

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

Filer's Information

Romanowski, Alina L

Ambassador to the State of Kuwait, Department of State

Report Year: 2021

Other Federal Government Positions Held During the Preceding 12 Months:

U.S. Ambassador to Kuwait (1/2020 - Present)

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/ Romanowski, Alina L [electronically signed on 05/15/2021 by Romanowski, Alina L 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/ Chabora, Paige E, Certifying Official [electronically signed on 08/02/2021 by Chabora, Paige E in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/04/2021 by Granahan, Megan in Integrity.gov]

Data Revised 07/30/2021

Data Revised 07/17/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Parents' Estate	See Endnote	Santa Fe, New Mexico	Estate	Executor	6/2011	7/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA # 1	No			
1.1	Blackrock Capital Appreciation FD, INC A (IRA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2	Blackrock Advantage LRGE Cap Growth FD CL A (IRA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.3	PIMCO ALL Asset Fund Class C (IRA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	IRA #2	No			
2.1	Vanguard STAR Fund (IRA)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.2	Vanguard Wellington Fund Admiral (renamed from Wellington Fund Inv) (IRA)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3	IRA #3	No		Cash payments	\$7,421
3.1	CREF Bond Market R3 (Inherited IRA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.2	TIAA Traditional (Inherited IRA)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500

