

# Executive Branch Personnel

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

### Filer's Information

---

Califf, Robert

Commissioner of Food & Drugs, Food & Drug Administration, 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/ Califf, Robert [electronically signed on 08/09/2023 by Califf, Robert in Integrity.gov] - Filer received a 90 day filing extension.

---

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/ Hall, Randall, Certifying Official [electronically signed on 09/12/2023 by Hall, Randall in Integrity.gov]

---

Other review conducted by

/s/ CardMina, Mary, Ethics Official [electronically signed on 08/11/2023 by CardMina, Mary in Integrity.gov]

---

U.S. Office of Government Ethics Certification

Data Revised 11/14/2023

Data Revised 09/11/2023

Data Revised 09/05/2023

Data Revised 08/31/2023

Data Revised 08/30/2023

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Revocable Trust	See Endnote	Durham, North Carolina	Trust	Trustee	12/2021	Present
2	Bitterroot Bio, Inc.	See Endnote	Palo Alto, California	Corporation	Consultant	8/2021	2/2022
3	AMYRIAD Pharma, Inc.		Los Angeles, California	Corporation	Member, Advisory Team	6/2021	2/2022
4	Critical Path Institute (C-PATH)		Tucson, Arizona	Non-Profit	Member, Board of Directors (unpaid)	5/2021	2/2022
5	Mayo Foundation for Medical Education & Research	See Endnote	Rochester, Minnesota	Non-Profit	Member, Scientific Advisory Committee, Cardiovascular Research Center	2/2021	2/2022
6	Centessa Pharmaceuticals, PLC		Cambridge, Massachusetts	Public Limited Company	Member, Nominating & Corporate Governance Committee of the Board of Directors	5/2021	2/2022
7	Centessa Pharmaceuticals, PLC		Cambridge, Massachusetts	Public Limited Company	Member, Board of Directors	1/2021	2/2022
8	Clinetic, Inc.		Raleigh, North Carolina	Corporation	Member, Board of Directors (unpaid)	1/2021	2/2022
9	Basking Biosciences, Inc.		Columbus, Ohio	Corporation	Member, Clinical Advisory Board (unpaid)	11/2020	2/2022

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
10	Medical University of South Carolina		Charleston, South Carolina	University/College	Member, Advisory Board, South Carolina Clinical & Translational Science Institute	10/2020	2/2022
11	Vanderbilt University Medical Center		Nashville, Tennessee	University/College	Member, Biomedical Science Advisory Board, Office of Research	12/2019	2/2022
12	Duke University	See Endnote	Durham, North Carolina	University/College	Adjunct Professor of Medicine, Duke University School of Medicine (unpaid)	11/2019	2/2022
13	OneFifteen		Dublin, Ohio	Non-Profit	Chair, OneFifteen Recovery Board (unpaid)	2/2019	2/2022
14	Medicxi Ventures (UK), LLP		London, England	Limited Liability Partnership	Member, Scientific Advisory Board (unpaid)	4/2018	2/2022
15	Cytokinetics, Inc.		South San Francisco, California	Corporation	Member, Board of Directors; and Member, Science & Technology Committee of the Board of Directors	2/2018	2/2022

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
16	University of Colorado		Denver, California	University/College	Member, Advisory Board, Colorado Clinical & Translational Science Institute	1/2018	2/2022
17	Clinical Research Forum, Inc.		Washington, District of Columbia	Non-Profit	Member, Board of Directors (unpaid)	11/2017	2/2022
18	Stanford University		Palo Alto, California	University/College	Adjunct Professor of Medicine, Stanford University School of Medicine (unpaid)	7/2017	2/2022
19	Google, LLC (wholly owned subsidiary of Alphabet, Inc.)	See Endnote	Mountain View, California	Limited Liability Company	Senior Advisor, Google Health	4/2017	2/2022
20	Verily Life Sciences, LLC (wholly owned subsidiary of Alphabet, Inc.)	See Endnote	South San Francisco, California	Limited Liability Company	Senior Advisor	4/2017	2/2022
21	European Heart Journal (Oxford University Press)		Oxford, England	Medical Journal	Editorial Board Reviewer (unpaid)	3/2017	2/2022
22	Journal of the American College of Cardiology (Elsevier, BV)		Amsterdam, Netherlands	Medical Journal	Member, Editorial Board (unpaid)	1/2017	2/2022
23	Keystone Symposia on Molecular & Cellular Biology		Silverthorne, Colorado	Non-Profit	Member, Board of Directors (unpaid)	1/2017	2/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Centessa Pharmaceuticals, PLC	N/A		Board of Directors Fees	\$15,222
2	Centessa Pharmaceuticals, PLC	N/A		Committee Fees	\$1,902
3	Centessa Pharmaceuticals, PLC (CNTA)	N/A	None (or less than \$1,001)	Option Exercise, Ordinary Income	\$91,070
4	Cytokinetics, Inc.	N/A		Board of Directors Fees	\$5,625
5	Cytokinetics, Inc.	N/A		Committee Fees	\$1,875
6	Cytokinetics, Inc. (CYTK)	N/A	None (or less than \$1,001)	Option Exercise, Ordinary Income	\$2,455,244
7	Cytokinetics, Inc. (CYTK)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
8	Verily Life Sciences, LLC (research organization devoted to study of life sciences)	N/A		Salary & Bonus	\$315,485
9	Verily Life Sciences, LLC, Employee Units (vested Verily Award Units)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
10	Google, LLC, 401(k) Savings Plan	No			
10.1	Target Retirement Income Trust Select	Yes	\$100,001 - \$250,000		None (or less than \$201)
11	Filer's IRA	No			
11.1	American Funds Fundamental Investors - Class F-3 (FUNFX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
11.2	American Funds Investment Co. of America - Class F-3 (FFICX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
11.3	American Funds New Perspective Fund - Class F-3 (FNPFX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
11.4	American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.5	Applied Finance Explorer Fund - Institutional Class (AFDZX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
11.6	JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
11.7	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
11.8	WisdomTree Floating Rate Treasury Fund (USFR)	Yes	\$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	AMYRIAD Pharma, Inc. (previous name: Leszath Pharma, Inc.)	Los Angeles, California	Pursuant to the terms of my agreement with the company, I was entitled to receive unvested stock options in the company should I participate in an advisory team meeting scheduled for December 2021. I did not receive stock options, and I did not receive payment for services. I do not hold any equity interests in the company.	6/2021
2	Centessa Pharmaceuticals, PLC	Cambridge, Massachusetts	Pursuant to the terms of the company's Amended and Restated Stock Option Incentive Plan, the Administrator of the company was authorized to and agreed to accelerate the vesting of my unvested stock options that vested prior to February 19, 2022. I divested my vested shares in March 2022. I forfeited my unvested options upon my resignation; those options were canceled. I do not hold any equity interests in the company.	1/2021

