

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

Filer's Information

Ferriero, David S

Archivist of the United States, National Archives and Records Administration

Date of Termination: 04/30/2022

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/ Ferriero, David S [electronically signed on 04/19/2022 by Ferriero, David S 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/ Runkel, Christopher M, Certifying Official [electronically signed on 06/06/2022 by Runkel, Christopher M in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/17/2022 by Granahan, Megan in Integrity.gov]

Data Revised 06/06/2022

Data Revised 05/23/2022

Data Revised 05/20/2022

Data Revised 04/19/2022

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New York State/Local Retirement System - Defined Benefit Plan	See Endnote	N/A	Monthly payments of \$1,703.68.	\$27,258
2	Massachusetts Institute of Technology Basic Retirement Plan - Defined Benefit Plan	See Endnote	N/A	Monthly payments of \$1,026.	\$16,416

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New York State/Local Retirement System; State Comptroller	Albany, New York	Defined Benefit Plan. Filer began receiving pension payments of \$1,703.68/month in October 2017. Total value of Plan is not readily ascertainable.	9/2004
2	Massachusetts Institute of Technology Basic Retirement Plan - Defined Benefit Plan	Cambridge, Massachusetts	Defined Benefit Plan. Filer began receiving pension payments of \$1,026/month in June 2019. Total value of Plan is not readily ascertainable.	/1972

