

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

Filer's Information

Wallace, Andrew G

Special Assistant to the President, White House - Biden-Harris Administration

Report Year: 2024

Other Federal Government Positions Held During the Preceding 12 Months:

Director of Congressional and Legislative Affairs, U.S. Department of the Interior (1/2021 - 3/2024)

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/ Wallace, Andrew G [electronically signed on 04/15/2024 by Wallace, Andrew G 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/ Yoon, James J, Certifying Official [electronically signed on 05/11/2024 by Yoon, James J in Integrity.gov]

Other review conducted by

/s/ Yoon, James J, Ethics Official [electronically signed on 05/11/2024 by Yoon, James J in Integrity.gov]

Data Revised 05/11/2024

Data Revised 05/10/2024

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	abdn Physical Platinum Shares ETF (PPLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	iShares Short Treasury Bond ETF (SHV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	DoubleLine Income Solutions Fund (DSL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Harding Loevner Emerging Markets Portfolio Advisor Class (HLEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	T. Rowe Price Small-Cap Value Fund (PRSVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	Matthews Asian Growth and Income Fund Investor Class (MACSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Parnassus Mid Cap Growth Fund - Investor (PARNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Matthews EM Sm Coms Inv (MSMLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Cash Balance	N/A	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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	The Alpine Group (Government Relations firm)	N/A		salary, bonus	
2	Alpine Group, Defined Contribution Plan	No			
2.1	Principal LifeTime Hybrid 2040 CIT Z85	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3	Traditional IRA	No			
3.1	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Spouse Roth IRA	No			
4.1	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Public Policy Holding Company (PPHC), 44075 options, 1/3rd vesting each in 5/25, 5/26, and 5/27 (value not readily ascertainable)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Public Policy Holding Company (PPHC), 362009 restricted stock awards, with 20% vesting annually starting on 10/24 (value not readily ascertainable)	N/A	None (or less than \$1,001)		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	U.S. bank #2 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
3	U.S. bank #3 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	U.S. bank #4 (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
5	Hennessy Fund	No			
5.1	Hennessy Cornerstone Value Fund Investor Class Shares (HFCVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.2	Hennessy Cornerstone Growth Fund Investor Class Shares (HFCGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Bridgeway Small-Cap Growth Fund (BRSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	AT&T (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	VA College Savings 529 Account - Plan # 1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	Vanguard LifeStrategy Moderate Growth Fund Investor Shares (VSMGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	VA College Savings 529 Account - Plan #2	No			
10.1	Virginia 529 2030 Portfolio (James River)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11	Joint Brokerage Account 1	No			
11.1	Amyris, Inc. (AMRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.2	FuelCell Energy, Inc. (FCEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.3	Pacific Biosciences of California, Inc. (PACB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.4	Ballard Power Systems Inc. (BLDP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.5	Baidu, Inc. (BIDU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.6	Codexis, Inc. (CDXS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.7	iRobot Corp. (IRBT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.8	Embraer S.A. (ERJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
11.9	MercadoLibre, Inc. (MELI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.10	Nintendo Co., Ltd. (NTDOY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
11.11	Jumia Technologies AG (JMIA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.12	Bloom Energy Corporation (BE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.13	3D Systems Corp. (DDD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.14	Marrone Bio Innovations, Inc. (MBII)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.15	Oceaneering International, Inc. (OII)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.16	Autodesk, Inc. (ADSK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.17	Intellia Therapeutics, Inc. (NTLA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.18	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.19	Stratasys Ltd. (SSYS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.20	Lynas Rare Earths (LYSDY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.21	Yandex (YNDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.22	Dr Reddy (RDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.23	Sociedad Qumica y Minera de Chile S.A. (SQM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
