

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Walensky, Rochelle

Director, CDC, Department of Health & Human Services

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Walensky, Rochelle [electronically signed on 04/16/2022 by Walensky, Rochelle 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/ Olesh, Stanley, Certifying Official [electronically signed on 05/16/2022 by Olesh, Stanley in Integrity.gov]

Other review conducted by

/s/ Olesh, Stanley, Ethics Official [electronically signed on 05/16/2022 by Olesh, Stanley in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/12/2022

Data Revised 05/11/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(05/12/2022, Olesh, Stanley): Recusal from particular matters affecting certain cancer treatments (b/c of Aileron Therapeutics and BAKX Therapeutics holdings) still in effect -- SO

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Massachusetts General Physicians Organization	See Endnote	Boston, Massachusetts	Multispecialty Medical Company -- Physician employee group for Mass. Gen. Hosp.	Physician	1/2001	1/2021
2	Harvard University	See Endnote	Cambridge, Massachusetts	University/College	Faculty member	1/2004	1/2021
3	G.B Irrevocable Trust (family trust)		Boston, Massachusetts	Trust	Trustee	1/2006	3/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	MGPA Partners	N/A		CY 2021 Salary Earnings through 1/20/21: 24937.78	\$24,938
2	DODGE & COX INCOME	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	SCH TREAS OBLIGATION MMF INVESTOR SHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	VANGUARD 500 INDEX ADMIRAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	VANGUARD INTERNATIONAL GROWTH ADM	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	VIRTUS VONTOBEL EMERGING MARKETS OPPI I	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	ROYCE PENNSYLVANIA MUTUAL INVMT	Yes	None (or less than \$1,001)		None (or less than \$201)
8	SPDR S&P 500 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	ISHARES US AGGREGATE BOND INDEX	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	VANGUARD INSTITUTIONAL INDEX I	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
11	VANGUARD EXTENDED MARKET INDEX I	Yes	\$50,001 - \$100,000		None (or less than \$201)
12	VANGUARD TOTAL INTERNATIONAL STOCK INDEX I	Yes	\$100,001 - \$250,000		None (or less than \$201)
13	FIDELITY MID CAP INDEX	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	FIDELITY SMALL CAP INDEX	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	FIDELITY 500 FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	ISHARES US AGGREGATE BOND INDEX	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	VANGUARD INSTITUTIONAL INDEX I	Yes	\$100,001 - \$250,000		None (or less than \$201)
18	VANGUARD EXTENDED MARKET INDEX I	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	VANGUARD TOTAL INTERNATIONAL STOCK INDEX I	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	FIDELITY 500 INDEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	iShares Russell 1000 Growth ETF (IWF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	iShares S&P 500 Value ETF (IVE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
24	Schwab IRA Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Massachusetts General Hospital (through Massachusetts General Physicians Organization)	Boston, Massachusetts	"non-employee status" - equivalent to unpaid Leave of Absence in which I maintain office space and an internet address, but no other benefits (linked to Harvard LOA)	1/2021
2	Harvard University	Cambridge, Massachusetts	unpaid Leave of Absence	1/2021

