Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Spinrad, Richard

US/ Oceans & Atmosphere (NOAA), Department of Commerce

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/ Spinrad, Richard [electronically signed on 03/20/2022 by Spinrad, Richard 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/ Dornburg, Erica M, Certifying Official [electronically signed on 04/08/2022 by Dornburg, Erica M in Integrity.gov]

Other review conducted by
/s/ Osterman, Richard, Ethics Official [electronically signed on 04/04/2022 by Osterman, Richard in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 04/13/2022 by Granahan, Megan in Integrity.gov]

Data Revised 04/07/2022

Data Revised 03/29/2022

Data Revised 03/26/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Oregon State University		Corvallis, Oregon	University/College	Professor	6/2010	6/2021
2	Marine Technology Society		Washington, District of Columbia	Non-Profit	President/Past President	1/2017	6/2021
3	High Desert Ocean Associates, LLC		Bend, Oregon	Corporation	Principal and Founder	11/2017	6/2021
4	Oceans 360 Associates, LLC		Seattle, Washington	Corporation	Principal and Co-Founder	1/2018	6/2021
5	Schmidt Ocean Institute		Palo Alto, California	Non-Profit	Advisor	6/2020	6/2021
6	The Ocean Cleanup		Rotterdam, Outside U.S.	Non-Profit	Member of Scientific Advisory Board	7/2017	6/2021
7	RS TZS Family Trust	See Endnote	Bend, Oregon	Trust	Trustee	1/2017	Present
8	Revocable Trust for RWS and AWS	See Endnote	Bend, Oregon	Trust	Trustee	10/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Oregon State University	N/A		Salary	$116,561
2	High Desert Ocean Associates, LLC (Scientific Consulting)	N/A	None (or less than $1,001)	Direct payment for invoiced consulting services	$24,336

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	RWS IRA	No			
3.1	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Yes	$100,001 - $250,000		None (or less than $201)
3.2	Aberdeen US Small Cap GSCIX	Yes	$15,001 - $50,000		None (or less than $201)
3.3	Advisors Inner Circle: Westwood Income Opportunity Fund WHGIX	Yes	$15,001 - $50,000		None (or less than $201)
3.4	Amg Yacktman Fund YACKX	Yes	$100,001 - $250,000		None (or less than $201)
3.5	Brandes Core Plus Fixed BCPIX	Yes	$15,001 - $50,000		None (or less than $201)
3.6	Calamos Market Neutral Income fund CMNIX	Yes	$50,001 - $100,000		None (or less than $201)
3.7	First Eagle Overseas Fund SGOIX	Yes	$50,001 - $100,000		None (or less than $201)
3.8	James Balanced: Golden Rainbow Fund GLRIX	Yes	$15,001 - $50,000		None (or less than $201)
3.9	Metropolitan West Total Return Bond Fund MWTIX	Yes	$100,001 - $250,000		None (or less than $201)
3.10	Morgan Stanley Instl Global Opportunity Portfolio Fund MGGIX	Yes	$100,001 - $250,000		None (or less than $201)
3.11	Nuveen Real Asset Income Fund NRIIX	Yes	$15,001 - $50,000		None (or less than $201)
3.12	Pimco Income Fd PIMIX	Yes	$100,001 - $250,000		None (or less than $201)
3.13	Pioneer Strategic Income STRYX	Yes	$50,001 - $100,000		None (or less than $201)
3.14	Principal Global Real Estate Securities Fund POSIX	Yes	$50,001 - $100,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.15	Principal Global Diversified Income Fund PGDIX	Yes	$50,001 - $100,000		None (or less than $201)
3.16	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	$50,001 - $100,000		None (or less than $201)
3.17	Oakmark International Fund Institutional Class Shares (OANIX)	Yes	$50,001 - $100,000		None (or less than $201)
4	Consortium for Ocean Leadership	N/A			
4.1	TIAA Traditional Annuity	N/A	$15,001 - $50,000		None (or less than $201)
5	Oregon State University	N/A			
5.1	Oregon PERS IAP Fund: Retirement Allocation Fund	Yes	$100,001 - $250,000		$100,001 - $1,000,000
5.2	Oregon PERS defined benefit plan (value not readily ascertainable) approx. $2300/month at age 67	N/A	None (or less than $1,001)	Retirement payments (annual)	$10,775
6	"Preparing a Workforce for the New Blue Economy," Elsevier Publishing (value not readily ascertainable)	N/A			None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Oregon State University/Oregon PERS	Salem, Oregon	I will continue to participate in this defined benefit plan.	6/2010
2	Consortium for Ocean Leadership	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	3/1995
3	Oregon State University/Oregon PERS	Salem, Oregon	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	6/2010

