

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

Filer's Information

Solomon, Lafe E

Senior Counsel, SOL, Department of Labor

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/ Solomon, Lafe E [electronically signed on 05/10/2023 by Solomon, Lafe E 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/ Myers, Vanessa J, Certifying Official [electronically signed on 06/13/2023 by Myers, Vanessa J in Integrity.gov]

Other review conducted by

/s/ Whaley, LaShanda R, Ethics Official [electronically signed on 06/12/2023 by Whaley, LaShanda R in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/12/2023

Data Revised 06/09/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Solomon Family Foundation, Inc.	Bethesda, Maryland	Non-Profit	President and Director (unpaid)	5/2010	Present
2	Standby Guardianship Project, Inc.	Bethesda, Maryland	Non-Profit	Director (unpaid)	9/2019	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Lafe Solomon Individual Retirement Account	No			
1.1	Abbott Laboratories	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Abbvie Inc	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3	Adobe Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Alphabet Inc. Class C	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.5	Alphabet Inc Class A	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.6	Amgen	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.7	Apple	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	AT&T	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	Berkshire Hathaway Class B	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	Blackrock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Broadcom	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Celanese Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Cisco Systems	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.14	Coca Cola	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.15	Constellation Brands	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	Costco	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	Cummins	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.18	Deere	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Duke Energy	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.20	Edwards Lifesciences	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	Exxon Mobil	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.22	Factset Research Systems	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	Fastenal	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.24	General Dynamics	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.25	Gilead Sciences	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.26	Home Depot	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.27	IBM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.28	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.29	JP Morgan Chase	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.30	Lochheed Martin	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	Mcdonalds	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	Metlife	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.33	Microsoft	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	Netflix	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	Nextera Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	Nike	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.37	Northrop Grumman	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.38	Palo Alto Networks	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.39	Paypal Holdings	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.40	Pepsico	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.41	Proctor & Gamble	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.42	Salesforce.com	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.43	Stryker Corp		\$1,001 - \$15,000		None (or less than \$201)
1.44	Texas Instruments	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.45	TJX Companies	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	Ulta Beauty	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.47	Union Pacific	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.48	Walt Disney	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.49	Accenture PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.50	Diageo PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.51	Icon PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.52	Medtronic PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.53	Sanofi	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.54	Unilever PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.55	RBC Insured Deposits	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.56	Meta Platforms Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.57	Expeditors International of Washington, Inc. (EXPD)	N/A	\$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	Catherine Crockett Beneficiary IRA--MKS	No			
1.1	Centennial Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	CVS	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Merck	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Microsoft	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Champlain Mid Cap Instl CI	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Franklin Rising Dividends Advisor CI	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	Goldman Sachs US Equity Dividend & Premium Investor cl	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.8	Hartford Balanced Income CI I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.9	Hartford Growth Opptys CI I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Invesco Exchange S&P 500 Low Volatility ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	Ishares Core Dividend Growth ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.12	Ls Bond CI Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	Lord Abbett Bond Debenture CI F	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.14	Vaneck Vectors Morningstar Wide Moat ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	AAM Low Duration Preferred and Income Securities ETF (PFLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	Energy Select Sector SPDR Fund (XLE)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	Ishares MSCI USA Min Volatility Factor ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Catherine Crockett SEP-IRA	No			
