

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Patterson, Robert

Team Lead, National Incident Management Assistance Team - West, Department of Homeland Security

Report Year: 2023

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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/ Patterson, Robert [electronically signed on 03/08/2023 by Patterson, Robert 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/ Steele, Erika, Certifying Official [electronically signed on 04/20/2023 by Steele, Erika in Integrity.gov]

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Other review conducted by

/s/ Langlois, Gregory, Ethics Official [electronically signed on 04/18/2023 by Langlois, Gregory in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 04/18/2023

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

| # | ORGANIZATION NAME                            |             | CITY, STATE              | ORGANIZATION TYPE | POSITION HELD | FROM   | TO      |
|---|--|-------------|--------------------------|-------------------|---------------|--------|---------|
| 1 | Patterson Industries Corporation, Inc        |             | Laguna Beach, California | Corporation       | President     | 4/2014 | Present |
| 2 | Laguna Beach Ocean Lifeguard Foundation Inc. | See Endnote | Laguna Beach, California | Non-Profit        | President/CEO | 1/2015 | Present |

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

| #     | DESCRIPTION   |             | EIF | VALUE                 | INCOME TYPE                   | INCOME AMOUNT             |
|-------|---|-------------|-----|-----------------------|-------------------------------|---------------------------|
| 1     | Orange County Fire Authority-Orange County Employee Retirement System, defined benefit plan (value not readily ascertainable) |             | N/A |                       | Retirement Payments (monthly) | \$17,000                  |
| 2     | Patterson Industries Corporation, Inc, 401(k) plan  |             | No  |                       |                               |                           |
| 2.1   | Secure Value  | See Endnote | Yes | \$15,001 - \$50,000   |                               | None (or less than \$201) |
| 2.2   | Athene, fixed annuity   |             | N/A | \$100,001 - \$250,000 |                               | None (or less than \$201) |
| 2.3   | American equity, fixed annuity  |             | N/A | \$100,001 - \$250,000 |                               | None (or less than \$201) |
| 2.4   | Prudential, variable annuity  |             | No  |                       |                               |                           |
| 2.4.1 | AST Balanced Asset Allocation Portfolio   |             | Yes | \$15,001 - \$50,000   |                               | None (or less than \$201) |
| 2.4.2 | AST Capital Growth Allocation Portfolio   |             | Yes | \$50,001 - \$100,000  |                               | None (or less than \$201) |

| #     | DESCRIPTION                         | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|-------|-------------------------------------|-----|---------------------|-------------|---------------------------|
| 2.4.3 | AST MFS Growth Allocation Portfolio | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.4.4 | AST T. Rowe Price                   | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.4.5 | AST Wellington Management           | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |

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

| # | EMPLOYER OR PARTY                     | CITY, STATE              | STATUS AND TERMS  | DATE   |
|---|---------------------------------------|--------------------------|---|--------|
| 1 | Patterson Industries Corporation, Inc | Laguna Beach, California | I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions. | 3/2014 |
| 2 | Orange County, CA                     | Santa Ana, California    | I will continue to participate in this defined benefit plan.  | 4/1981 |

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

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

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

| # | DESCRIPTION                             | EIF         | VALUE                       | INCOME TYPE | INCOME AMOUNT |
|---|---|-------------|-----------------------------|-------------|---------------|
| 1 | American Airlines                       | See Endnote | N/A                         | Salary      |               |
| 2 | Assistant Girl's Beach Volleyball Coach | N/A         | None (or less than \$1,001) | Salary      | \$18,000      |

## 6. Other Assets and Income

| #    | DESCRIPTION   | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|--------------------|-------------|---------------------------|
| 1    | IRA #1  | No  |                    |             |                           |
| 1.1  | Abbott Laboratories (ABT)   | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.2  | Adobe, Inc. (ADBE)  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.3  | Amana Mutual Funds Trust Income Fund Institutional (AMINX)            | Yes | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.4  | American Water Works Co., Inc. (AWK)                                  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.5  | Apple, Inc. (AAPL)  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.6  | BioNTech SE (BNTX)  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.7  | Cash  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.8  | Canadian National Railway Co (CNI)                                    | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.9  | Cloudflare, Inc. (NET)  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.10 | T. Rowe Price Communications & Technology Fund Investor Class (PRMTX) | Yes | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.11 | Costco Wholesale Corp (COST)  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.12 | Dassault Systemes (DASTY)   | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |