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Cytokinetics, Inc.	South San Francisco, California	Pursuant to the terms of the 2004 Equity Incentive Plan & 2004 Option Agreement and the Amended & Restated 2004 Equity Incentive Plan, upon my resignation from the company, I forfeited my unvested restricted stock units and my unvested stock options. I divested my shares of common stock and vested stock options in March 2022. I do not hold any equity interests in the company.	2/2018
4	Clinetic, Inc.	Raleigh, North Carolina	I held vested stock options. I forfeited those vested stock options upon my resignation. I do not hold any equity interests in the company.	10/2017
5	Verily Life Sciences, LLC	South San Francisco, California	I owned unvested Verily Award Units. I also owned Verily Employee Units, representing an equity ownership interest in the company. Under the Verily Life Sciences, LLC, Value Creation Award Plan, when the Verily Award Units vested, they were settled in Employee Units. As is consistent with the terms of the Verily Life Sciences, LLC, Value Creation Award Plan and the benefit provided to other similarly situated executives, I was permitted to cash out my vested Employee Units at any time. The value of the units was regularly set by the board. I cashed out my vested Employee Units in March 2022, from which I received the most recent valuation at the time. I forfeited all unvested Verily Award Units upon my resignation from the company. I do not hold any equity interests in the company.	6/2017
6	Google, LLC	Mountain View, California	I continue to retain the Google, LLC, 401(k) Savings Plan, a defined contribution plan. The plan sponsor has not made further contributions since my separation.	6/2017

