

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

## Filer's Information

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Wolfram, Catherine

Deputy Assistant Secretary, Climate and Energy Economics, Department of the Treasury

Date of Appointment: 03/01/2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Wolfram, Catherine [electronically signed on 03/08/2021 by Wolfram, Catherine in Integrity.gov]

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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/ Sonfield, Brian, Certifying Official [electronically signed on 05/20/2021 by Sonfield, Brian in Integrity.gov]

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Other review conducted by

/s/ Veras, Hanoi, Ethics Official [electronically signed on 05/12/2021 by Veras, Hanoi in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 05/12/2021

Data Revised 05/10/2021

Data Revised 05/07/2021

Data Revised 05/06/2021

Data Revised 04/15/2021

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of California, Berkeley	Berkeley, California	University/College	Associate Dean	7/2018	2/2021
2	University of California, Berkeley	Berkeley, California	University/College	Professor	7/2013	Present
3	National Bureau of Economic Research	Cambridge, Massachusetts	Non-Profit	Program Director	8/2016	2/2021
4	Grandeur Peak Global Advisors	Salt Lake City, Utah	Corporation	Sustainability Advisory Board Member	7/2020	2/2021
5	Nancy B Wolfram Trust	Oakland, California	Trust	Trustee	9/2008	Present
6	Barmack and Wolfram Trust	Oakland, California	Trust	Co-Trustee	1/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of California, Berkeley	N/A		Bonus	\$35,000
2	University of California, Berkeley	N/A		Salary	\$341,600
3	National Bureau of Economic Research	N/A		Stipend	\$24,444
4	Grandeur Peak Global Advisors	See Endnote	N/A	Sustainability Advisory Board Member Fees	\$5,000
5	SEP IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	Vanguard Emerging Markets Stock Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	State of Massachusetts Deferred Compensation Smart Plan	No			
6.1	Empower, SMART Capital Preservation Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Harvard University Tax-deferred Annuity Plan	No			
7.1	Vanguard Institutional Target Retirement 2030	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	National Bureau of Economic Research, 401A plan	No			
8.1	Vanguard Total Stock Market Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	University of California, Berkeley, defined benefit plan	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	University of California, Berkeley	Berkeley, California	I am eligible for and can elect to pay for UC-sponsored benefits. As of filing, I have not elected to receive any benefits.	3/2021
2	University of California, Berkeley	Berkeley, California	I am on an unpaid leave of absence from my faculty position until Dec. 2021, renewable.	3/2021
3	State of Massachusetts	Boston, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	6/1990

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	Harvard University	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	7/1996
5	National Bureau of Economic Research	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	7/1998
6	University of California, Berkeley	Berkeley, California	I will continue to participate in this defined benefit plan. The sponsor will not make contributions during my unpaid leave of absence. I will not earn UCRP retirement service credit while I am on leave.	7/2000