| #    | DESCRIPTION  | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|---------------------|-------------|---------------------------|
| 1.13 | The Walt Disney Co. (DIS)                                  | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.14 | Fidelity Advisor Biotechnology Fund Class I Shares (FBTIX) | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.15 | Fidelity Advisor Health Care Fund Class I Shares (FHCIX)   | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.16 | Fidelity Contrafund (FCNTX)                                | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.17 | Fidelity High Income Fund (SPHIX)                          | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.18 | Fidelity OTC Portfolio (FOCPX)                             | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.19 | Fidelity Growth & Income Portfolio (FGRIX)                 | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.20 | Hines Global Income Trust, Inc. (ZHGITX)                   | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.21 | Invesco QQQ Trust, Series 1 (QQQ)                          | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.22 | Johnson & Johnson (JNJ)                                    | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.23 | Laboratory Corp. of America Holdings (LH)                  | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.24 | Medtronic Plc (MDT)  | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.25 | MFS Utilities Fund Class I Shares (MMUIX)                  | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.26 | Microsoft Corp. (MSFT)                                     | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF         | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|---|-------------|---------------------|-------------|---------------------------|
| 1.27 | Moderna, Inc. (MRNA)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.28 | Morningstar, Inc. (MORN)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.29 | Netflix, Inc. (NFLX)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.30 | Nicholas Equity Income Fund, Inc (NSEIX)                            | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.31 | NVIDIA Corp. (NVDA)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.32 | Oxford Biomedical (OXBDF)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.33 | Palo Alto Networks, Inc. (PANW)                                     | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.34 | Pfizer Inc. (PFE)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.35 | PIMCO Total Return Fund Institutional Class Shares (PTTRX)          | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.36 | Synopsys, Inc. (SNPS)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.37 | Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)    | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.38 | Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX) | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2    | IRA #2  | See Endnote | No                  |             |                           |
| 2.1  | Adobe, Inc. (ADBE)  | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.2  | Alphabet, Inc. (GOOGL)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|----------------------|-------------|---------------------------|
| 2.3  | Amazon.com, Inc. (AMZN)                                       | N/A | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 2.4  | American Water Works Co., Inc. (AWK)                          | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.5  | Apple, Inc. (AAPL)  | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.6  | Canadian National Railway Co (CNI)                            | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.7  | CIM RE Finance Trust (CMFT)                                   | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.8  | Cloudfare, Inc. (NET)   | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.9  | Costco Wholesale Corp. (COST)                                 | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.10 | Delaware Ivy Core Equity Fund Class I (ICIEX)                 | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.11 | Fidelity Advisor Health Care Fund Class I Shares (FHCIX)      | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.12 | Fidelity Contrafund (FCNTX)                                   | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.13 | FS Energy and Power (FSEN)                                    | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.14 | FS KKR Capital Corp (FSK KKR)                                 | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.15 | Griffin Institutional Access Real Estate Fund Class A (GIREX) | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.16 | Healthcare Trust of America, Inc. (HTA)                       | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |



| #    | DESCRIPTION  | EIF         | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|--|-------------|---------------------|-------------|---------------------------|
| 2.17 | iShares Russell Mid-Cap ETF (IWR)                                      | Yes         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.18 | iShares Russell 2000 ETF (IWM)   | Yes         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.19 | Microsoft Corp. (MSFT)   | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.20 | Morningstar, Inc. (MORN)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.21 | NIKE, Inc. (NKE)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.22 | Northstar Healthcare Income REIT                                       | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.23 | Oracle Corp. (ORCL)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.24 | Palo Alto Networks, Inc. (PANW)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.25 | Phillips Edison & Co Inc (PECO)  | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 2.26 | Taiwan Semiconductor Manufacturing Co. LTD (TSM)                       | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.27 | Vanguard Dividend Appreciation Index Fund Admiral Class Shares (VDADX) | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3    | IRA #3   | See Endnote | No                  |             |                           |
| 3.1  | Abbott Laboratories (ABT)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.2  | AbbVie, Inc. (ABBV)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.3  | Adobe, Inc. (ADBE)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF         | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|---|-------------|---------------------|-------------|---------------------------|
| 3.4  | American Water Works Co., Inc. (AWK)                                    | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.5  | Apple, Inc. (AAPL)  | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 3.6  | Cash  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.7  | Canadian National Railway Co (CNI)                                      | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.8  | T. Rowe Price Communications & Technology Fund Investors Class (PRMTX)— | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.9  | Fidelity Contrafund (FCNTX)   | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.10 | Griffin Institutional Access Real Estate Fund Class A (GIREX)           | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.11 | Laboratory Corp. of America Holdings (LH)                               | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.12 | Moderna, Inc. (MRNA)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.13 | Morningstar, Inc. (MORN)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.14 | NVIDIA Corp. (NVDA)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.15 | Vanguard Dividend Appreciation Index Fund Admiral Class Shares (VDADX)  | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 4    | IRA #4  | See Endnote |                     | No          |                           |
| 4.1  | Vanguard Dividend Appreciation Index Fund Admiral Class Shares (VDADX)  | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5    | Pacific Life, variable annuity  | No          |                     |             |                           |