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	Dana-Farber Cancer Institute	N/A		Salary	
2	Haug Partners	N/A		Consulting	
3	Quinne Emanuel	N/A		Consulting	
4	Dana-Farber Cancer Institute	See Endnote		Rent or Royalties	\$15,001 - \$50,000
5	SPDR S&P 500 ETFSPY	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	DODGE & COX INCOMEDODIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	ISHARES MSCI EAFE ETFEFA	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	ISHARES CORE S&P MID-CAPETFIJH	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	ISHARES S&P MID CAP 400 VALUE ETFIJJ	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	ISHARES S&P MID CAP 400 GRWTH ETFIJK	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	ISHARES CORE S&P SMALL-CAP ETFIJR	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	ISHARES S&P SMALL CAP 600 ETFIJS	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	ISHARES RUSSELL 1000 VALUE ETFIWD	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	ISHARES RUSSELL 1000 GROWTH ETFIWF	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	INVESCO GLOBAL CLEAN ENERGY ETFPBD	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	VANGUARD 500 INDEX ADMIRALVFIAX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	VANGUARD FTSE EMERGING MARK ETF IVVWO	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	WASATCH SMALL CAP GROWTH INSTITUTIONALWIAEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	ENERGY SELECT SECTOR SPDR ETFXLE	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	SELECT STR FINANCIAL SELECT SPDR ETFXLF	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	TECHNOLOGY SELECT SECTORS SPDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	FIDELITY GROWTH COMPANY KFGCKX	Yes	\$250,001 - \$500,000		None (or less than \$201)
23	JPM SMALL CAP EQUITY JSERX	Yes	\$100,001 - \$250,000		None (or less than \$201)
24	JPM MIDCAP VALUE FLMVX	Yes	\$100,001 - \$250,000		None (or less than \$201)
25	FIDELITY US BOND INDEX FXNAX	Yes	\$100,001 - \$250,000		None (or less than \$201)
26	FIDELITY INTERNATIONAL INDEX FSPSX	Yes	\$100,001 - \$250,000		None (or less than \$201)
27	FIDELITY 500 FXAIX	Yes	\$250,001 - \$500,000		None (or less than \$201)
28	FIDELITY CONTRAFUND KFCNKX	Yes	\$50,001 - \$100,000		None (or less than \$201)
29	FIDELITY EXTENDED MARKET INDEX FSMAX	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	FIDELITY INTERNATIONAL INDEXFSPSX	Yes	\$15,001 - \$50,000		None (or less than \$201)
31	FIDELITY FREEDOM 2035 kFSNUX	Yes	\$15,001 - \$50,000		None (or less than \$201)
32	FIDELITY US BOND INDEXFXNAX	Yes	\$50,001 - \$100,000		None (or less than \$201)
33	FIDELITY 500 INDEXFXAIX	Yes	\$100,001 - \$250,000		None (or less than \$201)
34	FIDELITY 500 INDEXFXAIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
35	FIDELITY US BOND INDEXFXNAX	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	VANGUARD TOTAL BOND INDEXVBTLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
37	VANGUARD DEVELOPED MARKETS INDEXVMTGX	Yes	\$1,001 - \$15,000		None (or less than \$201)
38	EATON VANCE LARGE CAP VALUEEILVX	Yes	\$15,001 - \$50,000		None (or less than \$201)
39	TECHNOLOGY SELECT SECTORSPDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	ISHARES S&P SMLL CAP 600GRTH ETFIJT	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	SELECT STR FINANCIAL SELECT SPDR ETFXLF	Yes	\$1,001 - \$15,000		None (or less than \$201)
42	ISHARES RUSSELL 1000 GROWTH ETFIWF	Yes	\$50,001 - \$100,000		None (or less than \$201)
43	ISHARES S&P MID CAP 400 VALUE ETFIJJ	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
44	ISHARES CORE S&P MID-CAPETFIJH	Yes	\$1,001 - \$15,000		None (or less than \$201)
45	ISHARES S&P MID CAP 400 GRWTH ETFIJK	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	Unlicensed patents (value not ascertainable)	See Endnote	N/A		None (or less than \$201)
47	Red Queen Therapeutics			Consulting	
48	Lytica Therapeutics			Consulting	\$0
49	BAKX Therapeutics			Consulting	\$0
50	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$50,001 - \$100,000		None (or less than \$201)
52	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		None (or less than \$201)
53	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
54	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
55	ISHARES Core US AGGRGT Bond ETF IV (AGG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
56	iShares S&P 500 Value ETF (IVE)	Yes	\$50,001 - \$100,000		None (or less than \$201)
57	iShares S&P Small-Cap 600 Value ETF (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
58	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