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of California, Berkeley	Berkeley, California	Cora Jane Flood, Professor of Business Administration at the Haas School of Business.
2	University of California, Berkeley	Berkeley, California	Associate Dean for Academic Affairs, Haas School of Business.
3	National Bureau of Economic Research	Cambridge, Massachusetts	Program Director, Energy and Environmental Economics, generally overseeing conferences and other NBER research activities of approximately 100 program members.
4	University of Edinburgh & Shanghai University of Finance and Economics	Shanghai, Outside U.S.	I delivered the keynote address at the 2019 Shanghai Green Finance Conference.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Calpine Corporation (Electricity generation)	N/A		salary, bonus	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Calpine Corporation deferred compensation: cash receivable	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	Calpine 401k	No			
3.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	Fidelity International Index Fund (FSPSX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4	Rollover IRA	No			
4.1	iShares Core US Aggregate Bond ETF (AGG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	Vanguard Short-Term Bond Index Fund ETF (BSV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	Citigroup	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	Cummins Inc.	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.5	Halliburton Company	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.6	Schnitzer Steel Industries, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.7	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Valero Energy Corporation	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.9	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Verizon Communications Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.11	Exxon Mobil Corporation	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	SEP IRA	No			
5.1	SPDR S&P 500 ETF Trust (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	BOEING CO	N/A	\$500,001 - \$1,000,000	Dividends Capital Gains	\$50,001 - \$100,000
2	WAL MART STORES INC	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
3	AUTOMATIC DATA PROCESSING INC	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
4	MERCK & CO INC	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
5	STANLEY BLACK & DECKER INC	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
6	AMAZON	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7	PEPSICO INC	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
8	PROCTER & GAMBLE CO	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
9	EDWARDS LIFESCIENCES CORP	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	APPLE INC	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
11	BROADRIDGE FINANCIAL SOLUTIONS	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
12	MARATHON PETROLEUM CORP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
13	BAXTER INTL INC	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
14	LINDE PLC COM	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
15	STARBUCKS CORP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
16	HOME DEPOT INC	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
17	CONAGRA BRANDS INC	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
18	JPMORGAN CHASE & CO	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
19	MASCO CORP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
20	LAMB WESTON HOLDINGS INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
21	AMERIPRISE FINANCIAL INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
22	CDK GLOBAL INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
23	OCCIDENTAL PETROLEUM CORP	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	VERIZON COMMUNICATIONS	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
25	ALPHABET, INC. CL C	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
26	ALPHABET, INC. CL A	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
27	DIGITAL RLTY TR INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
28	PNC BANK CORP	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
29	PAYPAL HLDGS INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
30	TOPBUILD CORP	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
31	BERKSHIRE HATHAWAY INC DEL CL B	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
32	CVS HEALTH CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
33	UNITED STATES STEEL CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	BECTON, DICKINSON AND CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	CARDINAL HEALTH	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
36	CIGNA CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
37	DANAHER CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	THERMO FISHER SCIENTIFIC INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39	UNITEDHEALTH GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	MATTEL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	ORACLE	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
42	SALESFORCE	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	SPDR S&P MIDCAP	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
44	VANGUARD MID-CAP ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
45	ISHARES CORE S&P SMALL-CAP ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	VANGUARD SMALL CAP VALUE ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
47	DELAWARE VALUE INST	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
48	JPMORGAN LARGE CAP GROWTH SELECT	Yes	\$100,001 - \$250,000		\$201 - \$1,000
49	T. ROWE PRICE GROWTH STOCK GROWTH STOCK	Yes	\$15,001 - \$50,000		None (or less than \$201)
50	MFS MID CAP VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	T. ROWE PRICE MID-CAP GROWTH I	Yes	\$15,001 - \$50,000		None (or less than \$201)
52	DELAWARE SMALL CAP VALUE INSTL	Yes	\$15,001 - \$50,000		None (or less than \$201)
53	ISHARES CORE MSCI EMERGING MARKET	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
54	VANGUARD FTSE EMERGING MARKETS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
55	ISHARES CORE MSCI EAFE	Yes	\$15,001 - \$50,000		None (or less than \$201)
56	ISAHRES MSCI EAGE INDEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
57	VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
58	VANGUARD REIT ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
59	COHEN & STEERS INSTL REALTY SHARES	Yes	\$15,001 - \$50,000		None (or less than \$201)
60	OCCIDENTAL PETROLEUM CORP WT EXP 080327	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	NBW TRUST DTD 03/08	No			
61.1	ABBOTT LABORATORIES	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
61.2	ABBVIE INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
61.3	ADOBE INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
61.4	AIR PRODUCTS & CHEMICALS INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.5	ALPHABET INC-CL C	N/A	\$15,001 - \$50,000		None (or less than \$201)
