

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Fristedt, Andi

Deputy Commissioner for Policy, Legislation, & International Affairs, Office of the Commissioner, Food & Drug Administration, Department of Health & Human Services

Report Year: 2022

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/ Fristedt, Andi [electronically signed on 06/27/2022 by Fristedt, Andi in Integrity.gov] - Filer received a 45 day filing extension.

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

/s/ CardMina, Mary, Certifying Official [electronically signed on 10/27/2022 by CardMina, Mary in Integrity.gov]

Other review conducted by

/s/ McBurney, Molly, Ethics Official [electronically signed on 10/27/2022 by McBurney, Molly in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 10/27/2022

Data Revised 10/26/2022

Data Revised 10/25/2022

Data Revised 07/06/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/06/2022, Shouman, Mohammad): End Initial Review: 07/06/2022.
N/A	N/A	General	(10/27/2022, McBurney, Molly): No actual or apparent conflicts of interest.
N/A	N/A	General	(10/27/2022, CardMina, Mary): Certification exceeded 60 days due to additional time needed to review and confirm multiple transactions. Late fee waiver process has been initiated.
6.	12.15	Wells Fargo Emerging Markets Equity Fund, Institutional Class (EMGNX)	(10/25/2022, McBurney, Molly): On December 6, 2021, the Wells Fargo Funds changed its name to the Allspring Funds.
6.	12.95	Allspring Emerging Market EQ INS	(10/25/2022, McBurney, Molly): On December 6, 2021, the Wells Fargo Funds changed its name to the Allspring Funds.
6.	12.96	Allspring Emerging Market EQ INS	(10/25/2022, McBurney, Molly): On December 6, 2021, the Wells Fargo Funds changed its name to the Allspring Funds.
7.	85	Wells Fargo Emerging Markets Equity Fund	(10/25/2022, McBurney, Molly): On December 6, 2021, the Wells Fargo Funds changed its name to the Allspring Funds.
7.	117	Wells Fargo Emerging Markets Equity Fund Institutional Class Shares (EMGNX)	(10/25/2022, McBurney, Molly): On December 6, 2021, the Wells Fargo Funds changed its name to the Allspring Funds.

PART	#	REFERENCE	COMMENT
7.	118	Wells Fargo Emerging Markets Equity Fund Institutional Class Shares (EMGNX)	(10/25/2022, McBurney, Molly): On December 6, 2021, the Wells Fargo Funds changed its name to the Allspring Funds.
7.	137	Wells Fargo Emerging Markets Equity Fund Institutional Class Shares (EMGNX)	(10/25/2022, McBurney, Molly): On December 6, 2021, the Wells Fargo Funds changed its name to the Allspring Funds.

