

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

## Filer's Information

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Dunkin, Ann

Chief Information Officer, Department of Energy

Report Year: 2022

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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/ Dunkin, Ann [electronically signed on 05/15/2022 by Dunkin, Ann 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/ Sharp, Laura, Certifying Official [electronically signed on 07/14/2022 by Sharp, Laura in Integrity.gov]

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Other review conducted by

/s/ Sharp, Laura, Ethics Official [electronically signed on 07/14/2022 by Sharp, Laura in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 07/14/2022

Data Revised 07/11/2022

Data Revised 06/13/2022

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/11/2022, Sharp, Laura): 208: California Public Employees Retirement System (ability and willingness), Agilent Technologies, Keysight Technologies, Valero Energy, Walt Disney Co, General Motors, PGIM Natural Resources (and its underlying assets), Bank of America Corp, Alabama Power, VanEck Vectors Gold Miners Etf (and its underlying assets), BNY Mellon Natural Resources Fund (and its underlying assets), Boeing Co, Goldman Sachs, Invesco Solar ETF (and its underlying assets), Morgan Stanley, Royal Dutch Shell PLC, Visa Inc, Wells Fargo & Co, NVIDIA Corp, Howmet Aerospace, How Women Invest, Gaiascope 502: Packt Publishing

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Dunkin Family Trust		Vancouver, Washington	Trust	Trustee	8/2007	Present
2	Roxanne Hatcher Irrevocable Gift Trust		Menlo Park, California	Trust	Trustee	2/2020	Present
3	OptimEyes.ai		San Diego, California	Corporation	Advisory Board Member	8/2020	5/2021
4	Agile Government Leaders		Lafayette, California	Non-Profit	Board Member	4/2018	6/2021
5	Winter Simulation Conference	See Endnote	Catonsville, Maryland	Non-Profit	Board Member	2/2017	6/2021
6	Dell Technologies		Round Rock, Texas	Corporation	Chief Strategy & Innovation Officer	2/2020	5/2021

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	California Public Employees Retirement System, defined benefit plan estimated retirement \$2100/month at age 60.		N/A	\$100,001 - \$250,000		None (or less than \$201)
2	"Industrial Digital Transformation," Packt Publishing (value not readily ascertainable)	See Endnote	N/A		Advance	\$200
3	Alpha Insights		N/A	None (or less than \$1,001)	consulting fee	\$975

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Coleman Research Group	N/A	None (or less than \$1,001)	Consulting Fee	\$330
5	Third Bridge	N/A	None (or less than \$1,001)	Consulting Fee	\$613
6	Dell Technologies, Inc. (DELL)	N/A		Salary and Commission	\$175,664
7	OptimEyes Inc, vested stock options	N/A	\$1,001 - \$15,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	California Public Employees Retirement System	Palo Alto, California	I will continue to participate in this defined benefit plan	9/2009
2	Packt Publishing	Birmingham, UK, Outside U.S.	Once my advance has been satisfied, I will receive royalties from Packt Publishing for sales of my book, "Industrial Digital Transformation."	3/2020
3	OptimEyes.ai	San Diego, California	I forfeited any unvested stock options upon separation. I retained my vested stock options.	8/2020

