

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

## Filer's Information

---

Recordon, David B

Special Assistant to the President and Director of Technology, White House - Biden-Harris Administration

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/ Recordon, David B [electronically signed on 05/03/2022 by Recordon, David B 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/ Clarke, Victoria K, Certifying Official [electronically signed on 05/10/2022 by Clarke, Victoria K in Integrity.gov]

---

Other review conducted by

/s/ Clarke, Victoria K, Ethics Official [electronically signed on 05/09/2022 by Clarke, Victoria K in Integrity.gov]

---

U.S. Office of Government Ethics Certification

---

Data Revised 05/09/2022

Data Revised 05/05/2022

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Chan Zuckerberg Initiative, LLC	Redwood City, California	Corporation	Vice President	3/2018	1/2021
2	The Catlin Gabel School	Portland, Oregon	Non-Profit	Trustee	9/2019	1/2021
3	Rebellion Defense, Inc.	Washington, District of Columbia	Corporation	Advisor	6/2019	1/2021
4	Kintaba, Inc.	New York, New York	Corporation	Advisor	11/2019	1/2021
5	Family revocable trust #1	no city, California	Trust	Trustee	1/2013	Present
6	Family revocable trust #2	Washington, District of Columbia	Trust	Trustee	12/2020	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Chan Zuckerberg Initiative, LLC (Philanthropy)	N/A		Salary/Bonus	\$37,982
2	Roth IRA	No			
2.1	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	IRA	No			
3.1	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Morgan Stanley Finance LLC note linked to EURO STOXX 50 Index (SPZWG)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.3	Barclays Bank PLC note tied to S&P 500 Index (SPZWI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.4	CS Trigger Plus SX5E (SQFDM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5	Citi Trigger Plus EW Basket SPX SX5E (SQFDQ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Rebellion Defense, Inc. (software company)	N/A	\$1,001 - \$15,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Chan Zuckerberg Initiative, LLC	Redwood City, California	I rolled my funds out of this 401(k) plan and ceased participating in June 2021. The plan sponsor ceased making contributions after my separation in January 2021.	3/2018

