Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cavazzoni, Patrizia

Director, Center for Drug Evaluation & Research (CDER), Department of Health & Human Services

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

Acting Center Director - CDER (5/2020 - 4/2021)

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/ Cavazzoni, Patrizia [electronically signed on 05/07/2022 by Cavazzoni, Patrizia 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/ SIGG, JAMES M, Certifying Official [electronically signed on 08/25/2022 by SIGG, JAMES M in Integrity.gov]

Other review conducted by
/s/ Taylor, Ebbonie, Ethics Official [electronically signed on 08/16/2022 by Taylor, Ebbonie in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 08/16/2022

Data Revised 05/23/2022

Data Revised 05/18/2022

Data Revised 05/16/2022

Data Revised 05/12/2022

Data Revised 05/11/2022

Data Revised 05/10/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The SOHA Condominium	New York, New York	Corporation	Officer	12/2013	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Pfizer Defined Benefit Plan: Eligible to receive $2676/mo. starting 8/1/27	N/A	$500,001 - $1,000,000		None (or less than $201)
2	Eli Lilly Defined Benefit Plan (Current value not readily ascertainable): entitled to receive benefit payments of approx. $1,921/mo. starting 8/2027	N/A			None (or less than $201)
3	Eli Lilly Non Qualified Retirement Annuity Plan (value not readily ascertainable)	N/A		Pension disbursements $444/monthly	$5,333

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Pfizer (Defined Benefit)	New York, New York	I will retain my interests in this defined benefit plan. I am entitled to commence to receive benefits in the amount $2,676 per month commencing on 8/1/2027	8/2017
2	Eli Lilly (Defined Benefit)	Indianapolis, Indiana	I will retain my interests in this defined benefit pension plan. I am entitled to receive a benefit of $1,921 per month commencing on 8/1/2027.	8/2000

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Eli Lilly (Pension)	Indianapolis, Indiana	I will continue to receive monthly payments associated with my non-qualified retirement pension plan in the amount of $444 per month	8/2000