59	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ISHARES S&P 500 VALUE ETFIVE	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	ISHARES S&P 500 GROWTH ETFIVW	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	SPDR S&P DIVIDEND ETFSDY	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	ISHARES SHORT TREASURY BOND ETFSHV	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	TECHNOLOGY SELECT SECTORSPDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	ISHARES CORE S&P SMALL-CAP ETFIJR	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	ISHARES CORE S&P MID-CAPETFIJH	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	ISHARES MSCI EAFE ETFEFA	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	VANGUARD 500 INDEX ADMIRALVFIAX	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	TECHNOLOGY SELECT SECTORSPDR ETF IVXLK	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	VANGUARD SHORT-TERM INVESTMENT-GRADE INVVFSTX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	VICTORY MUNDER MULTI-CAP AMNNAX	Yes	None (or less than \$1,001)		None (or less than \$201)
13	ISHARES RUSSELL 3000 ETFIWV	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	ISHARES CORE US BOND ETFAGG AGGREGATE	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	ISHARES S&P 500 GROWTH ETFIVW	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	ISHARES CORE S&P SMALL-CAP ETFIJR	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	ISHARES CORE S&P MID-CAPETFIJH	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	ISHARES MSCI EAFE ETFEFA	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	ISHARES US REAL ESTATE ETFIYR	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	SPDR S&P 500 ETFSPY	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	ISHARES RUSSELL 3000 ETFIWV	Yes	\$50,001 - \$100,000		None (or less than \$201)
22	ISHARES RUSSELL 1000 VALUE ETFIWD	Yes	\$50,001 - \$100,000		None (or less than \$201)
23	ISHARES CORE S&P MID-CAPETFIJH	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	ISHARES S&P SMALL CAP 600 ETFIJS	Yes	\$15,001 - \$50,000		None (or less than \$201)
25	VANGUARD FTSE ALL WORLD EX US ETFVEU	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26	ISHARES US REAL ESTATE ETFIYR	Yes	\$15,001 - \$50,000		None (or less than \$201)
27	VANGUARD US GROWTH INVESTORVWUSX	Yes	\$15,001 - \$50,000		None (or less than \$201)
28	ISHARES RUSSELL 2000 ETFIWM	Yes	\$15,001 - \$50,000		None (or less than \$201)
29	ISHARES S&P MID CAP 400 GRWTH ETFIJK	Yes	\$15,001 - \$50,000		None (or less than \$201)
30	OAKMARK INSTITUTIONALLOANMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	WASATCH SMALL CAP GROWTH INSTITUTIONALWIAEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
32	VIRTUS VONTOBEL EMERGING MARKETS OPPTS IHIEMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
33	AILERON THERAPEUTICS INC (ALRN) (spousal holding)	N/A	\$15,001 - \$50,000		None (or less than \$201)
34	U.S. Bank Account (Cash Account 1)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
35	U.S. Bank Account (Cash Account 2)	N/A	\$50,001 - \$100,000		None (or less than \$201)
36	Brookline Bank (Joint and children's savings and checking)	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	529 Plan #1 - Invesco Moderate College Portfolio A	Yes	None (or less than \$1,001)		None (or less than \$201)
38	529 Plan #2 - Invesco Moderate College Portfolio A	Yes	\$50,001 - \$100,000		None (or less than \$201)
39	529 Plan #3 - Invesco Moderate College Portfolio A	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
40	BAKX Therapeutics, Inc (spousal holding)	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
41	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)		Yes	\$100,001 - \$250,000		None (or less than \$201)
42	iShares 0-5 Year High Yield Corporate Bond ETF (SHYG)		Yes	\$1,001 - \$15,000		None (or less than \$201)
43	SPDR Bloomberg Barclays Investment Grade Floating Rate ETF (FLRN)		Yes	\$1,001 - \$15,000		None (or less than \$201)
44	iShares 1-3 Year Treasury Bond ETF (SHY)		Yes	\$15,001 - \$50,000		None (or less than \$201)
45	iShares S&P Small-Cap 600 Growth ETF (IJT)		Yes	\$1,001 - \$15,000		None (or less than \$201)
46	iShares US Real Estate ETF (IYR)		Yes	\$1,001 - \$15,000		None (or less than \$201)
47	iShares Core MSCI EAFE ETF (IEFA)		Yes	\$1,001 - \$15,000		None (or less than \$201)
48	iShares S&P 100 ETF (OEF)		Yes	\$1,001 - \$15,000		None (or less than \$201)
49	iShares Russell 1000 Growth ETF (IWF)		Yes	\$1,001 - \$15,000		None (or less than \$201)
50	iShares Russell 3000 ETF (IWW)		Yes	\$1,001 - \$15,000		None (or less than \$201)
51	iShares Russell 2000 ETF (IWM)		Yes	\$1,001 - \$15,000		None (or less than \$201)
52	iShares S&P Small-Cap 600 Value ETF (IJS)		Yes	\$1,001 - \$15,000		None (or less than \$201)
53	iShares Russell 1000 Value ETF (IWD)		Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
54	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
55	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
56	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Select Sector Health Care Fund	See Endnote	Sale	03/15/2021	\$15,001 - \$50,000
