

# Executive Branch Personnel

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

### Filer's Information

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Apol, David

General Counsel, Office of Government Ethics

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Apol, David [electronically signed on 05/17/2021 by Apol, David 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/ Kane-Piasecki, Cheryl, Certifying Official [electronically signed on 05/24/2021 by Kane-Piasecki, Cheryl in Integrity.gov]

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Other review conducted by

/s/ Kane-Piasecki, Cheryl, Ethics Official [electronically signed on 05/24/2021 by Kane-Piasecki, Cheryl in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 05/25/2021 by Granahan, Megan in Integrity.gov]

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley Account (IRA)	N/A	\$50,001 - \$100,000		\$201 - \$1,000
1.1	Invesco Diversified Dividend A (LCEAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Invesco Global Core Equity (AWSAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Putnam Voyager (PVOMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Morgan Stanley Cash Acct.	N/A	\$1,001 - \$15,000		None (or less than \$201)

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## 3. Filer's Employment Agreements and Arrangements

None

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## 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	Apple 401k				
1.1	BlackRock LifePath 2020 Investor A	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	Fidelity Contra Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3	Vanguard Extended Market Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Dodge and Cox International Stock Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	IRA	No		Interest	\$5,001 - \$15,000
2.1	Deer Park Total Return (DPFNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	US Cash Reserve Account	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	ALGER FOCUS EQUITY CL Z (ALZFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	WCM FOCUSED INTL GROWTH FUND INSTL (WCMIX)	Yes	\$50,001 - \$100,000		
2.5	STERLING CAPITAL EQUITY INCOME CL I (BEGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	WILLIAM BLAIR MACRO ALLOCATION FUND CL I (WMCIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.7	DOUBLELINE TOTAL RETURN BOND FD CL I (DBLTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.8	SHARES S&P 500 (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	ISHARES S&P GLOBAL TECHNOLOGY SECTOR INDEX FUND (IXN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	ISHARES CORE S&P SMALL-CAP E (IJR)	Yes			None (or less than \$201)
2.11	ISHARES TR U.S. MED DVC ETF (IHI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	ISHARES TR EAFE GRWTH ETF (EFG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.13	ISHARES TR MSCI USA MIN VOL (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	ISHARES TR MSCI USA VALUE (VLUE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	ISHARES TRUST CORE MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	ISHARES INC ESG AWR MSCI EM (ESGE)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.17	ISHARES TR ESG AWR MSCI USA (ESGU)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.18	ISHARES IBOXX \$ INVESTMENT GRADE CORPORATE BOND ETF (LQD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.19	ISHARES TR 20 YR TR BD ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	ISHARES TR MBS ETF (MBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	ISHARES TR ISHS 1-5YR INVS (IGSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	ISHARES TR US TREAS BD ETF (GOVT)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.23	ISHARES TRUST 0-5YR HIGH YIELD CORP BD ISIN #US46434V4077 SEDOL #BFS2LL0 (SHYG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Georgetown University			Salary	
4	Arizona State University			Salary	

