

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

## Filer's Information

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Murphy, W Patrick

Chief of Mission, Department of State

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Murphy, W Patrick [electronically signed on 04/13/2021 by Murphy, W Patrick in Integrity.gov]

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Mann, Judy, Certifying Official [electronically signed on 09/07/2021 by Mann, Judy in Integrity.gov]

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Other review conducted by

/s/ Mann, Judy, Ethics Official [electronically signed on 08/11/2021 by Mann, Judy in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 09/13/2021 by Granahan, Megan in Integrity.gov]

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	RCM - Roth IRA - Equities	No			
1.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	BlackRock Health Sciences Opps Instl (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	USAA Emerging Markets Fund Fund Class Shares (USEMX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.15	USAA Growth Fund Fund Class Shares (USAAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.16	USAA Income Stock Fund Fund Class Shares (USISX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.17	USAA International Fund Fund Class Shares (USIFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.18	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.19	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	None (or less than \$1,001)		None (or less than \$201)
2	RCM - Roth IRA - Fixed Income	No			
2.1	Axonix Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.10	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	USAA High Income Fund Fund Class Shares (USHYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.12	USAA Income Fund Fund Class Shares (USAIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.13	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.14	USAA Short-Term Bond Fund Fund Class Shares (USSBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3	RCM - Roth IRA - Alternatives	No			
3.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	RCM - Traditional IRA - Equities	No			
4.1	Akre Focus Fund Institutional Class Shares (AKRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		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	RCM - Traditional IRA - Equities (S)	No			
1.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	USAA Emerging Markets Fund Fund Class Shares (USEMX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.15	USAA Growth Fund Fund Class Shares (USAAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.16	USAA Income Stock Fund Fund Class Shares (USISX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.17	USAA International Fund Fund Class Shares (USIFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.18	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.19	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	None (or less than \$1,001)		None (or less than \$201)
2	RCM - Traditional IRA - Fixed Income (S)	No			
2.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.5	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.10	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	USAA High Income Fund Fund Class Shares (USHYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.12	USAA Income Fund Fund Class Shares (USAIX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.14	USAA Short-Term Bond Fund Fund Class Shares (USSBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3	RCM - Traditional IRA - Alternatives (S)	No			
3.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	RCM - Roth IRA - Equities (S)	No			
4.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	USAA Emerging Markets Fund Fund Class Shares (USEMX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.15	USAA Growth Fund Fund Class Shares (USAAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.16	USAA Income Stock Fund Fund Class Shares (USISX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.17	USAA International Fund Fund Class Shares (USIFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.18	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.19	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.20	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	None (or less than \$1,001)		None (or less than \$201)
5	RCM - Roth IRA - Fixed Income (S)	No			
5.1	Axonix Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.5	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.8	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.9	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.10	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	USAA High Income Fund Fund Class Shares (USHYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.12	USAA Income Fund Fund Class Shares (USAIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.13	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.14	USAA Short-Term Bond Fund Fund Class Shares (USSBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