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

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

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

None

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Agilent Technologies Common Stock (A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Gilead Science Common Stock (GILD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3	GlaxoSmithKline Common (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4	Keysight Technologies, Inc. (KEYS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Valero Energy (VLO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6	Walt Disney Co Holdings (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	iShares S&P 100 ETF (OEF)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
8	Brandes Emerging Mkts Val I (BEMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	Invesco Premier Inst (IPPXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	PIMCO Real Return Fund Class I-2 Shares (PRLPX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
11	Thornburg Intl Growth (TINGX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
12	U.S. Credit Union Checking Account	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Rental Property Washington, DC	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
14	U.S. Credit Union Savings Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	General Motors Financial BOND	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
16	John Hancock Classic Value Inst (JCVIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
17	Lazard Developing Markets Equity (LDMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	PGIM Natural Resources Z (PNRZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	Touchstone Sands Cap Sel Growth Y (CFSIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
20	Invesco Floating Rate Y (AFRYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	Invesco Small Cap Value Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
22	General Mills Common Stock (GIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	Johnson & Johnson Common Stock (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
24	Bank of America Corp BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
25	Perrigo Finance PLC BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
26	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
27	Alabama Power BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Amgen Inc. (AMGN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
29	Ballico-Cressey School District Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
30	BCS 11.6% Contingent Autocall GDY	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
31	Bection Dickinson BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
32	BNY Mellon Natural Resources Fund Class I Shares (DLDRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
33	Boeing Company BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
34	Burbank CA Unified School District Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
35	Center JT Unif School Dist. Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
36	Cohen & Steers Institutional Realty Shares, Inc (CSRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
37	Constellation Brands BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
38	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
39	Delta Airlines BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
40	Ecolab, Inc. (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	First Maryland Capital BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
42	Fuller & Thaler Behavioral Mid-Cap Value Fund Class R6 Shares (FTVZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	Goldman Sachs BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
44	GS 8% Autocall C (SQEVP)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
45	HanesBrand BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
46	Hillenbrand, Inc. BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
47	Hospitality Properties Trust BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