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	Fidelity Rollover IRA		No	\$50,001 - \$100,000	Cash distributions	\$2,857
1.1	FDIC Insured Deposit at Fifth Third Bank		No	\$50,001 - \$100,000	Interest	None (or less than \$201)
2	TIAA-CREF Defined Contribution Plans	See Endnote	N/A	Over \$1,000,000	Cash distributions	\$69,387
2.1	TIAA Traditional		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.2	CREF Stock Fund CI R2 QCSTPX	See Endnote	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.3	CREF Money Market Fund CI R3 QCMMIX	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	Vanguard Institutional Target Retirement 2015 Fund Inst CI VITVX	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
2.5	Vanguard Target Retirement Income Trust Select	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.6	Vanguard Target Retirement 2015 Fund VTXVX	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Art Collection - Works on paper, oils, canvas		N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Merrill Lynch Bank Deposit Program	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
3	Bank of America Preferred Deposit Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
4	Cincinnati Bell Inc. Preferred Series B Stock CBBPRB	See Endnote	No	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
5	Constellation Brands, Inc. Stock STZ		No	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
6	Eaton Corporation PLC Stock ETN		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7	Honeywell International Inc. Stock HON		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8	Johnson and Johnson Services, Inc. Stock JNJ		No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
9	Motorola Solutions, Inc. Stock MSI	See Endnote	No	Over \$1,000,000	Capital Gains Dividends	\$50,001 - \$100,000
10	Pfizer, Inc. Stock PFE	See Endnote	No	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
11	Thermo Fisher Scientific Inc. Stock TMO		No	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
12	BB&T Bank Accounts		No	\$50,001 - \$100,000	Interest	None (or less than \$201)
13	JPMorgan Chase & Co. Stock JPM	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14	Lockheed Martin Corporation Stock LMT		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
15	Microsoft Corporation Stock MSFT		No	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	NextEra Energy, Inc. Stock NEE		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
17	The Toronto-Dominion Bank Stock TD	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
18	Visa Inc. Cl A Stock V	See Endnote	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
19	Prologis, Inc. Stock PLD	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20	Merrill Lynch Individual Retirement Rollover Account		N/A	\$15,001 - \$50,000	Cash distributions	\$1,412
20.1	Bank of America Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
20.2	Alger Capital Appreciation Fund Class Z ACAZX		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
20.3	American Beacon Bridgeway Large Cap Value Fund Y Class BWLYX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
20.4	Hennessy Focus Fund Institutional Class HFCIX		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
20.5	Parnassus Endeavor Fund Institutional Shares PFPWX		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
20.6	Smead Value Fund Class I1 Shares SVFFX	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
21	Apple Inc. Stock AAPL		No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
22	Laboratory Corporation of America Holdings Stock LH		No	\$15,001 - \$50,000		None (or less than \$201)
23	Lowe's Companies, Inc. Stock LOW	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
24	Medical Properties Trust, Inc. Stock MPW	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	Royal Bank of Canada Stock RY	See Endnote	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
26	Viatis Inc. Stock VTRS	See Endnote	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
27	Family Dollar Stores, Inc. Bonds 5.000% Feb 1 2021	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
28	Bank of New York Mellon Corporation Bonds SER MTN 2.500% APR 15 2021	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
29	Altria Group, Inc. Bonds 4.750% MAY 05 2021	See Endnote	No	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
30	Alphabet Inc. Stock (GOOG)	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
31	Citigroup Inc. Bonds 2.75% Apr 25 2022	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
32	Citigroup Inc. Bonds 2.9% Dec 08 2021	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
33	Citigroup Inc. Bonds 4.5% Jan 14 2022	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
34	Target Corp. Stock TGT	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
35	UnitedHealth Group Inc. Stock UNH	See Endnote	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
36	Vodafone Group PLC ADR Stock (VOD)	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
37	Broadcom Inc. Stock AVGO	See Endnote	No	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
38	Digital Realty Trust, Inc. Stock DLR	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39	National Retail Properties, Inc. Stock NNN	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
40	Realty Income Corporation Stock O	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
41	Southern Copper Corporation Stock SCCO	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
42	Goldman Sachs Group, Inc. Corporate Bonds 5.25% July 27 2021	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
43	Mastercard Inc. Corporate Bonds 2.00% Nov 21 2021	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
44	Oracle Corporation Bonds 1.900% SEP 15 2021	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
45	Amazon.com, Inc. Stock AMZN	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
46	Blackstone Inc. Stock BX	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
47	Blackstone Mortgage Trust, Inc. Stock BXMT	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
48	Continental Resources, Inc. Stock CLR	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Disney Company Stock DIS	See Endnote	Sale	07/29/2021	\$15,001 - \$50,000
2	Family Dollar Stores, Inc. Bonds 5.000% Feb 1 2021 - REDEEMED	See Endnote		01/19/2021	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
3	American Tower Corporation (REIT) Stock AMT	See Endnote	Sale	02/11/2021	\$15,001 - \$50,000
4	Chegg Inc. Stock CHGG	See Endnote	Purchase	02/11/2021	\$1,001 - \$15,000
5	Crown Castle International Corp. (REIT) Stock CCI	See Endnote	Purchase	02/11/2021	\$15,001 - \$50,000
6	Chewy, Inc. Stock CHWY	See Endnote	Purchase	02/11/2021	\$1,001 - \$15,000
7	Diageo PLC Sponsored ADR Stock DEO	See Endnote	Purchase	02/11/2021	\$15,001 - \$50,000
8	Pfizer, Inc. Stock PFE	See Endnote	Sale	02/11/2021	\$15,001 - \$50,000
9	Quest Diagnostics Incorporated Stock DGX	See Endnote	Sale	02/11/2021	\$1,001 - \$15,000