11.24	Sony Corp (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.25	Ocean Power Technologies, Inc. (OPTT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.26	Exelixis, Inc. (EXEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.27	FireEye, Inc. (FEYE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.28	Cameco Corp (CCJ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.29	Plus Products (PLPRF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.30	Editas Medicine, Inc. (EDIT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.31	Neo Performance Materials (NOPMF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11.32	Ekso Bionics Holdings, Inc. (EKSO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.33	BYD Co (BYDDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.34	Odyssey Marine Exploration, Inc. (OMEX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.35	Geron Corp. (GERN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.36	Eco Petrol (EC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11.37	Reed's, Inc. (REED)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.38	iShares Short Treasury Bond ETF (SHV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.39	Cash Balance	N/A	\$100,001 - \$250,000		None (or less than \$201)
12	Joint Brokerage Account 2	No			
12.1	General Electric Co. (GE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.2	Baidu, Inc. (BIDU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.3	Fanuc Corporation (FANUY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.4	HSBC Holdings PLC (HSBC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.5	Toronto Dominion Bank (TD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.6	Kellogg Co. (K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.7	Sony Corp (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.8	Siemens AG (SIEGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.9	Hain Celestial Group, Inc. (HAIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.10	State Street Corp. (STT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.11	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.12	Cardinal Health, Inc. (CAH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.13	AP Moller Maersk (AMKBY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.14	BASF SE (BASFY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.15	Cemex SAB (CX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.16	Vodafone (VOD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.17	GlaxoSmithKline (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.18	Panasonic Corp (PCRFY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.19	American International Group, Inc. (AIG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.20	The Bank of New York Mellon Corporation (BK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.21	Oceaneering International, Inc. (OII)	N/A	\$15,001 - \$50,000		None (or less than \$201)
12.22	Caterpillar, Inc. (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.23	Danone (DANOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.24	Deere & Co. (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.25	Nutrien (NTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.26	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.27	Freeport-McMoRan, Inc. (FCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.28	Cameco Corp (CCJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.29	Bayer AG (BAYRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.30	UBS Group (UBS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.31	Howmet Aerospace (HWM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.32	Lenovo Group Limited (LNVGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.33	Banco Colombia (CIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.34	Standard Chartered PLC (SCBFF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.35	Mitsubishi UFJ Financial Group, Inc. (MUFG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.36	Wells Fargo & Co. (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.37	MTN Group Limited (MTNOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.38	LafargeHolcim Ltd (HCMLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.39	ICICI Bank Limited (IBN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.40	Veolia Environnement S.A. (VEOEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.41	ABB Ltd (ABB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.42	Banco Bilbao Vizcaya Argentaria, S.A. (BBVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.43	AT&T (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.44	Alcoa Corp. (AA)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
12.45	Banco Latinoamericano de Comercio Exterior, S.A (BLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.46	Anheuser-Busch InBev SA/NV (BUD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.47	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.48	Suez SA (SZSAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.49	QUALCOMM, Inc. (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.50	Credit Suisse Group AG (CS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.51	Koninklijke Philips N.V. (PHG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.52	Tecnoglass, Inc. (TGLS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.53	Western Digital Corp. (WDC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.54	Illumina, Inc. (ILMN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
12.55	Weyerhaeuser Co. (WY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.56	Telefonaktiebolaget LM Ericsson (publ) (ERIC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.57	Itau Unibanco (ITUB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.58	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.59	Emerson Electric Co. (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.60	HP, Inc. (HPQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.61	Nokia Corporation (NOK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.62	Vivendi SE (VIVHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.63	Atlantia SpA (ATASY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.64	MetLife, Inc. (MET)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.65	Pentair Plc (PNR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.66	Atlantica (AY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.67	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.68	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.69	WisdomTreeEmerging Markets Local Debt Fund (ELD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.70	