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Filer's IRA #1	No			
1.1	Vanguard Total Bond Market ETF (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	Vanguard Total Stock Market ETF (VTI)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Vanguard Windsor II Fund, Investor Shares (VWNFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Filer's IRA #2	No			
2.1	Invesco FTSE RAFI US 1000 ETF (PRF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Filer's IRA #3	No		Cash Payments	\$2,052
3.1	DoubleLine Total Return Bond Fund, Class I (Institutional) (DBLTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Fidelity New Millennium Fund (FMILX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Fidelity Puritan Fund (FPURX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	Vanguard Total Stock Market ETF (VTI)	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	Spouse's IRA	No			
1.1	Vanguard Total Stock Market ETF (VTI)	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US bank #1 (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	US bank #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3	DC College Savings Plan #1	No			
3.1	DC College Savings 2031 Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	DC College Savings Plan #2	No			
4.1	DC College Savings 2031 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	DC College Savings Plan #3	No			
5.1	DC College Savings 2034 Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Brokerage account #1	No			
6.1	Fidelity Total Market Index Fund (FSKAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	Brokerage account #2	No			
7.1	Vanguard Total Stock Market ETF (VTI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8	Brokerage account #3	No			
8.1	Vanguard Federal Money Market Fund (VMFXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.2	Matthews Asia Dividend Fund, Investor Class (MAPIX)	See Endnote	Yes	\$15,001 - \$50,000	\$5,001 - \$15,000
8.3	Matthews China Dividend Fund, Investor Class (MCDFX)	See Endnote	Yes	None (or less than \$1,001)	\$2,501 - \$5,000
8.4	Vanguard Total Stock Market ETF (VTI)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.5	Vanguard Treasury Money Market Fund (VUSXX)		Yes	\$250,001 - \$500,000		None (or less than \$201)
8.6	Vanguard Total International Stock ETF (VXUS)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9	Brokerage account #4		No			
9.1	Vanguard Health Care Fund, Investor Shares (VGHCX)	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
10	Brokerage account #5		No			
10.1	Vanguard Federal Money Market Fund (VMFXX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2	Fidelity Real Estate Investment Portfolio (FRESX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.3	T. Rowe Price Health Sciences Fund, Investor Class (PRHSX)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10.4	Vanguard Total Stock Market ETF (VTI)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11	Estate of a family member (value not readily ascertainable)		N/A			None (or less than \$201)
12	Family trust	See Endnote	No			
12.1	Goldman Sachs Financial Square Treasury Instruments Fund, Institutional Shares (FTIXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	Russell Investment Co. Multi-Asset Growth Strategy Fund, Class S (RMGSX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.3	Russell Investment Co. Emerging Markets Fund, Class S (REMSX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.4	Russell Investment Co. U.S. Small Cap Equity Fund, Class S (RLESX)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.5	Russell Investment Co. International Developed Markets Fund, Class S (RINTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.6	Russell Investment Co. U.S. Strategic Equity Fund, Class S (RSESX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
12.7	Delaware Value Fund, Institutional Class (DDVIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.8	AMG TimesSquare Mid Cap Growth Fund, Class I (TQMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.9	Harbor Capital Appreciation Fund, Institutional Class (HACAX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
12.10	Invesco Developing Markets Fund, Class Y (ODVYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.11	Jensen Quality Growth Fund, Class I (JENIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
12.12	John Hancock Disciplined Value Mid Cap Fund, Class I (JVMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.13	MFS Municipal High Income Fund, Class I (MMIIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
12.14	MFS Emerging Markets Debt Fund, Class I (MEDIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.15	Wells Fargo Emerging Markets Equity Fund, Institutional Class (EMGNX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
12.16	American Funds EuroPacific Growth Fund, Class F-2 (AEPFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.17	T. Rowe Price Summit Municipal Intermediate Fund, Investor Class (PRSMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.18	T. Rowe Price Overseas Stock Fund, Investor Class (TROSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.19	Artisan Small Cap Fund, Advisor Class (APDSX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.20	Tributary Small Company Fund, Institutional Plus Shares (FOSBX)		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
12.21	Victory Sycamore Small Company Opportunity Fund, Class I (VSOIX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.22	Abbott Laboratories (ABT)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.23	MPLX, LP (MPLX)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