#### 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	Spouse's IRA	No			
1.1	American Funds Fundamental Investors - Class F-3 (FUNFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	American Funds Investment Co. of America - Class F-3 (FFICX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	American Funds New Perspective Fund - Class F-3 (FNPFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Applied Finance Explorer Fund - Institutional Class (AFDZX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.6	JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	WisdomTree Floating Rate Treasury Fund (USFR)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	U.S. bank account #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	U.S. credit union account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #1	No			
4.1	American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	American Funds New Perspective Fund - Class 529-F-2 (FFPNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2	No		Cash Distributions	\$13,811
5.1	American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.3	American Funds New Perspective Fund - Class 529-F-2 (FFPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #3	No			
6.1	American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #4		No			
7.1	American Funds Fundamental Investors - Class 529-F-2 (FFXFX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #5	See Endnote	No			
8.1	American Funds Fundamental Investors - Class 529-F-2 (FFXFX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	American Funds Investment Co. of America - Class 529-F-2 (FCIAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
9	U.S. brokerage account #1	See Endnote	No			
9.1	Fidelity Treasury Money Market Fund (FZFXX)		Yes	None (or less than \$1,001)		\$15,001 - \$50,000
9.2	American Funds Fundamental Investors - Class F-3 (FUNFX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
9.3	American Funds Investment Co. of America - Class F-3 (FFICX)		Yes	None (or less than \$1,001)		\$15,001 - \$50,000
9.4	American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)		Yes	None (or less than \$1,001)		\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.5	JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9.6	JPMorgan Ultra-Short Municipal Income ETF (JMST)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10	U.S. brokerage account #2	See Endnote	No			
10.1	American Funds Investment Co. of America - Class F-3 (FFICX)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
10.2	American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10.3	American Funds American High-Income Municipal Bond Fund - Class F-3 (HIMFX)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10.4	JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)		Yes	None (or less than \$1,001)		\$201 - \$1,000
10.5	JPMorgan Ultra-Short Municipal Income ETF (JMST)		Yes	None (or less than \$1,001)		\$201 - \$1,000
11	Family revocable trust account	See Endnote	No			
11.1	Fidelity Treasury Money Market Fund (FZFXX)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
11.2	American Funds Fundamental Investors - Class F-3 (FUNFX)		Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
11.3	American Funds Investment Co. of America - Class F-3 (FFICX)		Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
11.4	American Funds New Perspective Fund - Class F-3 (FNPFX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.5	American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
11.6	Applied Finance Explorer Fund - Institutional Class (AFDZX)		Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.7	JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	See Endnote	Yes	\$250,001 - \$500,000		\$201 - \$1,000
11.8	JPMorgan Ultra-Short Municipal Income ETF (JMST)		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
11.9	WisdomTree Floating Rate Treasury Fund (USFR)		Yes	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Centessa Pharmaceuticals, PLC (CNTA)	See Endnote	Purchase	03/14/2022	\$100,001 - \$250,000
2	Centessa Pharmaceuticals, PLC (CNTA)		Sale	03/14/2022	\$100,001 - \$250,000
3	Centessa Pharmaceuticals, PLC (CNTA)	See Endnote	Purchase	03/15/2022	\$100,001 - \$250,000
4	Centessa Pharmaceuticals, PLC (CNTA)		Sale	03/15/2022	\$100,001 - \$250,000
5	Cytokinetics, Inc. (CYTK)	See Endnote	Purchase	03/15/2022	\$250,001 - \$500,000
6	Cytokinetics, Inc. (CYTK)		Sale	03/15/2022	\$1,000,001 - \$5,000,000
7	Cytokinetics, Inc. (CYTK)	See Endnote	Purchase	03/16/2022	\$500,001 - \$1,000,000
8	Cytokinetics, Inc. (CYTK)		Sale	03/16/2022	\$1,000,001 - \$5,000,000
9	Verily Life Sciences, LLC, Employee Units (vested Verily Award Units)		Sale	03/17/2022	\$1,000,001 - \$5,000,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
10	Google, LLC, 401(k) Savings Plan: Vanguard Target Retirement 2015 Trust Select	See Endnote	Sale		\$100,001 - \$250,000
11	Google, LLC, 401(k) Savings Plan: Target Retirement Income Trust Select	See Endnote	Purchase		\$100,001 - \$250,000
