

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

Filer's Information

Ladjevardian, Sima

Regional Director, Region VI (Dallas), Department of Health & Human Services

Report Year: 2023

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/ Ladjevardian, Sima [electronically signed on 05/07/2023 by Ladjevardian, Sima 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/ CardMina, Mary, Certifying Official [electronically signed on 07/25/2023 by CardMina, Mary in Integrity.gov]

Other review conducted by

/s/ Frankston-Morris, Julia, Ethics Official [electronically signed on 07/20/2023 by Frankston-Morris, Julia in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/25/2023

Data Revised 07/20/2023

Data Revised 07/06/2023

Data Revised 07/05/2023

Data Revised 06/15/2023

Data Revised 06/08/2023

Data Revised 05/30/2023

Data Revised 05/18/2023

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/25/2023, CardMina, Mary): Report certified outside of 60 days due to extended communication with the filer on updates needed regarding financial holdings as well as obtaining of statements necessary to complete the report. mcm

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Museum of Fine Arts Houston	Houston, Texas	Non-Profit	Trustee	6/2009	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Promissory Note, Maple Stone, Inc. (wholesale and distributor of natural stone)	N/A	\$1,000,001 - \$5,000,000		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	Maple Stone, Inc. (wholesale and distributor of natural stone) See Endnote	N/A	Over \$1,000,000	Management consulting fees	\$1,846,900