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	WWM Solutions LLC (Consulting services)	N/A	\$50,001 - \$100,000	consulting fees, LLC distribution	\$160,000
2	Raytheon Corporation, stock	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
3	Vanguard Federal Money Market (BAE 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Vanguard Inst Total Bond Mkt (BAE 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Vanguard Wellington Adm (BAE 401K)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Dodge & Cox Stock (BAE 401K)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7	Vanguard Inst 500 Index Trust (BAE 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Vanguard Inst Extended Mkt (BAE 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Vanguard Retirement Income Trust (BAE 401K)		Yes	\$15,001 - \$50,000		None (or less than \$201)
10	Vanguard Target Retirement 2025 Trust (BAE 401K)		Yes	\$15,001 - \$50,000		None (or less than \$201)
11	Janus Henderson (JH) Balanced N (Raytheon 401k)		Yes	\$100,001 - \$250,000		None (or less than \$201)
12	Raytheon Fixed Income Fund (Raytheon 401K)		Yes	\$100,001 - \$250,000		None (or less than \$201)
13	Northern Trust S&P 500 Index (NOSIX) (Raytheon 401K)		Yes	None (or less than \$1,001)		None (or less than \$201)
14	T. Rowe Price Inst SM CAP STK (Raytheon 401K)		Yes	\$15,001 - \$50,000		None (or less than \$201)
15	PIMCO Total RT INST (Raytheon 401K)		Yes	\$50,001 - \$100,000		None (or less than \$201)
16	Raytheon Stock Fund		N/A	None (or less than \$1,001)		\$5,001 - \$15,000
17	BAE Deferred Compensation Plan	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
17.1	Fidelity VIP Gov'T Money Market, Initial Class		Yes	\$1,001 - \$15,000		None (or less than \$201)
17.2	Vanguard VIF Total Bond Market Index		Yes	\$1,001 - \$15,000		None (or less than \$201)
17.3	DFA VIT Inflation-Protected Securities Instl Class		Yes	\$1,001 - \$15,000		None (or less than \$201)
17.4	Vanguard VIF Balanced		Yes	\$1,001 - \$15,000		None (or less than \$201)
17.5	Fidelity VIP Index 500-Initial Class		Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.6	Vanguard VIF Capital Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.7	Dreyfus IP Small Cap Stock Index-Service Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.8	Vanguard VIF Small Company Growth	Yes	None (or less than \$1,001)		None (or less than \$201)
18	IRA #1	No			
18.1	Emerson Electric Co. (IRA)	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
18.2	Ford Motor Co. (IRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.3	Freeport-McMoran Inc. (IRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.4	Johnson and Johnson Company (IRA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
18.5	Marathon Petroleum Corporation (IRA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.6	Medtronic PLC Shares (IRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.7	General Electric (IRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Allianzgi Income and Growth Fund CL A [converted from CL C] (IRA ML Acct)	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	John Hancock Disciplined Value Mid Cap CL A [converted from CL C] (IRA ML Acct)	Yes	\$15,001 - \$50,000		None (or less than \$201)
21	Vanguard Target Retirement 2035 Trust (BAE Systems 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)
22	Income Allocation Index (Raytheon 401K)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	Fidelity Contrafund Commingled (BAE Systems 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	Vanguard Federal Money Market (BAE Systems 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Coca-Cola Co (ML Acct)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2	Allianzgi NFJ Dividend Value Fund CL A (converted from CL C) (ML Acct)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	BlackRock National Municipal FD A (ML Acct)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Columbia AMT Free Interm Muni Bond Fund CL A (ML Acct)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5	Fidelity Advisor New Insights FD CL A (converted from CL C) (ML Acct)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	First Eagle Global Incom Builder Fund CL A (ML Acct)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	IVY Municipal Bond FD C (ML Acct)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8	John Hancock Disciplined Value Mid Cap CL A (ML Acct)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9	INVESCO (renamed Oppnhmr Rochester) SRT Dur Hi Yld Muni FD CL C (ML Acct)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	INVESCO (renamed Oppnhmr Rochester)SRT Dur Hi Yld Muni FD CL A	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Templeton Growth Fund Inc CL C (ML Acct)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
12	Western Asset Managed Municipals FD C	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
13	Vanguard Growth and Income Inv	Yes	\$50,001 - \$100,000		None (or less than \$201)
14	Vanguard Windsor Fund Admiral	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
15	T. Rowe Price GNMA	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	T. Rowe Price New Income	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17	T. Rowe Price Tax-Free Short Intermediate	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18	U.S. credit union #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
19	U.S. bank #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
20	Southern Company	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$5,001 - \$15,000
21	Apple Inc. - Common Stock (eTrade Acct)	N/A	\$15,001 - \$50,000		None (or less than \$201)