12	Filer's IRA: Acme United Corporation (ACU)		Sale	02/17/2022	\$1,001 - \$15,000
13	Filer's IRA: Acme United Corporation (ACU)		Sale	02/18/2022	\$50,001 - \$100,000
14	Filer's IRA: Acme United Corporation (ACU)		Sale	02/22/2022	\$15,001 - \$50,000
15	Filer's IRA: Acme United Corporation (ACU)		Sale	02/23/2022	\$100,001 - \$250,000
16	Filer's IRA: Acme United Corporation (ACU)		Sale	02/24/2022	\$15,001 - \$50,000
17	Filer's IRA: Acme United Corporation (ACU)		Sale	02/25/2022	\$50,001 - \$100,000
18	Filer's IRA: Agnico Eagle Mines Limited (AEM)		Sale	02/17/2022	\$100,001 - \$250,000
19	Filer's IRA: Agnico Eagle Mines Limited (AEM)		Sale	02/18/2022	\$250,001 - \$500,000
20	Filer's IRA: B&G Foods, Inc. (BGS)		Sale	02/17/2022	\$50,001 - \$100,000
21	Filer's IRA: B&G Foods, Inc. (BGS)		Sale	02/18/2022	\$50,001 - \$100,000
22	Filer's IRA: B&G Foods, Inc. (BGS)		Sale	02/22/2022	\$100,001 - \$250,000
23	Filer's IRA: Carrier Global Corporation (CARR)		Sale	02/17/2022	\$15,001 - \$50,000
24	Filer's IRA: Carrier Global Corporation (CARR)		Sale	02/18/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
25	Filer's IRA: Carrier Global Corporation (CARR)	Sale	02/24/2022	\$250,001 - \$500,000
26	Filer's IRA: Franchise Group, Inc. (FRG)	Sale	02/16/2022	\$15,001 - \$50,000
27	Filer's IRA: Franchise Group, Inc. (FRG)	Sale	02/17/2022	\$15,001 - \$50,000
28	Filer's IRA: Franchise Group, Inc. (FRG)	Sale	02/25/2022	\$250,001 - \$500,000
29	Filer's IRA: InterDigital, Inc. (IDCC)	Sale	02/25/2022	\$50,001 - \$100,000
30	Filer's IRA: John B. Sanfilippo & Son, Inc. (JBSS)	Sale	02/15/2022	\$15,001 - \$50,000
31	Filer's IRA: John B. Sanfilippo & Son, Inc. (JBSS)	Sale	02/16/2022	\$15,001 - \$50,000
32	Filer's IRA: John B. Sanfilippo & Son, Inc. (JBSS)	Sale	02/17/2022	\$15,001 - \$50,000
33	Filer's IRA: John B. Sanfilippo & Son, Inc. (JBSS)	Sale	02/18/2022	\$50,001 - \$100,000
34	Filer's IRA: John B. Sanfilippo & Son, Inc. (JBSS)	Sale	02/22/2022	\$100,001 - \$250,000
35	Filer's IRA: Moelis & Co. (MC)	Sale	02/22/2022	\$250,001 - \$500,000
36	Filer's IRA: Newell Brands, Inc. (NWL)	Sale	02/15/2022	\$50,001 - \$100,000
37	Filer's IRA: Newell Brands, Inc. (NWL)	Sale	02/16/2022	\$15,001 - \$50,000
38	Filer's IRA: Newell Brands, Inc. (NWL)	Sale	02/17/2022	\$50,001 - \$100,000
39	Filer's IRA: ONEOK, Inc. (OKE)	Sale	02/17/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
40	Filer's IRA: ONEOK, Inc. (OKE)	Sale	02/18/2022	\$50,001 - \$100,000
41	Filer's IRA: ONEOK, Inc. (OKE)	Sale	02/22/2022	\$50,001 - \$100,000
42	Filer's IRA: Service Properties Trust (SVC)	Sale	02/17/2022	\$50,001 - \$100,000
43	Filer's IRA: Service Properties Trust (SVC)	Sale	02/18/2022	\$50,001 - \$100,000
44	Filer's IRA: Service Properties Trust (SVC)	Sale	02/22/2022	\$50,001 - \$100,000
45	Filer's IRA: Service Properties Trust (SVC)	Sale	02/23/2022	\$50,001 - \$100,000
46	Filer's IRA: Service Properties Trust (SVC)	Sale	02/24/2022	\$100,001 - \$250,000
47	Filer's IRA: Silvercrest Asset Management Group, Inc. (SAMG)	Sale	02/15/2022	\$1,001 - \$15,000
48	Filer's IRA: Silvercrest Asset Management Group, Inc. (SAMG)	Sale	02/16/2022	\$1,001 - \$15,000
49	Filer's IRA: Silvercrest Asset Management Group, Inc. (SAMG)	Sale	02/17/2022	\$1,001 - \$15,000
50	Filer's IRA: Silvercrest Asset Management Group, Inc. (SAMG)	Sale	02/18/2022	\$1,001 - \$15,000
51	Filer's IRA: Silvercrest Asset Management Group, Inc. (SAMG)	Sale	02/22/2022	\$100,001 - \$250,000
52	Filer's IRA: Silvercrest Asset Management Group, Inc. (SAMG)	Sale	02/24/2022	\$100,001 - \$250,000
53	Filer's IRA: Toll Brothers, Inc. (TOL)	Sale	02/17/2022	\$50,001 - \$100,000
54	Filer's IRA: Toll Brothers, Inc. (TOL)	Sale	02/18/2022	\$50,001 - \$100,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
55	Filer's IRA: Toll Brothers, Inc. (TOL)	Sale	02/23/2022	\$50,001 - \$100,000
56	Filer's IRA: Toll Brothers, Inc. (TOL)	Sale	02/24/2022	\$100,001 - \$250,000
57	Filer's IRA: WisdomTree Investments, Inc. (WETF)	Sale	02/16/2022	\$1,001 - \$15,000
58	Filer's IRA: WisdomTree Investments, Inc. (WETF)	Sale	02/17/2022	\$15,001 - \$50,000
59	Filer's IRA: WisdomTree Investments, Inc. (WETF)	Sale	02/18/2022	\$50,001 - \$100,000
60	Filer's IRA: WisdomTree Investments, Inc. (WETF)	Sale	02/22/2022	\$50,001 - \$100,000
61	Filer's IRA: Barclays Bank, PLC, bonds #1 (CUSIP 06738KVE8)	Sale	02/22/2022	\$15,001 - \$50,000
62	Filer's IRA: Barclays Bank, PLC, bonds #2 (CUSIP 06738KWX5)	Sale	02/22/2022	\$15,001 - \$50,000
63	Filer's IRA: Freeport-McMoRan, Inc., bonds #1 (CUSIP 35671DCC7)	Sale	02/17/2022	\$50,001 - \$100,000
64	Filer's IRA: Freeport-McMoRan, Inc., bonds #2 (CUSIP 35671DCE3)	Sale	02/17/2022	\$50,001 - \$100,000
65	Filer's IRA: Goldman Sachs Group, Inc., bonds #1 (CUSIP 38141GMD3)	Sale	02/18/2022	\$1,001 - \$15,000
66	Filer's IRA: Goldman Sachs Group, Inc., bonds #2 (CUSIP 38141GTZ7)	Sale	02/22/2022	\$15,001 - \$50,000