### 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	APPLE VALLEY CALIF UNI SCH DIST REF Bond (CUSIP 03788ECU3)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
2	ARK Innovation ETF (ARKK)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3	BANK OF AMERICA preferred stock (CUSIP 060505EN0)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4	BANK OF AMERICA CORP preferred stock (CUSIP 060505EU4)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
5	BANK OF AMERICA CORP preferred stock (CUSIP 060505EH3)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6	BANK OF AMERICA CORP preferred stock (CUSIP 060505EL4)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7	BlackRock Enhanced International Dividend Trust (BGY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8	BlackRock EnhancedGlobal Dividend Trust (BOE)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
9	Nuveen S&P 500 Buy-Write Income Fund (BXM)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10	CALIFORNIA ST Bond CUSIP 13063BL42	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
11	CALIFORNIA ST GENL OBLIG VAR PURP TAX EXEMPT Bond (CUSIP 13063CKQ2)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
12	CALIFORNIA ST GENL OBLIG VARS PURPS REF Bond (CUSIP 13063C5P1)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
13	U.S. bank (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	CENTINELA VALLEY CALIF UN HIGHSCH GENL OBLIG REF Bond CUSIP 152339QW0	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
15	CERES CALIF UNI SCH DIST CROSSOVER REF Bond CUSIP 156753NP6	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
16	CHARTER OAK CALIF UNI SCH DIST Bond CUSIP 161285QW4	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
17	CalamosGlobal Dynamic Income Fund (CHW)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
18	CITIGROUP preferred stock (CUSIP 172967GD7)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
19	CITIGROUP INC preferred stock (CUSIP 172967JM4)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
20	CITIGROUP INC preferred stock (CUSIP 172967KM2)	N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
21	COMERICA INC. preferred stock (CUSIP 200340AU1)	N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
22	COTATI-ROHNERT PK CALIF UNI SCH DIST Bond CUSIP 221623XZ9	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
23	DESERT HOT SPRINGS CALIF PUB FING AUTH L Bond CUSIP 25042LAH3	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
24	DISCOVER FINANCIAL preferred stock (CUSIP 254709AQ1)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
25	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
26	Eaton Vance Tax-Advantaged Global Dividend Income Fund (ETG)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
27	Eaton Vance Tax-Managed Diversified Equity Income Fund (ETY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Eaton VanceTax-ManagedGlobal Diversified Equity Income Fund (EXG)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
29	GOLDMAN SACHS GROUP INC preferred stock (CUSIP 38148BAC2)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
30	Goldman Sachs ActiveBeta International Equity ETF (GSIE)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
31	JPMORGAN CHASE & Co preferred stock (CUSIP 46625HJQ4)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
32	JPMORGAN CHASE & CO preferred stock (CUSIP 46625HJW1)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
33	JPMORGAN CHASE preferred stock (CUSIP 48126HAC4)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
34	LINCOLN CALIF PUB FING AUTH LEASE REV REF-A Bond CUSIP 533018CJ4	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
35	LLOYDS BANKING GROUP preferred stock (CUSIP 53944YAJ2)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
36	LOS ANGELES CA DEPT WTR & PWR PWR SYS REV-A Bond CUSIP 544495ZE7	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
37	LUCERNE VALLEY CALIF UN SCH DIST CTFS PA Bond CUSIP 549477AW7	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
38	M&T BANK CORP preferred stock (CUSIP 55261FAG9)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
39	MARIN CALIF CMNTY COLLEGE DISTREF Bond CUSIP 56781RDK0	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
40	MORGAN STANLEY preferred stock (CUSIP 61762VAA9)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