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Promissory Note, Maple Stone, Inc. (wholesale and distributor of natural stone)	N/A	Over \$1,000,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wells Fargo Brokerage Account (1)	No			
1.1	Cash Deposit	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Alerian MLP ETF (AMLP)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.3	Bank of America Corp. (BAC)	N/A	\$500,001 - \$1,000,000	Interest	\$50,001 - \$100,000
1.4	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
1.5	Citigroup, Inc. (C)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
1.6	Ford Motor Co. (F)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.7	Magellan Midstream Partners, LP (MMP)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
1.8	Morgan Stanley & Co (MS)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.9	UBS Group AG (UBS)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
1.10	BlackRock Multi-Sector Income Trust (BIT)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	Pioneer High Income Trust (PHT)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.12	Meta Platforms Inc. Class A Common Stock (META)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.13	Call Magellan Midstream PR, \$55 exp 1/2023, aquired 11/6/2022	N/A			
1.14	Call, Meta Platforms Inc, \$130, exp 1/23. acquired 10/24/22	N/A			
2	Fidelity Brokerage Account (1)	No			
2.1	Fidelity Government Money Market Fund (SPAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Fidelity Money Market Fund Premium Class (FZDXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3	Ford Motor Co. (F)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
2.4	Citigroup, Inc. (C)	N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
2.5	Devon Energy Corp. (DVN)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
3	Merrill CMA Account (1)	No			
3.1	Bank Deposit	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Bank of America Corp. (BAC)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
3.3	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.4	Citigroup, Inc. (C)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	Energy Transfer LP Unit (ET)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
3.6	Enterprise Products Partners LP (EPD)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
3.7	Ford Motor Co. (F)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.8	Kinder Morgan, Inc. (KMI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.9	Magellan Midstream Partners L.P. Limited Partnership (MMP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Wells Fargo Brokerage Account (2)	No			None (or less than \$201)
4.1	Bank Deposit	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	Bank of America Corp. (BAC)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
4.3	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.4	Citigroup, Inc. (C)	N/A	\$500,001 - \$1,000,000	Dividends	\$50,001 - \$100,000
4.5	Ford Motor Co. (F)	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
4.6	Magellan Midstream Partners, LP (MMP)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.7	UBS Group AG (UBS)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.8	Williams Companies, Inc. (WMB)	See Endnote	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	BlackRock Multi-Sector Income Trust (BIT)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.10	Kinder Morgan, Inc. (KMI)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.11	Call Kinder Morgan \$20 EXP 6/16/23 Acquired 12/14/22	N/A			
5	Wells Fargo Brokerage Account (3)	No			
5.1	American Express Co. (AXP)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.2	Baidu, Inc. (BIDU)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.3	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
5.4	Citigroup, Inc. (C)	N/A	Over \$1,000,000	Dividends	\$15,001 - \$50,000
