

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Kennedy, Caroline B

Ambassador to Australia, Department of State

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/ Kennedy, Caroline B [electronically signed on 08/29/2022 by Kennedy, Caroline B 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/ Mann, Judy, Certifying Official [electronically signed on 09/15/2022 by Mann, Judy in Integrity.gov]

Other review conducted by

/s/ Mann, Judy, Ethics Official [electronically signed on 09/15/2022 by Mann, Judy in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 10/17/2022 by Granahan, Megan in Integrity.gov]

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	BK OF AMER CORP SR NTS MTN 4.1% 07/24/2023 DTD 07/23/2013	Purchase	08/01/2022	No	\$1,001 - \$15,000
2	M&T BK CORP SR NTS 3.55% 07/26/2023 DTD 07/26/2018	Purchase	07/28/2022	Yes	\$1,001 - \$15,000
3	CAP ONE FINL CO SR NTS 3.5% 06/15/2023 DTD 09/20/2013	Purchase	07/27/2022	Yes	\$1,001 - \$15,000
4	LYB INTL FIN BV 4.0% 07/15/2023 DTD 07/16/2013	Purchase	07/21/2022	Yes	\$1,001 - \$15,000
5	AMERN EXPRESS CO SR NTS 3.4% 02/27/2023 DTD 02/27/2018	Purchase	07/21/2022	Yes	\$1,001 - \$15,000
6	BALTIMORE GAS & ELEC SR NTS 3.35% 07/01/2023 DTD 06/17/2013	Purchase	07/21/2022	Yes	\$1,001 - \$15,000
7	FREEPORT-MCMORAN INC 3.875% 03/15/2023 DTD 10/09/2013	Purchase	07/21/2022	Yes	\$1,001 - \$15,000
8	ABBVIE INC SR NTS 2.85% 05/14/2023 DTD 05/12/2016	Purchase	07/21/2022	Yes	\$1,001 - \$15,000
9	AUTOZONE INC SR NTS 3.125% 07/15/2023 DTD 04/29/2013	Purchase	07/20/2022	Yes	\$1,001 - \$15,000
10	PEPSICO INC SR NTS 0.75% 05/01/2023 DTD 05/01/2020	Purchase	07/20/2022	Yes	\$1,001 - \$15,000
11	FIFTH THIRD BANCORP SR NTS 1.625% 05/05/2023 DTD 05/05/2020	Purchase	07/20/2022	Yes	\$1,001 - \$15,000
12	PHILIP MORRIS INTL INC SR NTS 2.125% 05/10/2023 DTD 05/10/2016	Purchase	07/19/2022	Yes	\$1,001 - \$15,000
13	UTD PARCEL SVC SR NTS 2.5% 04/01/2023 DTD 11/14/2017	Purchase	07/19/2022	Yes	\$1,001 - \$15,000
14	ATMOS ENERGY CORP SR NTS 0.625% 03/09/2023 DTD 03/09/2021	Purchase	07/19/2022	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
15	SOUTH CO SR NTS 2.95% 07/01/2023 DTD 05/24/2016	Purchase	07/19/2022	Yes	\$1,001 - \$15,000
16	ORACLE CORP SR NTS 3.625% 07/15/2023 DTD 07/16/2013	Purchase	07/18/2022	Yes	\$1,001 - \$15,000
17	MARTIN MARIETTA MATL SR NTS 0.65% 07/15/2023 DTD 07/02/2021	Purchase	07/18/2022	Yes	\$1,001 - \$15,000
18	DELL INT LLC / EMC CORP SR NTS 5.45% 06/15/2023 DTD 06/15/2021	Purchase	07/18/2022	Yes	\$1,001 - \$15,000
19	CONAGRA BRANDS INC SR NTS 3.2% 01/25/2023 DTD 01/25/2013	Purchase	07/18/2022	Yes	\$1,001 - \$15,000
20	L3HARRIS TECH INC SR NTS 3.85% 06/15/2023 DTD 05/01/2020	Purchase	07/18/2022	Yes	\$1,001 - \$15,000
21	TORONTO-DOMINION BK SR NTS MTN 0.75% 06/12/2023 DTD 06/12/2020	Purchase	07/15/2022	Yes	\$1,001 - \$15,000
22	AMERISOURCEBERGEN CORP SR NTS 0.737% 03/15/2023 DTD 03/30/2021	Purchase	07/15/2022	Yes	\$1,001 - \$15,000
23	TIME WARNER ENT SR NTS 8.375% 03/15/2023 DTD 11/05/1993	Purchase	07/15/2022	Yes	\$1,001 - \$15,000
24	GLOBAL PAYMENTS INC SR NTS 4.0% 06/01/2023 DTD 05/11/2018	Purchase	07/15/2022	Yes	\$1,001 - \$15,000