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	AS IRA	No			
1.1	Aberdeen US Small Cap GSCIX	Yes	$15,001 - $50,000		None (or less than $201)
1.2	Advisors Inner Circle: Westwood Income Opportunity Fund WHGIX	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Amg Yacktman Fund YACKX	Yes	$15,001 - $50,000		None (or less than $201)
1.4	Brandes Core Plus Fixed BCPIX	Yes	$15,001 - $50,000		None (or less than $201)
1.5	Calamos Market Neutral Income Fund CMNIX	Yes	$15,001 - $50,000		None (or less than $201)
1.6	First eagle Overseas Fund SGOIX	Yes	$15,001 - $50,000		None (or less than $201)
1.7	James Balanced: Golden Rainbow Fund GLRIX	Yes	$1,001 - $15,000		None (or less than $201)
1.8	Metropolitan West total Return Bond Fund MWTIX	Yes	$15,001 - $50,000		None (or less than $201)
1.9	Morgan Stanley Instl Global Opportunity Portfolio Fund MGGIX	Yes	$15,001 - $50,000		None (or less than $201)
1.10	Nuveen Real Asset Income Fund NRIIX	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	Pimco Income Fd PIMIX	Yes	$15,001 - $50,000		None (or less than $201)
1.12	Pioneer Strategic Income STRYX	Yes	$15,001 - $50,000		None (or less than $201)
1.13	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Yes	$15,001 - $50,000		None (or less than $201)
1.14	Principal Global Diversified Income Fund PGDIX	Yes	$15,001 - $50,000		None (or less than $201)
1.15	Principal MidCap Fund PCBIX	Yes	$15,001 - $50,000		None (or less than $201)
1.16	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Yes	$15,001 - $50,000		None (or less than $201)
1.17	Oakmark International Fund Institutional Class Shares (OANIX)	Yes	$15,001 - $50,000		None (or less than $201)
2	AS IRA	N/A		cash payments	$20,449