10	Viatis, Inc. Stock VTRS	See Endnote	Sale	02/11/2021	\$1,001 - \$15,000
11	AIG Focused Dividend Strategy Fund Class W FDSWX	See Endnote	Sale	03/09/2021	\$1,001 - \$15,000
12	Smead Value Fund Class I1 Shares SVFFX	See Endnote	Purchase	03/09/2021	\$1,001 - \$15,000
13	Chegg Inc. Stock CHGG	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
14	Chewy, Inc. Stock CHWY	See Endnote	Sale	03/10/2021	\$15,001 - \$50,000
15	Crown Castle International Corp. (REIT) Stock CCI	See Endnote	Sale	03/10/2021	\$1,001 - \$15,000
16	Diageo PLC Sponsored ADR Stock DEO	See Endnote	Sale	03/10/2021	\$15,001 - \$50,000
17	JPMorgan Chase & Co. Stock JPM	See Endnote	Purchase	03/10/2021	\$15,001 - \$50,000
18	Royal Bank of Canada Stock RY	See Endnote	Purchase	03/10/2021	\$15,001 - \$50,000
19	Target Corp. Stock TGT	See Endnote	Purchase	03/10/2021	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
20	Bank of New York Mellon Corporation Bonds SER MTN 2.500% APR 15 2021 - REDEEMED	See Endnote		03/15/2021	\$50,001 - \$100,000
21	Digital Realty Trust, Inc. Stock DLR	See Endnote	Purchase	04/22/2021	\$15,001 - \$50,000
22	National Retail Properties, Inc. Stock NNN	See Endnote	Purchase	04/22/2021	\$15,001 - \$50,000
23	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	04/22/2021	\$15,001 - \$50,000
24	Goldman Sachs Group, Inc. Corporate Bonds 5.25% July 27 2021	See Endnote	Purchase	04/22/2021	\$50,001 - \$100,000
25	Prologis, Inc. Stock PLD	See Endnote	Purchase	04/22/2021	\$15,001 - \$50,000
26	Realty Income Corporation Stock O	See Endnote	Purchase	04/22/2021	\$15,001 - \$50,000
27	Altria Group, Inc. Bonds 4.750% MAY 05 2021 - REDEEMED	See Endnote		05/05/2021	\$100,001 - \$250,000
28	Amazon.com, Inc. Stock AMZN	See Endnote	Purchase	05/05/2021	\$15,001 - \$50,000
29	Oracle Corporation Bonds 1.900% SEP 15 2021	See Endnote	Purchase	05/05/2021	\$50,001 - \$100,000
30	Disney Company Stock DIS	See Endnote	Purchase	05/05/2021	\$15,001 - \$50,000
31	NextEra Energy, Inc. Stock NEE	See Endnote	Purchase	05/05/2021	\$15,001 - \$50,000
32	Northrup Grumman Corporation Stock NOC	See Endnote	Purchase	05/05/2021	\$15,001 - \$50,000
33	Visa Inc. Cl A Stock V	See Endnote	Purchase	05/05/2021	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
34	Broadcom Inc. Stock AVGO	See Endnote	Purchase	06/08/2021	\$15,001 - \$50,000
35	Medical Properties Trust, Inc. Stock MPW	See Endnote	Sale	06/08/2021	\$15,001 - \$50,000
36	Goldman Sachs Group, Inc. Corporate Bonds 5.25% July 27 2021 - REDEEMED	See Endnote		07/27/2021	\$50,001 - \$100,000
37	Amazon.com, Inc. Stock AMZN	See Endnote	Purchase	07/29/2021	\$15,001 - \$50,000
38	Apple Inc. Stock AAPL	See Endnote	Purchase	07/29/2021	\$15,001 - \$50,000
39	Mastercard Inc. Corporate Bonds 2.00% Nov 21 2021	See Endnote	Purchase	07/29/2021	\$50,001 - \$100,000
40	JPMorgan Chase & Co. Stock JPM	See Endnote	Sale	07/29/2021	\$15,001 - \$50,000
41	Northrup Grumman Corporation Stock NOC	See Endnote	Sale	07/29/2021	\$15,001 - \$50,000
42	Southern Copper Corporation Stock SCCO	See Endnote	Purchase	07/29/2021	\$15,001 - \$50,000
43	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	09/01/2021	\$15,001 - \$50,000
44	Royal Bank of Canada Stock RY	See Endnote	Purchase	09/01/2021	\$1,001 - \$15,000
45	Southern Copper Corporation Stock SCCO	See Endnote	Sale	09/01/2021	\$15,001 - \$50,000
46	UnitedHealth Group Inc. Stock UNH	See Endnote	Purchase	09/01/2021	\$15,001 - \$50,000
47	Oracle Corporation Bonds 1.900% SEP 15 2021 - REDEEMED	See Endnote		09/15/2021	\$15,001 - \$50,000
48	Cincinnati Bell Inc. Preferred Series B Stock CBBPRB - REDEEMED	See Endnote		09/22/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
49	Affirm Holdings, Inc. CI A AFRM	See Endnote	Purchase	09/27/2021	\$1,001 - \$15,000
50	Amazon.com, Inc. Stock AMZN	See Endnote	Sale	09/27/2021	\$15,001 - \$50,000
51	Broadcom Inc. Stock AVGO	See Endnote	Purchase	09/27/2021	\$15,001 - \$50,000
52	Citigroup Inc. Bonds 4.5% Jan 14 2022	See Endnote	Purchase	09/27/2021	\$50,001 - \$100,000
53	Lowe's Companies, Inc. Stock LOW	See Endnote	Purchase	09/27/2021	\$15,001 - \$50,000
54	National Retail Properties, Inc. Stock NNN	See Endnote	Sale	09/27/2021	\$15,001 - \$50,000
55	Realty Income Corporation Stock O	See Endnote	Sale	09/27/2021	\$15,001 - \$50,000
56	Thermo Fisher Scientific, Inc. Stock TMO	See Endnote	Purchase	09/27/2021	\$15,001 - \$50,000
57	Mastercard Inc. Corporate Bonds 2.00% Nov 21 2021 - REDEEMED	See Endnote		10/21/2021	\$50,001 - \$100,000
58	Citigroup Inc. Bonds 2.9% Dec 08 2021	See Endnote	Purchase	10/26/2021	\$15,001 - \$50,000
59	Lowe's Companies, Inc. Stock LOW	See Endnote	Purchase	10/26/2021	\$1,001 - \$15,000
60	Citigroup Inc. Bonds 2.9% Dec 08 2021 - REDEEMED	See Endnote		11/08/2021	\$15,001 - \$50,000
61	Motorola Solutions, Inc. Stock MSI - GIFT	See Endnote		12/10/2021	\$15,001 - \$50,000
62	Royal Bank of Canada Stock RY	See Endnote	Sale	01/04/2022	\$1,001 - \$15,000
63	CrowdStrike Holdings, Inc. Stock CRWD	See Endnote	Purchase	01/04/2022	\$15,001 - \$50,000
64	Affirm Holdings, Inc. CI A Stock AFRM	See Endnote	Sale	01/04/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
65	The Toronto-Dominion Bank Stock TD	See Endnote	Purchase	01/04/2022	\$15,001 - \$50,000
66	Citigroup Inc. Bonds 4.5% Jan 14 2022 - REDEEMED	See Endnote		01/14/2022	\$50,001 - \$100,000
67	CrowdStrike Holdings, Inc. Stock CRWD	See Endnote	Sale	01/26/2022	\$15,001 - \$50,000
68	Citigroup Inc. Bonds 2.75% Apr 25 2022	See Endnote	Purchase	01/24/2022	\$50,001 - \$100,000
69	Alphabet Inc. Stock (GOOG)	See Endnote	Purchase	02/25/2022	\$15,001 - \$50,000
70	Broadcom Inc. Stock AVGO	See Endnote	Sale	02/25/2022	\$50,001 - \$100,000
71	Vodafone Group PLC ADR Stock (VOD)	See Endnote	Purchase	02/25/2022	\$15,001 - \$50,000
72	Citigroup Inc. Stock (C)	See Endnote	Purchase	02/25/2022	\$15,001 - \$50,000
73	Digital Realty Trust, Inc. Stock DLR	See Endnote	Sale	02/25/2022	\$1,001 - \$15,000
74	Vanguard Institutional Target Retirement 2015 Fund Inst Cl VITVX	See Endnote	Exchange	02/11/2022	\$15,001 - \$50,000
75	Vanguard Target Retirement 2015 Fund VTXVX	See Endnote	Exchange	02/11/2022	\$15,001 - \$50,000
76	Citigroup Inc. Bonds 2.75% Apr 25 2022 - REDEEMED	See Endnote		04/25/2022	\$50,001 - \$100,000
77	Amazon.com, Inc. Stock AMZN	See Endnote	Purchase	04/14/2022	\$1,001 - \$15,000
78	Blackstone Inc. Stock BX	See Endnote	Purchase	04/14/2022	\$15,001 - \$50,000
79	Blackstone Mortgage Trust, Inc. Stock BXMT	See Endnote	Purchase	04/14/2022	\$1,001 - \$15,000
80	Continental Resources, Inc. Stock CLR	See Endnote	Purchase	04/14/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
81	Pfizer, Inc. Stock PFE	See Endnote	Sale	04/14/2022	
82	Constellation Brands, Inc. Stock STZ	See Endnote	Sale	04/14/2022	\$15,001 - \$50,000
83	Citigroup Inc. Stock (C)	See Endnote	Sale	04/14/2022	\$15,001 - \$50,000
84	Lowe's Companies, Inc. Stock LOW	See Endnote	Sale	04/14/2022	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T Bank, Winston-Salem, NC	Mortgage on Personal Residence	\$50,001 - \$100,000		3.25%	ARM