48	Invesco Solar ETF (TAN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
49	JP Morgan US Lg Cp Core Plus	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
50	Kellogg Co. (K)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
51	Kraft Heinz BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
52	Laboratory Corp. of America Holdings (LH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
53	Laytonville USD Gilroy CA Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
54	Moreno Valley USD CA Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
55	Morgan Stanley BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
56	MS 10.1% Contingent Autocall WFC	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
57	MS Trigger Plus SLV (SQEBZ)	Yes	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58	MSNBA Preferred Savings	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
59	Netflix, Inc. (NFLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
60	Newell Brands BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
61	Nuance Mid Cap Value Fund Institutional Class Shares (NMVLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
62	Pax Small Cap Fund Institutional Class Shares (PXSIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
63	PIMCO StocksPLUS International Fund (US Dollar-Hedged) Class I-2 Shares (PIUHX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
64	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
65	Procter & Gamble Co. (PG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
66	Royal Bank of Scotland BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
67	Royal Dutch Shell PLC (RDS'A)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
68	Sacramento California City Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
69	Santa Clarita Community College Dist Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
70	Santa Fe Springs Community Dev Municipal BOND	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
71	Shasta Union HS District Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	Block (SQ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
73	Stryker Corp. (SYK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
74	Truist Bank BOND	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
75	VanEck Emerging Markets Y (EMRYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
76	Visa, Inc. (V)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
77	Wachovia Capital Trust BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
78	Walt Disney Company BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
79	Wells Fargo & Company BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
80	Kraft Heinz Co. (KHC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
81	How Women Invest	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
82	Athene Global Funding BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
83	Blackrock TCP Capital BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
84	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
85	GS Contingent Autocall on Disney	N/A	\$1,001 - \$15,000		None (or less than \$201)
86	Laboratory Corp. of America Holdings BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
87	Nissan Motors Acceptance Corp BOND	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
88	Oakmark Fund Advisor Class Shares (OAYMX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
89	Allstate Corporation BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
90	BCS 8.85% Contingent Autocall on ANTM	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
91	Bank Deposit Account Program	N/A	\$15,001 - \$50,000		None (or less than \$201)
92	Etsy, Inc. (ETSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
93	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
94	Target Corp. (TGT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
95	Valero Energy BOND	N/A	\$1,001 - \$15,000		None (or less than \$201)
96	Toronto Dominion Bank BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
97	McKesson Corp BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