6	RCM - Roth IRA - Alternatives (S)	No			
6.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia Pre-paid529-3	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Virginia Invest529-3	No			
2.1	2021 Portfolio	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3	U.S. Fed Savings Bank (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	Undeveloped land, New Hampton, NH	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Rental House, Falls Church, VA	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
6	Virginia Pre-paid529-1	No	\$1,001 - \$15,000		None (or less than \$201)
7	Virginia Pre-paid529-2	No	\$1,001 - \$15,000		None (or less than \$201)
8	Virginia Invest529-1	No			
8.1	Stable Value	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Virginia Invest529-2	No			None (or less than \$201)
9.1	2018 Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	RCM - Joint - Equities - 1	No			
10.1	Akre Focus Fund Institutional Class Shares (AKRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.6	Cohen & Steers Tax Advantaged Pfd Secs & Income Fu(PTA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.7	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.8	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.12	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.13	MFS International Growth Fund Class I Shares (MQGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.14	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.15	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.16	USAAEmerging Markets Fund Fund Class Shares (USEMX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.17	USAA Growth Fund Fund Class Shares (USAAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.18	USAA Income Stock Fund Fund Class Shares (USISX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.19	USAA International Fund Fund Class Shares (USIFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.20	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.21	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.22	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.23	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11	RCM - Joint - Fixed Income - 1	No			
11.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.4	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.5	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.6	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.7	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.8	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11.9	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.10	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.11	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.12	USAA High Income Fund Fund Class Shares (USHYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.13	USAA Income Fund Fund Class Shares (USAIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.14	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.15	USAA Short-Term Bond Fund Fund Class Shares (USSBX)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.16	Virtus Newfleet Multi-Sector Short Term Bond Fund Class I Shares (PIMSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	RCM - Joint - Alternatives - 1	No			
12.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	RCM - Joint - Equities - 2	No			
13.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.2	ColumbiaGlobal Technology Growth Fund Class C Shares (CTHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.4	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	RCM - Joint - Fixed Income - 2	No			
14.1	Virginia Commonwealth Transn Brd Tr (927793HS1)	No	\$15,001 - \$50,000		None (or less than \$201)
14.2	Virginia Commonwealth Transn Brd Tr (927793KG3)	No	\$15,001 - \$50,000		None (or less than \$201)
14.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
14.4	Virginia St Res Auth Wtr & Swr (928181HU3)	No	\$15,001 - \$50,000		None (or less than \$201)
14.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)
15	RCM - Joint - Equities - 3	No			
15.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.2	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.3	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	RCM - Joint - Fixed Income - 3	No			
16.1	Virginia Commonwealth Transn Brd Tr (927793HS1)	No	\$15,001 - \$50,000		None (or less than \$201)
16.2	Virginia Commonwealth Transn Brd Tr (927793KH1)	No	\$50,001 - \$100,000		None (or less than \$201)
16.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.4	Virginia St Res Auth Wtr & Swr (928181HU3))	No	\$15,001 - \$50,000		None (or less than \$201)
16.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)
17	RCM - UTMA - Equities	No			
17.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.2	Washington Mutual Investors Fund Class F2 Shares (WMFFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.3	Pioneer Fundamental Growth Fund Class Y Shares (FUNYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.4	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.5	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	RCM - UTMA - Fixed Income	No			