2.1	Abbott Laboratories	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.2	Alphabet Class C	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3	Alphabet Class A	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.4	Amazon.com	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.5	Amgen	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
2.6	Apple	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
2.7	AT&T	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.8	Cisco Systems	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.9	Coca Cola	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.10	Cummins	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.11	Donaldson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.12	Dow	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.13	Exxon Mobil	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.14	Meta Platforms Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	Home Depot	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.16	Lockheed Martin	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.17	Mastercard	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
2.18	Proctor & Gamble	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.19	United Parcel Service	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.20	US Bancorp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.21	Verizon	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.22	Walt Disney	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.23	3M Co	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.24	Diageo PLC	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.25	Medtronic PLC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.26	Royal Dutch Shell	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.27	Templeton Global Total Return Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.28	RBC Insured Deposits	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.29	Warner Bros. Discovery Inc. Series A Common Stock (WBD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Lafe Solomon Revocable Trust--RBC	No			
1.1	American Century Ultra Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Apple	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.3	AT&T	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.4	Berkshire Hathaway Class B	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.5	Bristol Myers	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.6	Chevron	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.7	Comcast	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Cummins	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.9	Dow	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.10	Fidelity Low Priced Stock Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	Mastercard	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.12	Merck	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
1.13	Netflix	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	T Rowe Price New Horizons Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.15	Truist Financial Corp	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
1.16	Vanguard Dividend Appreciation ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.17	Verizon	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.18	XCEL Energy	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.19	Zoetis	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Alibaba	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.21	Diageo	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Heineken Holding	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.23	Nestle	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.24	Pernod Ricard	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.25	Royal Dutch Shell	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.26	T Rowe Price International Stock Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.27	Unilever	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.28	RBC Insured Deposits	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.29	Organon & CO.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2	Catherine Crockett Revocable Trust--MKS	No			
2.1	Adobe	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Alphabet Class A	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3	Apple	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.4	Blackrock	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Bristol Myers	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.6	Broadcom	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.7	Constellation Brands	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Endbridge	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.9	General Mills	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.10	JP Morgan Chase	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.11	Microsoft	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.12	Netflix	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	Norfolk Southern	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	Nvidia	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	Pepsico	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	Salesforce.com	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	United Parcel Service	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.18	UnitedHealth Group	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.19	Visa	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	Champlain Mid Cap Instl CI	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	Hartford Balanced Income CI 1	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.22	SCI USA Min Volatility Factor ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	Vanguard High Dividend Yield ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	Johnson City TN Hlth & EDL Facs Brd Hosp Npfg B/E Rev Rfdg & Impt ETM CPN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.25	Met Govt Nash & David Cnty TN H&E Facs Brd Rev Hosp A Npfg B/E	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.26	Insured Cash Account	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.27	ASML Holding NV NY Registry SHS New 2012	No	\$1,001 - \$15,000		None (or less than \$201)