98	Nordstrom BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
99	Conagra Brands BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
100	State Street Corp BOND	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
101	JP Morgan Chase & Co BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
102	Howmet Aerospace	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
103	Credit Suisse AG BOND	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
104	Sumitomo Mitsu Financial Group BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
105	Synchrony Draper CD	N/A	\$15,001 - \$50,000		None (or less than \$201)
106	Rental Property in Menlo Park, CA	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Credit Suisse AG BOND	Purchase	06/24/2021	\$15,001 - \$50,000
2	Citizens Financial Group, Inc.BOND	Sale	06/28/2021	\$15,001 - \$50,000
3	HCA Healthcare, Inc. (HCA)	Sale	05/12/2021	\$1,001 - \$15,000
4	W.R. Grace & Co. (GRA)	Sale	05/12/2021	\$1,001 - \$15,000
5	Centene Corp. (CNC)	Sale	05/12/2021	\$1,001 - \$15,000
6	Amazon.com, Inc. (AMZN)	Sale	05/19/2021	\$15,001 - \$50,000
7	Facebook, Inc. (FB)	Sale	05/19/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	Western Digital Corp. (WDC)	Sale	05/19/2021	\$15,001 - \$50,000
9	Ameriprise Financial, Inc. (AMP)	Sale	05/19/2021	\$1,001 - \$15,000
10	United Rentals, Inc. (URI)	Sale	05/19/2021	\$1,001 - \$15,000
11	Suncor Energy Inc	Sale	05/19/2021	\$1,001 - \$15,000
12	Dell Technologies, Inc. (DELL)	Sale	05/19/2021	\$1,001 - \$15,000
13	Broadcom, Inc. (AVGO)	Sale	05/19/2021	\$1,001 - \$15,000
14	Microsoft Corp. (MSFT)	Sale	05/19/2021	\$1,001 - \$15,000
15	Apple, Inc. (AAPL)	Sale	05/19/2021	\$1,001 - \$15,000
16	Whirlpool Corp. (WHR)	Sale	05/19/2021	\$1,001 - \$15,000
17	eBay, Inc. (EBAY)	Sale	05/19/2021	\$1,001 - \$15,000
18	Crown Holdings, Inc. (CCK)	Sale	05/19/2021	\$1,001 - \$15,000
19	liberty global plc Class C	Sale	05/19/2021	\$1,001 - \$15,000
20	Visa, Inc. (V)	Sale	05/19/2021	\$1,001 - \$15,000
21	XPO Logistics, Inc. (XPO)	Sale	05/19/2021	\$1,001 - \$15,000
22	Centene Corp. (CNC)	Sale	05/19/2021	\$1,001 - \$15,000
23	HCA Healthcare, Inc. (HCA)	Sale	05/19/2021	\$1,001 - \$15,000
24	Cigna Corp. (CI)	Sale	05/19/2021	\$1,001 - \$15,000
25	Lincoln National Corp. (LNC)	Sale	05/19/2021	\$1,001 - \$15,000
26	UnitedHealth Group, Inc. (UNH)	Sale	05/19/2021	\$1,001 - \$15,000
27	Assurant, Inc. (AIZ)	Sale	05/19/2021	\$1,001 - \$15,000
28	Berry Global Group, Inc. (BERY)	Sale	05/19/2021	\$1,001 - \$15,000
29	United Parcel Service, Inc. (UPS)	Sale	05/19/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	salesforce.com, inc. (CRM)	Sale	05/19/2021	\$1,001 - \$15,000
31	Adobe, Inc. (ADBE)	Sale	05/19/2021	\$1,001 - \$15,000
32	Thermo Fisher Scientific, Inc. (TMO)	Sale	05/19/2021	\$1,001 - \$15,000
33	NRG Energy, Inc. (NRG)	Sale	05/19/2021	\$1,001 - \$15,000
34	Flextronics Intl LTD	Sale	05/19/2021	\$1,001 - \$15,000
35	QUALCOMM, Inc. (QCOM)	Sale	05/19/2021	\$1,001 - \$15,000
36	NVIDIA Corp. (NVDA)	Sale	05/19/2021	\$1,001 - \$15,000
37	The Walt Disney Co. (DIS)	Sale	05/19/2021	\$1,001 - \$15,000
38	Arrow Electronics, Inc. (ARW)	Sale	05/19/2021	\$1,001 - \$15,000
39	Aercap Holdings N.V.	Sale	05/19/2021	\$1,001 - \$15,000
40	The Home Depot, Inc. (HD)	Sale	05/19/2021	\$1,001 - \$15,000
41	Lithia Motors, Inc. (LAD)	Sale	05/19/2021	\$1,001 - \$15,000
42	IHS Markit Ltd. (INFO)	Sale	05/19/2021	\$1,001 - \$15,000
43	Fidelity National Information Services, Inc. (FIS)	Sale	05/19/2021	\$1,001 - \$15,000
44	Hanesbrands, Inc. (HBI)	Sale	05/19/2021	\$1,001 - \$15,000
45	Uber Technologies, Inc. (UBER)	Sale	05/19/2021	\$1,001 - \$15,000
46	Amgen Inc. (AMGN)	Sale	05/19/2021	\$1,001 - \$15,000
47	Concentrix Corp	Sale	05/19/2021	\$1,001 - \$15,000
48	Honeywell International, Inc. (HON)	Sale	05/19/2021	\$1,001 - \$15,000
49	Alliance Data Systems Corp. (ADS)	Sale	05/19/2021	\$1,001 - \$15,000
50	Palo Alto Networks, Inc. (PANW)	Sale	05/19/2021	\$1,001 - \$15,000
51	CVS Health Corp. (CVS)	Sale	05/19/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	W.W. Grainger, Inc. (GWW)	Sale	05/19/2021	\$1,001 - \$15,000