2	Select Sector Energy Fund	See Endnote	Sale	03/15/2021	\$1,001 - \$15,000
3	Lyrica Therapeutics	See Endnote	Sale	04/01/2021	\$100,001 - \$250,000
4	Emerald Growth Fund Class A Shares (HSPGX)		Sale	05/26/2021	\$1,001 - \$15,000
5	AMG Managers CenterSquare Real Estate Fund Class N Shares (MRESX)		Sale	05/26/2021	\$1,001 - \$15,000
6	American Beacon Large Cap Value Fund Class Y Shares (ABLYX)		Sale	05/26/2021	\$1,001 - \$15,000
7	Vanguard US Growth Fund Investor Shares (VWUSX)		Sale	05/26/2021	\$1,001 - \$15,000
8	Real Estate Select Sector SPDR Fund (XLRE)		Purchase	05/26/2021	\$1,001 - \$15,000
9	iShares S&P 500 Value ETF (IVE)		Purchase	05/26/2021	\$1,001 - \$15,000
10	iShares Russell 1000 Growth ETF (IWF)		Purchase	05/26/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	Schwab Treasury Obligations Money Fund Investor Class Shares (SNOXX)	Sale	09/07/2021	\$100,001 - \$250,000
12	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	Purchase	09/07/2021	\$100,001 - \$250,000
13	Real Estate Select Sector SPDR Fund (XLRE)	Purchase	12/10/2021	\$1,001 - \$15,000
14	iShares US Real Estate ETF (IYR)	Sale	12/10/2021	\$1,001 - \$15,000
15	iShares 1-3 Year Treasury Bond ETF (SHY)	Purchase	04/28/2021	\$1,001 - \$15,000
16	iShares 0-5 Year High Yield Corporate Bond ETF (SHYG)	Purchase	04/29/2021	\$1,001 - \$15,000
17	SPDR Bloomberg Barclays Investment Grade Floating Rate ETF (FLRN)	Purchase	04/29/2021	\$1,001 - \$15,000
18	iShares 1-3 Year Treasury Bond ETF (SHY)	Purchase	04/29/2021	\$15,001 - \$50,000
19	iShares S&P Small-Cap 600 Growth ETF (IJT)	Purchase	04/29/2021	\$1,001 - \$15,000
20	iShares US Real Estate ETF (IYR)	Purchase	04/29/2021	\$1,001 - \$15,000
21	iShares Core MSCI EAFE ETF (IEFA)	Purchase	04/29/2021	\$1,001 - \$15,000
22	iShares S&P 100 ETF (OEF)	Purchase	04/29/2021	\$1,001 - \$15,000
23	iShares Russell 1000 Growth ETF (IWF)	Purchase	04/29/2021	\$1,001 - \$15,000
24	iShares Russell 3000 ETF (IWV)	Purchase	04/29/2021	\$1,001 - \$15,000
25	iShares Russell 2000 ETF (IWM)	Purchase	04/29/2021	\$1,001 - \$15,000
26	iShares S&P Small-Cap 600 Value ETF (IJS)	Purchase	04/29/2021	\$1,001 - \$15,000
27	iShares Russell 1000 Value ETF (IWD)	Purchase	04/29/2021	\$15,001 - \$50,000
28	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	04/29/2021	\$1,001 - \$15,000
29	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Purchase	04/29/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	04/29/2021	\$1,001 - \$15,000
31	Invesco Global Clean Energy ETF (PBD)	Sale	04/29/2021	\$1,001 - \$15,000
32	iShares MSCI EAFE ETF (EFA)	Sale	04/29/2021	\$1,001 - \$15,000
33	iShares MSCI Emerging Markets ETF (EEM)	Sale	04/29/2021	\$1,001 - \$15,000
34	iShares Russell 1000 Value ETF (IWD)	Sale	04/29/2021	\$15,001 - \$50,000
35	iShares Russell 3000 ETF (IWW)	Sale	04/29/2021	\$15,001 - \$50,000
36	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Sale	04/29/2021	\$1,001 - \$15,000
37	iShares S&P Mid-Cap 400 Value ETF (IJJ)	Sale	04/29/2021	\$1,001 - \$15,000
38	iShares S&P Small-Cap 600 Growth ETF (IJT)	Sale	04/29/2021	\$15,001 - \$50,000
39	iShares US Real Estate ETF (IYR)	Sale	04/29/2021	\$1,001 - \$15,000
40	Financial Select Sector SPDR Fund (XLF)	Sale	04/29/2021	\$15,001 - \$50,000
41	Technology Select Sector SPDR Fund (XLK)	Sale	04/29/2021	\$15,001 - \$50,000
42	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Sale	04/29/2021	\$1,001 - \$15,000
43	Dodge & Cox Income Fund (DODIX)	Sale	04/29/2021	\$50,001 - \$100,000
44	Dodge & Cox Stock Fund (DODGX)	Sale	04/29/2021	\$50,001 - \$100,000
45	T Rowe Price Growth Stock Fund, Inc Class I Shares (PRUFX)	Sale	04/29/2021	\$50,001 - \$100,000
46	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Sale	04/29/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
47	Vanguard International Growth Fund Admiral Shares (VWILX)	Sale	04/29/2021	\$15,001 - \$50,000
48	Vanguard Short-Term Investment-Grade Fund Investor Shares (VFSTX)	Sale	04/29/2021	\$50,001 - \$100,000
49	Virtus Vontobel Emerging Markets Opportunities Fund Class I Shares (HIEMX)	Sale	04/29/2021	\$15,001 - \$50,000
50	Wasatch Small Cap Growth Fund Institutional Class Shares (WIAEX)	Sale	04/29/2021	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Boston Red Sox Tickets	Boston, Massachusetts	Tickets for game where I threw first pitch and did local media	\$1050

Endnotes

PART	#	ENDNOTE
1.	1	On Leave of Absence
1.	2	On Leave of Absence
5.	4	Licensed patents
5.	46	Including patents divested from per EA

PART	#	ENDNOTE
6.	40	early-stage drug development
7.	1	Per EA
7.	2	Per EA
7.	3	Lytica Therapeutics Divestiture per EA

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.

Public Burden Information

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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).