25	ESSEX PORTFOLIO LP 3.25% 05/01/2023 DTD 04/15/2013	Purchase	07/15/2022	Yes	\$1,001 - \$15,000
26	ENERGY TRANSFER LP SR NTS 4.25% 03/15/2023 DTD 03/22/2019	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
27	CHARLES SCHWAB CORP SR NTS 2.65% 01/25/2023 DTD 12/07/2017	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
28	EQUIFAX INC SR NTS 3.95% 06/15/2023 DTD 05/25/2018	Purchase	07/14/2022	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
29	BK OF NY MELLON CORP SR NTS MTN 3.5% 04/28/2023 DTD 04/30/2018	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
30	HP ENTERPRISE CO SR NTS 2.25% 04/01/2023 DTD 09/13/2019	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
31	GEN MOTORS FINL CO SR NTS 4.15% 06/19/2023 DTD 06/19/2018	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
32	ASTRAZENECA PLC SR NTS 0.3% 05/26/2023 DTD 05/28/2021	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
33	AETNA INC SR NTS 2.8% 06/15/2023 DTD 06/09/2016	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
34	MORGAN STANLEY MTN 4.1% 05/22/2023 DTD 05/21/2013	Purchase	07/14/2022	Yes	\$1,001 - \$15,000
35	WESTN UN CO/THE SR NTS 4.25% 06/09/2023 DTD 06/11/2018	Purchase	07/13/2022	Yes	\$1,001 - \$15,000
36	NEXTERA ENERGY CAP 0.65% 03/01/2023 DTD 03/17/2021	Purchase	07/13/2022	Yes	\$1,001 - \$15,000
37	AMERN TOWER CORP SR NTS 3.0% 06/15/2023 DTD 12/08/2017	Purchase	07/12/2022	Yes	\$1,001 - \$15,000
38	FED RLTY INVS TRST SR NTS 2.75% 06/01/2023 DTD 05/09/2013	Purchase	07/12/2022	Yes	\$1,001 - \$15,000
39	Horizon Environment & Climate Solutions I	Sale	07/15/2022	Yes	\$50,001 - \$100,000
40	West Street Global Growth Partners	Sale	07/15/2022	Yes	\$500,001 - \$1,000,000
41	PUT/XSP @ 340 EXP 11/18/2022	Sale	07/14/2022	Yes	\$1,001 - \$15,000
42	PUT/XSP @ 345 EXP 10/31/2022	Sale	07/14/2022	Yes	\$1,001 - \$15,000
43	PUT/XSP @ 415 EXP 07/15/2022	Purchase	07/14/2022	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
44	PUT/XSP @ 376 EXP 08/26/2022	Sale	07/22/2022	Yes	\$1,001 - \$15,000
45	PUT/XSP @ 370 EXP 09/16/2022	Sale	07/26/2022	Yes	\$1,001 - \$15,000
46	PUT/XSP @ 375 EXP 10/21/2022	Sale	08/05/2022	No	\$1,001 - \$15,000
47	TORONTO-DOMINION BK SR NTS MTN 0.75% 06/12/2023 DTD 06/12/2020	Sale	08/26/2022	No	\$1,001 - \$15,000
48	CAP ONE FINL CO SR NTS 3.5% 06/15/2023 DTD 09/20/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
49	BK OF NY MELLON CORP SR NTS MTN 3.5% 04/28/2023 DTD 04/30/2018	Sale	08/26/2022	No	\$1,001 - \$15,000
50	BK OF AMER CORP SR NTS MTN 4.1% 07/24/2023 DTD 07/23/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
51	CHARLES SCHWAB CORP SR NTS 2.65% 01/25/2023 DTD 12/07/2017	Sale	08/26/2022	No	\$1,001 - \$15,000
52	FREEMPORT-MCMORAN INC 3.875% 03/15/2023 DTD 10/09/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
53	FED RLTY INVS TRST SR NTS 2.75% 06/01/2023 DTD 05/09/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
54	ENERGY TRANSFER LP SR NTS 4.25% 03/15/2023 DTD 03/22/2019	Sale	08/26/2022	No	\$1,001 - \$15,000
55	AETNA INC SR NTS 2.8% 06/15/2023 DTD 06/09/2016	Sale	08/26/2022	No	\$1,001 - \$15,000
56	MORGAN STANLEY MTN 4.1% 05/22/2023 DTD 05/21/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