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Family trust #1	No			
1.1	Rockdale, LLC - commercial real estate	No	$15,001 - $50,000		None (or less than $201)
1.2	Switch Offices, LLC - commercial real estate	No	$50,001 - $100,000	Dividends	$1,001 - $2,500
1.3	JF Wild, LLC - commercial real estate	No	$100,001 - $250,000		None (or less than $201)
1.4	Cherry Investors Group, LLC - farming operator, crops	No	$1,001 - $15,000		None (or less than $201)
1.5	Blue Crop, LLC - promissory notes (2), farms, crops, Michigan	No	$250,001 - $500,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	Bank account #1 (cash)		N/A	$100,001 - $250,000		None (or less than $201)
1.7	Bank account #2 (cash)		N/A	$1,001 - $15,000		None (or less than $201)
1.8	Taxable Accounts x 2		No			
1.8.1	Bank Deposits (cash)		N/A	$1,000,001 - $5,000,000	Interest	$201 - $1,000
1.8.2	Blackstone Real Estate Income Trust		Yes	$250,001 - $500,000		$15,001 - $50,000
1.8.3	ACAP Strategic (XCAPX)		Yes	$100,001 - $250,000		$2,501 - $5,000
1.8.4	iCapital SROA Capital Fund VIII	See Endnote	Yes	$100,001 - $250,000		$15,001 - $50,000
1.8.5	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)		Yes	$250,001 - $500,000		$5,001 - $15,000
1.8.6	BlackRock Strategic Municipal Opportunities Fund Institutional Shares (MAMTX)		Yes	$250,001 - $500,000		$15,001 - $50,000
1.8.7	Davis Select Financial ETF (DFNL)		Yes	$250,001 - $500,000		$5,001 - $15,000
1.8.8	Davis Select Worldwide ETF (DWLD)		Yes	$100,001 - $250,000		$1,001 - $2,500
1.8.9	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)		Yes	$100,001 - $250,000		$15,001 - $50,000
1.8.10	Ecofin Global Renewables Infrastructure (ECOIX)		Yes	$100,001 - $250,000		$2,501 - $5,000
1.8.11	First Eagle Overseas Fund Class I Shares (SGOIX)		Yes	$250,001 - $500,000		$15,001 - $50,000
1.8.12	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)		Yes	$100,001 - $250,000		$2,501 - $5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8.13	Harding Loevner Global Equity (HLMVX)	Yes	$100,001 - $250,000		$15,001 - $50,000
1.8.14	Hartford Strategic Income Fund Class I Shares (HSNIX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.8.15	Janus Henderson Developed World Bond Fund Class I Shares (HFAIX)	Yes	$250,001 - $500,000		$5,001 - $15,000
1.8.16	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Yes	$100,001 - $250,000		$15,001 - $50,000
1.8.17	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX)	Yes	$250,001 - $500,000		$5,001 - $15,000
1.8.18	Neuberger Berman Large Cap Value Fund Institutional Class (NBPIX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.8.19	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	$500,001 - $1,000,000		$5,001 - $15,000
1.8.20	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	None (or less than $1,001)		$1,001 - $2,500
1.8.21	Parametric TABS 5-to-15 Year Laddered Municipal Bond Fund Class I Shares (EILTX)	Yes	$250,001 - $500,000		$5,001 - $15,000
1.8.22	PGIM Jennison Natural Resources Fund Class Z Shares (PNRZX)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.8.23	T Rowe Price Emerging Markets Stock (PRMSX)	Yes	$250,001 - $500,000		$15,001 - $50,000
1.8.24	T Rowe Price Global Technology (PRGTX)	Yes	$250,001 - $500,000		$50,001 - $100,000
1.9	Roth IRA account	No			
1.9.1	Cash	N/A	$1,001 - $15,000		None (or less than $201)
1.9.2	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9.3	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.4	BNY Mellon Natural Resources Fund Class I Shares (DLDRX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.5	Davis Financial Fund Class Y Shares (DVFYX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.6	DavisGlobal Fund Class Y Shares (DGFYX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.7	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.8	First Eagle Overseas Fund Class I Shares (SGOIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.9	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.10	Harding Loevner Global Equity (HLMVX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.11	Hartford Strategic Income Fund Class I Shares (HSNIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.12	Janus Henderson Developed World Bond Fund Class I Shares (HFAIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.13	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.14	Neuberger Berman Large Cap Value Fund Institutional Class (NBPIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.15	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9.16	T Rowe Price Global Technology (PRGTX)	Yes	$1,001 - $15,000		$201 - $1,000
1.9.17	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	IRA Accounts x 2	No			
2.1	Cash	N/A	$50,001 - $100,000		None (or less than $201)
2.2	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	$15,001 - $50,000		None (or less than $201)
2.3	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Yes	$15,001 - $50,000		None (or less than $201)
2.4	BNY Mellon Natural Resources Fund Class I Shares (DLDRX)	Yes	$15,001 - $50,000		None (or less than $201)