iShares Short Treasury Bond ETF (SHV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.71	VanEck Vectors Africa Index ETF (AFK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.72	Invesco WilderHill Clean Energy ETF (PBW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.73	iShares MSCI South Korea ETF (EWY)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.74	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.75	WisdomTree India Earnings Fund (EPI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.76	iShares MSCI Brazil ETF (EWZ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.77	iShares MSCI Indonesia ETF (EIDO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.78	First Trust NASDAQ Cybersecurity ETF (CIBR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.79	Global X Robotics & Artificial Intelligence ETF (BOTZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.80	Global X MSCI Nigeria ETF (NGE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.81	Fidelity New Markets Income Fund (FNMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.82	Cash Balance	N/A	\$100,001 - \$250,000		None (or less than \$201)
13	Bridgeway Small-Cap Value Fund (BRSVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14	American BeaconBridgeway Large Cap Value Fund Class R5 Shares (BRLVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15	Brokerage Account	No			
15.1	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
15.2	Vanguard/Wellington Fund, Inc Investor Shares (VWELX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16	Nationwide Risk-Managed Income ETF (NUSI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	WisdomTree Managed Futures Strategy Fund (WTMF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	Rocket Lab USA Inc. (RKLB)		N/A	\$15,001 - \$50,000		None (or less than \$201)
19	New 23andMe (ME)		N/A	\$1,001 - \$15,000		None (or less than \$201)
20	The metals company Inc (TMC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Origin Materials (ORGN)		N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Astra Space Inc (HOL)		N/A	\$1,001 - \$15,000		None (or less than \$201)
23	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
24	Plus Products Inc (PLPRF)		N/A	\$1,001 - \$15,000		None (or less than \$201)
25	China Mobile Ltd (CTMA)		N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Global X NASDAQ 100 Covered Call ETF (QYLD)		Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Desktop Metal (DM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
28	Ginkgo Bioworks Holdings Inc. Class A Common Stock (DNA)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	Planet Labs PBC Class A Common Stock (PL)		N/A	\$1,001 - \$15,000		None (or less than \$201)
30	East Japan Railway ADR (EJPRY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
31	Credit Suisse Silver Shares Covered Call ETN (SLVO)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	Proto Labs, Inc. (PRLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	Kawasaki Heavy Industries (KWHIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	Toray Industries ADR (TRYIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	Korea Electric Power Corporation Common Stock (KEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	Prudential Public Limited Company Common Stock (PUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	Subaru ADR (FUJHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	Tilray Brands Inc. Class 2 Common Stock (TLRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	Heidelberg Materials (HDELY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	Nomura Holdings Inc ADR American Depositary Shares (NMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	Buenaventura Mining Company Inc. (BVN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	Grupo Televisa S.A. Common Stock (TV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	PIMCO Active Bond Exchange-Traded Fund (BOND)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
44	C3.Ai Inc (AI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
45	Honda Motor Company Ltd. Common Stock (HMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	Glass House Brands (GLASF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	iShares 7-10 Year Treasury Bond ETF (IEF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
48	Corbion N.V. (CSNVY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	VanEck Vectors Fallen Angel High Yield Bond ETF (ANGL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
50	Invesco Currency Shares Japanese Yen Trust (FXY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	Heliogen Inc. Common Stock (HLGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
52	iShares Global Infrastructure ETF (IGF)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
53	iSharesJPMorgan USD Emerging Markets Bond ETF (EMB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
54	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
55	Aberdeen Standard Physical Platinum Shares ETF (PPLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
56	U.S. bank #5	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
57	O-I Glass, Inc. (OI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	RiverNorth Opportunities Fund, Inc. (RIV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
59	Largo Inc. Common Shares (LGO)	No	\$1,001 - \$15,000		None (or less than \$201)
60	Johnson Matthey PLC (JMPY)	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61	iShares Frontier and Select EM ETF (FM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
62	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
63	Nuveen AMT-Free Quality Municipal Income Fund (NEA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
64	Nuveen Municipal Value Fund, Inc (NUV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
65	3D Printing ETF (PRNT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
66	iShares 10-20 Year Treasury Bond ETF (TLH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