12.24	Plains All American Pipeline, LP (PAA)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
12.25	Diversified Healthcare Trust, 5.625% Senior Notes due 2042 (DHCNI)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.26	American Century Investments Ultra Fund, Investor Class (TWCUX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12.27	Fidelity Contrafund (FCNTX)		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
12.28	Fidelity Municipal Income Fund (FHIGX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.29	Fidelity Municipal Money Market Fund (FTEXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
12.30	Abbott Laboratories (ABT)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.31	Accenture, PLC (ACN)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.32	Aflac, Inc. (AFL)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.33	Analog Devices, Inc. (ADI)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.34	Apple, Inc. (AAPL)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.35	Automatic Data Processing, Inc. (ADP)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.36	Becton, Dickinson & Co. (BDX)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.37	BlackRock, Inc. (BLK)		N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.38	Chevron Corporation (CVX)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.39	Chubb Limited (CB)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.40	Cisco Systems, Inc. (CSCO)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.41	Comcast Corporation (CMCSA)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.42	Emerson Electric Co. (EMR)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.43	General Dynamics Corporation (GD)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.44	Illinois Tool Works, Inc. (ITW)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.45	Johnson & Johnson (JNJ)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.46	JPMorgan Chase & Co. (JPM)		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.47	Linde, PLC (LIN)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.48	L3Harris Technologies, Inc. (LHX)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.49	Medtronic, PLC (MDT)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.50	Microsoft Corporation (MSFT)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
12.51	Nike, Inc. (NKE)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.52	Norfolk Southern Corporation (NSC)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.53	Paychex, Inc. (PAYX)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.54	PepsiCo, Inc. (PEP)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.55	Phillips 66 Co. (PSX)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.56	Raytheon Technologies Corporation (RTX)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.57	Target Corporation (TGT)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.58	UnitedHealth Group, Inc. (UNH)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.59	U.S. Bancorp (USB)		N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.60	VF Corporation (VFC)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.61	3M Co. (MMM)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.62	Danaher Corporation (DHR)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.63	Dollar General Corporation (DG)		N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.64	Linde, PLC (LIN)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.65	Microsoft Corporation (MSFT)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
12.66	Nike, Inc. (NKE)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.67	T-Mobile US, Inc. (TMUS)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.68	Thermo Fisher Scientific, Inc. (TMO)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.69	Tractor Supply Co. (TSCO)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.70	Treasury Inflation-Protected Securities		N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.71	iShares Russell 2000 Growth ETF (IWO)		Yes	\$50,001 - \$100,000		None (or less than \$201)
12.72	iShares Russell 2000 ETF (IWM)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
12.73	iShares Russell Mid-Cap Growth ETF (IWP)		Yes	\$50,001 - \$100,000		None (or less than \$201)
12.74	Invesco Preferred ETF (PGX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.75	iShares MSCI Taiwan ETF (EWT)	See Endnote	Yes	None (or less than \$1,001)		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.76	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.77	iShares J.P. Morgan USD Emerging Markets Bond ETF (EMB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.78	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.79	Technology Select Sector SPDR Fund (XLK)	See Endnote	Yes	\$50,001 - \$100,000	\$201 - \$1,000
12.80	iShares MBS ETF (MBB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.81	Consumer Discretionary Select Sector SPDR Fund (XLY)	See Endnote	Yes	\$15,001 - \$50,000	None (or less than \$201)
12.82	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
12.83	iShares Russell Mid-Cap ETF (IWR)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.84	Communication Services Select Sector SPDR Fund (XLC)	See Endnote	Yes	None (or less than \$1,001)	\$5,001 - \$15,000
12.85	SPDR Bloomberg Barclays High Yield Bond ETF (JNK)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.86	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	None (or less than \$1,001)		\$201 - \$1,000