2.5	Davis Financial Fund Class Y Shares (DVFYX)	Yes	$15,001 - $50,000		None (or less than $201)
2.6	DavisGlobal Fund Class Y Shares (DGFYX)	Yes	$15,001 - $50,000		None (or less than $201)
2.7	First Eagle Overseas Fund Class I Shares (SGOIX)	Yes	$15,001 - $50,000		None (or less than $201)
2.8	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	$15,001 - $50,000		None (or less than $201)
2.9	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	$50,001 - $100,000		None (or less than $201)
2.10	Harding Loevner Global Equity (HLMVX)	Yes	$15,001 - $50,000		None (or less than $201)
2.11	Hartford Strategic Income Fund Class I Shares (HSNIX)	Yes	$15,001 - $50,000		None (or less than $201)
2.12	Janus Henderson Developed World Bond Fund Class I Shares (HFAIX)	Yes	$15,001 - $50,000		None (or less than $201)
2.13	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Yes	$15,001 - $50,000		None (or less than $201)
2.14	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.15	Neuberger Berman Large Cap Value Fund Institutional Class (NBPIX)	Yes	$15,001 - $50,000		None (or less than $201)
2.16	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	$50,001 - $100,000		None (or less than $201)
2.17	T Rowe Price Global Technology (PRGTX)	Yes	$15,001 - $50,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	ACAP Strategic Fund (XCAPX) - CASH ALT	Purchase	06/30/2021	$50,001 - $100,000
2	ACAP Strategic Fund (XCAPX) - CASH ALT	Purchase	07/30/2021	$15,001 - $50,000
3	ACAP Strategic Fund (XCAPX) - CASH ALT	Purchase	08/31/2021	$15,001 - $50,000
4	ICAPITAL-SROA CAPITAL FUND VIII CO-INVESTMENT ACCESS FUND LP - CASH ALT	Purchase	09/27/2021	$100,001 - $250,000
5	ACAP Strategic Fund (XCAPX) - CASH ALT	Purchase	09/30/2021	$15,001 - $50,000
6	Parametric TABS 5-to-15 Year Laddered Municipal Bond Fund Class I Shares (EILTX) - INVESTMENT	Purchase	02/10/2021	$250,001 - $500,000
7	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX) - INVESTMENT	Purchase	02/10/2021	$100,001 - $250,000
8	Janus Henderson Developed World Bond Fund Class I Shares (HFAIX) - INVESTMENT	Purchase	02/10/2021	$250,001 - $500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	Parametric TABS Short-Term Municipal Bond Fund Class I Shares (EIBSX) - INVESTMENT	Sale	02/10/2021	$250,001 - $500,000
10	JP MORGAN STRATEGIC INCOME OPPS (JSOSX) - INVESTMENT	Sale	02/10/2021	$250,001 - $500,000
11	DWS GLOBAL INFRASTRUCTURE FUND (TOLIX) - INVESTEMENT	Sale	02/10/2021	$100,001 - $250,000
12	DAVIS GLOBAL FUND (DGFYX) - INVESTMENT	Purchase	03/01/2021	$50,001 - $100,000
13	Parametric TABS 5-to-15 Year Laddered Municipal Bond Fund Class I Shares (EILTX) - INVESTMENT	Purchase	03/01/2021	$15,001 - $50,000
14	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX) - INVESTMENT	Purchase	03/01/2021	$15,001 - $50,000
15	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX) - INVESTMENT	Purchase	03/01/2021	$50,001 - $100,000
16	HARDING LOEVNER GLOBAL EQUITY (HLMVX) - INVESTMENT	Purchase	03/01/2021	$50,001 - $100,000
17	Hartford Strategic Income Fund Class I Shares (HSNIX)	Purchase	03/01/2021	$50,001 - $100,000
18	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Purchase	03/01/2021	$50,001 - $100,000
19	PGIM Jennison Natural Resources Fund Class Z Shares (PNRZX) - INVESTMENT	Purchase	03/01/2021	$50,001 - $100,000
20	Neuberger Berman Large Cap Value Fund Institutional Class (NBPIX) -INVESTMENT	Purchase	03/01/2021	$50,001 - $100,000
21	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX) - INVESTMENT	Purchase	03/01/2021	$1,001 - $15,000
22	Delaware Value Fund Institutional Class Shares (DDVIX) - INVESTMENT	Sale	03/01/2021	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	BlackRock Strategic Municipal Opportunities Fund Institutional Shares (MAMTX) - INVESTMENT	Sale	03/01/2021	$15,001 - $50,000
24	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX) - INVESTMENT	Sale	03/01/2021	$100,001 - $250,000
25	T ROWE PRICE GLOBAL TECHNOLOGY (PRGTX) - INVESTMENT	Sale	03/01/2021	$100,001 - $250,000
26	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX) - INVESTMENT	Purchase	05/19/2021	$50,001 - $100,000
27	ECOFIN GLOBAL RENEWABLES INFRASTRUCTURE (ECOIX) - INVESTMENT	Purchase	06/14/2021	$50,001 - $100,000
28	DAVIS GLOBAL FUND (DGFYX) - INVESTMENT	Purchase	08/05/2021	$15,001 - $50,000
29	T ROWE PRICE EMERGING MARKETS STOCK (PRMSX) - INVESTMENT	Purchase	08/05/2021	$50,001 - $100,000
30	T ROWE PRICE GLOBAL TECHNOLOGY (PRGTX) - INVESTMENT	Sale	08/05/2021	$50,001 - $100,000
31	DAVIS GLOBAL FUND (DGFYX) - INVESTMENT	Sale	12/08/2021	$100,001 - $250,000
32	DAVIS FUNDAMENTAL ETF TR WORLDWIDE (DWLD) - INVESTMENT	Purchase	12/08/2021	$100,001 - $250,000
33	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX) - ROTH	Purchase	02/24/2021	$1,001 - $15,000
34	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX) - ROTH	Purchase	02/24/2021	$1,001 - $15,000
35	Janus Henderson Developed World Bond Fund Class I Shares (HFAIX) - ROTH	Purchase	02/24/2021	$1,001 - $15,000
36	Hartford Strategic Income Fund Class I Shares (HSNIX) - ROTH	Purchase	02/24/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	Neuberger Berman Large Cap Value Fund Institutional Class (NBPIX) - ROTH	Purchase	02/24/2021	$1,001 - $15,000
