/19/2019	\$100,001 - \$250,000
21	CD - Home Savings Bank, Youngstown, OH - REDEEMED	See Endnote		02/04/2019	\$1,001 - \$15,000
22	Exxon Mobil Corporation Stock XOM	See Endnote	Purchase	04/03/2019	\$1,001 - \$15,000
23	Target Corporation Stock TGT	See Endnote	Purchase	04/03/2019	\$1,001 - \$15,000
24	UnitedHealth Group Inc. Stock UNH	See Endnote	Sale	04/18/2019	\$15,001 - \$50,000
25	Dell Technologies Inc. Stock CI C DELL	See Endnote	Purchase	04/18/2019	\$1,001 - \$15,000
26	CD - Sallie Mae Bank, Newark, DE REDEEMED	See Endnote		04/08/2019	\$100,001 - \$250,000
27	UnitedHealth Group Inc. Stock UNH	See Endnote	Sale	04/03/2019	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
28	American Express Credit Corporation Bonds SER GMTN GLB 2.25%	See Endnote	Purchase	04/18/2019	\$100,001 - \$250,000
29	Prologis, Inc. Stock PLD	See Endnote	Purchase	04/18/2019	\$1,001 - \$15,000
30	JP Morgan Chase and Co. Bonds, 2.2% Oct 22 2019	See Endnote	Purchase	06/17/2019	\$100,001 - \$250,000
31	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	06/17/2019	\$100,001 - \$250,000
32	The Toronto-Dominion Bank Bonds, 1.9% Oct 24 2019	See Endnote	Purchase	06/25/2019	\$100,001 - \$250,000
33	CD - Bank of India, New York, NY REDEEMED	See Endnote		06/19/2019	\$100,001 - \$250,000
34	Lincoln National Corporation Stock LNC	See Endnote	Purchase	06/25/2019	\$15,001 - \$50,000
35	PayPal Holdings, Inc. Stock PYPL	See Endnote	Purchase	06/25/2019	\$15,001 - \$50,000
36	Dell Technologies Inc. Stock CI C DELL	See Endnote	Sale	06/25/2019	\$1,001 - \$15,000
37	Iron Mountain REIT Incorporated Stock IRM	See Endnote	Sale	06/25/2019	\$1,001 - \$15,000
38	American Express Credit Corporation Bonds SER GMTN GLB 2.25% - REDEEMED	See Endnote		08/15/2019	\$100,001 - \$250,000
39	Aqua America, Inc. Stock WTR	See Endnote	Purchase	08/21/2019	\$15,001 - \$50,000
40	Microsoft Corporation Stock MSFT	See Endnote	Purchase	08/21/2019	\$1,001 - \$15,000
41	Wells Fargo and Company Bonds SER N 2.15%	See Endnote	Purchase	08/21/2019	\$100,001 - \$250,000
42	Lincoln National Corporation Stock LNC	See Endnote	Sale	08/21/2019	\$15,001 - \$50,000
43	Royal Bank of Canada Stock RY	See Endnote	Sale	08/21/2019	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
44	Royal Dutch Shell PLC Stock RDS.A	See Endnote	Sale	08/21/2019	\$15,001 - \$50,000
45	Target Corporation Stock TGT	See Endnote	Sale	08/21/2019	\$15,001 - \$50,000
46	PayPal Holdings, Inc. Stock PYPL	See Endnote	Sale	08/21/2019	\$15,001 - \$50,000
47	JP Morgan Chase & Co. Bonds 4.95% Mar 25 2020	See Endnote	Purchase	10/28/2019	\$100,001 - \$250,000
48	JP Morgan Chase and Co. Bonds, 2.2% - REDEEMED	See Endnote		10/22/2019	\$100,001 - \$250,000
49	American Tower Corporation Stock AMT	See Endnote	Purchase	10/28/2019	\$15,001 - \$50,000
50	Exxon Mobil Corporation Stock XOM	See Endnote	Purchase	10/28/2019	\$1,001 - \$15,000
51	The Toronto-Dominion Bank Bonds, 1.9% - REDEEMED	See Endnote		10/24/2019	\$100,001 - \$250,000
52	Cohen & Steers Infrastructure Fund UTF	See Endnote	Purchase	12/11/2019	\$1,001 - \$15,000
53	Disney Company Stock DIS	See Endnote	Purchase	12/11/2019	\$15,001 - \$50,000
54	Microsoft Corporation Stock MSFT	See Endnote	Purchase	12/11/2019	\$15,001 - \$50,000
55	Motorola Solutions, Inc. Stock MSI - GIFT	See Endnote		12/09/2019	\$15,001 - \$50,000
56	Prologis, Inc. Stock PLD	See Endnote	Purchase	12/11/2019	\$1,001 - \$15,000
57	American Tower Corporation Stock AMT	See Endnote	Sale	12/11/2019	\$15,001 - \$50,000
58	Exxon Mobil Corporation Stock XOM	See Endnote	Sale	12/11/2019	\$15,001 - \$50,000
59	Aqua America, Inc. Stock WTR	See Endnote	Sale	12/11/2019	\$15,001 - \$50,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T Bank, Winston-Salem, NC	Mortgage on Personal Residence	\$50,001 - \$100,000		3.25%	ARM