12.87	Vanguard Long-Term Bond ETF (BLV)	Yes	None (or less than \$1,001)		None (or less than \$201)
12.88	Vanguard Short-Term Corporate Bond ETF (VCSH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.89	Vanguard Intermediate-Term Corporate Bond ETF (VCIT)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.90	Vanguard Total Bond Market ETF (BND)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.91	Fidelity Magellan Fund (FMAGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12.92	MFS Value Fund (MEIIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.93	MainStay MacKay High Yield Municipal Bond Fund Investor Class Shares (MMHAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.94	Russell Strategic Bond Fund Class S Shares (RFCTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.95	Allspring Emerging Market EQ INS	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.96	Allspring Emerging Market EQ INS	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.97	US bank #3 (cash)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
12.98	US bank #4 (cash)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
12.99	US bank #5 (cash)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
12.100	US bank #6 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
12.101	US bank #7 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
12.102	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
12.103	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.104	Vanguard FTSE All-World ex-US ETF (VEU)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	UTMA#1 Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	UTMA#2 Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Trust account #6: U.S. Bancorp (USB)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
2	Goldman Sachs Grp Inc Notes Medium Term (CUSIP: 38141E-C2-3)	See Endnote	Sale	10/21/2021	\$1,001 - \$15,000
3	Exxon Mobil Corporation (XOM)		Sale	03/02/2021	\$1,001 - \$15,000
4	Trust account #3: Abbott Laboratories (ABT)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
5	Trust account #3: Advanced Micro Devices, Inc. (AMD)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
6	Trust account #3: Apple, Inc. (AAPL)	See Endnote	Sale	03/10/2021	\$15,001 - \$50,000
7	Trust account #3: Apple, Inc., bonds	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
8	Trust account #3: Cisco Systems, Inc., bonds	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
9	Trust account #3: Gilead Sciences, Inc., bonds	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
10	Trust account #3: Danaher Corporation (DHR)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
11	Trust account #3: Linde, PLC (LIN)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
12	Trust account #3: Lowe's Companies, Inc. (LOW)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
13	Trust account #3: Microsoft Corporation (MSFT)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
14	Trust account #3: NextEra Energy, Inc. (NEE)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
15	Trust account #3: Nike, Inc. (NKE)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
16	Trust account #3: Oracle Corporation, bonds	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
17	Trust account #3: Thermo Fisher Scientific, Inc. (TMO)	See Endnote	Sale	03/15/2021	\$1,001 - \$15,000
18	Trust account #3: T-Mobile US, Inc. (TMUS)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
19	Trust account #3: Tractor Supply Co. (TSCO)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
20	Trust account #3: Verizon Communications, Inc., bonds	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
21	Trust account #3: Zoetis, Inc. (ZTS)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
22	Trust account #3: Communication Services Select Sector SPDR Fund (XLC)	See Endnote	Sale	03/10/2021	\$50,001 - \$100,000
23	Trust account #3: iShares MSCI Taiwan ETF (EWT)	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
24	Trust account #5: Diversified Healthcare Trust, 5.625% Senior Notes due 2042 (DHCNI)	See Endnote	Sale	03/03/2021	\$1,001 - \$15,000
25	Trust account #5: MPLX, LP (MPLX)	See Endnote	Sale	03/03/2021	\$15,001 - \$50,000
26	Trust account #5: Plains All American Pipeline, LP (PAA)	See Endnote	Sale	03/03/2021	\$1,001 - \$15,000
27	Trust account #5: Telephone & Data Systems, Inc., 7.000% Senior Notes due 2060 (TDJ)	See Endnote	Sale	03/03/2021	\$1,001 - \$15,000
28	Trust account #6: Abbott Laboratories (ABT)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
29	Trust account #6: 3M Co. (MMM)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
30	Trust account #6: Accenture, PLC (ACN)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
31	Trust account #6: Aflac, Inc. (AFL)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
32	Trust account #6: Air Products & Chemicals, Inc. (APD)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
33	Trust account #6: American Tower Corporation (AMT)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
34	Trust account #6: Amgen, Inc. (AMGN)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
35	Trust account #6: Analog Devices, Inc. (ADI)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
36	Trust account #6: Apple, Inc. (AAPL)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
37	Trust account #6: AT&T, Inc. (T)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
38	Trust account #6: Automatic Data Processing, Inc. (ADP)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