41	Morgan Stanley Institutional Fund Trust Government Portfolio Institutional Class Shares (MVRXX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	PALO VERDE CA CMNTY COLLEGE DIST CTFS PARTN LEASE REV Bond CUSIP 697480BT7	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
43	PERALTA CALIF CMNTY COLLEGE DIST GENL OBLIG REF-A Bond CUSIP 713575UW6	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
44	ROSEMEAD CALIF SCH DIST SEE TEMPLE CITY REF Bond CUSIP 777526LP7	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
45	SOUTHERN CALIF PUB PWR AUTH Bond CUSIP 84247PDA6	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
46	SOUTHERN KERN CALIF UNI SCH DIST Bond CUSIP 843257HL3	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
47	SOUTHERN MONO HEALTH CARE DISTCALIF Bond CUSIP 843387DN8	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
48	TRUIST FINANCIAL preferred stock (CUSIP 89832QAF6)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
49	VAL VERDE CALIF UNI SCH DIST Bond CUSIP 91882REK4	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
50	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
51	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
52	VENTURA CNTY CALIF PUB FING AUTH LEASE REV-V Bond CUSIP 923078BT5	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
53	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
54	Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
55	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
56	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
57	WACHOVIA preferred security backed by preferred stock (CUSIP 92978AAA0)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
58	WALNUT ENERGY CENTER AUTH REV REF-A Bond CUSIP 93265PCR8	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
59	WELLS FARGO & CO preferred stock (CUSIP 949746RN3)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
60	WELLS FARGO preferred stock (CUSIP 949746RN3)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
61	Investable Wine	N/A	\$15,001 - \$50,000		None (or less than \$201)
62	1675 S. PROM LLC	No			
62.1	Residential real estate, Seaside, OR	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
63	BILOXI MISS PUB SCH DIST Bond (CUSIP 09025PFE1)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
64	OAK ISLAND NC ENTERPRISE SYS Bond (CUSIP 67140PDN1)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
65	UTAH ST CHARTER SCH Bond (CUSIP 91754TSU8)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
66	Western Asset Ultra-Short Income Fund Class A Shares (ARMZX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
67	CalamosGlobal Dynamic Income Fund (CHW)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
68	WisdomTreeEmerging Markets High Dividend Fund (DEM)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
69	SPDR S&PEmerging Markets Small Cap ETF (EWX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70	Gabelli Dividend & Income Trust (GDV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
71	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
72	Global X NASDAQ 100 Covered Call ETF (QYLD)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
73	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
74	The Boeing Company Bond (CUSIP 097023CY9)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	The Boeing Company Bond (CUSIP 097023CY9)	Purchase	03/15/2021	\$100,001 - \$250,000
2	Facebook, Inc. (FB)	Sale	05/20/2021	\$1,000,001 - \$5,000,000
3	iShares MSCI Japan ETF (EWJ)	Sale	05/20/2021	\$100,001 - \$250,000
4	iShares MSCI India ETF (INDA)	Sale	05/20/2021	\$100,001 - \$250,000
5	PALO VERDE CA CMNTY COLLEGE DIST Bond (CUSIP 697480BT7)	Sale	06/16/2021	\$50,001 - \$100,000
6	MARIN CALIF CMNTY COLLEGE DIST Bond (CUSIP 56781RDK0)	Sale	06/16/2021	\$100,001 - \$250,000
7	CALIFORNIA ST GENL OBLIG VARS PURPS Bond (CUSIP 13063C5P1)	Sale	06/16/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	CALIFORNIA ST GENL OBLIG VARS PURP TAX EXEMPT Bond (CUSIP 13063CKQ2)	Sale	06/16/2021	\$100,001 - \$250,000
9	SOUTHERN MONO HEALTH CARE DISTCALIF Bond (CUSIP 843387DN8)	Sale	06/16/2021	\$100,001 - \$250,000
10	OAK ISLAND N C ENTERPRISE SYS REV Bond (CUSIP 67140PDN1)	Purchase	06/16/2021	\$100,001 - \$250,000