53	Affiliated Managers Group, Inc. (AMG)	Sale	05/19/2021	\$1,001 - \$15,000
54	Advance Auto Parts, Inc. (AAP)	Sale	05/19/2021	\$1,001 - \$15,000
55	Equinix, Inc. (EQIX)	Sale	05/19/2021	\$1,001 - \$15,000
56	Qurate Retail, Inc. (QRTEA)	Sale	05/19/2021	\$1,001 - \$15,000
57	Ulta Beauty, Inc. (ULTA)	Sale	05/19/2021	\$1,001 - \$15,000
58	SYNNEX Corp. (SNX)	Sale	05/19/2021	\$1,001 - \$15,000
59	VMware, Inc. (VMW)	Sale	05/19/2021	\$1,001 - \$15,000
60	Ecolab, Inc. (ECL)	Sale	05/19/2021	\$1,001 - \$15,000
61	Univar Solutions, Inc. (UNVR)	Sale	05/19/2021	\$1,001 - \$15,000
62	Air Lease Corp. (AL)	Sale	05/19/2021	\$1,001 - \$15,000
63	Monster Beverage Corp. (MNST)	Sale	05/19/2021	\$1,001 - \$15,000
64	Adient plc (ADNT)	Sale	05/19/2021	\$1,001 - \$15,000
65	Akamai Technologies, Inc. (AKAM)	Sale	05/19/2021	\$1,001 - \$15,000
66	Splunk, Inc. (SPLK)	Sale	05/19/2021	\$1,001 - \$15,000
67	Aptiv PLC (APTV)	Purchase	05/19/2021	\$1,001 - \$15,000
68	Atlassian Corporation PLC	Sale	05/19/2021	\$1,001 - \$15,000
69	ASML Holding NV NY	Sale	05/19/2021	\$1,001 - \$15,000
70	Alcon Inc	Sale	05/19/2021	\$1,001 - \$15,000
71	Workday, Inc. (WDAY)	Sale	05/19/2021	\$1,001 - \$15,000
72	NXP Semiconductors NV	Sale	05/19/2021	\$1,001 - \$15,000
73	Tractor Supply Co. (TSCO)	Sale	05/19/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
74	CommScope Holding Co., Inc. (COMM)	Sale	05/19/2021	\$1,001 - \$15,000
75	O-I Glass, Inc. (OI)	Sale	05/19/2021	\$1,001 - \$15,000
76	Texas Instruments Incorporated (TXN)	Sale	05/19/2021	\$1,001 - \$15,000
77	BioMarin Pharmaceutical Inc. (BMRN)	Sale	05/19/2021	\$1,001 - \$15,000
78	Sea Limited ADR	Sale	05/19/2021	\$1,001 - \$15,000
79	Nutanix, Inc. (NTNX)	Sale	05/19/2021	\$1,001 - \$15,000
80	Ingram Micro BOND	Sale	05/17/2021	\$15,001 - \$50,000
81	UiPath Inc Cl A	Sale	05/19/2021	\$1,001 - \$15,000
82	General Electric Co BOND	Sale	05/20/2021	\$15,001 - \$50,000
83	Laboratory Corp of America BOND	Purchase	05/20/2021	\$15,001 - \$50,000
84	Blackrock Capital BOND	Purchase	05/17/2021	\$15,001 - \$50,000
85	Norton Lifelock BOND	Sale	05/21/2021	\$15,001 - \$50,000
86	General Motors Finance Corp BOND	Purchase	05/21/2021	\$15,001 - \$50,000
87	Western Digital Corp BOND	Sale	05/24/2021	\$15,001 - \$50,000
88	Athene Global Funding BOND	Purchase	05/24/2021	\$15,001 - \$50,000
89	General Electric Co. BOND	Sale	05/25/2021	\$15,001 - \$50,000
90	Nissan Motor Acceptance BOND	Purchase	05/25/2021	\$15,001 - \$50,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
91	Verizon Communications BOND	Sale	05/28/2021	\$15,001 - \$50,000
92	Alphabet, Inc. (GOOGL)	Sale	05/21/2021	\$1,001 - \$15,000
93	NXP Semiconductors NV	Sale	05/21/2021	\$1,001 - \$15,000
94	Lowe's Companies	Sale	05/21/2021	\$1,001 - \$15,000
95	Oracle Corp. (ORCL)	Sale	05/21/2021	\$1,001 - \$15,000
96	Raytheon Co. (RTN)	Sale	05/21/2021	\$1,001 - \$15,000
97	Brookfield Asset Management Cls A	Sale	05/21/2021	\$1,001 - \$15,000
98	W.R. Berkley Corp. (WRB)	Sale	05/21/2021	\$1,001 - \$15,000
99	Berkshire Hathaway Inc. (BRKB)	Sale	05/21/2021	\$1,001 - \$15,000
100	Diageo PLC	Sale	05/21/2021	\$1,001 - \$15,000
101	Starbucks Corp. (SBUX)	Sale	05/21/2021	\$1,001 - \$15,000
102	Illinois Tool Works, Inc. (ITW)	Sale	05/21/2021	\$1,001 - \$15,000
103	Markel Corp. (MKL)	Sale	05/21/2021	\$1,001 - \$15,000
104	IHS Markit Ltd. (INFO)	Sale	05/21/2021	\$1,001 - \$15,000
105	Axalta Coating Systems Ltd. (AXTA)	Sale	05/21/2021	\$1,001 - \$15,000
106	Stryker Corp. (SYK)	Sale	05/21/2021	\$1,001 - \$15,000
107	Fortune Brands Home & Security, Inc. (FBHS)	Sale	05/21/2021	\$1,001 - \$15,000
108	The TJX Cos., Inc. (TJX)	Sale	05/21/2021	\$1,001 - \$15,000
109	Cerner Corp. (CERN)	Sale	05/21/2021	\$1,001 - \$15,000
110	PepsiCo, Inc. (PEP)	Sale	05/21/2021	\$1,001 - \$15,000
111	Mastercard, Inc. (MA)	Sale	05/21/2021	\$1,001 - \$15,000
112	Dun & Bradstreet Holdings	Sale	05/21/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
113	Charles River Laboratories International, Inc. (CRL)	Sale	05/21/2021	\$1,001 - \$15,000
114	Fastenal Co. (FAST)	Sale	05/21/2021	\$1,001 - \$15,000