39	Trust account #6: Becton, Dickinson & Co. (BDX)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
40	Trust account #6: Chubb Limited (CB)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
41	Trust account #6: Chevron Corporation (CVX)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
42	Trust account #6: Cisco Systems, Inc. (CSCO)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
43	Trust account #6: Clorox Co. (CLX)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
44	Trust account #6: Colgate-Palmolive Co. (CL)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
45	Trust account #6: Comcast Corporation (CMCSA)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
46	Trust account #6: Eversource Energy (ES)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
47	Trust account #6: Emerson Electric Co. (EMR)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
48	Trust account #6: General Dynamics Corporation (GD)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
49	Trust account #6: Illinois Tool Works, Inc. (ITW)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
50	Trust account #6: L3Harris Technologies, Inc. (LHX)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
51	Trust account #6: Johnson & Johnson (JNJ)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
52	Trust account #6: Linde, PLC (LIN)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
53	Trust account #6: Lowe's Companies, Inc. (LOW)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
54	Trust account #6: McDonald's Corporation (MCD)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
55	Trust account #6: Medtronic, PLC (MDT)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
56	Trust account #6: Microsoft Corporation (MSFT)	See Endnote	Sale	03/04/2021	\$15,001 - \$50,000
57	Trust account #6: NextEra Energy, Inc. (NEE)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
58	Trust account #6: Nike, Inc. (NKE)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
59	Trust account #6: Norfolk Southern Corporation (NSC)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
60	Trust account #6: Novartis AG (NVS)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
61	Trust account #6: Paychex, Inc. (PAYX)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
62	Trust account #6: PepsiCo, Inc. (PEP)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
63	Trust account #6: Phillips 66 Co. (PSX)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
64	Trust account #6: Procter & Gamble Co. (PG)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
65	Trust account #6: Raytheon Technologies Corporation (RTX)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
66	Trust account #6: Target Corporation (TGT)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
67	Trust account #6: UnitedHealth Group, Inc. (UNH)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
68	Trust account #6: VF Corporation (VFC)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
69	Trust account #6: WEC Energy Group, Inc. (WEC)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
70	Trust account #6: Walmart, Inc. (WMT)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
71	Trust account #6: Blackrock Inc (BLK)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
72	Trust account #6: Factset Research Systems (FDS)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
73	Trust account #6: JPMorgan Chase & Co (JPM)	See Endnote	Sale	03/04/2021	\$1,001 - \$15,000
74	Dollar General Corp. (DG)	See Endnote	Sale	10/21/2021	\$1,001 - \$15,000
75	Home Depot Inc. Bonds (CUSIP: 437076-BN-1)	See Endnote	Sale	10/21/2021	\$1,001 - \$15,000
76	JP Morgan Chase & Co Bonds (CUSIP:46625H-RV-4)	See Endnote	Sale	10/21/2021	\$1,001 - \$15,000
77	Bank of America FX/FLT Medium Term Notes (CUSIP:06051G-GQ-6)	See Endnote	Sale	10/21/2021	\$1,001 - \$15,000
78	Vanguard Long Term ETF bond		Sale	10/21/2021	\$15,001 - \$50,000
79	AMG Timessquare Midcap Growth		Sale	03/02/2021	\$1,001 - \$15,000
80	Artisan		Sale	03/02/2021	\$1,001 - \$15,000
81	Harbor Fund Cap Appreciation		Sale	03/02/2021	\$1,001 - \$15,000
82	MFS Series Trust III MFS Municipal High Income Fund		Sale	03/02/2021	\$1,001 - \$15,000
83	Tributary Funds Small Company Fund		Sale	03/02/2021	\$1,001 - \$15,000
84	Tributary Funds Small Company Fund		Sale	03/02/2021	\$1,001 - \$15,000
85	Wells Fargo Emerging Markets Equity Fund		Sale	03/02/2021	\$1,001 - \$15,000
86	Russell Invt Intl Developed Markets		Sale	03/04/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
87	Russell Invt US Small Cap Equity Invt	Sale	03/04/2021	\$1,001 - \$15,000
88	Russell Funds Multi Asset Growth	Sale	03/04/2021	\$1,001 - \$15,000
89	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	03/02/2021	\$15,001 - \$50,000
90	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	03/30/2021	\$1,001 - \$15,000
91	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	05/11/2021	\$1,001 - \$15,000
92	Fidelity Total Market Index Fund (FSKAX)	Purchase	06/09/2021	\$1,001 - \$15,000
93	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	06/09/2021	\$1,001 - \$15,000
94	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	06/28/2021	\$15,001 - \$50,000
95	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	07/14/2021	\$1,001 - \$15,000
96	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	08/16/2021	\$15,001 - \$50,000
97	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	09/27/2021	\$15,001 - \$50,000
98	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	11/08/2021	\$1,001 - \$15,000
99	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	12/15/2021	\$1,001 - \$15,000