38	T ROWE PRICE GLOBAL TECHNOLOGY (PRGTX) - ROTH	Purchase	02/24/2021	$1,001 - $15,000
39	ANGEEL OAK MULTI STRATEGY (ANGIX) - ROTH	Sale	02/24/2021	$1,001 - $15,000
40	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX) - ROTH	Purchase	02/24/2021	$1,001 - $15,000
41	Delaware Value Fund Institutional Class Shares (DDVIX) - ROTH	Sale	02/24/2021	$1,001 - $15,000
42	Virtus VontobelEmerging Markets Opportunities Fund Class I Shares (HIEMX) - ROTH	Sale	02/24/2021	$1,001 - $15,000
43	JP MORGAN STRATEGIC INCOME FUND (JSOSX) - ROTH	Sale	02/24/2021	$1,001 - $15,000
44	Janus Henderson Global Technology and Innovation Fund Class I Shares (JATIX) - ROTH	Sale	02/24/2021	$1,001 - $15,000
45	DWS GLOBAL INFRASTRUCTURE FUND (TOLIX) - ROTH	Sale	02/24/2021	$1,001 - $15,000
46	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX) - ROTH	Sale	02/24/2021	$1,001 - $15,000
47	Janus Henderson Developed World Bond Fund Class I Shares (HFAIX) - IRA	Purchase	02/10/2021	$100,001 - $250,000
48	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX) - IRA	Purchase	02/10/2021	$15,001 - $50,000
49	JP MORGAN STRATEGIC INCOME FUND (JSOSX) - IRA	Sale	02/10/2021	$100,001 - $250,000
50	DWS GLOBAL INFRASTRUCTURE (TOLIX) - IRA	Sale	02/10/2021	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
51	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX) - IRA	Purchase	03/01/2021	$15,001 - $50,000
52	BlackRock Event Driven Equity Fund Institutional Shares (BILPX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
53	DAVIS GLOBAL FUND (DGFYX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
54	BNY Mellon Natural Resources Fund Class I Shares (DLDRX)	Purchase	03/01/2021	$1,001 - $15,000
55	Davis Financial Fund Class Y Shares (DVFYX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
56	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
57	HARDING LOEVNER GLOBAL EQUITY (HLMVX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
58	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX) - IRA	Purchase	03/01/2021	$15,001 - $50,000
59	Hartford Strategic Income Fund Class I Shares (HSNIX)	Purchase	03/01/2021	$15,001 - $50,000
60	Neuberger Berman Large Cap Value Fund Institutional Class (NBPIX) - IRA	Purchase	03/01/2021	$15,001 - $50,000
61	NEUBERGER BERMAN LONG SHORT (NLSIX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
62	Janus Henderson Enterprise Fund Class I Shares (JMGRX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
63	ANGEL OAK MULTI STRATEGY (ANGIX) - IRA	Sale	03/01/2021	$15,001 - $50,000
64	FIRST EAGLE OVERSEAS (SGOIX) - IRA	Purchase	03/01/2021	$1,001 - $15,000
65	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX) - IRA	Purchase	03/01/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
66	Virtus VontobelEmerging Markets Opportunities Fund Class I Shares (HIEMX) - IRA	Sale	03/01/2021	$15,001 - $50,000
67	Delaware Value Fund Institutional Class Shares (DDVIX) - IRA	Sale	03/01/2021	$15,001 - $50,000
68	Janus Henderson Developed World Bond Fund Class I Shares (HFAIX) - IRA	Sale	03/01/2021	$50,001 - $100,000
69	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX) - IRA	Purchase	05/18/2021	$1,001 - $15,000
70	T ROWE PRICE GLOBAL TECHNOLOGY (PRGTX) - IRA	Sale	03/01/2021	$1,001 - $15,000
71	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX) - IRA	Sale	03/01/2021	$15,001 - $50,000
72	BlackRock Event Driven Equity Fund Institutional Shares (BILPX) - IRA	Purchase	08/05/2021	$1,001 - $15,000
73	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX) - IRA	Purchase	08/05/2021	$1,001 - $15,000
74	DAVIS GLOBAL FUND (DGFYX) - IRA	Purchase	08/05/2021	$1,001 - $15,000
75	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX) - IRA	Purchase	08/05/2021	$1,001 - $15,000
76	Davis Financial Fund Class Y Shares (DVFYX) - IRA	Sale	08/05/2021	$1,001 - $15,000
77	HARDING LOEVNER GLOBAL EQUITY (HLMVX) - IRA	Sale	08/05/2021	$1,001 - $15,000
78	T ROWE PRICE GLOBAL TECHNOLOGY (PRGTX) - IRA	Sale	08/05/2021	$1,001 - $15,000
79	NEUBERGER BERMAN LONG SHORT (NLSIX) - IRA	Sale	08/05/2021	$1,001 - $15,000
80	Janus Henderson Enterprise Fund Class I Shares (JMGRX) - IRA	Sale	08/05/2021	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
81	MainStay CBRE Global Infrastructure Fund Class I Shares (VCRIX) -IRA		Sale	08/05/2021	$1,001 - $15,000
82	FIRST EAGLE OVERSEAS (SGOIX) - IRA		Sale	08/05/2021	$1,001 - $15,000
83	Blue Crop Group LLC	See Endnote	Sale	12/29/2021	
84	Barclays Bank PLC SER A MTN ZERO CPN 3/4/2021		Sale	03/04/2021	$15,001 - $50,000
85	True Blue Berry Management (Farming operator, Michigan) - promissory note	See Endnote	Sale	10/06/2021	

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	1.8.4	Return of capital distribution
7.	83	Irrevocable assignment of units of member interest to Blue Crop Group LLC for zero consideration.
7.	85	Distribution of asset from IRA, reported value $10. No other transactions in 2021. Promissory note was written off.

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).