22	First Majestic Silver (eTrade Acct)	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	REGI (Renewable Energy Group) (eTrade Acct)	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	BFR (BBVA Banco Frances SA Sponsored ADR) (eTrade Acct)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	GXG (Global x FDS Global MSCI Colombia ETF) (eTrade Acct)	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	IShares MSCI Chile (Schwab Acct)	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Arcelormittal NY Registry (Schwab Acct)	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	USAA Precious Metals and Minerals Retail (Schwab Acct)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29	Eli Lilly & Co (ML Acct)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
30	Nat Fuel Gas Co (ML Acct)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
31	Pepsico Inc (ML Acct)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
32	Proctor & Gamble (ML Acct)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
33	Blackrock Muniyield Qual (ML Acct)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
34	Blackrock Muniassets FND (ML Acct)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
35	Templeton Growth Fund (ML Acct)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
36	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	DC College Savings Plan (529)	No		cash payments	\$2,173
37.1	DC College Savings 2031 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.2	US Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37.3	US Large Cap Equity Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.4	DC College Savings 2025 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.5	DC College Savings in College Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
38	DC College Savings Plan (529)	No		cash payments	\$180
38.1	DC College Savings 2031 Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
38.2	US Socially Responsible Equity Portfolio	Yes	None (or less than \$1,001)		None (or less than \$201)
39	Altria Group Inc	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
40	Mondelez International	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	Proctor & Gamble	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
42	Blackrock Global Allocation FD INC A (UTMA #1)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
43	U.S. bank #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	U.S. credit union #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	Blackrock Global Allocation FD INC A (UTMA#2)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
46	Community Health Care Systems CYH	Yes	\$1,001 - \$15,000		\$201 - \$1,000
47	Kinross Gold Corp KGC	Yes	\$1,001 - \$15,000		\$201 - \$1,000
48	Cisco Sysems In CSCO	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49	Schlumberger Ltd (SLB)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
50	Charles River Laboratories CRL	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
51	Constellation Brands Inc A (STZ)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
52	ICON Plc ICLR	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
53	Newmont Corp. (NEM)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Vanguard Target Retirement 2035 Trust (BAE Systems 401K)	Purchase	02/19/2019	\$15,001 - \$50,000
2	Fidelity Contrafund Commingled (BAE Systems 401K)	Purchase	04/01/2019	\$15,001 - \$50,000
3	Vanguard Federal Money Market (BAE Systems 401K)	Sale	05/18/2020	\$15,001 - \$50,000
4	Vanguard Wellington Admiral (BAE Systems 401K)	Sale	03/08/2020	\$100,001 - \$250,000
5	T. Rowe Price Inst SM CAP STK	Sale	03/09/2020	\$15,001 - \$50,000
6	Raytheon Fixed Income Fund	Sale	03/09/2020	\$50,001 - \$100,000
7	Janus Henderson Balanced	Sale	03/09/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	America Funds New Perspective	Purchase	03/09/2020	\$100,001 - \$250,000
9	PIMCO Total RT INST	Purchase	03/09/2020	\$50,001 - \$100,000
10	Raytheon Stock Fund	Sale	03/09/2020	\$15,001 - \$50,000
11	Dodge & Cox Stock	Sale	03/09/2020	\$1,001 - \$15,000
12	Vanguard Inst Extended Mkt	Sale	03/09/2020	\$15,001 - \$50,000
13	Vanguard Total Bond Mkt	Purchase	03/09/2020	\$1,001 - \$15,000
14	Vanguard Federal Money Market (VMFXX)	Purchase	03/09/2020	\$1,001 - \$15,000
15	Vanguard Retirement Income Trust	Purchase	03/09/2020	\$1,001 - \$15,000
16	Emerson Electric (IRA)	Sale	03/09/2020	\$15,001 - \$50,000
17	Pepsi (CMA)	Sale	03/09/2020	\$15,001 - \$50,000
18	Proctor & Gamble	Sale	03/09/2020	\$15,001 - \$50,000
19	Proctor & Gamble	Sale	03/10/2020	\$15,001 - \$50,000
20	America Funds New Perspective	Sale	03/23/2020	\$50,001 - \$100,000
21	Raytheon Fixed Income Fund	Purchase	03/23/2020	\$100,001 - \$250,000
22	Janus Henderson Balanced	Sale	03/23/2020	\$50,001 - \$100,000
23	American Funds New Perspective F-2 (ANWFX)	Purchase	04/17/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	Janus Henderson Balanced	Purchase	04/17/2020	\$15,001 - \$50,000
25	Raytheon Fixed Income Fund	Sale	04/28/2020	\$15,001 - \$50,000
26	Janus Henderson Balanced	Purchase	04/28/2020	\$15,001 - \$50,000
27	American Funds New Perspective F-2 (ANWFX)	Purchase	04/28/2020	\$15,001 - \$50,000
28	Raytheon Fixed Income Fund	Sale	04/17/2020	\$15,001 - \$50,000
29	Raytheon Fixed Income Fund	Sale	05/18/2020	\$15,001 - \$50,000
30	Janus Henderson Balanced	Purchase	05/18/2020	\$15,001 - \$50,000
31	America Funds New Perspective	Purchase	05/18/2020	\$15,001 - \$50,000
32	US Stock Market Index Portfolio	Sale	03/25/2020	
33	US Large Cap Equity Portfolio	Sale	03/25/2020	
34	DC College Savings in College	Sale	03/25/2020	
35	DC College Savings 2025 Portfolio	Sale	03/25/2020	\$1,001 - \$15,000
36	DC College Savings 2025 Portfolio	Sale	05/13/2020	
37	US Total Stock Market Portfolio	Sale	05/13/2020	
38	DC College Savings 529 - iShares Core US Aggregate Bond ETF (AGG)	Purchase	05/13/2020	
39	DC College Savings 529 - US Large Cap Equity Portfolio - JP Morgan US Equity Fund (JUEMX)	Purchase	05/13/2020	
40	DC College Savings in College	Purchase	05/13/2020	