5.5	Enterprise Products Partners LP (EPD)	See Endnote	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
5.6	Ford Motor Co. (F)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.7	iShares Mortgage Real Estate ETF (REM)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.8	Kinder Morgan, Inc. (KMI)	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
5.9	Magellan Midstream Partners, LP (MMP)	See Endnote	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
5.10	Williams Companies, Inc. (WMB)	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
5.11	Goldman Sachs Group Inc (GS)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.12	Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) Call \$260 Exp 01/2023	N/A			
5.13	American Express Co. (AXP) Call \$180 EXP 1/19/24	N/A			
5.14	American Express Co. (AXP) Call \$195 Exp 1/20/23	N/A			
5.15	Citigroup, Inc. (C) Call \$75 EXP 1/20/23	N/A			
5.16	Devon Energy Corp. (DVN) Call \$75 EXP 1/20/23	N/A			
5.17	Enterprise Products Partners L.P. Common Stock (EPD) Call \$25 EXP 6/16/23	N/A			
5.18	Ford Motor Co. (F) Call \$25 EXP 1/20/23	N/A			
5.19	Ford Motor Co. (F) Call \$17 EXP 1/19/24	N/A			
5.20	Ford Motor Co. (F) Call \$14 EXP 1/20/23	N/A			
5.21	Goldman Sachs Group Inc (GS) Call \$380 EXP 4/21/23	N/A			
5.22	Goldman Sachs Group Inc (GS) Call \$370 EXP 1/20/23	N/A			
5.23	Kinder Morgan, Inc. (KMI) Call \$20 EXP 6/16/23	N/A			
5.24	Kinder Morgan, Inc. (KMI) Call \$20 EXP 1/20/23	N/A			
5.25	Magellan Midstream Partners L.P. Limited Partnership (MMP) Call \$55 1/20/23	N/A			
5.26	Magellan Midstream Partners L.P. Limited Partnership (MMP) Call \$55 EXP 4/21/23	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.27	Meta Platforms Inc. Class A Common Stock (META) Call \$160 EXP 1/20/23	N/A			
5.28	Meta Platforms Inc. Class A Common Stock (META) Call \$125 EXP 2/17/23	N/A			
5.29	Williams Companies CALL \$33 exp 1/20/23	N/A			
5.30	Alibaba Group Holding Limited (BABA) PUT \$100 exp 1/19/24	N/A			
5.31	American Express Co. (AXP) PUT \$150 EXP 1/19/24	N/A			
5.32	Baidu Inc. ADS (BIDU) PUT \$130 EXP 1/19/24	N/A			
5.33	Citigroup, Inc. (C) PUT \$52.50 EXP 1/19/24	N/A			
5.34	Citigroup, Inc. (C) PUT \$52.50 EXP 1/19/24	N/A			
5.35	Ford Motor Co. (F) PUT \$12 EXP 1/19/24	N/A			
5.36	Goldman Sachs Group Inc (GS) PUT \$350 EXP 1/19/24	N/A			
6	Wells Fargo Brokerage Account (4)	No			
6.1	Bank Deposit	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2	Banco Santander S.A. ADR (SAN)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.3	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.4	Citigroup, Inc. (C)	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
7	Prosperity Bank Accounts	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Salient Natural Resource Fund, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
9	Salient Tpp Energy Credit Fund, L.P.	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10	Teton Midstream & Resource Partners III, L.P.	Yes	\$100,001 - \$250,000		None (or less than \$201)
11	Teton Midstream Infrastructure Fund III, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
12	Teton Natural Resource Fund V, L.P.	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
13	Teton Strategic Energy & Income Growth, L.P.	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
14	Wasatch Natural Resource Fund, L.P.	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	Bintliff Holdings, Inc. (commercial property - land)	N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
16	Hardway St. Partnership, LLC	See Endnote	No		None (or less than \$201)
16.1	Property #1, commercial real estate in Houston, Texas	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500
16.2	Property #2, commercial real estate in Houston, Texas	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500
16.3	Property #3, commercial real estate in Houston, Texas	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500
17	West Loop Dynamic Ventures, LTD	No			