18.1	Virginia St Res Auth Wtr & Swr (928181HS8)	No	\$15,001 - \$50,000		None (or less than \$201)
18.2	Virginia St Res Auth Wtr & Swr (928181HL3)	No	\$1,001 - \$15,000		None (or less than \$201)
18.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
18.4	Virginia St Res Auth Wtr & Swr (928181HU3)	No	\$50,001 - \$100,000		None (or less than \$201)
18.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Sale	12/16/2020	\$1,001 - \$15,000
2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Purchase	09/23/2020	\$1,001 - \$15,000
3	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	09/23/2020	\$1,001 - \$15,000
4	PIMCO Income Fund Class I-2 Shares (PONPX)	Sale	09/23/2020	\$1,001 - \$15,000
5	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Purchase	09/23/2020	\$1,001 - \$15,000
6	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	09/23/2020	\$1,001 - \$15,000
7	PIMCO Income Fund Class I-2 Shares (PONPX)	Sale	09/23/2020	\$1,001 - \$15,000
8	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Purchase	09/23/2020	\$1,001 - \$15,000
9	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	09/23/2020	\$1,001 - \$15,000
10	PIMCO Income Fund Class I-2 Shares (PONPX)	Sale	09/23/2020	\$1,001 - \$15,000
11	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Sale	09/22/2020	\$1,001 - \$15,000
12	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Sale	09/22/2020	\$1,001 - \$15,000
13	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Sale	09/22/2020	\$1,001 - \$15,000
14	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Purchase	08/04/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Purchase	08/04/2020	\$1,001 - \$15,000
16	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Sale	08/04/2020	\$1,001 - \$15,000
17	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	08/04/2020	\$1,001 - \$15,000
18	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Purchase	08/04/2020	\$1,001 - \$15,000
19	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Purchase	08/04/2020	\$1,001 - \$15,000
20	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Sale	08/04/2020	\$1,001 - \$15,000
21	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Purchase	08/04/2020	\$1,001 - \$15,000
22	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Purchase	08/04/2020	\$1,001 - \$15,000
23	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Sale	08/04/2020	\$1,001 - \$15,000
24	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Purchase	07/10/2020	\$1,001 - \$15,000
25	Washington Mutual Investors Fund Class C Shares (WSHCX)	Purchase	07/10/2020	\$1,001 - \$15,000
26	ColumbiaGlobal Technology Growth Fund Class C Shares (CTHCX)	Purchase	07/10/2020	\$1,001 - \$15,000
27	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Purchase	07/10/2020	\$1,001 - \$15,000
28	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	07/07/2020	\$1,001 - \$15,000
29	Axonic Strategic Income Fund (AXSIX)	Purchase	06/10/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	MFS Value Fund Class I Shares (MEIIX)	Purchase	06/10/2020	\$1,001 - \$15,000
31	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Sale	06/10/2020	\$1,001 - \$15,000
32	Axonic Strategic Income Fund (AXSIX)	Purchase	06/10/2020	\$1,001 - \$15,000
33	MFS Value Fund Class I Shares (MEIIX)	Purchase	06/10/2020	\$1,001 - \$15,000
34	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Sale	06/10/2020	\$1,001 - \$15,000
35	Axonic Strategic Income Fund (AXSIX)	Purchase	06/10/2020	\$1,001 - \$15,000
36	MFS Value Fund Class I Shares (MEIIX)	Purchase	06/10/2020	\$1,001 - \$15,000
37	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Sale	06/10/2020	\$1,001 - \$15,000
38	Vanguard Financials Index Fund ETF Shares (VFH)	Sale	05/13/2020	\$1,001 - \$15,000
39	Vanguard Financials Index Fund ETF Shares (VFH)	Sale	05/13/2020	\$1,001 - \$15,000
40	Vanguard Financials Index Fund ETF Shares (VFH)	Sale	05/13/2020	\$1,001 - \$15,000
41	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Purchase	05/05/2020	\$1,001 - \$15,000
42	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Purchase	05/05/2020	\$1,001 - \$15,000
43	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	05/05/2020	\$1,001 - \$15,000
44	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	05/05/2020	\$1,001 - \$15,000
45	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Purchase	05/05/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Purchase	05/05/2020	\$1,001 - \$15,000
47	Franklin Utilities Fund Advisor Class (FRUAX)	Purchase	05/05/2020	\$1,001 - \$15,000
48	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Purchase	05/05/2020	\$15,001 - \$50,000
49	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Purchase	05/05/2020	\$1,001 - \$15,000
50	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	05/05/2020	\$1,001 - \$15,000
51	iShares Core S&P Small-Cap ETF (IJR)	Purchase	05/05/2020	\$1,001 - \$15,000