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	RBC Trust Account	No			
1.1	AMG Yacktman Fund Class I Shares (YACKX)	Yes	$50,001 - $100,000		None (or less than $201)
1.2	Brandes Core Plus Fixed Income Fund Class I Shares (BCPIX)	Yes	None (or less than $1,001)		$201 - $1,000
1.3	First Eagle Overseas Fund Class I Shares (SGOIX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	$15,001 - $50,000		$201 - $1,000
1.5	Morgan Stanley Institutional Fund TrustGlobal Opportunity Portfolio Class I Shares (MGGIX)	Yes	$15,001 - $50,000		None (or less than $201)
1.6	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	$50,001 - $100,000		$201 - $1,000
1.7	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Yes	$15,001 - $50,000		None (or less than $201)
1.8	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	$15,001 - $50,000		None (or less than $201)
1.9	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Yes	$15,001 - $50,000		None (or less than $201)
1.10	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Yes	$15,001 - $50,000		None (or less than $201)
1.11	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Yes	$15,001 - $50,000		None (or less than $201)
1.12	Calamos Market Neutral Income Fund Class I Shares (CMNIX)	Yes	$15,001 - $50,000		None (or less than $201)
1.13	Oakmark International Fund Institutional Class Shares (OANIX)	Yes	$15,001 - $50,000		$1,001 - $2,500
1.14	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)	Yes	$15,001 - $50,000		$201 - $1,000
1.15	Nuveen Real Asset Income Fund Class I Shares (NRIIX)	Yes	$15,001 - $50,000		$201 - $1,000
1.16	Pioneer Strategic Income Fund Class Y Shares (STRYX)	Yes	$15,001 - $50,000		$1,001 - $2,500
1.17	PrincipalGlobal Diversified Income Fund Institutional Class Shares (PGDIX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.18	Ultimus Managers Trust WHGIX (Westwood Income Opportunity Fund Institutional Shares)	Yes	$15,001 - $50,000		None (or less than $201)
1.19	QS Global Equity Fund Class I Shares (SMYIX)	Yes	$1,001 - $15,000		None (or less than $201)
2	U. S. bank (cash)	N/A	$100,001 - $250,000		None (or less than $201)
3	PPL Corp. (PPL)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
4	Thrivent, whole life	N/A	$15,001 - $50,000		None (or less than $201)
5	Mass Mutual, whole life	N/A	$1,001 - $15,000		None (or less than $201)
6	RS TZS Beneficiary Trust	No			
6.1	Aberdeen US Small Cap GSCIX	Yes	$1,001 - $15,000		None (or less than $201)
6.2	Amg Yacktman Fd YACKX	Yes	$1,001 - $15,000		None (or less than $201)
6.3	Brandes Core Plus Fixed BCPIX	Yes	$1,001 - $15,000		None (or less than $201)
6.4	Calamos Market Neutral Income Fund CMNIX	Yes	$1,001 - $15,000		None (or less than $201)
6.5	First Eagle Overseas Fund SGOIX	Yes	$1,001 - $15,000		None (or less than $201)
6.6	Metropolitan West Total Return Bond Fund MWTIX	Yes	$1,001 - $15,000		None (or less than $201)
6.7	Morgan Stanley Instl Global Opportunity Portfolio Fund MGGIX	Yes	$1,001 - $15,000		None (or less than $201)
6.8	Nuveen Real Asset Income Fund NRIIX	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.9	Pimco income Fd PIMIX	Yes	$1,001 - $15,000		None (or less than $201)
6.10	Pioneer Strategic Income STRYX	Yes	$1,001 - $15,000		None (or less than $201)
6.11	Principal Global Real Estate Securities Fund POSIX	Yes	$1,001 - $15,000		None (or less than $201)
6.12	Principal Global Diversified Income Fund PGDIX	Yes	$1,001 - $15,000		None (or less than $201)
6.13	Principal MidCap Fund PCBIX	Yes	$1,001 - $15,000		None (or less than $201)
6.14	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Yes	$1,001 - $15,000		None (or less than $201)
6.15	Oakmark International Fund Institutional Class Shares (OANIX)	Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Virtus VontobelEmerging Markets Opportunities Fund Class I Shares (HIEMX)	Sale	10/06/2021	$50,001 - $100,000
2	LoCorr Macro Strategies Fund Class I Shares (LFMIX)	Sale	10/06/2021	$15,001 - $50,000
3	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	10/20/2021	$1,001 - $15,000