67	Filer's IRA: JPMorgan Chase & Co., bonds #2 (CUSIP 161480AB4)	Sale	02/22/2022	\$15,001 - \$50,000
68	Filer's IRA: JPMorgan Chase & Co., bonds #3 (CUSIP 31945HAB1)	Sale	02/17/2022	\$15,001 - \$50,000
69	Filer's IRA: JPMorgan Chase & Co., bonds #5 (CUSIP 161478AB8)	Sale	02/22/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
70	Filer's IRA: JPMorgan Chase & Co., bonds #6 (CUSIP 16162LAB9)		Sale	02/22/2022	\$1,001 - \$15,000
71	Filer's IRA: Lamar Media Corporation, bonds #1 (CUSIP 513075BR1)		Sale	02/18/2022	\$50,001 - \$100,000
72	Filer's IRA: Lamar Media Corporation, bonds #2 (CUSIP 513075BW0)		Sale	02/18/2022	\$50,001 - \$100,000
73	Filer's IRA: Service Properties Trust, bonds #1 (CUSIP 44106MAR3)		Sale	02/17/2022	\$15,001 - \$50,000
74	Filer's IRA: Service Properties Trust, bonds #3 (CUSIP 44106MAT9)		Sale	02/17/2022	\$15,001 - \$50,000
75	Filer's IRA: Service Properties Trust, bonds #4 (CUSIP 44106MAV4)		Sale	02/18/2022	\$15,001 - \$50,000
76	Filer's IRA: Service Properties Trust, bonds #5 (CUSIP 44106MAW2)		Sale	02/22/2022	\$15,001 - \$50,000
77	Filer's IRA: Service Properties Trust, bonds #6 (CUSIP 44106MAX0)		Sale	02/22/2022	\$15,001 - \$50,000
78	Filer's IRA: Service Properties Trust, bonds #7 (CUSIP 44106MBB7)		Sale	02/18/2022	\$50,001 - \$100,000
79	Filer's IRA: Service Properties Trust, bonds #8 (CUSIP 44106MAY8)		Sale	02/18/2022	\$50,001 - \$100,000
80	Filer's IRA: Service Properties Trust, bonds #9 (CUSIP 44106MAQ5)	See Endnote	Sale	02/18/2022	\$50,001 - \$100,000
81	Filer's IRA: Starwood Hotel & Resorts, bonds (CUSIP 85590AAQ7)		Sale	02/18/2022	\$1,001 - \$15,000
82	Filer's IRA: Tanger Properties, LP, bonds (CUSIP 875484AL1)		Sale	02/17/2022	\$1,001 - \$15,000
83	Filer's IRA: American Funds Fundamental Investors - Class F-3 (FUNFX)		Purchase	04/04/2022	\$15,001 - \$50,000
84	Filer's IRA: American Funds Fundamental Investors - Class F-3 (FUNFX)		Purchase	06/07/2022	\$1,000,001 - \$5,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
85	Filer's IRA: American Funds Fundamental Investors - Class F-3 (FUNFX)	Purchase	06/21/2022	\$100,001 - \$250,000
86	Filer's IRA: American Funds Fundamental Investors - Class F-3 (FUNFX)	Purchase	12/23/2022	\$15,001 - \$50,000
87	Filer's IRA: American Funds Investment Co. of America - Class F-3 (FFICX)	Purchase	02/22/2022	\$1,000,001 - \$5,000,000
88	Filer's IRA: American Funds Investment Co. of America - Class F-3 (FFICX)	Sale	06/07/2022	\$100,001 - \$250,000
89	Filer's IRA: American Funds Investment Co. of America - Class F-3 (FFICX)	Purchase	06/21/2022	\$50,001 - \$100,000
90	Filer's IRA: American Funds Investment Co. of America - Class F-3 (FFICX)	Purchase	12/19/2022	\$50,001 - \$100,000
91	Filer's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	08/31/2022	\$250,001 - \$500,000
92	Filer's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	09/09/2022	\$15,001 - \$50,000
93	Filer's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	09/19/2022	\$15,001 - \$50,000
94	Filer's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	10/03/2022	\$100,001 - \$250,000
95	Filer's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	12/20/2022	\$15,001 - \$50,000
96	Filer's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	02/17/2022	\$500,001 - \$1,000,000
97	Filer's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	03/21/2022	\$500,001 - \$1,000,000
98	Filer's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Sale	05/25/2022	\$1,000,001 - \$5,000,000
99	Filer's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Sale	08/31/2022	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
100	Filer's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	11/22/2022	\$100,001 - \$250,000
101	Filer's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	12/22/2022	\$100,001 - \$250,000
102	Filer's IRA: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	05/25/2022	\$250,001 - \$500,000
103	Filer's IRA: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	06/21/2022	\$15,001 - \$50,000
104	Filer's IRA: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	07/08/2022	\$15,001 - \$50,000
105	Filer's IRA: JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Purchase	04/21/2022	\$1,001 - \$15,000
106	Filer's IRA: JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Purchase	06/08/2022	\$50,001 - \$100,000
107	Filer's IRA: JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Purchase	11/29/2022	\$100,001 - \$250,000
108	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	02/15/2022	\$15,001 - \$50,000
109	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	02/18/2022	\$250,001 - \$500,000
110	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	02/24/2022	\$250,001 - \$500,000
111	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	02/28/2022	\$500,001 - \$1,000,000
112	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	03/01/2022	\$100,001 - \$250,000
113	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	05/19/2022	\$50,001 - \$100,000