| #   | DESCRIPTION  | EIF         | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|-----|--|-------------|---------------------|-------------|---------------------------|
| 5.1 | Fidelity VIP Government Money Market (FTNJC)               | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5.2 | PSF Emerging Markets                                       | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5.3 | PSF Equity Index   | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5.4 | PSF Pacific Dynamix-Growth                                 | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5.5 | PSF International Value                                    | Yes         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 5.6 | PSF Main Street Core                                       | Yes         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 5.7 | PSF Managed Bond   | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5.8 | PSF Small-Cap Growth                                       | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5.9 | PSF Small-Cap Index  | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6   | IRA #5   | See Endnote | No                  |             |                           |
| 6.1 | Amana Mutual Funds Trust Income Fund Institutional (AMINX) | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.2 | BioNTech SE (BNTX)   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.3 | CIM RE Finance Trust (CMFT)                                | Yes         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 6.4 | Cash   | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.5 | Cloudfare, Inc. (NET)                                      | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|----------------------|-------------|---------------------------|
| 6.6  | T. Rowe Price Communications & Technology Fund Invetsor Class (PRMTX) | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.7  | Costco Wholesale Corp. (COST)   | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 6.8  | Delaware Ivy Core Equity Fund Class I (ICIEX)                         | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.9  | BlackRock Equity Dividend Fund Institutional Shares (MADVX)           | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.10 | Fidelity Small Cap Growth Fund (FCPGX)                                | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.11 | Fidelity Advisor Health Care Fund Class I Shares (FHCIX)              | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.12 | Fidelity Contrafund (FCNTX)   | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.13 | Fidelity High Income Fund (SPHIX)                                     | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.14 | Fidelity Low-Priced Stock Fund (FLPSX)                                | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.15 | Fidelity OTC Portfolio (FOCPX)  | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.16 | Griffin Institutional Access Real Estate Fund Class A (GIREX)         | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.17 | Invesco QQQ Trust, Series 1 (QQQ)                                     | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 6.18 | Medtronic Plc (MDT)   | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 6.19 | Microsoft Corp. (MSFT)  | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |

| #    | DESCRIPTION  | EIF         | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|--|-------------|---------------------|-------------|---------------------------|
| 6.20 | Nicholas Equity Income Fund Class I (NSEIX)                            | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.21 | Oracle Corp. (ORCL)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.22 | Palo Alto Networks, Inc. (PANW)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.23 | Pfizer Inc. (PFE)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.24 | Putnam Income Fund Class Y Shares (PNCYX)                              | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.25 | Synopsys, Inc. (SNPS)  | N/A         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.26 | Vanguard Dividend Appreciation Index Fund Admiral Class Shares (VDADX) | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.27 | Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX)                     | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.28 | Vanguard Small-Cap Index Fund Admiral Shares (VSMAX)                   |             | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.29 | Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)    | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 6.30 | Vanguard Wellesley Income Fund Admiral Shares (VWIAX)                  | Yes         | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 7    | FSC revocable living trust   | See Endnote | No                  |             |                           |
| 7.1  | Adobe, Inc. (ADBE)   | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 7.2  | Amazon.com, Inc. (AMZN)  | N/A         | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 7.3  | Apple, Inc. (AAPL)   | N/A         | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |

| #   | DESCRIPTION   | EIF         | VALUE                | INCOME TYPE                | INCOME AMOUNT             |
|-----|---|-------------|----------------------|----------------------------|---------------------------|
| 7.4 | Cash  | N/A         | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 7.5 | T. Rowe Price Communications & Technology Fund Investor Class (PRMTX) | Yes         | \$1,001 - \$15,000   |                            | \$201 - \$1,000           |
| 7.6 | Fidelity OTC Portfolio (FOCPX)  | Yes         | \$1,001 - \$15,000   |                            | \$201 - \$1,000           |
| 7.7 | FS Global Opportunity REIT  | N/A         | \$1,001 - \$15,000   | Dividends                  | \$201 - \$1,000           |
| 7.8 | Microsoft Corp. (MSFT)  | N/A         | \$15,001 - \$50,000  | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 7.9 | Nuveen Dividend Growth Fund Class I (NSBRX)                           | Yes         | \$1,001 - \$15,000   |                            | \$1,001 - \$2,500         |
| 8   | College Access 529 #1   | See Endnote | No                   |                            |                           |
| 8.1 | Age-Based 8 Age-Based Portfolio                                       | Yes         | \$50,001 - \$100,000 |                            | None (or less than \$201) |
| 9   | College Access 529 #2   | See Endnote | No                   | cash distributions         | \$33,481                  |
| 9.1 | Age-Based 9 Age-Based Portfolio                                       | Yes         | \$50,001 - \$100,000 |                            | None (or less than \$201) |
| 10  | U.S. bank #1 (cash)   | N/A         | \$50,001 - \$100,000 |                            | None (or less than \$201) |
| 11  | U.S. credit union (cash)  | N/A         | \$50,001 - \$100,000 |                            | None (or less than \$201) |
| 12  | WesBanco, Inc. (WSBC)   | N/A         | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 13  | Sempra Energy (SRE)   | N/A         | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 14  | Exxon Mobil Corp. (XOM)   | N/A         | \$1,001 - \$15,000   |                            | None (or less than \$201) |

| #  | DESCRIPTION   | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|----|---|-----|--------------------|-------------|---------------------------|
| 15 | Royal Dutch Shell PLC American Depositary Shares (each representing two (2) Ordinary Shares) (SHEL) | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 16 | Merck & Co., Inc. (MRK)   | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 17 | The Coca-Cola Co. (KO)  | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |

## 7. Transactions

| #  | DESCRIPTION               | TYPE | DATE       | AMOUNT             |
|----|---------------------------|------|------------|--------------------|
| 1  | BioNTech SE (BNTX)        | Sale | 02/23/2022 | \$1,001 - \$15,000 |
| 2  | Medtronic Plc (MDT)       | Sale | 02/23/2022 | \$1,001 - \$15,000 |
| 3  | Oxford Biomedical (OXBDF) | Sale | 02/23/2022 | \$1,001 - \$15,000 |
| 4  | Moderna, Inc. (MRNA)      | Sale | 02/23/2022 | \$1,001 - \$15,000 |
| 5  | BioNTech SE (BNTX)        | Sale | 02/23/2022 | \$1,001 - \$15,000 |
| 6  | Medtronic Plc (MDT)       | Sale | 02/23/2022 | \$1,001 - \$15,000 |
| 7  | Cloudflare                | Sale | 06/02/2022 | \$1,001 - \$15,000 |
| 8  | Dassault Systemes         | Sale | 06/03/2022 | \$1,001 - \$15,000 |
| 9  | Netflix, Inc. (NFLX)      | Sale | 06/03/2022 | \$1,001 - \$15,000 |
| 10 | NVIDIA Corp. (NVDA)       | Sale | 06/03/2022 | \$1,001 - \$15,000 |
| 11 | Cloudflare                | Sale | 06/03/2022 | \$1,001 - \$15,000 |
| 12 | Taiwan Semiconductor      | Sale | 06/03/2022 | \$1,001 - \$15,000 |
| 13 | NVIDIA Corp. (NVDA)       | Sale | 06/03/2022 | \$1,001 - \$15,000 |