67	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
68	Global X S&P 500 Covered Call ETF Global X S&P 500 Covered Call ETF (XYLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
69	Matthews China Small Companies Fund Investor Class Shares (MCSMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
70	Emerging Markets Portfolio Advisor Class Shares (HLEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
71	T Rowe Price Small-Cap Value Fund, Inc (PRSVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
72	NVZMY Novozymes ADR	No	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Heliogen Inc. Common Stock (HLGN)	Purchase	01/19/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	Glencore PLC ADR (GLNCY)	Sale	01/20/2023	\$1,001 - \$15,000
3	Heliogen Inc. Common Stock (HLGN)	Purchase	01/30/2023	\$1,001 - \$15,000
4	iRobot Corp. (IRBT)	Purchase	02/14/2023	\$1,001 - \$15,000
5	iRobot Corp. (IRBT)	Purchase	02/15/2023	\$1,001 - \$15,000
6	voxeljet AG American Depositary Shares (VJET)	Sale	02/17/2023	\$1,001 - \$15,000
7	NOPMF - Neo Performance Mate	Purchase	04/12/2023	\$1,001 - \$15,000
8	Editas Medicine, Inc. (EDIT)	Purchase	04/19/2023	\$1,001 - \$15,000
9	Ginkgo Bioworks Holdings Inc. Class A Common Stock (DNA)	Purchase	04/25/2023	\$1,001 - \$15,000
10	Heliogen Inc. Common Stock (HLGN)	Purchase	04/26/2023	\$1,001 - \$15,000
11	General Mills, Inc. (GIS)	Sale	04/27/2023	\$1,001 - \$15,000
12	Ginkgo Bioworks Holdings Inc. Class A Common Stock (DNA)	Purchase	05/10/2023	\$1,001 - \$15,000
13	iRobot Corp. (IRBT)	Purchase	05/17/2023	\$1,001 - \$15,000
14	iRobot Corp. (IRBT)	Purchase	05/24/2023	\$1,001 - \$15,000
15	NOPMF - Neo Performance Mate	Purchase	05/30/2023	\$1,001 - \$15,000
16	Amyris, Inc. (AMRS)	Purchase	04/05/2023	\$1,001 - \$15,000
17	Planet Labs PBC Class A Common Stock (PL)	Purchase	03/21/2023	\$1,001 - \$15,000
18	Ballard Power Systems Inc. Common Shares (BLDP)	Purchase	03/22/2023	\$1,001 - \$15,000
19	Origin Materials Inc. Common Stock (ORGN)	Purchase	03/13/2023	\$1,001 - \$15,000
20	Ginkgo Bioworks Holdings Inc. Class A Common Stock (DNA)	Purchase	03/15/2023	\$1,001 - \$15,000
21	Rocket Lab USA Inc. Common Stock (RKLB)	Purchase	03/17/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	RiverNorth Opportunities Fund, Inc. (RIV)	Purchase	06/14/2023	\$15,001 - \$50,000
23	Amyris, Inc. (AMRS)	Purchase	06/20/2023	\$1,001 - \$15,000
24	Amyris, Inc. (AMRS)	Purchase	06/29/2023	\$1,001 - \$15,000
25	Illumina, Inc. (ILMN)	Purchase	07/07/2023	\$1,001 - \$15,000
26	Illumina, Inc. (ILMN)	Purchase	07/12/2023	\$1,001 - \$15,000
27	Largo Inc. Common Shares (LGO)	Purchase	07/14/2023	\$1,001 - \$15,000
28	Ocean Power Technologies, Inc. (OPTT)	Purchase	07/17/2023	\$1,001 - \$15,000
29	Largo Inc. Common Shares (LGO)	Purchase	07/19/2023	\$1,001 - \$15,000
30	Illumina, Inc. (ILMN)	Purchase	09/06/2023	\$1,001 - \$15,000
31	JMPLY Johnson Matthey ADR	Purchase	09/06/2023	\$1,001 - \$15,000
32	NVZMY Novozymes ADR	Purchase	09/06/2023	\$1,001 - \$15,000
33	Illumina, Inc. (ILMN)	Purchase	09/20/2023	\$1,001 - \$15,000
34	Astra Space Inc. Class A Common Stock (ASTR)	Purchase	09/26/2023	\$1,001 - \$15,000
35	JMPLY Johnson Matthey ADR	Purchase	09/27/2023	\$1,001 - \$15,000
36	NVZMY Novozymes ADR	Purchase	10/03/2023	\$1,001 - \$15,000
37	JMPLY Johnson Matthey ADR	Purchase	10/03/2023	\$1,001 - \$15,000
38	Origin Materials Inc. Common Stock (ORGN)	Purchase	10/04/2023	\$1,001 - \$15,000
39	ENGIY Engie SA ADR	Sale	09/26/2023	\$1,001 - \$15,000
40	Desktop Metal Inc. Class A Common Stock (DM)	Sale	12/05/2023	\$1,001 - \$15,000
41	CSNVY Corbion NV ADR	Purchase	12/12/2023	\$1,001 - \$15,000
42	HCMLY Holcim Ltd New ADR	Sale	12/12/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
43	SIEGY Siemens A G ADR		Sale	12/18/2023	\$1,001 - \$15,000
44	Heidelberg Materials (HDELY)		Sale	12/28/2023	\$1,001 - \$15,000
45	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT) (Multiple Purchases)	See Endnote	Purchase	04/15/2023	\$1,001 - \$15,000
46	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT) (Multiple Sales)	See Endnote	Sale	02/04/2023	\$1,001 - \$15,000
47	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)		Sale	07/15/2023	\$15,001 - \$50,000
48	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)		Sale	12/29/2023	\$15,001 - \$50,000
49	iShares Frontier and Select EM ETF (FM)		Purchase	05/04/2023	\$1,001 - \$15,000
50	iShares Frontier and Select EM ETF (FM))		Purchase	05/30/2023	\$1,001 - \$15,000
51	iShares 3-7 Year Treasury Bond ETF (IEI)		Purchase	02/17/2023	\$1,001 - \$15,000
52	Nuveen AMT-Free Quality Municipal Income Fund (NEA) (Multiple Purchases)		Purchase	06/14/2023	\$1,001 - \$15,000
53	Nuveen Municipal Value Fund, Inc (NUV) (Multiple)		Purchase	10/10/2023	\$1,001 - \$15,000
54	3D Printing ETF (PRNT)		Purchase	06/07/2023	\$1,001 - \$15,000
55	iShares 10-20 Year Treasury Bond ETF (TLH) (Multiple Purchases)		Purchase	03/01/2023	\$1,001 - \$15,000
56	iShares 20+ Year Treasury Bond ETF (TLT) (Multiple Purchases)		Purchase	08/07/2023	\$1,001 - \$15,000
57	Global X S&P 500 Covered Call ETF Global X S&P 500 Covered Call ETF (XYLD) (Multiple Purchases)		Purchase	01/12/2023	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	28	Formerly Zymergen, Inc. (ZY), acquired by Gingko Bioworks (DNA) in 2022.
7.	45	Multiple purchases throughout CY2023. All within the \$1,001-\$15,000 range.
7.	46	Multiple sales throughout CY2023. All within the \$1,001-\$15,000 range.

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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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

5 U.S.C. § 13101 et seq., 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 5 U.S.C. §§ 13107 and § 13122(b)(1) 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 13989 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) 250 E Street, S.W., Suite 750, Washington, DC 20024-3249.

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 (that control number 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