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	Value not readily ascertainable. Filer began receiving benefits in October 2017.
2.	2	Value is not readily ascertainable. Filer began receiving benefits in June 2019.
5.	2	Aggregates TIAA-CREF plans for former employers WGBH, Boston, MA and UNC at Chapel Hill/UNC-TV.

PART	#	ENDNOTE
5.	2.2	This fund does not declare or reinvest dividends or capital gains.
5.	2.3	This fund does not declare or reinvest dividends or capital gains.
5.	2.4	Per Vanguard policy, this fund merged with the Vanguard Target Retirement 2015 Fund (VTXVX). See 2022 transaction.
5.	2.5	This fund does not declare or reinvest dividends or capital gains.
5.	2.6	New in 2022. Per Vanguard policy, the Vanguard Institutional Target Retirement 2015 Fund (VITVX) merged with this fund. See 2022 transaction.
6.	2	Merrill Lynch's Bank Deposit Program is with Bank of America. Cash account.
6.	3	Cash account. Listed for tracking purposes.
6.	4	Sold in 2021.
6.	9	Two partial sales and one gift of stock during 2021 - see transactions. Valuation increase from 2021 annual report due to market forces.
6.	10	All sold in 2 transactions, February 2021 and April 2022.
6.	13	Purchased in March 2021 and sold in July - see transactions.
6.	17	New in January 2022.
6.	18	Value increased due to market forces.
6.	19	New in 2021.
6.	20.1	Cash/sweeps account. Listed for tracking purposes.
6.	20.6	New in 2021.
6.	23	2 purchases in 2021 and one partial sale in 2022 - see transactions.
6.	24	All sold in 2021.
6.	25	2 purchases in 2021 and 1 partial sale in 2022.
6.	26	Sold in February 2021.
6.	27	Purchased in 2020 and redeemed February 2021.