17.1	Enduro Composites (fiberglass manufacturer in Houston, Texas)	N/A	\$100,001 - \$250,000		None (or less than \$201)
18	RobinHood brokerage acct.	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.1	Alibaba	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.2	DocuSign Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
18.3	iShares Global Clean Energy ETF (ICLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.4	Invesco WilderHill Clean Energy ETF (PBW)	Yes	None (or less than \$1,001)		None (or less than \$201)
18.5	Block (SQ)	N/A	None (or less than \$1,001)		None (or less than \$201)
18.6	Tesla, Inc. (TSLA)	N/A	None (or less than \$1,001)		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	International Business Machines Corp. (IBM)	Sale	01/11/2022	\$50,001 - \$100,000
2	JPMorgan (JPM)	Sale	01/13/2022	\$50,001 - \$100,000
3	Apple, Inc. (AAPL)	Sale	01/13/2022	\$15,001 - \$50,000
4	ATT	Sale	02/15/2022	\$1,001 - \$15,000
5	Intel Corp. (INTC)	Sale	03/02/2022	\$50,001 - \$100,000
6	Call Moderna (MRNA)	Sale	12/01/2021	\$1,001 - \$15,000
7	Verizon Communications, Inc. (VZ)	Sale	12/28/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	Banco Santander (SAN)	Purchase	12/28/2021	\$50,001 - \$100,000
9	Apple, Inc. (AAPL)	Sale	12/29/2021	\$15,001 - \$50,000
10	Citigroup, Inc. (C)	Purchase	12/29/2021	\$50,001 - \$100,000
11	Citigroup, Inc. (C)	Purchase	01/07/2022	\$100,001 - \$250,000
12	The Walt Disney Co. (DIS)	Sale	01/13/2022	\$50,001 - \$100,000
13	Palantir Technologies Inc. (PLTR)	Sale	01/13/2022	\$15,001 - \$50,000
14	Kraft Foods Group Inc. (KRFT)	Sale	01/18/2022	\$50,001 - \$100,000
15	Meta Platforms/Facebook (FB)	Sale	02/15/2022	\$50,001 - \$100,000
16	Alibaba (BABA)	Purchase	02/15/2022	\$100,001 - \$250,000
17	Blackstone Mortgage Trust, Inc. (BXMT)	Purchase	02/17/2022	\$50,001 - \$100,000
18	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Purchase	02/17/2022	\$50,001 - \$100,000
19	Citigroup, Inc. (C)	Purchase	05/18/2022	\$50,001 - \$100,000
20	Moderna (MRNA) CALL	Sale	12/01/2021	\$1,001 - \$15,000
21	Starwood Property Trust, Inc. (STWD)	Sale	12/10/2021	\$100,001 - \$250,000
22	Kinder Morgan, Inc. (KMI)	Sale	12/10/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	Starwood Property Trust, Inc. (STWD)	Sale	12/14/2021	\$100,001 - \$250,000
24	Kinder Morgan, Inc. (KMI)	Purchase	12/14/2021	\$100,001 - \$250,000
25	Apple, Inc. (AAPL)	Sale	12/29/2021	\$50,001 - \$100,000
26	Citibank Inc (C)	Purchase	12/29/2021	\$50,001 - \$100,000
27	Moderna Inc (MRNA)	Sale	01/07/2022	\$50,001 - \$100,000
28	Citibank Inc (C)	Purchase	01/07/2022	\$50,001 - \$100,000
29	BAC SELLING CALLS	Sale	01/14/2022	\$1,001 - \$15,000
30	The Kraft Heinz Co. (KHC)	Sale	01/18/2022	\$15,001 - \$50,000
31	Facebook, Inc. (FB)	Sale	02/01/2022	\$100,001 - \$250,000
32	Alibaba (BABA)	Purchase	02/01/2022	\$100,001 - \$250,000
33	AT&T (T)	Sale	02/15/2022	\$15,001 - \$50,000
34	Verizon Communications, Inc. (VZ)	Sale	02/15/2022	\$100,001 - \$250,000
35	Alibaba (BABA)	Purchase	02/15/2022	\$100,001 - \$250,000
36	Nuveen Municipal High Income Opportunity Fund (NMZ)	Purchase	02/17/2022	\$50,001 - \$100,000
37	Nuveen Municipal Credit Income Fund (NZF)	Purchase	02/18/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	The Walt Disney Co. (DIS)	Sale	03/15/2022	\$50,001 - \$100,000
39	Baidu (BIDU)	Purchase	03/16/2022	\$50,001 - \$100,000
40	Ford Motor Co. (F)	Sale	12/03/2021	\$50,001 - \$100,000
41	General Electric Co. (GE)	Sale	12/03/2021	\$50,001 - \$100,000
42	The Kraft Heinz Co. (KHC)	Sale	12/03/2021	\$100,001 - \$250,000
43	Phillips 66 (PSX)	Sale	12/03/2021	\$50,001 - \$100,000
44	UBS Group	Sale	12/03/2021	\$100,001 - \$250,000
45	Starwood Property Trust, Inc. (STWD)	Sale	12/10/2021	\$100,001 - \$250,000
46	Starwood Property Trust, Inc. (STWD)	Sale	12/14/2021	\$100,001 - \$250,000
47	Boeing Co (BA) put	Sale	12/15/2021	\$15,001 - \$50,000
48	American Express Co. (AXP) Put	Sale	12/29/2021	\$15,001 - \$50,000