100	Fidelity Total Market Index Fund (FSKAX)	Purchase	12/29/2021	\$1,001 - \$15,000
101	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	12/29/2021	\$15,001 - \$50,000
102	Vanguard Health Care Fund Investor Shares (VGHCX)	Sale	03/01/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
103	T Rowe Price Health Sciences Fund, Inc (PRHSX)	Sale	03/02/2021	\$1,001 - \$15,000
104	Matthews China Dividend Fund Investor Class Shares (MCDFX)	Sale	03/02/2021	\$15,001 - \$50,000
105	Vanguard Windsor II Fund Investor Shares (VWNFX)	Purchase	12/21/2021	\$1,001 - \$15,000
106	Fidelity New Millennium Fund (FMILX)	Purchase	12/28/2021	\$1,001 - \$15,000
107	Fidelity Puritan Fund (FPURX)	Purchase	10/08/2021	\$1,001 - \$15,000
108	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	03/30/2021	\$1,001 - \$15,000
109	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	06/29/2021	\$1,001 - \$15,000
110	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	09/29/2021	\$1,001 - \$15,000
111	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	12/30/2021	\$1,001 - \$15,000
112	BANK HAPOALIM 1.65%	Sale	05/21/2021	\$100,001 - \$250,000
113	American Century EDP TWCUX	Purchase	12/08/2021	\$1,001 - \$15,000
114	Fidelity Contrafund (FCNTX)	Purchase	12/13/2021	\$15,001 - \$50,000
115	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	10/21/2021	\$250,001 - \$500,000
116	iShares Core S&P Small-Cap ETF (IJR)	Purchase	10/21/2021	\$100,001 - \$250,000
117	Wells Fargo Emerging Markets Equity Fund Institutional Class Shares (EMGNX)	Purchase	10/21/2021	\$250,001 - \$500,000
118	Wells Fargo Emerging Markets Equity Fund Institutional Class Shares (EMGNX)	Purchase	12/27/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
119	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	10/21/2021	\$100,001 - \$250,000
120	MFS Value Fund Class I Shares (MEIIX)	Purchase	11/22/2021	\$50,001 - \$100,000
121	MFS Value Fund Class I Shares (MEIIX)	Purchase	12/01/2021	\$1,001 - \$15,000
122	MFS Value Fund Class I Shares (MEIIX)	Purchase	12/17/2021	\$1,001 - \$15,000
123	Jensen Quality Growth Fund Class I Shares (JENIX)	Purchase	03/02/2021	\$1,001 - \$15,000
124	Jensen Quality Growth Fund Class I Shares (JENIX)	Purchase	10/21/2021	\$100,001 - \$250,000
125	Jensen Quality Growth Fund Class I Shares (JENIX)	Purchase	12/16/2021	\$1,001 - \$15,000
126	AMG TimesSquare Mid Cap Growth Fund Class I Shares (TQMIX)	Purchase	12/16/2021	\$1,001 - \$15,000
127	T Rowe Price Overseas Stock Fund (TROSX)	Purchase	10/21/2021	\$50,001 - \$100,000
128	T Rowe Price Overseas Stock Fund (TROSX)	Purchase	12/17/2021	\$1,001 - \$15,000
129	Victory Sycamore Small Company Opportunity Fund Class I Shares (VSOIX)	Purchase	03/02/2021	\$1,001 - \$15,000
130	Victory Sycamore Small Company Opportunity Fund Class I Shares (VSOIX)	Purchase	12/17/2021	\$1,001 - \$15,000
131	Delaware Value Fund Institutional Class Shares (DDVIX)	Purchase	12/20/2021	\$1,001 - \$15,000
132	RussellEmerging Markets Fund Class S Shares (REMSX)	Purchase	03/04/2021	\$1,001 - \$15,000
133	RussellEmerging Markets Fund Class S Shares (REMSX)	Purchase	12/20/2021	\$1,001 - \$15,000
134	Russell US Strategic Equity Fund Class S Shares (RSESX)	Purchase	03/04/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
135	Russell US Strategic Equity Fund Class S Shares (RSESX)	Purchase	12/20/2021	\$1,001 - \$15,000
136	Harbor Capital Appreciation Fund Institutional Class Shares (HACAX)	Purchase	12/21/2021	\$1,001 - \$15,000
137	Wells Fargo Emerging Markets Equity Fund Institutional Class Shares (EMGNX)	Purchase	10/21/2021	\$100,001 - \$250,000
138	iShares Russell 2000 Growth ETF (IWO)	Purchase	10/21/2021	\$50,001 - \$100,000
139	Russell US Small Cap Equity Fund Class S Shares (RLESX)	Purchase	12/20/2021	\$1,001 - \$15,000
140	Russell US Small Cap Equity Fund Class S Shares (RLESX)	Purchase	12/20/2021	\$1,001 - \$15,000
141	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)	Purchase	03/03/2021	\$1,001 - \$15,000
142	Russell Strategic Bond Fund Class S Shares (RFCTX)	Purchase	03/04/2021	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	8.2	Diversified mutual fund under 5 C.F.R. 2640.102(a), (k). MS.
6.	8.3	Divested within the first week of appointment. Interim recusal observed. MS.
6.	9.1	Divested within the first week of appointment. Interim recusal observed. MS.
6.	10.3	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12	The current values of the underlying assets are reported. My dependent children and I will each be receiving a single mandatory distribution. My dependent children and I will then have a combined 50% remainder interest in the trust.
6.	12.22	Divested within the first two weeks of appointment. Interim recusal observed. MS.
6.	12.23	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.24	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.25	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.30	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.31	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.32	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.33	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.34	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.35	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.36	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.38	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.39	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.40	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.41	Divested within the first week of appointment. Interim recusal observed. MS.