115	Thermo Fisher Scientific, Inc. (TMO)	Sale	05/21/2021	\$1,001 - \$15,000
116	Booking Holdings Inc. (BKNG)	Sale	05/21/2021	\$1,001 - \$15,000
117	EMC Bond	Sale	06/04/2021	\$15,001 - \$50,000
118	GS Autocall on Apple	Sale	06/10/2021	\$15,001 - \$50,000
119	AllState Corp BOND	Purchase	06/04/2021	\$15,001 - \$50,000
120	Citi Autocall on Anthem	Purchase	06/11/2021	\$1,001 - \$15,000
121	GS Autocall on CitiGroup	Purchase	06/11/2021	\$1,001 - \$15,000
122	How Women Invest: Hello Alice	See Endnote	06/11/2021	\$1,001 - \$15,000
123	Amazon.com, Inc. (AMZN)	Sale	07/22/2021	\$100,001 - \$250,000
124	Emerson Electric Co. (EMR)	Sale	07/22/2021	\$15,001 - \$50,000
125	Berkshire Hathaway Inc. (BRKB)	Sale	07/22/2021	\$15,001 - \$50,000
126	Adobe, Inc. (ADBE)	Sale	07/22/2021	\$15,001 - \$50,000
127	Broadcom, Inc. (AVGO)	Sale	07/22/2021	\$15,001 - \$50,000
128	Oracle Corp. (ORCL)	Sale	07/22/2021	\$15,001 - \$50,000
129	iShares S&P 100 ETF (OEF)	Purchase	07/22/2021	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
130	Apple Inc	Sale	07/22/2021	\$100,001 - \$250,000
131	Credite Suisse AG BOND	Purchase	07/06/2021	\$15,001 - \$50,000
132	Discover Bank BOND	Sale	07/12/2021	\$1,001 - \$15,000
133	MS Autocall on Amazon	Sale	08/05/2021	\$15,001 - \$50,000
134	GS CI Autocall on Schwab	Purchase	08/13/2021	\$15,001 - \$50,000
135	Becton, Dickinson and Company BOND	Sale	08/20/2021	\$1,001 - \$15,000
136	Valero Energy BOND	Purchase	08/23/2021	\$1,001 - \$15,000
137	Toronto-Dominion Bank BOND	Purchase	09/14/2021	\$15,001 - \$50,000
138	Conagra Brands, Inc. (CAG) BOND	Purchase	09/14/2021	\$15,001 - \$50,000
139	McKesson Corp. BOND	Purchase	09/15/2021	\$15,001 - \$50,000
140	Brighthouse Financial BOND	Sale	10/15/2021	\$15,001 - \$50,000
141	Nordstrom Inc BOND	Purchase	10/15/2021	\$15,001 - \$50,000
142	Bank of America BOND	Sale	10/21/2021	\$15,001 - \$50,000
143	Etsy, Inc. (ETSY)	Purchase	10/29/2021	\$1,001 - \$15,000
144	United Parcel Service, Inc. (UPS) CI-B	Sale	10/29/2021	\$1,001 - \$15,000
145	Howmet Aerospace BOND	Purchase	11/03/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
146	General Motors Financial BOND	Sale	11/08/2021	\$15,001 - \$50,000
147	Sumitomo Mitsui Financial BOND	Purchase	11/08/2021	\$15,001 - \$50,000
148	Goldman Sachs CI Autocall on Schwab	Sale	11/18/2021	\$15,001 - \$50,000
149	MS Autocall on Wells Fargo	Purchase	11/24/2021	\$15,001 - \$50,000
150	Brighthouse Financial BOND	Sale	11/26/2021	\$15,001 - \$50,000
151	ConAgra Brands BOND	Purchase	11/30/2021	\$15,001 - \$50,000
152	Citibank Autocall on Anthem	Sale	12/16/2021	\$1,001 - \$15,000
153	Bank of America BOND	Purchase	12/17/2021	\$1,001 - \$15,000
154	Travel & Leisure BOND	Sale	12/20/2021	\$1,001 - \$15,000
155	Alibaba	Sale	12/31/2021	\$1,001 - \$15,000
156	BCS Autocall on Anthem	Purchase	12/29/2021	\$15,001 - \$50,000
157	NVIDIA Corp. (NVDA)	Purchase	12/31/2021	\$1,001 - \$15,000
158	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	12/30/2021	\$1,001 - \$15,000
159	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	12/27/2021	\$1,001 - \$15,000
160	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	12/15/2021	\$1,001 - \$15,000
161	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	05/20/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
162	BNY Mellon Natural Resources Fund Class I Shares (DLDRX)	Sale	10/07/2021	\$1,001 - \$15,000
163	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Purchase	12/30/2021	\$1,001 - \$15,000
164	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Purchase	05/19/2021	\$100,001 - \$250,000
165	Fuller & Thaler Behavioral Small-Cap Equity Fund Institutional Class Shares (FTHSX)	Purchase	09/13/2021	\$1,001 - \$15,000
166	Invesco Small Cap Value Fund Class Y Shares (VSMIX)	Purchase	12/21/2021	\$1,001 - \$15,000
167	John Hancock Classic Value Fund Class I Shares (JCVIX)	Purchase	09/13/2021	\$15,001 - \$50,000
168	JPMorgan US Large Cap Core Plus Fund Class I Shares (JLPSX)	Purchase	12/30/2021	\$1,001 - \$15,000
169	JPMorgan US Large Cap Core Plus Fund Class I Shares (JLPSX)	Purchase	12/27/2021	\$1,001 - \$15,000