49	Citibank Inc (C)	Purchase	12/09/2021	\$100,001 - \$250,000
50	Kinder Morgan, Inc. (KMI)	Purchase	12/14/2021	\$100,001 - \$250,000
51	Boeing Co (BA) Put	Purchase	12/15/2021	\$15,001 - \$50,000
52	Boeing Co (BA) Put	Purchase	12/15/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Citibank Inc (C)	Purchase	12/16/2021	\$100,001 - \$250,000
54	IBM	Purchase	12/28/2021	\$100,001 - \$250,000
55	Walt Disney Co. (DIS) Put option	Purchase	12/29/2021	\$15,001 - \$50,000
56	Citibank Inc (C) Put	Sale	01/04/2022	\$100,001 - \$250,000
57	Palantir Technologies Inc (PLTR)	Sale	01/04/2022	\$15,001 - \$50,000
58	Teladoc Health, Inc. (TDOC)	Sale	01/04/2022	\$15,001 - \$50,000
59	Moderna Inc (MRNA)	Sale	01/05/2022	\$100,001 - \$250,000
60	Nio Inc (NIO) Call	Sale	01/05/2022	\$1,001 - \$15,000
61	Citibank Inc (C) Put	Sale	01/06/2022	\$50,001 - \$100,000
62	Discovery Call	Sale	01/05/2022	\$1,001 - \$15,000
63	Discovery Call	Sale	01/05/2022	\$1,001 - \$15,000
64	International Business Machines Corp. (IBM)	Sale	01/11/2022	\$100,001 - \$250,000
65	The Williams Cos., Inc. (WMB) Call	Sale	01/12/2022	\$1,001 - \$15,000
66	Citibank Inc (C) Put	Sale	01/18/2022	\$50,001 - \$100,000
67	Alibaba (BABA) Put	Sale	01/19/2022	\$250,001 - \$500,000
68	Alibaba (BABA) Put	Sale	01/19/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
69	American International Group, Inc. (AIG)	Sale	01/25/2022	\$50,001 - \$100,000
70	Apple, Inc. (AAPL)	Sale	01/25/2022	\$50,001 - \$100,000
71	NIO	Sale	01/25/2022	\$50,001 - \$100,000
72	DISCOVERY CALL	Sale	01/25/2022	\$15,001 - \$50,000
73	Facebook, Inc. (FB)	Sale	01/26/2022	\$100,001 - \$250,000
74	Facebook, Inc. (FB)	Sale	01/28/2022	\$1,001 - \$15,000
75	Kinder Morgan Inc (KMI) Call	Sale	01/29/2022	\$1,001 - \$15,000
76	DISCOVERY CALL	Sale	01/31/2022	\$1,001 - \$15,000
77	Banco Santander SA (SAN)	Purchase	01/04/2022	\$100,001 - \$250,000
78	NIO	Purchase	01/03/2022	\$100,001 - \$250,000
79	Moderna Inc (MRNA) Put	Purchase	01/03/2022	\$100,001 - \$250,000
80	DISCOVERY	Purchase	01/04/2022	\$250,001 - \$500,000
81	The Williams Cos., Inc. (WMB) Call	Purchase	01/12/2022	\$1,001 - \$15,000
82	Citibank Inc (C) Put	Purchase	01/18/2022	\$15,001 - \$50,000
83	Alibaba (BABA) Put	Purchase	01/19/2022	\$100,001 - \$250,000
84	Alibaba (BABA) Put	Purchase	01/19/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
85	DISCOVERY	Purchase	01/25/2022	\$100,001 - \$250,000
86	Banco Santander SA (SAN)	Purchase	01/25/2022	\$50,001 - \$100,000
87	DISCOVERY	Purchase	01/31/2022	\$100,001 - \$250,000
88	Facebook, Inc. (FB) CALL	Purchase	01/31/2022	\$1,001 - \$15,000
89	DISCOVERY CALL	Purchase	01/31/2022	\$15,001 - \$50,000
90	Facebook, Inc. (FB)	Sale	02/08/2022	\$100,001 - \$250,000
91	General Electric Co. (GE)	Sale	02/08/2022	\$100,001 - \$250,000
92	Walt Disney Co (DIS)	Sale	02/09/2022	\$50,001 - \$100,000
93	Goldman Sachs Group Inc. (GS) call	Sale	02/11/2022	\$1,001 - \$15,000
94	Goldman Sachs Group Inc. (GS) Put	Sale	02/11/2022	\$15,001 - \$50,000
95	Goldman Sachs Group Inc. (GS) Call	Sale	02/15/2022	\$1,001 - \$15,000
96	Moderna Inc (MRNA)	Sale	02/28/2022	\$50,001 - \$100,000
97	Goldman Sachs Group Inc. (GS)	Purchase	02/09/2022	\$100,001 - \$250,000
98	Moderna Inc (MRNA) Call	Purchase	02/11/2022	\$1,001 - \$15,000
99	Nokia (NOK) Put	Purchase	02/11/2022	\$15,001 - \$50,000
100	iShares Mortgage Real Estate ETF (REM)	Purchase	02/19/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
101	Baidu (BIDU) Call	Sale	03/02/2022	\$1,001 - \$15,000
102	DISCOVERY Call	Sale	03/09/2022	\$1,001 - \$15,000
103	Discovery	Sale	03/10/2022	\$100,001 - \$250,000
104	DISCOVERY	Sale	03/11/2022	\$100,001 - \$250,000
105	Alibaba (BABA)	Sale	03/11/2022	\$100,001 - \$250,000
106	Baidu (BIDU)	Sale	03/11/2022	\$100,001 - \$250,000
107	DISCOVERY	Sale	03/11/2022	\$100,001 - \$250,000
108	Enterprise Products Partners L.P. (EPD)		03/11/2022	\$50,001 - \$100,000
109	Kinder Morgan, Inc. (KMI)	Sale	03/11/2022	\$50,001 - \$100,000