11	BILOXI MISS PUB SCH DIST TR CTFS Bond (CUSIP 09025PFE1)	Purchase	06/16/2021	\$50,001 - \$100,000
12	BEECH GROVE IND CENT SCHS BLDGCORP Bond (CUSIP 076692DY5)	Purchase	06/16/2021	\$100,001 - \$250,000
13	UTAH ST CHARTER SCH FIN AUTH Bond (CUSIP 91754TSU8)	Purchase	06/16/2021	\$100,001 - \$250,000
14	iShares Core MSCI EAFE ETF (IEFA)	Purchase	03/03/2021	\$500,001 - \$1,000,000
15	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Sale	03/03/2021	\$15,001 - \$50,000
16	Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)	Sale	03/03/2021	\$15,001 - \$50,000
17	Goldman Sachs ActiveBeta International Equity ETF (GSIE)	Sale	03/03/2021	\$500,001 - \$1,000,000
18	iShares MSCIEmerging Markets ETF (EEM)	Purchase	03/03/2021	\$100,001 - \$250,000
19	iShares MSCI India ETF (INDA)	Sale	03/03/2021	\$1,001 - \$15,000
20	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Sale	03/03/2021	\$50,001 - \$100,000
21	Vanguard Growth Index Fund ETF Class Shares (VUG)	Sale	03/03/2021	\$15,001 - \$50,000
22	Vanguard Value Index Fund ETF Shares (VTV)	Sale	03/03/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Sale	03/03/2021	\$50,001 - \$100,000
24	iShares Core MSCI EAFE ETF (IEFA)	Purchase	05/21/2021	\$50,001 - \$100,000
25	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Purchase	05/21/2021	\$15,001 - \$50,000
26	Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)	Purchase	05/21/2021	\$50,001 - \$100,000
27	Goldman Sachs ActiveBeta International Equity ETF (GSIE)	Purchase	05/21/2021	\$100,001 - \$250,000
28	SPDR S&PEmerging Markets Small Cap ETF (EWX)	Purchase	05/21/2021	\$250,001 - \$500,000
29	WisdomTreeEmerging Markets High Dividend Fund (DEM)	Purchase	05/21/2021	\$500,001 - \$1,000,000
30	iShares MSCIEmerging Markets ETF (EEM)	Sale	05/21/2021	\$50,001 - \$100,000
31	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Purchase	05/21/2021	\$100,001 - \$250,000
32	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	05/21/2021	\$250,001 - \$500,000
33	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	05/21/2021	\$100,001 - \$250,000
34	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Purchase	05/21/2021	\$50,001 - \$100,000
35	Global X NASDAQ 100 Covered Call ETF (QYLD)	Purchase	05/24/2021	\$100,001 - \$250,000
36	ARK Innovation ETF (ARKK)	Purchase	05/24/2021	\$1,001 - \$15,000
37	Eaton VanceTax-ManagedGlobal Diversified Equity Income Fund (EXG)	Purchase	05/24/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	Eaton VanceTax-Managed Diversified Equity Income Fund (ETY)	Purchase	05/24/2021	\$15,001 - \$50,000
39	BlackRock EnhancedGlobal Dividend Trust (BOE)	Purchase	05/24/2021	\$15,001 - \$50,000
40	CalamosGlobal Dynamic Income Fund (CHW)	Purchase	05/24/2021	\$1,001 - \$15,000
41	BlackRock Enhanced International Dividend Trust (BGY)	Purchase	05/24/2021	\$15,001 - \$50,000
42	Nuveen S&P 500 Buy-Write Income Fund (BXMN)	Purchase	05/24/2021	\$15,001 - \$50,000
43	Eaton Vance Tax-AdvantagedGlobal Dividend Income Fund (ETG)	Purchase	05/24/2021	\$1,001 - \$15,000
44	Western Asset Ultra-Short Income Fund Class A Shares (ARMZX)	Purchase	07/15/2021	\$250,001 - \$500,000
45	Global X NASDAQ 100 Covered Call ETF (QYLD)	Purchase	07/22/2021	\$15,001 - \$50,000
46	Eaton VanceTax-ManagedGlobal Diversified Equity Income Fund (EXG)	Purchase	07/22/2021	\$15,001 - \$50,000
47	Eaton VanceTax-Managed Diversified Equity Income Fund (ETY)	Purchase	07/22/2021	\$15,001 - \$50,000
48	BlackRock EnhancedGlobal Dividend Trust (BOE)	Purchase	07/22/2021	\$15,001 - \$50,000
49	CalamosGlobal Dynamic Income Fund (CHW)	Purchase	07/22/2021	\$15,001 - \$50,000
50	BlackRock Enhanced International Dividend Trust (BGY)	Purchase	07/22/2021	\$15,001 - \$50,000
51	Nuveen S&P 500 Buy-Write Income Fund (BXMN)	Purchase	07/22/2021	\$15,001 - \$50,000
52	Eaton Vance Tax-AdvantagedGlobal Dividend Income Fund (ETG)	Purchase	07/22/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Citi Trigger Plus EW Basket SPX SX5E (SQFDQ)	Purchase	07/30/2021	\$15,001 - \$50,000
54	CS Trigger Plus SX5E (SQFDM)	Purchase	07/30/2021	\$15,001 - \$50,000
55	Global X NASDAQ 100 Covered Call ETF (QYLD)	Sale	11/04/2021	\$15,001 - \$50,000
56	Eaton VanceTax-ManagedGlobal Diversified Equity Income Fund (EXG)	Sale	11/04/2021	\$15,001 - \$50,000
57	Eaton VanceTax-Managed Diversified Equity Income Fund (ETY)	Sale	11/04/2021	\$15,001 - \$50,000