57	M&T BK CORP SR NTS 3.55% 07/26/2023 DTD 07/26/2018	Sale	08/26/2022	No	\$1,001 - \$15,000
58	ATMOS ENERGY CORP SR NTS 0.625% 03/09/2023 DTD 03/09/2021	Sale	08/26/2022	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
59	LYB INTL FIN BV 4.0% 07/15/2023 DTD 07/16/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
60	FIFTH THIRD BANCORP SR NTS 1.625% 05/05/2023 DTD 05/05/2020	Sale	08/26/2022	No	\$1,001 - \$15,000
61	ESSEX PORTFOLIO LP 3.25% 05/01/2023 DTD 04/15/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
62	AMERN EXPRESS CO SR NTS 3.4% 02/27/2023 DTD 02/27/2018	Sale	08/26/2022	No	\$1,001 - \$15,000
63	MARTIN MARIETTA MATL SR NTS 0.65% 07/15/2023 DTD 07/02/2021	Sale	08/26/2022	No	\$1,001 - \$15,000
64	L3HARRIS TECH INC SR NTS 3.85% 06/15/2023 DTD 05/01/2020	Sale	08/26/2022	No	\$1,001 - \$15,000
65	HP ENTERPRISE CO SR NTS 2.25% 04/01/2023 DTD 09/13/2019	Sale	08/26/2022	No	\$1,001 - \$15,000
66	EQUIFAX INC SR NTS 3.95% 06/15/2023 DTD 05/25/2018	Sale	08/26/2022	No	\$1,001 - \$15,000
67	ASTRAZENECA PLC SR NTS 0.3% 05/26/2023 DTD 05/28/2021	Sale	08/26/2022	No	\$1,001 - \$15,000
68	WESTN UN CO/THE SR NTS 4.25% 06/09/2023 DTD 06/11/2018	Sale	08/26/2022	No	\$1,001 - \$15,000
69	PHILIP MORRIS INTL INC SR NTS 2.125% 05/10/2023 DTD 05/10/2016	Sale	08/26/2022	No	\$1,001 - \$15,000
70	ORACLE CORP SR NTS 3.625% 07/15/2023 DTD 07/16/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
71	CONAGRA BRANDS INC SR NTS 3.2% 01/25/2023 DTD 01/25/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
72	DELL INT LLC / EMC CORP SR NTS 5.45% 06/15/2023 DTD 06/15/2021	Sale	08/26/2022	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
73	UTD PARCEL SVC SR NTS 2.5% 04/01/2023 DTD 11/14/2017	Sale	08/26/2022	No	\$1,001 - \$15,000
74	GLOBAL PAYMENTS INC SR NTS 4.0% 06/01/2023 DTD 05/11/2018	Sale	08/26/2022	No	\$1,001 - \$15,000
75	TIME WARNER ENT SR NTS 8.375% 03/15/2023 DTD 11/05/1993	Sale	08/26/2022	No	\$1,001 - \$15,000
76	SOUTHN CO SR NTS 2.95% 07/01/2023 DTD 05/24/2016	Sale	08/26/2022	No	\$1,001 - \$15,000
77	PEPSICO INC SR NTS 0.75% 05/01/2023 DTD 05/01/2020	Sale	08/26/2022	No	\$1,001 - \$15,000
78	NEXTERA ENERGY CAP 0.65% 03/01/2023 DTD 03/17/2021	Sale	08/26/2022	No	\$1,001 - \$15,000
79	INTUIT INC SR NTS 0.65% 07/15/2023 DTD 06/29/2020	Sale	08/26/2022	No	\$1,001 - \$15,000
80	GEN MOTORS FINL CO SR NTS 4.15% 06/19/2023 DTD 06/19/2018	Sale	08/26/2022	No	\$1,001 - \$15,000
81	BALTIMORE GAS & ELEC SR NTS 3.35% 07/01/2023 DTD 06/17/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
82	AUTOZONE INC SR NTS 3.125% 07/15/2023 DTD 04/29/2013	Sale	08/26/2022	No	\$1,001 - \$15,000
83	AMERN TOWER CORP SR NTS 3.0% 06/15/2023 DTD 12/08/2017	Sale	08/26/2022	No	\$1,001 - \$15,000
84	ABBVIE INC SR NTS 2.85% 05/14/2023 DTD 05/12/2016	Sale	08/26/2022	No	\$1,001 - \$15,000
85	PUT/XSP @ 390 EXP 10/07/2022	Sale	08/25/2022	No	\$1,001 - \$15,000
86	PUT/XSP @ 403 EXP 09/30/2022	Sale	08/16/2022	No	\$1,001 - \$15,000
87	PUT/XSP @ 399 EXP 09/23/2022	Sale	08/12/2022	No	\$1,001 - \$15,000

Endnotes

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

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.