4	Pioneer Strategic Income Fund Class Y Shares (STRYX)	Purchase	12/10/2021	$1,001 - $15,000
5	Oakmark International Fund Institutional Class Shares (OANIX)	Purchase	12/17/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
6	Westwood Income Opportunity Fund Institutional Shares (WHGIX)	Purchase	12/09/2021	$1,001 - $15,000
7	AMG Yacktman Fund Class I Shares (YACKX)	Purchase	12/16/2021	$1,001 - $15,000
8	James Balanced (GLRIX)	Purchase	12/10/2021	$1,001 - $15,000
9	First Eagle Overseas Fund Class I Shares (SGOIX)	Purchase	12/02/2021	$1,001 - $15,000
10	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Purchase	12/30/2021	$1,001 - $15,000
11	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	07/19/2021	$1,001 - $15,000
12	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	12/09/2021	$1,001 - $15,000
13	Morgan Stanley Institutional Fund TrustGlobal Opportunity Portfolio Class I Shares (MGGIX)	Purchase	12/20/2021	$1,001 - $15,000
14	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	12/27/2021	$1,001 - $15,000
15	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	10/13/2021	$1,001 - $15,000
16	Principal MidCap Fund Institutional Class Shares (PCBIX)	Purchase	12/14/2021	$1,001 - $15,000
17	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	12/27/2021	$1,001 - $15,000
18	Brandes Core Plus Fixed Income Fund Class I Shares (BCPIX)	Purchase	10/08/2021	$1,001 - $15,000
19	Pioneer Strategic Income Fund Class Y Shares (STRYX)	Purchase	09/24/2021	$1,001 - $15,000
20	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Purchase	10/08/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
21	PrincipalGlobal Diversified Income Fund Institutional Class Shares (PGDIX)	Purchase	09/24/2021	$1,001 - $15,000
22	First Eagle Overseas Fund Class I Shares (SGOIX)	Purchase	10/08/2021	$1,001 - $15,000
23	Oakmark International Fund Advisor Class Shares (OAYIX)	Purchase	10/08/2021	$1,001 - $15,000
24	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	09/24/2021	$15,001 - $50,000
25	Calamos Market Neutral Income Fund Class I Shares (CMNIX)	Purchase	09/24/2021	$15,001 - $50,000
26	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	10/08/2021	$15,001 - $50,000
27	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	09/24/2021	$50,001 - $100,000
28	Virtus VontobelEmerging Markets Opportunities Fund Class I Shares (HIEMX)	Sale	10/06/2021	$15,001 - $50,000
29	LoCorr Macro Strategies Fund Class I Shares (LFMIX)	Sale	10/06/2021	$15,001 - $50,000
30	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	12/03/2021	$1,001 - $15,000
31	James Balanced (GLRIX)	Sale	12/03/2021	$1,001 - $15,000
32	Westwood Income Opportunity Fund Institutional Shares (WHGIX)	Sale	12/03/2021	$1,001 - $15,000
33	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	10/20/2021	$1,001 - $15,000
34	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	07/19/2021	$1,001 - $15,000
35	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	12/27/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
36	Morgan Stanley Institutional Fund TrustGlobal Opportunity Portfolio Class I Shares (MGGIX)	Purchase	12/20/2021	$1,001 - $15,000
37	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	10/13/2021	$1,001 - $15,000
38	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	12/27/2021	$1,001 - $15,000
39	Principal MidCap Fund Institutional Class Shares (PCBIX)	Purchase	12/14/2021	$1,001 - $15,000
40	Brandes Core Plus Fixed Income Fund Class I Shares (BCPIX)	Purchase	10/08/2021	$1,001 - $15,000
41	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	10/08/2021	$15,001 - $50,000
42	Morgan Stanley Institutional Fund TrustGlobal Opportunity Portfolio Class I Shares (MGGIX)	Sale	06/22/2021	$1,001 - $15,000
43	Brandes Core Plus Fixed Income Fund Class I Shares (BCPIX)	Sale	02/23/2021	$1,001 - $15,000
44	Principal MidCap Fund Institutional Class Shares (PCBIX)	Sale	07/22/2021	$1,001 - $15,000
45	AMG Yacktman Fund Class I Shares (YACKX)	Sale	04/23/2021	$1,001 - $15,000