PART	#	ENDNOTE
6.	28	Redeemed in March 2021.
6.	29	Purchased in 2020 and will be redeemed in May 2021.
6.	30	New in 2022.
6.	31	New in 2022 and redeemed in April 2022.
6.	32	Purchased in October 2021 and redeemed in November 2021.
6.	33	Purchased in September 2021 and redeemed in January 2022.
6.	34	New in 2021.
6.	35	New in 2021.
6.	36	New in 2022.
6.	37	New in 2021 and all sold February 2022 - see 3 transactions.
6.	38	New in 2021 and all sold February 2022 - see 2 transactions.
6.	39	Bought and sold in 2021 - see 2 transactions.
6.	40	Bought and sold in 2021 - see 2 transactions.
6.	41	Bought and sold in 2021 - see 2 transactions.
6.	42	Bought and redeemed in 2021 - see 2 transactions.
6.	43	Bought and redeemed in 2021 - see 2 transactions.
6.	44	Bought and redeemed in 2021 - see 2 transactions.
6.	45	New in 2021 (2 separate purchases) and then all sold in September 2021. No cap gains or dividends earned prior to sale. Stock was purchased again in April 2022.
6.	46	New in 2022.
6.	47	New in 2022.
6.	48	New in 2022.

PART	#	ENDNOTE
7.	1	Purchased in May 2021 and now all sold. No cap gains or dividends earned in 2021 prior to sale. This stock will not be listed on Part 6 of filer's next OGE 278.
7.	2	Bonds were purchased in October 2020. Interest earned prior to redemption > \$1,000.
7.	3	All sold. No cap gains or dividends earned in 2021 prior to sale. This stock will not be listed on Part 6 of filer's next 278.
7.	4	New.
7.	5	New.
7.	6	Accretion.
7.	7	New.
7.	8	Almost all sold - less than \$1,000 retained. Cap gains and dividends earned in 2021 prior to sale > \$5,000.
7.	9	All sold. Cap gains and dividends earned in 2021 prior to sale < \$201. This asset will not be listed on filer's next 278.
7.	10	All sold. Cap gains earned in 2021 prior to sale > \$200.
7.	11	All sold. No cap gains or dividends earned in 2021 prior to sale. This asset will not be listed in Part 6.
7.	12	New.
7.	13	Purchased in February 2021 and now all sold. No cap gains or dividends earned prior to sale. This asset will not be listed in Part 6 of filer's next 278.
7.	14	All sold. No cap gains or dividends earned in 2021 prior to sale. This asset will not be listed in Part 6 of filer's next 278.
7.	15	Purchased in February 2021 and now all sold. No cap gains or dividends earned prior to sale. This asset will not be listed in Part 6 of filer's next 278.
7.	16	Purchased in February 2021 and now all sold. Dividends of < \$201 earned prior to sale. This asset will not be listed in Part 6 of filer's next 278.
7.	17	New in 2021.
7.	18	Accretion.
7.	19	New.