#	DESCRIPTION	TYPE	DATE	AMOUNT
41	Fidelity VIP Index 500 (Initial Class exchange by BAE to Charles Schwab S&P 500 Index)	Exchange	02/11/2020	\$15,001 - \$50,000
42	Charles Schwab S&P 500 Index	Sale	03/24/2020	\$15,001 - \$50,000
43	DFA VIT Inflation protected Securities Inst Class	Sale	03/24/2020	\$1,001 - \$15,000
44	Vanguard VIF Capital Growth	Sale	03/24/2020	\$1,001 - \$15,000
45	Vanguard VIF Small Company Growth	Sale	03/24/2020	
46	Dreyfus IP Small Cap Stock Index Service Shares	Sale	03/24/2020	\$1,001 - \$15,000
47	Vanguard VIF Balanced	Purchase	03/24/2020	\$1,001 - \$15,000
48	Fidelity VIP Freedom Income	Purchase	03/24/2020	\$1,001 - \$15,000
49	Fidelity VIP Government Money Market, Initial Class	Purchase	03/24/2020	\$1,001 - \$15,000
50	Vanguard VIF Total Bond Market Index	Purchase	03/24/2020	\$1,001 - \$15,000
51	Fidelity VIP Government Money Market, Initial Class	Sale	03/30/2020	\$1,001 - \$15,000
52	Vanguard VIF Total Bond Market Index	Purchase	03/30/2020	\$1,001 - \$15,000
53	Fidelity VIP Government Money Market, Initial Class	Sale	05/01/2020	\$1,001 - \$15,000
54	Vanguard VIF Total Bond Market Index	Sale	05/01/2020	\$1,001 - \$15,000
55	Vanguard VIF Balanced	Purchase	05/01/2020	\$1,001 - \$15,000
56	Vanguard VIF Capital Growth	Purchase	05/01/2020	\$1,001 - \$15,000
57	Vanguard VIF Total Bond Market Index	Sale	05/13/2020	\$1,001 - \$15,000
58	Vanguard VIF Capital Growth	Purchase	05/13/2020	\$1,001 - \$15,000
59	Vanguard VIF Balanced	Purchase	05/13/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
60	Fidelity VIF Freedom Income	Sale	05/19/2020	\$1,001 - \$15,000
61	Vanguard VIF Capital Growth	Purchase	05/19/2020	\$1,001 - \$15,000
62	Renewable Energy Group, Inc. (REGI)	Sale	01/08/2020	\$1,001 - \$15,000
63	MSCI Colombia GXG	Sale	01/17/2020	\$1,001 - \$15,000
64	ICON Plc ICLR	Purchase	03/19/2020	\$1,001 - \$15,000
65	First Majestic Silver AG	Sale	03/26/2020	\$1,001 - \$15,000
66	Schlumberger Ltd (SLB)	Purchase	03/26/2020	\$1,001 - \$15,000
67	Charles River Laboratories CRL	Purchase	03/19/2020	\$1,001 - \$15,000
68	Constellation Brands Inc A (STZ)	Purchase	03/27/2020	\$1,001 - \$15,000
69	Charles River Laboratories CRL	Sale	04/13/2020	\$1,001 - \$15,000
70	Community Health Systems CYH	Purchase	04/14/2020	\$1,001 - \$15,000
71	Constellation Brands STZ	Sale	04/15/2020	\$1,001 - \$15,000
72	Schlumberger Ltd (SLB)	Sale	04/27/2020	\$1,001 - \$15,000
73	Schlumberger Ltd (SLB)	Sale	04/30/2020	\$1,001 - \$15,000
74	ICON Plc ICLR	Sale	05/01/2020	\$1,001 - \$15,000
75	Community Health CYHSystems, Inc. - Series A Contingent Value Rights (CYHHZ)	Purchase	05/04/2020	\$1,001 - \$15,000
76	First Majestic Silver AG	Purchase	05/08/2020	\$1,001 - \$15,000
77	Newmont Corporation NEM	Purchase	05/08/2020	\$1,001 - \$15,000
78	Invesco Oppenheimer Rochester SHRT DRTN HI YLD Muni FD CL A (OPITX)	Sale	05/18/2020	\$50,001 - \$100,000
79	Invesco Short Duration Hi Yield Muni CL A (OPITX)	Purchase	05/18/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
80	Invesco Oppenheimer Rochester Short Duration HI YLD Muni FD CL C (OITCX)	Sale	05/18/2020	\$1,001 - \$15,000
81	Ivesco Short Duration HI Yield Muni FD CL C (ISHCX)	Purchase	05/18/2020	\$1,001 - \$15,000
82	Vanguard Wellington Admiral (BAE 401K)	Purchase	01/09/2020	\$100,001 - \$250,000
83	Northern Trust S&P 500 Index (NOSIX) (Raytheon 401K)	Sale	03/02/2020	\$1,001 - \$15,000
84	First Majestic Silver	Sale	06/02/2020	\$1,001 - \$15,000
85	DC College Savings 2031 Portfolio	Sale	12/30/2020	\$1,001 - \$15,000
86	US Large Cap Equity Portfolio	Sale	12/30/2020	\$1,001 - \$15,000
87	DC College Saving in College Portfolio	Sale	12/30/2020	\$1,001 - \$15,000
88	DC College Savings Portfolio 2025	Sale	12/30/2020	\$1,001 - \$15,000
89	US Socially Responsible Equity Portfolio	Sale	12/30/2020	\$1,001 - \$15,000
90	BFR (BBVA Banco Frances SA Sponsored ADR) eTrade Acct)	Sale	01/07/2020	\$1,001 - \$15,000
91	GXG (Global x FDS Global MSCI Colombia ETF) (eTrade Acct)	Sale	01/17/2020	\$1,001 - \$15,000
92	Community Health Care Systems CYH	Sale	06/09/2020	\$1,001 - \$15,000
93	Kinross Gold Corp KGC	Purchase	08/31/2020	\$1,001 - \$15,000
94	Cisco Systems, Inc. (CSCO)	Purchase	08/31/2020	\$1,001 - \$15,000
95	Kinross Gold Corp	Purchase	12/07/2020	\$1,001 - \$15,000
96	Cisco Systems, Inc. (CSCO)	Purchase	12/07/2020	\$1,001 - \$15,000
97	Dreyfus IP Small Cap Stock Index Service Shares	Sale	03/24/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
98	Fidelity VIP Index 500 Initial Class exchanged to Charles Schwab S&P 500 Index	Exchange	02/11/2020	\$15,001 - \$50,000
99	DC College Savings 529 - iShares Core US AggregateBond ETF (AGG)	Sale	12/30/2020	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Navy Federal Credit Union	Mortgage on Personal Residence	\$100,001 - \$250,000	2011	3.625	15 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	1	The estate has been discharged and the filer was legally released July 22, 2020.
5.	17	This deferred compensation plan is linked to the child assets listed below.

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).