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
2.	1	Value not readily ascertainable. Filer began receiving benefits in October 2017.
2.	2	Value is not readily ascertainable. Filer began receiving benefits in June 2019.
5.	2	Aggregates TIAA-CREF plans for former employers WGBH, Boston, MA and UNC at Chapel Hill/UNC-TV.
5.	2.1	TIAA Traditional has been mistakenly reported in the past as an EIF on advice of reviewer. Corrected this year to "N/A," per OGE's Public Financial Disclosure Guide.
5.	2.2	Value category changed due to market forces.
6.	2	Merrill Lynch's Bank Deposit Program is with Bank of America. Cash account.
6.	3	Cash account. Listed for tracking purposes.
6.	6	One sale in 2019, see transactions.
6.	7	Valuation increase from 2019 annual report due to 2 accretions - see Transactions.

PART	#	ENDNOTE
6.	8	Valuation increase from 2019 annual report due to market forces.
6.	9	Valuation increase from 2019 annual report due to market forces.
6.	10	Valuation increase from 2019 annual report due to market forces.
6.	11	Two partial sales and one gift of stock during 2019 - see transactions. Valuation increase from 2019 annual report due to market forces.
6.	13	One accretion in 2019 - see transaction.
6.	14	Valuation decrease from 2019 annual report due to market forces. Note that 2019 report also says there was a valuation decrease from 2018 to 2019, but that is an error. There was a valuation increase due to market forces from 2018 to 2019.
6.	16	All sold, asset not owned as of 12/31/2019.
6.	17	Valuation increase from 2019 annual report due to market forces.
6.	18	Valuation increase from 2019 annual report due to market forces.
6.	19	Valuation increase from 2019 annual report due to 3 accretions - see transactions.
6.	21	Valuation increase from 2019 annual report due to market forces.
6.	23	All sold, asset not owned as of 12/31/2019.
6.	24	Valuation increase from 2019 annual report due to market forces.
6.	25	All sold, asset not owned as of 12/31/2019.
6.	26	CD was purchased on December 7, 2018, and sold January 2019.
6.	27	Redeemed January 2019. CD was purchased on December 28, 2018.
6.	28	New in 2019.
6.	29	New in 2019.
6.	30	New in 2019 - 3 separate transactions.
6.	31	New in 2019.
6.	32	New. Purchased August 2019; matures January 2020.

PART	#	ENDNOTE
6.	33	This tranche of JP Morgan Chase bonds was purchased in October 2019 with a redemption date of March 2020. Another tranche of JP Morgan Chase bonds was bought and redeemed in 2019 and is listed separately in this Section.
6.	34	Bought and redeemed in 2019.
6.	35	Bought and redeemed in 2019.
6.	36	Purchased and redeemed in 2019.
6.	37	Bought and redeemed in 2019.
6.	38	Bought as new stock and all sold in 2019 - see 2 purchase and 1 sale transactions.
6.	39	Bought as new stock and all sold in 2019 - 2 transactions.
6.	40	Bought and redeemed in 2019. This tranche of JP Morgan Chase bonds is different than the bonds listed above that were purchased in October 2019 with a redemption date of March 2020.
6.	41	Bought and sold all in 2019 - 2 purchase transactions and 1 sale transaction.
6.	42	Bought and redeemed in 2019.
6.	43.1	Cash/sweeps account. Listed for tracking purposes.
7.	1	Interest earned prior to redemption > \$200. CD was purchased on December 7, 2018. This transaction occurred > 45 days ago, although notice was received via broker's statement < 30 days ago. The transaction is being reported for the filer's convenience; it is not required to be reported on the 278-T.
7.	2	Redemption date is February 4, 2019. Notice of redemption not received by date of filing this 278-T. This transaction occurred > 45 days ago, although notice was received via broker's statement < 30 days ago. The transaction is being reported for the filer's convenience; it is not required to be reported on the 278-T.
7.	3	New.
7.	4	Interest earned prior to redemption > \$200. CD was purchased on December 28, 2018.
7.	5	All sold. Cap gains > \$1,000 earned prior to sale.
7.	8	New.
7.	9	CD purchased in February 2019. Interest earned prior to redemption > \$200.
7.	10	New.