170	JPMorgan US Large Cap Core Plus Fund Class I Shares (JLPSX)	Purchase	12/15/2021	\$1,001 - \$15,000
171	JPMorgan US Large Cap Core Plus Fund Class I Shares (JLPSX)	Purchase	05/20/2021	\$1,001 - \$15,000
172	Lazard Developing Markets Equity Portfolio Institutional Shares (LDMIX)	Purchase	09/13/2021	\$1,001 - \$15,000
173	Oakmark Fund Advisor Class Shares (OAYMX)	Purchase	05/21/2021	\$50,001 - \$100,000
174	Oakmark Fund Advisor Class Shares (OAYMX)	Purchase	05/19/2021	\$100,001 - \$250,000
175	Oakmark Fund Advisor Class Shares (OAYMX)	Sale	07/09/2021	\$250,001 - \$500,000
176	Oakmark Fund Institutional Class Shares (OANMX)	Sale	10/07/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
177	Oakmark Fund Institutional Class Shares (OANMX)	Purchase	07/09/2021	\$250,001 - \$500,000
178	PIMCO Real Return Fund Class I-2 Shares (PRLPX)	Purchase	12/30/2021	\$1,001 - \$15,000
179	PIMCO Real Return Fund Class I-2 Shares (PRLPX)	Purchase	12/27/2021	\$1,001 - \$15,000
180	PIMCO Real Return Fund Class I-2 Shares (PRLPX)	Purchase	12/15/2021	\$1,001 - \$15,000
181	PIMCO Real Return Fund Class I-2 Shares (PRLPX)	Purchase	05/20/2021	\$1,001 - \$15,000
182	PIMCO StocksPLUS International Fund (US Dollar-Hedged) Class I-2 Shares (PIUHX)	Purchase	12/30/2021	\$1,001 - \$15,000
183	PIMCO StocksPLUS International Fund (US Dollar-Hedged) Class I-2 Shares (PIUHX)	Purchase	12/27/2021	\$1,001 - \$15,000
184	PIMCO StocksPLUS International Fund (US Dollar-Hedged) Class I-2 Shares (PIUHX)	Purchase	12/15/2021	\$1,001 - \$15,000
185	PIMCO StocksPLUS International Fund (US Dollar-Hedged) Class I-2 Shares (PIUHX)	Purchase	05/20/2021	\$1,001 - \$15,000
186	Principal MidCap Fund Institutional Class Shares (PCBIX)	Purchase	05/20/2021	\$1,001 - \$15,000
187	Synchrony Draper UT CD	Purchase	10/15/2021	\$15,001 - \$50,000
188	Target Corporation	Purchase	09/17/2021	\$1,001 - \$15,000
189	Thornburg International Growth Fund Class I Shares (TINGX)	Purchase	12/13/2021	\$1,001 - \$15,000
190	Thornburg International Growth Fund Class I Shares (TINGX)	Purchase	09/13/2021	\$1,001 - \$15,000
191	Touchstone Sands Capital Select Growth Fund Class Y Shares (CFSIX)	Purchase	12/20/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
192	Touchstone Sands Capital Select Growth Fund Class Y Shares (CFSIX)	Purchase	12/13/2021	\$15,001 - \$50,000
193	Touchstone Sands Capital Select Growth Fund Class Y Shares (CFSIX)	Purchase	10/07/2021	\$1,001 - \$15,000
194	Van Eck Emerging Markets Y	Purchase	12/30/2021	\$1,001 - \$15,000
195	Van Eck Emerging Markets Y	Purchase	12/27/2021	\$1,001 - \$15,000
196	Van Eck Emerging Markets Y	Purchase	12/15/2021	\$1,001 - \$15,000
197	Van Eck Emerging Markets Y	Purchase	05/20/2021	\$1,001 - \$15,000
198	Residential real estate, Menlo Park, CA	Purchase		\$1,000,001 - \$5,000,000
199	Fidelity US Large Cap Equity Index Fund	Sale	09/07/2021	\$15,001 - \$50,000
200	Fidelity Equity Index Fund	Sale	09/07/2021	\$15,001 - \$50,000
201	Fidelity SM Midcap Core Index Fund	Sale	09/07/2021	\$15,001 - \$50,000
202	Fidelity PMP 2015 Fund	Sale	09/07/2021	\$1,001 - \$15,000
203	Fidelity International Equity Fund	Sale	09/07/2021	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase Bank	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2018	3.875	30 years

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	Flagstar Bank	Mortgage (investment/rental property)	\$250,001 - \$500,000	2021	2.375	15 years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	5	The Winter Simulation Conference is not a stand alone non-profit. It exists through an MOU between the financial sponsors of the conference; all non-profit societies. I represent one of those sponsors, the Institute of Industrial and Systems Engineering on the WSC board.
2.	2	Book advance
6.	81	I am a limited partner (0.5%) of How Women Invest (HWI). Current investments are Gray Matter Analytics, Hitch, Baby Quip, Hello Alice and Giascope.
7.	122	Hello Alice assists women and minority owned businesses obtain venture funding.



# 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).

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