61.6	AMAZON.COM INC	N/A	\$50,001 - \$100,000		None (or less than \$201)
61.7	APPLE INC	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61.8	BANK OF AMERICA CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
61.9	BERKSHIRE HATHAWAY INC-CL B	N/A	\$15,001 - \$50,000		None (or less than \$201)
61.10	BOEING CO/THE	N/A	\$15,001 - \$50,000		None (or less than \$201)
61.11	CISCO SYSTEMS INC	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
61.12	COMCAST CORP-CLASS A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.13	DUKE ENERGY CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
61.14	ELI LILLY & CO	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
61.15	FACEBOOK INC-CLASS A	N/A	\$15,001 - \$50,000		None (or less than \$201)
61.16	HONEYWELL INTERNATIONAL INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.17	ISHARES RUSSELL 2000 ETF	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
61.18	ISHARES RUSSELL MID-CAP ETF	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
61.19	JOHNSON & JOHNSON	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.20	JPMORGAN CHASE & CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.21	LOWE'S COS INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.22	PEPSICO INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61.23	PFIZER INC	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
61.24	THERMO FISHER SCIENTIFIC INC	N/A	\$50,001 - \$100,000		None (or less than \$201)
61.25	TRAVELERS COS INC/THE	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.26	UNITEDHEALTH GROUP INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.27	VANGUARD INFO TECH ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
61.28	VANGUARD LARGE-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
61.29	VANGUARD REAL ESTATE ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
61.30	VANGUARD S&P 500 ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
61.31	VANGUARD TOTAL STOCK MKT ETF	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
61.32	VERIZON COMMUNICATIONS INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
61.33	VISA INC-CLASS A SHARES	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61.34	AMER FNDS EUROPAC GROW-F3	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
61.35	ISHARES CORE MSCI EAFE ETF	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
61.36	ISHARES MSCI EAFE SMALL-CAP	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
61.37	VANGUARD FTSE EMERGING MARKE	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61.38	AB HIGH INC MUNICIPAL-ADV	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
61.39	NUVEEN CA MUNICIPAL BOND-I	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
61.40	NUVEEN LTD TRM MUNI BND-I	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
61.41	VANGUARD CA INT TRM T/F-ADM	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
61.42	AQR MANAGED FUTURES STR-R6	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
61.43	DIAMOND HILL LONG/SHORT-I	Yes	\$50,001 - \$100,000		\$201 - \$1,000
61.44	TIAA - CASH DEPOSIT ACCOUNT	N/A	\$50,001 - \$100,000		None (or less than \$201)
61.45	JP MORGAN USD Emerging Markets Bond ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
61.46	ESSENTIAL UTILITIES	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
62	MATTHEW BARMACK & CATHERINE WOLFRAM TRUST DTD 1/24/17	No			
62.1	KSB MONEY MARKET FUND	Yes	\$100,001 - \$250,000		\$201 - \$1,000
62.2	CHINO HILLS CALIF MUNICIPAL BONDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
62.3	LOS ANGELES CA UNI SCHO DTS BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
62.4	BELMONT-REDWOOD SCH DIST BDS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.5	WINDSOR CALIF SCHO DIST BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
62.6	CALIFORNIA ST GO BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
62.7	SANTA CRUZ CALIF STROM WTR REV REF BDS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.8	SAN FRANCISCO CNTY TRANS BDS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.9	SAN DIEGO CNTY CALIF WTR AUTHO REF BDS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.10	BELL GARDENS CALIF CMNTY DEV	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.11	CALIFORNIA ST VAR PURP GO BDS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.12	GLENDALE CALIF REDEV AGY SUCCE SUBORDINATE TAX ALLOC RE 2016	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
62.13	SONOMA CNTY CALIF TRANSN AUTH SALES TAX REV BDS 2011	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
62.14	METROPOLITAN WTR DIST SOUTHN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.15	SAN JUAN CALIF UNI SCH DIST GO BDS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.16	CALIFORNIA PUB FIN AUTH REV BDS 2018	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.17	SONOMA VALLEY CALIF UNI SCH DI GO REF BDS 2020	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.18	CALIFORNIA ST DEPT VET AFFAIRS REV BDS 2012 A	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.19	MORENO VALLEY CALIF UNI SCH DI GO BDS B	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.20	RIVERSIDE CNTY CALIF TRANSN CO REF BDS (LIMITED TAX BDS 2016A	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.21	UNION ELEM SCH DIST CALIF GO BDS C-1	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
62.22	CALIFORNIA ST VETERANS GO BDS CT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.23	SANTA CLARA CNTY CALIF FING AU REF LEASE REV BDS 2016Q	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.24	LOS ANGELES CALIF UNI SCH DIST GO REF BDS 2016B	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62.25	VANGUARD MUNICIPAL BOND FUND	Yes	\$15,001 - \$50,000		\$201 - \$1,000
63	Mutual fund holdings account	No			
63.1	Vanguard Total International Stock Index Fund Admiral Shares	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
63.2	Vanguard Total Bond Market Index Fund Admiral Shares	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
63.3	Vanguard Total Stock Market Index Fund Admiral Shares	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
63.4	Vanguard Federal Money Market Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
64	Brokerage Account	No			
64.1	ALLE - ALLEGION	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.2	BFZ - BLACKROCK	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.3	BRK.B - BERKSHIRE	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
64.4	EXC - EXELON	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.5	INTC - INTEL	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
64.6	IR - TRANE	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.7	KHC - KRAFT HEINZ	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.8	MDLZ - MONDELEZ INTERNATIONAL INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.9	MO - ALTRIA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.10	PM - PHILIP MORRIS	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.11	TMUS - T MOBILE	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.12	TT - TRANE TECHNOLOGIES	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