PART	#	ENDNOTE
7.	11	Accretion to existing stock holding.
7.	12	Accretion.
7.	13	New.
7.	14	Accretion.
7.	15	New.
7.	16	Partial sale of overall holdings (135 shares). No cap gains, < \$201 in dividends on these shares.
7.	17	New.
7.	18	Partial sale of overall holdings (200 shares). Cap gains on these shares > \$5,000.
7.	19	Partial sale of overall holdings (130 shares). No cap gains earned on these shares. Dividend on these shares prior to sale < \$201.
7.	20	Redemption date is June 2019.
7.	21	CD was purchased in January 2019. This transaction occurred > 45 days ago and is being reported for the filer's convenience; it is not required to be reported on the 278-T. Interest earned < \$201. Therefore, this asset will not be listed under "Other Assets" on 2020 annual 278.
7.	22	New.
7.	23	Accretion.
7.	24	All remaining stock sold in this transaction. Cap gains and dividends earned in 2019 prior to this and the 4/3 sale > \$15,000.
7.	25	New.
7.	26	CD was purchased in February 2019. Interest earned prior to redemption > \$200.
7.	27	Partial sale.
7.	28	New. Redemption date is August 15, 2019.
7.	29	Accretion.
7.	30	New.

PART	#	ENDNOTE
7.	31	Partial sale. Dividends earned prior to sale = \$419. Capital gains earned > \$50,000.
7.	32	New.
7.	33	Purchased March 2019. Interest earned prior to redemption > \$1,000.
7.	34	New.
7.	35	New.
7.	36	Stock was purchased in March 2019 and all shares sold here. Income earned prior to sale < \$201. Therefore, this stock will not be listed under "Other Assets" on 2020 annual 278.
7.	37	Stock was purchased in March 2019 and all shares sold here. Dividends earned prior to sale was > \$200.
7.	38	Interest earned prior to redemption > \$1,000.
7.	39	New.
7.	40	Accretion.
7.	41	New. Bonds mature January 30, 2020.
7.	42	New in 2019 - purchased June - and all sold now. No cap gains earned and dividends earned prior to sale < \$201. Therefore, this stock will not be listed under "Other Assets" on 2020 annual 278.
7.	43	New in 2019 - purchased in March - and all sold now. No cap gains earned and dividends earned prior to sale < \$201. Therefore, this stock will not be listed under "Other Assets" on 2020 annual 278.
7.	44	All sold. No cap gains earned and 2019 dividends prior to sale > \$200.
7.	45	New in 2019 - purchases in March and April - and all sold now. Cap gains and dividends earned prior to sale > \$1,000.
7.	46	New in 2019 - purchased June - and all sold now. No cap gains or dividends earned prior to sale. Therefore, this stock will not be listed under "Other Assets" on 2020 annual 278.
7.	47	New.
7.	48	Purchased in June 2019. Interest earned prior to redemption > \$1,000.
7.	49	New. REIT.
7.	50	Accretion to stock initially purchased in April 2019.



PART	#	ENDNOTE
7.	51	Purchased in June 2019. Interest earned prior to redemption > \$1,000.
7.	52	New.
7.	53	Accretion.
7.	54	Accretion.
7.	55	Shares were gifted by filer's spouse.
7.	56	Accretion.
7.	57	REIT. Stock was purchased in October 2019 and all shares now sold. No 2019 income prior to sale. Therefore, this stock will not be listed under "Other Assets" on 2020 annual 278.
7.	58	Stock initially purchased in April 2019, with accretion in October 2019. All shares now sold. 2019 dividends earned prior to sale > \$200.
7.	59	Stock was purchased in August 2019 and all shares now sold. No cap gains and 2019 dividends prior to sale < \$201. Therefore, this stock will not be listed under "Other Assets" on 2020 annual 278.

# 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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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).

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