110	Magellan Midstream Partners, L.P. (MMP)	Sale	03/11/2022	\$50,001 - \$100,000
111	Citibank Inc (C) Call	Sale	03/14/2022	\$1,001 - \$15,000
112	Boeing Co (BA) put	Purchase	03/02/2022	\$1,001 - \$15,000
113	Moderna Inc (MRNA) Call	Purchase	03/14/2022	\$1,001 - \$15,000
114	Alibaba (BABA)	Purchase	03/16/2022	\$250,001 - \$500,000
115	Baidu (BIDU)	Purchase	03/17/2022	\$250,001 - \$500,000
116	DISCOVERY	Purchase	03/23/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
117	DISCOVERY	Sale	04/20/2022	\$100,001 - \$250,000
118	Goldman Sachs Group Inc. (GS)Call	Sale	04/21/2022	\$1,001 - \$15,000
119	Nvidia (NVDA) PUT	Purchase	04/21/2022	\$1,001 - \$15,000
120	Energy Transfer LP Unit (ET)	Sale	05/10/2022	\$50,001 - \$100,000
121	Kinder Morgan, Inc. (KMI)	Sale	05/10/2022	\$50,001 - \$100,000
122	Kinder Morgan, Inc. (KMI)	Sale	05/10/2022	\$50,001 - \$100,000
123	The Williams Cos., Inc. (WMB)	Sale	05/10/2022	\$50,001 - \$100,000
124	Ally Financial Inc (ALLY)	Purchase	05/23/2022	\$50,001 - \$100,000
125	Alibaba (BABA)	Purchase	05/25/2022	\$250,001 - \$500,000
126	Kinder Morgan Inc (KMI)	Purchase	12/16/2021	\$50,001 - \$100,000
127	Starwood Property Trust, Inc. (STWD)	Sale	12/16/2021	\$50,001 - \$100,000
128	Texas Instruments Inc (TI)	Sale	12/30/2021	\$15,001 - \$50,000
129	Citibank Inc (C)	Purchase	12/30/2021	\$100,001 - \$250,000
130	Verizon Communications, Inc. (VZ)VZ	Sale	12/30/2021	\$100,001 - \$250,000
131	Alibaba (BABA)	Purchase	03/22/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
132	Baidu (BIDU)	Sale	12/07/2021	\$100,001 - \$250,000
133	General Electric Co. (GE)	Sale	12/07/2021	\$50,001 - \$100,000
134	Kinder Morgan, Inc. (KMI)	Purchase	12/09/2021	\$50,001 - \$100,000
135	Magellan Midstream Partners, L.P. (MMP)	Purchase	12/09/2021	\$100,001 - \$250,000
136	Banco Santander SA (SAN)	Purchase	12/31/2021	\$1,001 - \$15,000
137	Magellan Midstream Partners, L.P. (MMP)	Sale	03/10/2022	\$100,001 - \$250,000
138	Alibaba (BABA)	Purchase	03/18/2022	\$50,001 - \$100,000
139	Baidu (BIDU)	Purchase	03/18/2022	\$100,001 - \$250,000
140	Kinder Morgan, Inc. (KMI)	Sale	03/18/2022	\$50,001 - \$100,000
141	Goldman Sachs Group Inc (GS) CALL	Sale	07/19/2022	\$1,001 - \$15,000
142	Williams Companies Inc (WMB) CALL	Purchase	07/28/2022	\$1,001 - \$15,000
143	Williams Companies Inc (WMB) CALL	Sale	07/28/2022	\$1,001 - \$15,000
144	Nuveen Municipal Credit Income Fund (NZF)	Sale	09/09/2022	\$100,001 - \$250,000
145	Citigroup, Inc. (C)	Purchase	09/09/2022	\$100,001 - \$250,000
146	Nuveen Municipal Credit Income Fund (NZF)	Sale	09/09/2022	\$100,001 - \$250,000
147	Citigroup, Inc. (C)	Purchase	09/09/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
148	Nuveen Municipal Credit Income Fund (NZF)	Sale	09/07/2022	\$250,001 - \$500,000
149	BlackRock Municipal Income Trust (BFK)	Purchase	09/07/2022	\$100,001 - \$250,000
150	Alibaba (BABA)	Purchase	09/07/2022	\$50,001 - \$100,000
151	KraneShares CSI China Internet ETF (KWEB)	Sale	09/07/2022	\$1,001 - \$15,000
152	BlackRock Municipal Income Trust (BFK)	Purchase	09/08/2022	\$100,001 - \$250,000
153	Alibaba (BABA)	Purchase	09/08/2022	\$500,001 - \$1,000,000
154	Alibaba (BABA)	Sale	09/29/2022	\$100,001 - \$250,000
155	Alibaba (BABA)	Sale	10/20/2022	\$50,001 - \$100,000
156	Citigroup, Inc. (C)	Purchase	10/26/2022	\$100,001 - \$250,000
157	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Sale	10/04/2022	\$50,001 - \$100,000
158	Ford Motor Company (F)	Purchase	10/04/2022	\$50,001 - \$100,000
159	Citigroup, Inc. (C)	Purchase	10/14/2022	\$100,001 - \$250,000
160	Baidu (BIDU)	Sale	10/14/2022	\$100,001 - \$250,000
161	Meta Platforms Inc (META)	Purchase	10/19/2022	\$50,001 - \$100,000
162	Alibaba (BABA)	Sale	10/19/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
163	Citigroup, Inc. (C)	Purchase	10/20/2022	\$50,001 - \$100,000
164	Citigroup, Inc. (C)	Purchase	10/26/2022	
165	BlackRock Municipal Income Trust (BFK)	Sale	10/26/2022	\$50,001 - \$100,000