64.13	XOM - EXXON MOBIL	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64.14	U.S. brokerage money market account (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
64.15	U.S. brokerage account (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
65	Iowa College Savings Plan, DC 1	No			
65.1	Vanguard Total Bond Market II Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
65.2	Vanguard Total International Bond Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
65.3	Vanguard Institutional Total Stock Market Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
65.4	Vanguard Total International Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
66	Iowa College Savings Plan, DC 2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
66.1	Vanguard Total Bond Market II Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
66.2	Vanguard Total International Bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
66.3	Vanguard Institutional Total Stock Market Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
66.4	Vanguard Total International Stock Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
67	New York College Savings Plan, DC 1	No			
67.1	Vanguard Total Bond Market II Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
67.2	Vanguard Total International Bond Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
67.3	Vanguard Total Stock Market Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
67.4	Vanguard Total International Stock Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
68	New York College Savings Plan, DC 2	No			
68.1	Vanguard Total Bond Market II Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
68.2	Vanguard Total International Bond Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
68.3	Vanguard Total Stock Market Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
68.4	Vanguard Total International Stock Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
69	Dominion Energy	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70	B.C. Trust	No			
70.1	KSB MONEY MARKET FUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
70.2	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
70.3	CONOCOPHILLIPS	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.4	EXXON MOBIL	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
70.5	HESS CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.6	DOW INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.7	ECOLAB	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.8	CATERPILLAR	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.9	EATON CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.10	FORTIVE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.11	NORTHROP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.12	RAYTHEON	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.13	UNION PACIFIC CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.14	AMAZON	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70.15	BOOKING HOLDINGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.16	FORD MTR CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.17	HOME DEPTO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.18	MCDONALDS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.19	STARBUCKS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.20	COCAL COLA CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.21	COSTCO	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.22	PROCTOR & GAMBLE	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.23	WAL MART STORES	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.24	ABBVIE	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.25	DANAHER CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.26	MEDTRONIC PLD	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.27	MERCK & CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.28	THERMO FISHER SCIENTIRIF	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70.29	UNITEDHEALTH GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.30	AMERIPRISE FINANCIAL	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.31	BERKSHIRE HATHAWAY INL DECL CL B	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.32	CHUBB	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.33	KEYCORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.34	PNC BANK CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.35	ADOBE SYS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.36	APPLE INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
70.37	BROADCOM LTD SHS	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.38	CISCO SYS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.39	MICROSOFT CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
70.40	PAYPAL HLDGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.41	TE CONNECTIVITY LTD REG SHS	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.42	ALPHABET, INC. CL C	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70.43	AT&T CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.44	DISNEY COMPANY	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.45	FACEBOOK INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.46	NETFLIX INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.47	VERIZON COMMUNICATIONS	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.48	AMERICAN TOWER CORP REIT	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.49	DIGITAL RLTY TR INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.50	MFS MID CAP VALUE R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
70.51	T. ROWE PRICE MID-CAP GROTWH I	Yes	\$15,001 - \$50,000		None (or less than \$201)
70.52	DELAWARE SMALL CAP VALUE INSTL	Yes	\$15,001 - \$50,000		None (or less than \$201)
70.53	INVESCO DEVELOPING MARKETS R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
70.54	VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
70.55	COHEN & STEERS INSTL REALTY SHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)
70.56	J.P. Morgan Chase	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

## 7. Transactions

(N/A) - Not required for this type of report

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## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

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## Endnotes

PART	#	ENDNOTE
2.	4	I was to be paid \$10,000 annually for participating on the board, in quarterly installments, but I've only received 2 installments, since the appointment started in summer 2020.

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# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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



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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

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