52	iShares Morningstar Large-Cap Growth ETF (JKE)	Purchase	05/05/2020	\$1,001 - \$15,000
53	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Purchase	05/05/2020	\$1,001 - \$15,000
54	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Purchase	05/05/2020	\$15,001 - \$50,000
55	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Purchase	05/05/2020	\$1,001 - \$15,000
56	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Purchase	05/05/2020	\$1,001 - \$15,000
57	PIMCO Income Fund Class I-2 Shares (PONPX)	Purchase	05/05/2020	\$1,001 - \$15,000
58	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	05/05/2020	\$1,001 - \$15,000
59	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	05/05/2020	\$1,001 - \$15,000
60	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	05/05/2020	\$1,001 - \$15,000
61	USAA Emerging Markets Fund Fund Class Shares (USEMX)	Sale	05/05/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
62	USAA Growth Fund Fund Class Shares (USAAX)	Sale	05/05/2020	\$1,001 - \$15,000
63	USAA Income Fund Fund Class Shares (USAIX)	Sale	05/05/2020	\$1,001 - \$15,000
64	USAA Income Stock Fund Fund Class Shares (USISX)	Sale	05/05/2020	\$1,001 - \$15,000
65	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Sale	05/05/2020	\$1,001 - \$15,000
66	USAA International Fund Fund Class Shares (USIFX)	Sale	05/05/2020	\$1,001 - \$15,000
67	USAA Short-Term Bond Fund Fund Class Shares (USSBX)	Sale	05/05/2020	\$1,001 - \$15,000
68	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Sale	05/05/2020	\$1,001 - \$15,000
69	Akre Focus Fund Institutional Class Shares (AKRIX)	Purchase	05/05/2020	\$1,001 - \$15,000
70	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	05/05/2020	\$1,001 - \$15,000
71	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	05/05/2020	\$1,001 - \$15,000
72	USAA Cornerstone Aggressive Fund (UCAGX)	Sale	05/05/2020	\$1,001 - \$15,000
73	Akre Focus Fund Institutional Class Shares (AKRIX)	Purchase	05/05/2020	\$1,001 - \$15,000
74	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Purchase	05/05/2020	\$1,001 - \$15,000
75	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	05/05/2020	\$1,001 - \$15,000
76	iShares Core S&P Small-Cap ETF (IJR)	Purchase	05/05/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
77	iShares Morningstar Large-Cap Growth ETF (JKE)	Purchase	05/05/2020	\$1,001 - \$15,000
78	iShares MSCI Emerging Markets Asia ETF (EEMA)	Purchase	05/05/2020	\$1,001 - \$15,000
79	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Purchase	05/05/2020	\$1,001 - \$15,000
80	MFS International Growth Fund Class I Shares (MQGIX)	Purchase	05/05/2020	\$1,001 - \$15,000
81	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Purchase	05/05/2020	\$1,001 - \$15,000
82	PIMCO Income Fund Class I-2 Shares (PONPX)	Purchase	05/05/2020	\$1,001 - \$15,000
83	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	05/05/2020	\$1,001 - \$15,000
84	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Purchase	05/05/2020	\$1,001 - \$15,000
85	BlackRock Global Dividend Portfolio Institutional Shares (BIBDX)	Purchase	05/05/2020	\$1,001 - \$15,000
86	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	05/05/2020	\$1,001 - \$15,000
87	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	05/05/2020	\$1,001 - \$15,000
88	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Purchase	05/05/2020	\$1,001 - \$15,000
89	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Purchase	05/05/2020	\$1,001 - \$15,000
90	Franklin Utilities Fund Advisor Class (FRUAX)	Purchase	05/05/2020	\$1,001 - \$15,000
91	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Purchase	05/05/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
92	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Purchase	05/05/2020	\$1,001 - \$15,000
93	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	05/05/2020	\$1,001 - \$15,000
94	iShares Core S&P Small-Cap ETF (IJR)	Purchase	05/05/2020	\$1,001 - \$15,000
95	iShares Morningstar Large-Cap Growth ETF (JKE)	Purchase	05/05/2020	\$1,001 - \$15,000
96	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Purchase	05/05/2020	\$1,001 - \$15,000
97	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Purchase	05/05/2020	\$1,001 - \$15,000
98	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Purchase	05/05/2020	\$1,001 - \$15,000
99	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Purchase	05/05/2020	\$1,001 - \$15,000
100	PIMCO Income Fund Class I-2 Shares (PONPX)	Purchase	05/05/2020	\$1,001 - \$15,000
101	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	05/05/2020	\$1,001 - \$15,000
102	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	05/05/2020	\$1,001 - \$15,000
103	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	05/05/2020	\$1,001 - \$15,000
104	USAA Emerging Markets Fund Fund Class Shares (USEMX)	Sale	05/05/2020	\$1,001 - \$15,000
105	USAA Growth Fund Fund Class Shares (USAAX)	Sale	05/05/2020	\$1,001 - \$15,000
106	USAA Income Fund Fund Class Shares (USAIX)	Sale	05/05/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