PART	#	ENDNOTE
6.	12.42	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.43	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.44	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.45	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.47	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.48	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.49	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.50	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.51	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.52	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.53	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.54	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.55	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.56	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.57	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.58	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.60	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.61	Divested within the first week of appointment. Interim recusal observed. MS.
6.	12.62	Divested within the first two weeks of appointment. Interim recusal observed. MS.
6.	12.64	Divested within the first two weeks of appointment. Interim recusal observed. MS.
6.	12.65	Divested within the first two weeks of appointment. Interim recusal observed. MS.
6.	12.66	Divested within the first two weeks of appointment. Interim recusal observed. MS.

PART	#	ENDNOTE
6.	12.67	Divested within the first two weeks of appointment. Interim recusal observed. MS.
6.	12.68	Divested within approximately the first two weeks of appointment. Interim recusal observed. MS.
6.	12.69	Divested within the first two weeks of appointment. Interim recusal observed. MS.
6.	12.75	Divested within the first two weeks of appointment. Interim recusal observed. MS.
6.	12.79	Diversified mutual fund under 5 C.F.R. 2640.102(a), (k) and OGE Legal Advisory LA-19-06. MS.
6.	12.81	Diversified mutual fund under 5 C.F.R. 2640.102(a), (k). MS.
6.	12.84	Divested within the first two weeks of appointment. Interim recusal observed. MS.
7.	1	This asset is held in a family trust.
7.	2	This asset is held in a family trust.
7.	4	This asset is held in a family trust.
7.	5	This asset is held in a family trust.
7.	6	This asset is held in a family trust.
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7.	14	This asset is held in a family trust.
7.	15	This asset is held in a family trust.
7.	16	This asset is held in a family trust.

PART	#	ENDNOTE
7.	17	This asset is held in a family trust.
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7.	38	This asset is held in a family trust.

PART	#	ENDNOTE
7.	39	This asset is held in a family trust.
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PART	#	ENDNOTE
7.	61	This asset is held in a family trust.
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7.	74	This asset is held in a family trust.
7.	75	This asset is held in a family trust.
7.	76	This asset is held in a family trust.
7.	77	This asset is held in a family trust.

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).