114	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	05/26/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
115	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	06/21/2022	\$100,001 - \$250,000
116	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	07/05/2022	\$15,001 - \$50,000
117	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	07/07/2022	\$1,001 - \$15,000
118	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	07/08/2022	\$15,001 - \$50,000
119	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	09/01/2022	\$50,001 - \$100,000
120	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	09/27/2022	\$50,001 - \$100,000
121	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	09/29/2022	\$15,001 - \$50,000
122	Filer's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	12/21/2022	\$15,001 - \$50,000
123	Filer's IRA: WisdomTree Floating Rate Treasury Fund (USFR)	Purchase	12/01/2022	\$1,001 - \$15,000
124	Filer's IRA: WisdomTree Floating Rate Treasury Fund (USFR)	Purchase	12/05/2022	\$1,001 - \$15,000
125	Filer's IRA: American Funds Growth Fund of America - Class F-3 (GAFFX)	Purchase	08/31/2022	\$250,001 - \$500,000
126	Filer's IRA: American Funds Growth Fund of America - Class F-3 (GAFFX)	Sale	11/16/2022	\$250,001 - \$500,000
127	Spouse's IRA: American Funds Fundamental Investors - Class F-3 (FUNFX)	Purchase	05/18/2022	\$15,001 - \$50,000
128	Spouse's IRA: American Funds Fundamental Investors - Class F-3 (FUNFX)	Purchase	06/21/2022	\$1,001 - \$15,000
129	Spouse's IRA: American Funds Investment Co. of America - Class F-3 (FFICX)	Purchase	02/22/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
130	Spouse's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	08/31/2022	\$15,001 - \$50,000
131	Spouse's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	09/22/2022	\$1,001 - \$15,000
132	Spouse's IRA: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	12/20/2022	\$1,001 - \$15,000
133	Spouse's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	03/21/2022	\$50,001 - \$100,000
134	Spouse's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	04/04/2022	\$1,001 - \$15,000
135	Spouse's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Sale	05/18/2022	\$15,001 - \$50,000
136	Spouse's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Sale	05/25/2022	\$1,001 - \$15,000
137	Spouse's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Sale	08/31/2022	\$15,001 - \$50,000
138	Spouse's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	11/16/2022	\$1,001 - \$15,000
139	Spouse's IRA: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	12/22/2022	\$1,001 - \$15,000
140	Spouse's IRA: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	05/25/2022	\$1,001 - \$15,000
141	Spouse's IRA: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	06/21/2022	\$1,001 - \$15,000
142	Spouse's IRA: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	12/22/2022	\$1,001 - \$15,000
143	Spouse's IRA: JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Sale	12/20/2022	\$1,001 - \$15,000
144	Spouse's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	02/15/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
145	Spouse's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Purchase	02/24/2022	\$1,001 - \$15,000
146	Spouse's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	05/19/2022	\$1,001 - \$15,000
147	Spouse's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	06/21/2022	\$1,001 - \$15,000
148	Spouse's IRA: JPMorgan Ultra-Short Income ETF (JPST)	Sale	12/23/2022	\$15,001 - \$50,000
149	Spouse's IRA: WisdomTree Floating Rate Treasury Fund (USFR)	Purchase	12/01/2022	\$1,001 - \$15,000
150	Spouse's IRA: WisdomTree Floating Rate Treasury Fund (USFR)	Purchase	12/23/2022	\$15,001 - \$50,000
151	Spouse's IRA: WisdomTree Floating Rate Treasury Fund (USFR)	Purchase	12/27/2022	\$1,001 - \$15,000
152	Spouse's IRA: American Funds Growth Fund of America - Class F-3 (GAFFX)	Purchase	08/31/2022	\$1,001 - \$15,000
153	Spouse's IRA: American Funds Growth Fund of America - Class F-3 (GAFFX)	Sale	11/16/2022	\$1,001 - \$15,000
154	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #1: American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	Purchase	12/07/2022	\$1,001 - \$15,000
155	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #1: American Funds New Perspective Fund - Class 529-F-2 (FFPNX)	Purchase	12/07/2022	\$1,001 - \$15,000
156	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #1: American Funds SMALLCAP World Fund - Class 529-F-2 (FSWFX)	Purchase	12/07/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
157	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #1: American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Sale	12/07/2022	\$1,001 - \$15,000
158	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	Purchase	12/07/2022	\$15,001 - \$50,000
159	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Investment Co. of America - Class 529- F-2 (FCIAX)	Purchase	06/15/2022	\$1,001 - \$15,000