107	USAA Income Stock Fund Fund Class Shares (USISX)	Sale	05/05/2020	\$15,001 - \$50,000
108	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Sale	05/05/2020	\$1,001 - \$15,000
109	USAA International Fund Fund Class Shares (USIFX)	Sale	05/05/2020	\$15,001 - \$50,000
110	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Sale	05/05/2020	\$15,001 - \$50,000
111	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Purchase	05/05/2020	\$1,001 - \$15,000
112	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Purchase	05/05/2020	\$15,001 - \$50,000
113	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	05/05/2020	\$1,001 - \$15,000
114	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	05/05/2020	\$1,001 - \$15,000
115	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Purchase	05/05/2020	\$15,001 - \$50,000
116	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Purchase	05/05/2020	\$1,001 - \$15,000
117	Franklin Utilities Fund Advisor Class (FRUAX)	Purchase	05/05/2020	\$15,001 - \$50,000
118	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Purchase	05/05/2020	\$15,001 - \$50,000
119	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Purchase	05/05/2020	\$15,001 - \$50,000
120	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	05/05/2020	\$15,001 - \$50,000
121	iShares Morningstar Large-Cap Growth ETF (JKE)	Purchase	05/05/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
122	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Purchase	05/05/2020	\$1,001 - \$15,000
123	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Purchase	05/05/2020	\$1,001 - \$15,000
124	PIMCO Income Fund Class I-2 Shares (PONPX)	Purchase	05/05/2020	\$1,001 - \$15,000
125	T Rowe Price Communications & Technology, Inc (PRMTX)	Purchase	05/05/2020	\$1,001 - \$15,000
126	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	05/05/2020	\$1,001 - \$15,000
127	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	05/05/2020	\$1,001 - \$15,000
128	USAA Emerging Markets Fund Fund Class Shares (USEMX)	Sale	05/05/2020	\$1,001 - \$15,000
129	USAA Growth Fund Fund Class Shares (USAAX)	Sale	05/05/2020	\$1,001 - \$15,000
130	USAA Income Fund Fund Class Shares (USAIX)	Sale	05/05/2020	\$1,001 - \$15,000
131	USAA Income Stock Fund Fund Class Shares (USISX)	Sale	05/05/2020	\$1,001 - \$15,000
132	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Sale	05/05/2020	\$1,001 - \$15,000
133	USAA International Fund Fund Class Shares (USIFX)	Sale	05/05/2020	\$1,001 - \$15,000
134	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Sale	05/05/2020	\$1,001 - \$15,000
135	Akre Focus Fund Institutional Class Shares (AKRIX)	Purchase	03/19/2020	\$1,001 - \$15,000
136	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Purchase	03/19/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
137	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	03/19/2020	\$1,001 - \$15,000
138	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	03/19/2020	\$1,001 - \$15,000
139	iShares Core S&P Small-Cap ETF (IJR)	Purchase	03/19/2020	\$1,001 - \$15,000
140	iShares Morningstar Large-Cap Growth ETF (JKE)	Purchase	03/19/2020	\$1,001 - \$15,000
141	iShares MSCI Emerging Markets ETF (EEM)	Purchase	03/19/2020	\$1,001 - \$15,000
142	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Purchase	03/19/2020	\$15,001 - \$50,000
143	MFS International Growth Fund Class I Shares (MQGIX)	Purchase	03/19/2020	\$1,001 - \$15,000
144	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Purchase	03/19/2020	\$15,001 - \$50,000
145	PIMCO Income Fund Class I-2 Shares (PONPX)	Purchase	03/19/2020	\$15,001 - \$50,000
146	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	03/19/2020	\$1,001 - \$15,000
147	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	03/19/2020	\$15,001 - \$50,000
148	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	03/19/2020	\$1,001 - \$15,000
149	USAA Emerging Markets Fund Fund Class Shares (USEMX)	Sale	03/19/2020	\$1,001 - \$15,000
150	USAA Growth Fund Fund Class Shares (USAAX)	Sale	03/19/2020	\$15,001 - \$50,000
151	USAA High Income Fund Fund Class Shares (USHYX)	Sale	03/19/2020	\$1,001 - \$15,000
152	USAA Income Fund Fund Class Shares (USAIX)	Sale	03/19/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
153	USAA Income Stock Fund Fund Class Shares (USISX)	Sale	03/19/2020	\$15,001 - \$50,000
154	USAA Intermediate-Term Bond Fund Fund Class Shares (USIBX)	Sale	03/19/2020	\$15,001 - \$50,000
155	USAA International Fund Fund Class Shares (USIFX)	Sale	03/19/2020	\$15,001 - \$50,000
156	USAA Short-Term Bond Fund Fund Class Shares (USSBX)	Sale	03/19/2020	\$1,001 - \$15,000
157	USAA Small Cap Stock Fund Fund Class Shares (USCAX)	Sale	03/19/2020	\$15,001 - \$50,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Specialized Loan Servicing	Mortgage on Personal Residence	\$50,001 - \$100,000	2017	3.5	15-year fixed

## 9. Gifts and Travel Reimbursements

None

## Endnotes

# 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).

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