58	Gabelli Dividend & Income Trust (GDV)	Purchase	11/04/2021	\$100,001 - \$250,000
59	BlackRock EnhancedGlobal Dividend Trust (BOE)	Sale	11/04/2021	\$15,001 - \$50,000
60	CalamosGlobal Dynamic Income Fund (CHW)	Sale	11/04/2021	\$1,001 - \$15,000
61	BlackRock Enhanced International Dividend Trust (BGY)	Sale	11/04/2021	\$15,001 - \$50,000
62	Nuveen S&P 500 Buy-Write Income Fund (BXM)	Sale	11/04/2021	\$15,001 - \$50,000
63	Eaton Vance Tax-AdvantagedGlobal Dividend Income Fund (ETG)	Sale	11/04/2021	\$15,001 - \$50,000
64	SPDR S&PEmerging Markets Small Cap ETF (EWX)	Purchase	11/12/2021	\$15,001 - \$50,000
65	WisdomTreeEmerging Markets High Dividend Fund (DEM)	Sale	11/12/2021	\$500,001 - \$1,000,000
66	iShares MSCIEmerging Markets ETF (EEM)	Purchase	11/12/2021	\$250,001 - \$500,000
67	iShares MSCI Japan ETF (EWJ)	Purchase	03/03/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	WACHOVIA CAPITAL TRUST III Bond (CUSIP 92978AA0)	Sale	03/15/2021	\$100,001 - \$250,000
69	WELLS FARGO & CO Bond (CUSIP 949746RN3)	Purchase	02/03/2021	\$50,001 - \$100,000
70	JPMORGAN CHASE & CO Bond (CUSIP 48126HAC4)	Purchase	02/03/2021	\$100,001 - \$250,000
71	TRUIST FINANCIAL CORP Bond (CUSIP 89832QAF6)	Purchase	02/03/2021	\$100,001 - \$250,000
72	DISCOVER FINANCIAL CORP Bond (CUSIP 254709AQ1)	Purchase	02/03/2021	\$100,001 - \$250,000
73	COMERICA INC Bond (CUSIP 200340AU1)	Purchase	02/03/2021	\$100,001 - \$250,000
74	CALIFORNIA ST Bond (CUSIP 13063BL42)	Sale	02/01/2021	\$100,001 - \$250,000
75	DESERT HOT SPRINGS CALIF Bond (CUSIP 25042LAH3)	Sale	02/01/2021	\$100,001 - \$250,000
76	WELLS FARGO 7 CO Bond (CUSIP 949746RN3)	Purchase	02/01/2021	\$15,001 - \$50,000
77	BANK OF AMERICA CORP Bond (CUSIP 060505EU4)	Purchase	02/01/2021	\$50,001 - \$100,000
78	CHARTER OAK CALIF UNI SCH DIST Bond (CUSIP 161285QW4)	Sale	02/01/2021	\$100,001 - \$250,000
79	APPLE VALLEY CALIF UNI SCH DIST Bond (CUSIP 03788ECU3)	Sale	02/01/2021	\$100,001 - \$250,000
80	CERES CALIF UNI SCH DIST Bond (CUSIP 156753NP6)	Sale	02/01/2021	\$100,001 - \$250,000
81	ROSEMEAD CALIF SCH DIST Bond (CUSIP 777526LP7)	Sale	02/01/2021	\$50,001 - \$100,000
82	BANK OF AMERICA CORP Bond (CUSIP 060505EN0)	Purchase	02/01/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
83	MORGAN STANLEY Bond (CUSIP 61762VAA9)	Purchase	02/01/2021	\$100,001 - \$250,000
84	VAL VERDE CALIF UNI SCH DIST Bond (CUSIP 91882REK4)	Sale	02/01/2021	\$50,001 - \$100,000
85	COTATI-ROHNERT PK CALIF UNI SCH DIST Bond (CUSIP 221623XZ9)	Sale	02/01/2021	\$50,001 - \$100,000
86	BANK OF AMERICA CORP Bond (CUSIP 060505EL4)	Purchase	02/01/2021	\$100,001 - \$250,000
87	CITIGROUP INC Bond (CUSIP 172967KM2)	Purchase	02/01/2021	\$100,001 - \$250,000
88	SOUTHERN KERN CALIF UNI SCH DIST Bond (CUSIP 843257HL3)	Sale	02/01/2021	\$100,001 - \$250,000
89	CENTINELA VALLEY CALIF UN HIGHSCH Bond (CUSIP 152339QW0)	Sale	02/01/2021	\$100,001 - \$250,000
90	LLOYDS BANKING GROUP Bond (CUSIP 53944YAJ2)	Purchase	02/01/2021	\$100,001 - \$250,000
91	MFS Value Fund Class R6 Shares (MEIKX)	Sale	06/18/2021	\$15,001 - \$50,000
92	American Century Mid Cap Value Fund Class R6 Shares (AMDVX)	Sale	06/18/2021	\$1,001 - \$15,000
93	ClearBridge Large Cap Growth Fund Class IS Shares (LSITX)	Sale	06/18/2021	\$15,001 - \$50,000
94	Carillon Eagle Mid Cap Growth Fund Class R-6 Shares (HRAUX)	Sale	06/18/2021	\$1,001 - \$15,000
95	US Targeted Value Portfolio Institutional Class Shares (DFFVX)	Sale	06/18/2021	\$1,001 - \$15,000
96	Fidelity Emerging Markets Index Fund (FPADX)	Sale	06/18/2021	\$1,001 - \$15,000
97	Janus Henderson Triton Fund Class I Shares (JSMGX)	Sale	06/18/2021	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
98	JPMorgan International Equity Fund Class R6 Shares (JNEMX)	Sale	06/18/2021	\$15,001 - \$50,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Morgan Stanley Private Bank	Exercised Line of Credit	\$1,000,001 - \$5,000,000	2020	1.72	7 Years
2	Morgan Stanley Private Bank	Exercised Line of Credit	\$500,001 - \$1,000,000	2021	LIBOR + 1	Revolving

## 9. Gifts and Travel Reimbursements

None

## Endnotes

# Summary of Contents

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

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### 5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### 6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

---