| #  | DESCRIPTION   | TYPE     | DATE       | AMOUNT             |
|----|---|----------|------------|--------------------|
| 14 | Cloudflare  | Sale     | 06/03/2022 | \$1,001 - \$15,000 |
| 15 | GRIFX   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 16 | TIDWX   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 17 | Chevron   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 18 | OXY   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 19 | XOM   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 20 | Shell   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 21 | Abbvie  | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 22 | Johnson & Johnson (JNJ)                               | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 23 | Chevron   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 24 | OXY   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 25 | Exxon Mobil Corp. (XOM)                               | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 26 | shell   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 27 | AbbVie, Inc. (ABBV)                                   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 28 | American Water Works Co., Inc. (AWK)                  | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 29 | JNJ   | Purchase | 06/03/2022 | \$1,001 - \$15,000 |
| 30 | Fidelity OTC Portfolio (FOCPX)                        | Sale     | 09/19/2022 | \$1,001 - \$15,000 |
| 31 | T Rowe Price Communications & Technology, Inc (PRMTX) | Sale     | 09/19/2022 | \$1,001 - \$15,000 |
| 32 | CVS Health Corp. (CVS)                                | Purchase | 09/19/2022 | \$1,001 - \$15,000 |
| 33 | The Coca-Cola Co. (KO)                                | Purchase | 09/19/2022 | \$1,001 - \$15,000 |
| 34 | Sempra Energy (SRE)                                   | Purchase | 09/19/2022 | \$1,001 - \$15,000 |
| 35 | Occidental Petroleum Corp. (OXY)                      | Purchase | 09/19/2022 | \$1,001 - \$15,000 |



| #  | DESCRIPTION   | TYPE     | DATE       | AMOUNT              |
|----|---|----------|------------|---------------------|
| 36 | Abbott  | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 37 | Adobe   | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 38 | T Rowe Price Communications & Technology, Inc (PRMTX) | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 39 | Morningstar, Inc. (MORN)                              | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 40 | Pfizer Inc. (PFE)                                     | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 41 | Shell oil   | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 42 | Bank Certificate of Deposit                           | Purchase | 10/31/2022 | \$15,001 - \$50,000 |
| 43 | T Rowe Price Communications & Technology, Inc (PRMTX) | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 44 | Abbott Laboratories (ABT)                             | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 45 | Adobe, Inc. (ADBE)                                    | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 46 | Morningstar, Inc. (MORN)                              | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 47 | Adobe, Inc. (ADBE)                                    | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 48 | Alphabet, Inc. (GOOGL)                                | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 49 | Morningstar, Inc. (MORN)                              | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 50 | NIKE, Inc. (NKE)                                      | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 51 | T Rowe Price Communications & Technology, Inc (PRMTX) | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 52 | Pfizer Inc. (PFE)                                     | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 53 | Shell Oil   | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 54 | Adobe, Inc. (ADBE)                                    | Sale     | 10/31/2022 | \$1,001 - \$15,000  |
| 55 | Sempra Energy (SRE)                                   | Purchase | 10/31/2022 | \$15,001 - \$50,000 |

| #  | DESCRIPTION                      | TYPE     | DATE       | AMOUNT              |
|----|----------------------------------|----------|------------|---------------------|
| 56 | Gilead Sciences, Inc. (GILD)     | Purchase | 10/31/2022 | \$15,001 - \$50,000 |
| 57 | Bank CD                          | Purchase | 10/31/2022 | \$15,001 - \$50,000 |
| 58 | Sempra Energy (SRE)              | Purchase | 10/31/2022 | \$1,001 - \$15,000  |
| 59 | Gilead Sciences, Inc. (GILD)     | Purchase | 10/31/2022 | \$1,001 - \$15,000  |
| 60 | Exxon Mobil Corp. (XOM)          | Purchase | 10/31/2022 | \$1,001 - \$15,000  |
| 61 | Occidental Petroleum Corp. (OXY) | Purchase | 10/31/2022 | \$1,001 - \$15,000  |
| 62 | Canadian National Railway        | Sale     | 12/08/2022 | \$1,001 - \$15,000  |
| 63 | Canadian National Railway        | Sale     | 12/08/2022 | \$1,001 - \$15,000  |

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

| PART | # | ENDNOTE  |
|------|---|--|
| 1.   | 2 | Position is unpaid, voluntary position on a 3 person Board of a 501C3 that supports lifeguard and junior lifeguard with college scholarships, competition gear and stipends for junior guard families whose children would not be able to afford the junior lifeguard program. |

| PART | #   | ENDNOTE                        |
|------|-----|--------------------------------|
| 2.   | 2.1 | Fixed account                  |
| 5.   | 1   | Retired effective Oct. 1, 2020 |
| 6.   | 1   | Spouse IRA                     |
| 6.   | 2   | Spousal IRA                    |
| 6.   | 3   | Filer IRA                      |
| 6.   | 4   | Filer IRA (Roth)               |
| 6.   | 6   | Spousal IRA (rollover)         |
| 6.   | 7   | Held via money market account  |
| 6.   | 8   | Via Virtus                     |
| 6.   | 9   | Via Virtus                     |

# 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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