46	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	08/24/2021	$1,001 - $15,000
47	Morgan Stanley Institutional Fund TrustGlobal Opportunity Portfolio Class I Shares (MGGIX)	Sale	03/24/2021	$1,001 - $15,000
48	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Sale	05/24/2021	$1,001 - $15,000
49	Pioneer Strategic Income Fund Class Y Shares (STRYX)	Sale	12/10/2021	$1,001 - $15,000
50	Pioneer Strategic Income Fund Class Y Shares (STRYX)	Purchase	12/10/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
51	AMG Yacktman Fund Class I Shares (YACKX)	Purchase	12/16/2021	$1,001 - $15,000
52	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	12/09/2021	$1,001 - $15,000
53	Westwood Income Opportunity Fund Institutional Shares (WHGIX)	Purchase	12/09/2021	$1,001 - $15,000
54	First Eagle Overseas Fund Class I Shares (SGOIX)	Purchase	12/02/2021	$1,001 - $15,000
55	Morgan Stanley Institutional Fund TrustGlobal Opportunity Portfolio Class I Shares (MGGIX)	Purchase	12/20/2021	$1,001 - $15,000
56	Westwood Income Opportunity Fund Institutional Shares (WHGIX)	Purchase	12/09/2021	$1,001 - $15,000
57	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	10/13/2021	$1,001 - $15,000
58	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	12/27/2021	$1,001 - $15,000
59	Principal MidCap Fund Institutional Class Shares (PCBIX)	Purchase	12/14/2021	$1,001 - $15,000
60	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	12/27/2021	$1,001 - $15,000
61	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)	Purchase	12/08/2021	$1,001 - $15,000
62	QS Global Equity Fund Class I Shares (SMYIX)	Purchase	12/08/2021	$1,001 - $15,000
63	Aberdeen US Small Cap Equity Fund InstitutionalClass Shares (GSCIX)	Purchase	10/08/2021	$15,001 - $50,000
64	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	10/08/2021	$15,001 - $50,000
65	Calamos Market Neutral Income Fund Class I Shares (CMNIX)	Purchase	10/08/2021	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
66	First Eagle Overseas Fund Class I Shares (SGOIX)	Purchase	10/08/2021	$15,001 - $50,000
67	Oakmark International Fund Advisor Class Shares (OAYIX)	Purchase	10/08/2021	$15,001 - $50,000
68	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)	Purchase	10/08/2021	$15,001 - $50,000
69	Morgan Stanley Institutional Fund TrustGlobal Opportunity Portfolio Class I Shares (MGGIX)	Purchase	10/08/2021	$15,001 - $50,000
70	Nuveen Real Asset Income Fund Class I Shares (NRIIX)	Purchase	10/08/2021	$15,001 - $50,000
71	Principal MidCap Fund Institutional Class Shares (PCBIX)	Purchase	10/08/2021	$15,001 - $50,000
72	PrincipalGlobal Diversified Income Fund Institutional Class Shares (PGDIX)	Purchase	10/08/2021	$15,001 - $50,000
73	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Purchase	10/08/2021	$15,001 - $50,000
74	AMG Yacktman Fund Class I Shares (YACKX)	Purchase	10/08/2021	$15,001 - $50,000
75	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	10/08/2021	$15,001 - $50,000
76	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Purchase	10/08/2021	$15,001 - $50,000
77	Pioneer Strategic Income Fund Class Y Shares (STRYX)	Purchase	10/08/2021	$15,001 - $50,000
78	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	10/08/2021	$50,001 - $100,000
79	Virtus VontobelEmerging Markets Opportunities Fund Class I Shares (HIEMX)	Sale	10/06/2021	$1,001 - $15,000
80	LoCorr Macro Strategies Fund Class I Shares (LFMIX)	Sale	10/06/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
81	AB Large Cap Growth Fund, Inc Advisor Class Shares (APGYX)	Purchase	10/08/2021	$1,001 - $15,000
82	Oakmark International Fund Advisor Class Shares (OAYIX)	Sale	10/08/2021	$50,001 - $100,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Umpqua Bank	Mortgage on Personal Residence	$500,001 - $1,000,000	2016	3.75%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	7	There are no other beneficiaries for this trust.
1.	8	These are revocable trusts for me and my spouse.

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).