160	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Investment Co. of America - Class 529- F-2 (FCIAX)	Sale	08/01/2022	\$1,001 - \$15,000
161	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Investment Co. of America - Class 529- F-2 (FCIAX)	Sale	12/07/2022	\$1,001 - \$15,000
162	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Investment Co. of America - Class 529- F-2 (FCIAX)	Purchase	12/14/2022	\$1,001 - \$15,000
163	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Investment Co. of America - Class 529- F-2 (FCIAX)	Sale	12/30/2022	\$1,001 - \$15,000
164	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds New Perspective Fund - Class 529-F-2 (FFPNX)	Purchase	12/07/2022	\$15,001 - \$50,000
165	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds SMALLCAP World Fund - Class 529-F- 2 (FSWFX)	Purchase	12/07/2022	\$15,001 - \$50,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
166	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Purchase	06/15/2022	\$1,001 - \$15,000
167	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Sale	07/27/2022	\$1,001 - \$15,000
168	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #2: American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Sale	12/07/2022	\$50,001 - \$100,000
169	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #4: American Funds Fundamental Investors - Class 529-F-2 (FFXFX)	Purchase	12/07/2022	\$1,001 - \$15,000
170	Virginia College Savings Plan (Virginia529), CollegeAmerica plan account #4: American Funds Washington Mutual Investors Fund - Class 529-F-2 (FWMMX)	Sale	12/07/2022	\$1,001 - \$15,000
171	U.S. brokerage account #1: American Funds Fundamental Investors - Class F-3 (FUNFX)	Purchase	04/05/2022	\$250,001 - \$500,000
172	U.S. brokerage account #1: American Funds Fundamental Investors - Class F-3 (FUNFX)	Purchase	10/31/2022	\$500,001 - \$1,000,000
173	U.S. brokerage account #1: American Funds Investment Co. of America - Class F-3 (FFICX)	Purchase	04/05/2022	\$500,001 - \$1,000,000
174	U.S. brokerage account #1: American Funds Investment Co. of America - Class F-3 (FFICX)	Purchase	11/02/2022	\$250,001 - \$500,000
175	U.S. brokerage account #1: American Funds New Perspective Fund - Class F-3 (FNPFX)	Purchase	04/05/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
176	U.S. brokerage account #1: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Purchase	04/05/2022	\$500,001 - \$1,000,000
177	U.S. brokerage account #1: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	04/05/2022	\$500,001 - \$1,000,000
178	U.S. brokerage account #1: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	10/31/2022	\$100,001 - \$250,000
179	U.S. brokerage account #1: American Funds American High-Income Municipal Bond Fund - Class F-3 (HIMFX)	Sale	10/31/2022	\$15,001 - \$50,000
180	U.S. brokerage account #1: JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Purchase	06/21/2022	\$15,001 - \$50,000
181	U.S. brokerage account #1: JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	Purchase	10/31/2022	\$250,001 - \$500,000
182	U.S. brokerage account #1: JPMorgan Ultra-Short Municipal Income ETF (JMST)	Purchase	11/01/2022	\$500,001 - \$1,000,000
183	U.S. brokerage account #1: JPMorgan Ultra-Short Municipal Income ETF (JMST)	Purchase	11/03/2022	\$50,001 - \$100,000
184	U.S. brokerage account #2: American Funds Washington Mutual Investors Fund - Class F-3 (FWMIX)	Sale	06/08/2022	\$15,001 - \$50,000
185	U.S. brokerage account #2: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	06/08/2022	\$15,001 - \$50,000
186	U.S. brokerage account #2: Applied Finance Explorer Fund - Institutional Class (AFDZX)	Purchase	06/21/2022	\$1,001 - \$15,000
187	U.S. brokerage account #2: American Funds American High-Income Municipal Bond Fund - Class F-3 (HIMFX)	Sale	06/08/2022	\$15,001 - \$50,000
188	U.S. brokerage account #2: JPMorgan Ultra-Short Municipal Income ETF (JMST)	Purchase	06/14/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
189	U.S. brokerage account #2: JPMorgan Ultra-Short Municipal Income ETF (JMST)		Sale	06/21/2022	\$1,001 - \$15,000
190	Family revocable trust account: WisdomTree Floating Rate Treasury Fund (USFR)		Purchase	12/21/2022	\$15,001 - \$50,000
191	Family revocable trust account: JPMorgan Ultra-Short Municipal Income ETF (JMST)		Sale	12/29/2022	\$15,001 - \$50,000
192	Family revocable trust account: JPMorgan Strategic Income Opportunities Fund - Class I (JSOSX)	See Endnote	Sale	12/30/2022	\$100,001 - \$250,000
193	Family revocable trust account: Applied Finance Explorer Fund - Institutional Class (AFDZX)	See Endnote	Sale	12/30/2022	\$15,001 - \$50,000
194	Spouse's IRA: Acme United Corporation (ACU)		Sale	02/17/2022	\$1,001 - \$15,000
195	Spouse's IRA: Acme United Corporation (ACU)		Sale	02/23/2022	\$15,001 - \$50,000
196	Spouse's IRA: Anika Therapeutics, Inc. (ANIK)		Sale	02/17/2022	\$1,001 - \$15,000
197	Spouse's IRA: Anika Therapeutics, Inc. (ANIK)		Sale	02/24/2022	\$1,001 - \$15,000