166	Nuveen Municipal High Income Opportunity Fund (NMZ)	Sale	10/27/2022	\$50,001 - \$100,000
167	Citigroup, Inc. (C)	Purchase	10/28/2022	\$50,001 - \$100,000
168	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Sale	10/04/2022	\$100,001 - \$250,000
169	Nuveen Municipal High Income Opportunity Fund (NMZ)	Sale	10/04/2022	\$100,001 - \$250,000
170	Ford Motor Company (F)	Purchase	10/04/2022	\$100,001 - \$250,000
171	Citigroup, Inc. (C)	Purchase	10/14/2022	\$100,001 - \$250,000
172	Baidu (BIDU)	Sale	10/14/2022	\$100,001 - \$250,000
173	Alibaba (BABA)	Sale	10/19/2022	\$100,001 - \$250,000
174	Citigroup, Inc. (C)	Purchase	10/26/2022	\$100,001 - \$250,000
175	BlackRock Municipal Income Trust (BFK)	Sale	10/26/2022	\$100,001 - \$250,000
176	KraneShares CSI China Internet ETF (KWEB)	Sale	10/11/2022	\$100,001 - \$250,000
177	Citigroup, Inc. (C) - PUT	Sale	10/12/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
178	Baidu (BIDU) PUT	Purchase	10/12/2022	\$15,001 - \$50,000
179	Citigroup, Inc. (C)	Purchase	10/13/2022	\$250,001 - \$500,000
180	Baidu (BIDU)	Sale	10/13/2022	\$250,001 - \$500,000
181	American Express Company (AXP) PUT	Purchase	10/13/2022	\$15,001 - \$50,000
182	American Express Company (AXP) PUT	Purchase	10/13/2022	\$15,001 - \$50,000
183	American Express Company (AXP) PUT	Sale	10/13/2022	\$15,001 - \$50,000
184	Goldman Sachs Group Inc (GS) PUT	Sale	10/18/2022	\$50,001 - \$100,000
185	Goldman Sachs Group Inc (GS) PUT	Purchase	10/18/2022	\$50,001 - \$100,000
186	Meta Platforms Inc (META)	Purchase	10/19/2022	\$100,001 - \$250,000
187	Alibaba (BABA)	Sale	10/19/2022	\$100,001 - \$250,000
188	Citigroup, Inc. (C)	Purchase	10/26/2022	\$100,001 - \$250,000
189	BlackRock Municipal Income Trust (BFK)	Sale	10/26/2022	\$100,001 - \$250,000
190	Nuveen Municipal High Income Opportunity Fund (NMZ)	Sale	10/27/2022	\$100,001 - \$250,000
191	BlackRock Municipal Income Trust (BFK)	Sale	10/27/2022	\$50,001 - \$100,000
192	Citigroup, Inc. (C)	Purchase	10/18/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
193	Baidu (BIDU)	Sale	10/18/2022	\$50,001 - \$100,000
194	Alibaba (BABA)	Sale	10/21/2022	\$15,001 - \$50,000
195	Citigroup, Inc. (C)	Purchase	10/19/2022	\$15,001 - \$50,000
196	Santander	Sale	07/29/2022	\$250,001 - \$500,000
197	Citigroup, Inc. (C)	Purchase	08/02/2022	\$100,001 - \$250,000
198	Baidu (BIDU)	Purchase	08/12/2022	\$100,001 - \$250,000
199	Alibaba (BABA)	Sale	08/12/2022	\$100,001 - \$250,000
200	KraneShares CSI China Internet ETF (KWEB)	Purchase	08/16/2022	\$100,001 - \$250,000
201	Baidu (BIDU)	Purchase	08/16/2022	\$100,001 - \$250,000
202	Alibaba (BABA)	Sale	08/16/2022	\$100,001 - \$250,000
203	KraneShares CSI China Internet ETF (KWEB)	Purchase	08/26/2022	\$100,001 - \$250,000
204	SANTANDER	Sale	07/29/2022	\$50,001 - \$100,000
205	Citigroup, Inc. (C)	Purchase	07/29/2022	\$50,001 - \$100,000
206	SANTANDER	Sale	07/29/2022	\$50,001 - \$100,000
207	Citigroup, Inc. (C)	Purchase	07/29/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
208	Citigroup, Inc. (C)	Purchase	07/29/2022	\$50,001 - \$100,000
209	Citigroup, Inc. (C)	Purchase	06/24/2022	\$50,001 - \$100,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo Brokerage Account (3)	Exercised Line of Credit	\$50,001 - \$100,000	2021	1.6%	Revolving
2	Visa	Credit Card	\$50,001 - \$100,000	2021	15.99%	Revolving
3	American Express	Credit Card	\$15,001 - \$50,000	2021	15.24%	Revolving
4	Wells Fargo Brokerage Account (2)	Exercised Line of Credit	\$500,001 - \$1,000,000	2021	1.6%	Revolving

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
5.	1	Income figure is aggregate for 2019 and 2020

PART	#	ENDNOTE
6.	4.8	Income includes nondividend distributions
6.	5.5	Income includes partnership distributions.
6.	5.9	Income includes partnership distributions.
6.	16	Warehouse project

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

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).