2.28	BioMarin Pharmaceutical Inc. (BMRN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.29	Synopsys, Inc. (SNPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.30	Albemarle Corp. (ALB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Catherine Crockett Revocable Trust--RBC	No			
3.1	Alphabet Class C	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.2	Alphabet Class A	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.3	Apple	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.4	AT&T	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.5	Broadcom	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.6	Cisco Systems		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.7	Cummins	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.8	Intel	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.9	Lockheed Martin	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.10	Mastercard	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	Nextera Energy	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
3.12	Starbucks	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
3.13	Accenture PLC	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.14	Bank of Montreal	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.15	RBC Insured Deposits	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Solomon Farms LLC	N/A	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
5	residential rental, Bethesda MD	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
6	residential rental, Bethesda MD	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$50,001 - \$100,000
7	Sturgis Farmland	N/A	\$100,001 - \$250,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	NIKE, Inc. (NKE)	Sale	01/12/2022	\$1,001 - \$15,000
2	Albemarle Corp. (ALB)	Purchase	02/03/2022	\$1,001 - \$15,000
3	ASML	Purchase	02/03/2022	\$1,001 - \$15,000
4	Cheniere Energy, Inc. (LNG)	Purchase	02/03/2022	\$1,001 - \$15,000
5	3M Co. (MMM)	Sale	02/03/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
6	NOW		Purchase	02/03/2022	\$1,001 - \$15,000
7	Synopsys, Inc. (SNPS)		Purchase	02/03/2022	\$1,001 - \$15,000
8	Twilio, Inc. (TWLO)		Sale	02/03/2022	\$1,001 - \$15,000
9	Loomis Sayles Core Plus Bond Fund Class Y Shares (NERYX)		Sale	02/02/2022	\$1,001 - \$15,000
10	MFS Mid Cap Growth Fund Class I Shares (OTCIX)		Sale	02/03/2022	\$1,001 - \$15,000
11	AAM Low Duration Preferred and Income Securities ETF (PFLD)		Purchase		\$1,001 - \$15,000
12	Exxon Mobil Corp. (XOM)		Sale	04/07/2022	\$1,001 - \$15,000
13	3M Co. (MMM)		Sale	04/07/2022	\$1,001 - \$15,000
14	AbbVie, Inc. (ABBV)		Sale	04/07/2022	\$1,001 - \$15,000
15	Cummins, Inc. (CMI)		Purchase	04/07/2022	\$1,001 - \$15,000
16	Warner Brothers Discovery	See Endnote	Exchange	04/11/2022	\$1,001 - \$15,000
17	Warner Brothers Discovery	See Endnote	Exchange	04/11/2022	\$15,001 - \$50,000
18	Baron Growth Fund Institutional Class Shares (BGRIX)		Sale	05/03/2022	\$1,001 - \$15,000
19	MFS Mid Cap Growth Fund Class I Shares (OTCIX)		Sale	05/03/2022	\$1,001 - \$15,000
20	Hartford Balanced Income Fund Class I Shares (HBLIX)		Purchase	05/03/2022	\$1,001 - \$15,000
21	AAM Low Duration Preferred and Income Securities ETF (PFLD)		Purchase	05/03/2022	\$1,001 - \$15,000
22	iShares ESG MSCI USA Leaders ETF (SUSL)		Purchase	05/03/2022	\$1,001 - \$15,000
23	ASML Holding NV NY Registry SHS New 2012		Sale	05/03/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	ASML	Sale	05/31/2022	\$1,001 - \$15,000
25	iShares ESG MSCI USA Leaders ETF (SUSL)	Purchase	05/31/2022	\$1,001 - \$15,000
26	AAM Low Duration Preferred and Income Securities ETF (PFLD)	Purchase	05/31/2022	\$1,001 - \$15,000
27	Hartford Balanced Income Fund Class I Shares (HBLIX)	Purchase	05/31/2022	\$1,001 - \$15,000
28	MFS Mid Cap Growth Fund Class I Shares (OTCIX)	Sale	05/31/2022	\$1,001 - \$15,000
29	Baron Growth Fund Institutional Class Shares (BGRIX)	Sale	05/31/2022	\$1,001 - \$15,000
30	Visa, Inc. (V)	Sale	08/04/2022	\$1,001 - \$15,000
31	Adobe, Inc. (ADBE)	Sale	08/26/2022	\$1,001 - \$15,000
32	Warner Brothers Discovery	Sale	08/26/2022	\$1,001 - \$15,000
33	NextEra Energy, Inc. (NEE)	Sale	08/26/2022	\$1,001 - \$15,000
34	VF Corp. (VFC)	Sale	10/26/2022	\$1,001 - \$15,000
35	Expeditors International of Washington, Inc. (EXPD)	Purchase	10/26/2022	\$1,001 - \$15,000
36	Warner Brothers (WBD)	Sale	10/26/2022	\$1,001 - \$15,000
37	salesforce.com, inc. (CRM)	Sale	11/04/2022	\$1,001 - \$15,000
38	Baron Discovery Fund Institutional Class Shares (BDFIX)	Sale	11/04/2022	\$1,001 - \$15,000
39	Apple, Inc. (AAPL)	Sale	11/04/2022	\$1,001 - \$15,000
40	Hartford Growth Opportunities Fund Class I Shares (HGOIX)	Sale	11/04/2022	\$1,001 - \$15,000
41	ServiceNow, Inc. (NOW)	Sale	11/04/2022	\$1,001 - \$15,000
42	BlackRock, Inc. (BLK)	Sale	11/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
43	Nuveen All-American Municipal Bond Fund Class I Shares (FAARX)	Sale	11/04/2022	\$1,001 - \$15,000
44	META Platforms Inc	Sale	11/04/2022	\$1,001 - \$15,000
45	Hartford Equity Income Fund Class I Shares (HQIIX)	Purchase	11/04/2022	\$1,001 - \$15,000
46	Nuveen High Yield Municipal Bond Fund Class I Shares (NHMRX)	Purchase	11/04/2022	\$1,001 - \$15,000
47	Microsoft Corp. (MSFT)	Sale	11/04/2022	\$1,001 - \$15,000
48	Goldman Sachs US Equity Dividend and Premium Fund Investor Class Shares (GVIRX)	Sale	11/04/2022	\$1,001 - \$15,000
49	Baron Discovery Fund Institutional Class Shares (BDFIX)	Sale	11/04/2022	\$1,001 - \$15,000
50	MFS Mid Cap Growth Fund Class I Shares (OTCIX)	Sale	11/04/2022	\$1,001 - \$15,000
51	MFS Total Return Fund Class I Shares (MTRIX)	Purchase	11/04/2022	\$1,001 - \$15,000
52	Energy Select Sector SPDR Fund (XLE)	Purchase	11/04/2022	\$1,001 - \$15,000
53	AAM Low Duration Preferred and Income Securities ETF (PFLD)	Purchase	11/04/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Mr. Cooper	Mortgage (investment/rental property)	\$250,001 - \$500,000	2013	3.325	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
7.	16	Spin-off from ATT
7.	17	Spin-off from ATT

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.

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