198	Spouse's IRA: B&G Foods, Inc. (BGS)		Sale	02/17/2022	\$1,001 - \$15,000
199	Spouse's IRA: B&G Foods, Inc. (BGS)		Sale	02/22/2022	\$1,001 - \$15,000
200	Spouse's IRA: EnerSys (ENS)		Sale	02/24/2022	\$15,001 - \$50,000
201	Spouse's IRA: Exelixis, Inc. (EXEL)		Sale	02/23/2022	\$15,001 - \$50,000
202	Spouse's IRA: Franchise Group, Inc. (FRG)		Sale	02/16/2022	\$1,001 - \$15,000
203	Spouse's IRA: InterDigital, Inc. (IDCC)		Sale	02/25/2022	\$1,001 - \$15,000
204	Spouse's IRA: Mastech Digital, Inc. (MHH)		Sale	02/16/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
205	Spouse's IRA: Pitney Bowes, Inc. (PBI)	Sale	02/17/2022	\$1,001 - \$15,000
206	Spouse's IRA: Pitney Bowes, Inc. (PBI)	Sale	02/18/2022	\$1,001 - \$15,000
207	Spouse's IRA: Service Properties Trust (SVC)	Sale	02/17/2022	\$1,001 - \$15,000
208	Spouse's IRA: Service Properties Trust (SVC)	Sale	02/18/2022	\$15,001 - \$50,000
209	Spouse's IRA: TESSCO Technologies, Inc. (TESS)	Sale	02/17/2022	\$1,001 - \$15,000
210	Spouse's IRA: TESSCO Technologies, Inc. (TESS)	Sale	02/18/2022	\$1,001 - \$15,000
211	Spouse's IRA: TESSCO Technologies, Inc. (TESS)	Sale	02/22/2022	\$1,001 - \$15,000
212	Spouse's IRA: Toll Brothers, Inc. (TOL)	Sale	02/17/2022	\$1,001 - \$15,000
213	Spouse's IRA: Treco Resources (TREC)	Sale	02/15/2022	\$1,001 - \$15,000
214	Spouse's IRA: Treco Resources (TREC)	Sale	02/17/2022	\$1,001 - \$15,000
215	Spouse's IRA: WisdomTree Investments, Inc. (WETF)	Sale	02/16/2022	\$1,001 - \$15,000
216	Spouse's IRA: WisdomTree Investments, Inc. (WETF)	Sale	02/17/2022	\$15,001 - \$50,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	1	My spouse and I are the grantors of this family revocable trust.
1.	2	I forwent compensation for my former position at Bitterroot Bio, Inc.
1.	5	I forwent compensation for my former position at Mayo Foundation for Medical Education & Research.
1.	12	I was employed by Duke University since 1980 when I was a clinical fellow, retiring in November 2019 and then taking an adjunct professor position. The adjunct professor position annually renewed.
1.	19	As part of my duties with the company, I led the advisory board of Verily Life Sciences, LLC. I did not hold a separate position or title related to leading this advisory board, and I did not receive any additional compensation for it.
1.	20	As part of my duties with the company, I led the advisory board of Verily Life Sciences, LLC. I did not hold a separate position or title related to leading this advisory board, and I did not receive any additional compensation for it.
6.	6.1	Previously below reporting threshold.
6.	8	This plan was established in November 2021, which was after I filed my nominee OGE Form 278e (Executive Branch Personnel Public Financial Disclosure Report) and before my confirmation to the position of Commissioner of Food & Drugs.
6.	9	The sole underlying asset was below the value reporting threshold at the end of 2022. Remaining assets were gifted or transferred out to the family revocable trust account. Those gifts and transfers are not reportable transactions under Part 7.
6.	10	The sole underlying asset was below the value reporting threshold at the end of 2022. Remaining assets were gifted or transferred out to the family trust account. Those gifts and transfers are not reportable transactions under Part 7.
6.	11	Except for WisdomTree Floating Rate Treasury Fund (USFR), assets were transferred from U.S. brokerage account #1 and U.S. brokerage account #2 to this trust account. Those transfers are not reportable transactions under Part 7.
6.	11.7	The reported value range does not take into account the 12/30/2022 sale of the fund reported in Part 7. Upon settlement date on 01/03/2023, the value of the fund fell within the range \$100,001 - \$250,000.

PART	#	ENDNOTE
7.	1	This purchase was the result of exercising vested stock options for American depositary shares of Centessa Pharmaceuticals, PLC.
7.	3	This purchase was the result of exercising vested stock options for American depositary shares of Centessa Pharmaceuticals, PLC.
7.	5	This purchase was the result of exercising vested stock options for shares of Cytokinetics, Inc.
7.	7	This purchase was the result of exercising vested stock options for shares of Cytokinetics, Inc.
7.	10	The sale of Vanguard Target Retirement 2015 Trust Select and the subsequent purchase of Vanguard Target Retirement Income Trust Select occurred between July 1, 2022, and September 30, 2022.
7.	11	The sale of Vanguard Target Retirement 2015 Trust Select and the subsequent purchase of Vanguard Target Retirement Income Trust Select occurred between July 1, 2022, and September 30, 2022.
7.	80	I purchased this asset after I filed my nominee OGE Form 278e (Executive Branch Personnel Public Financial Disclosure Report) and before my confirmation to the position of Commissioner of Food & Drugs.
7.	192	Settlement date: 01/03/2023.
7.	193	Settlement date: 01/03/2023.

# 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).

---