PART	#	ENDNOTE
7.	20	These bonds were purchased in November 2020 and now redeemed. Interest earned in 2021 prior to sale > \$1,000.
7.	21	New.
7.	22	New.
7.	23	Partial sale. Cap gains and dividends earned prior to sale < \$25,000.
7.	24	New. Bonds mature July 27, 2021.
7.	25	New.
7.	26	New. REIT.
7.	27	Purchased in December 2020 and now all redeemed. Interest earned in 2021 prior to redemption < \$5,001.
7.	28	New.
7.	29	New.
7.	30	New.
7.	31	Accretion.
7.	32	New.
7.	33	Accretion.
7.	34	New
7.	35	All sold. No cap gains and > \$200 dividends earned in 2021 prior to sale.
7.	36	Bonds were purchased in April 2021 and now all redeemed. Interest earned > \$1,000.
7.	37	Accretion.
7.	38	Accretion.
7.	39	New.
7.	40	Purchased in March 2021 and now all sold. No cap gains earned prior to sale; dividends > \$200.

PART	#	ENDNOTE
7.	41	Purchased in May 2021 and now all sold. No cap gains and dividends earned prior to sale < \$201. This stock will not be listed on Part 6 of filer's next OGE 278.
7.	42	New.
7.	43	Partial sale. Cap gains and dividends earned on the shares sold > \$33K.
7.	44	Accretion.
7.	45	Purchased in July 2021 and now all sold.
7.	46	New.
7.	47	Bonds purchased in May 2021 and now all redeemed. Interest earned prior to redemption > \$201.
7.	48	All preferred stock redeemed. Cap gains and dividends earned in 2021 prior to sale > \$2,500.
7.	49	New.
7.	50	New in 2021 (2 separate purchases) and now all sold. No cap gains or dividends earned prior to sale. More stock subsequently purchased in April 2022.
7.	51	Accretion.
7.	52	New.
7.	53	Accretion.
7.	54	Purchased in April 2021 and now all sold. Dividends earned prior to sale > \$200.
7.	55	Purchased in April 2021 and now all sold.
7.	56	Accretion.
7.	57	Bonds were purchased July 2021 and all redeemed now. Interest earned prior to redemption > \$200.
7.	58	New. This tranche is separate from tranche of Citigroup bonds purchased in September 2021.
7.	59	Accretion.
7.	60	Bonds were purchased in October 2021 and all redeemed now. This tranche is separate from tranche of Citigroup bonds purchased in September 2021. Interest earned prior to redemption > \$200.
7.	61	Shares were gifted by filer's spouse.

PART	#	ENDNOTE
7.	62	Partial sale. No cap gains or dividends earned in 2022 prior to the sale of this amount of stock.
7.	63	New.
7.	64	Purchased in September 2021 and now all sold. No cap gains or dividends earned in 2022 prior to sale. This stock will not be listed on Part 6 of filer's next OGE 278.
7.	65	New.
7.	66	These bonds were purchased in September 2021 and now all redeemed. Interest earned in 2022 prior to redemption > \$1,000.
7.	67	This stock was purchased on 1/4/2022 (see 278-T filed on 1/11/2022), and now all sold. No cap gains or dividends earned prior to sale. This stock will not be listed in Part 6 of filer's termination OGE 278-T.
7.	68	New.
7.	69	New.
7.	70	Purchased in 2021 and now all sold.
7.	71	New.
7.	72	New.
7.	73	Purchased in April 2021 and now all sold. Dividends > \$200 earned prior to sale.
7.	74	See the endnote for this fund in Part 5.
7.	75	See the endnote for this new fund in Part 5.
7.	76	Purchased in January and now redeemed. Interest earned > \$200.
7.	77	New.
7.	78	New.
7.	79	New.
7.	80	New.
7.	81	Remaining shares of Pfizer sold in April 2022, total value < \$1,000. See 2/11/2021, transaction for more information. No remaining stock. Transaction listed for tracking purposes.

PART	#	ENDNOTE
7.	82	Partial sale. Cap gains earned prior to sale > \$5,000.
7.	83	New in February 2022 and now all sold. No cap gains or dividends earned prior to sale. This stock will not be listed in Part 6 of this report.
7.	84	Partial sale. No cap gains earned prior to sale of these shares.

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).