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Managed Equity Account	No	\$5,000,001 - \$25,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
1.1	Alger Capital App. (ALARX)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
1.2	Sterling Capital Equity Income (BEGIX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.3	Barron Real Estate Fund (BREIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.4	Cambair Opportunity Investor (CAMWX)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
1.5	Diamond Hill Long/Short Fund DHLSX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.6	ISHARES MSCI Emerging Mkts (EEM)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.7	iShares MSCI EAFE Index (EFA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.8	Goldman Sachs High Yd Muni (GHYIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	ISHARES Cohen & Steers REIT (ICF)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.10	IShares Core S & P Mid Cap (IJH)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.11	IShares Core S&P 500 (IVV)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.12	IShares Russell 2000 (IWM)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.13	Invesco Oppenheimer Dev Mkts Fd (ODVIX) (previously ODVYX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
1.14	Wasatch Emerging Markets Small Cap (WAEMX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.15	WCM Focused Intl Growth Fd (WCMIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.16	U.S. brokerage cash account	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
1.17	Deer Park Total Return (DPFNX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.18	Athena Behavior Tactical (previously Value) Fund (ATVIX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.19	William Blair Macro Allocation Fund (WMCIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.20	Driehaus Intn'l Small Cap Growth (DRIOX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.21	ASG Managed Futures Strategy (ASFYX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.22	Touchstone Small Cap Core Inst (TSFIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.23	Congress Mid Cap Growth Fund Institutional Class Shares (IMIDX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2	Tax Free Bond Account	No	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
2.1	FAIRFAX CNTY VA INDL DEV AUTH REV REV BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.2	FAIRFAX CNTY VA ECONOMIC DEV AUTH (2 bonds)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.3	GRAND RIVER DAM AUTH OKLA REV REV BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.4	HAMPTON VA REF PUB IMPT BDS SER. Afi	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.5	JEA FLA WTR & SWR SYS REV REV BDS SER. (2 bonds)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.6	LEESBURG VA GO REF BDS SER. 2014	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.7	LOUDOUN CNTY VA GO PUB IMPT BDS SER	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.8	MIAMI-DADE CNTY FLA SPL OBLIG CAP ASSET	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.9	NEBRASKA PUB PWR DIST REV REV BDS (2 bonds)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.10	NEW YORK ST DORM AUTH ST PERS INCOME	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.11	OSAGE SCH LAKE OZARK MO GO SCH BDS SER. C	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.12	UNIVERSITY VA UNIV REVS GEN REV PLEDGE	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	VIRGINIA ST RES AUTH INFRASTRUCTURE REV	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.14	VIRGINIA ST PUB SCH AUTH SCH FING REF	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.15	US bank money market acct	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2.16	PENNSYLVANIA ST GO BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.17	CONNECTICUT ST SPL TAX OBLIG REV	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.18	UPPER OCCOQUAN SEW AUTH VA	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.19	BROWARD CNTY FLA SCH BRD	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.20	REGIONAL TRANSN AUTH ILL GO BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.21	NEW MEXICO ST SEVERANCE TAX	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.22	MIAMI -DADE CNTY FLA GO REF BDS	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.23	TYLER TEX INDPT SCH DIST	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.24	MISS ST UNIV EDL BLDG CORP REV BD	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.25	ARLINGTON CNTY VA INDL DEV AUTH REV	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.26	HAMPTON ROADS VA TRANS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.27	ALEXANDRIA VA GO REF BDS SER. 2017	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.28	NEW MEXICO FIN AUTH REV BDS SER. 2017	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.29	MIAMI-DADE CNTY FLA TRAN SYS SALES	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
2.30	FLORIDA ST BRD ED LOTTERY REV REF BDS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.31	RICHMOND VA GO PUB IMPT REF BDS SER. +	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.32	VIRGINIA COMMONWEALTH TRANSN BRD	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
2.33	MARICOPA CNTY ARIZ INDL DEV AUTH HOSP +	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.34	CONNECTICUT ST GO BDS SER. 2019	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.35	CHESTERFIELD CNTY VA GO PUB IMPT BDS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.36	UNITED STATES TREAS NTS NOTE	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
2.37	PALM BEACH CNTY FLA HEALTH FACS AUTH +	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.38	SUGAR LAND TEX 4B CORP SALES TAX REV +	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.39	NORFOLK VA GO REF BDS SER.2010 SER	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.40	ILLINOIS FIN AUTH REV REV BDS	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.41	POQUOSON VA GO REF BDS SER.2012	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.42	SALT RIV PROJ AGRIC IMPT & PWR DIST	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.43	MONTGOMERY ALA GO REF WTS SER.	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.44	COLORADO ST CTFS PARTN NATL WESTN CTR	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.45	AUBURN ALA WTR WKS BRD WTR B REV BDS SER.	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3	US Bank Accounts	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
4	US Bank Savings Acct	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
5	Columbia Global Equity Value Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6	JP Morgan Strategic Income Fund (JSOCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Gabelli Asset Fund (GABAX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
8	Deutsche Global Int'l Fund (SCOBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	Janus Global Research (JANWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Janus Research Fund (JNRFX) (previously identified as Janus Fund)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	Vanguard Intermediate Tax Exempt Bond Fd	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	Vanguard Windsor II Fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Virginia College Prepaid Savings Plan	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	America Funds VCSP Money Market fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
15	Northwest Mutual Whole Life Policy	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16	US Savings Bonds	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
17	TCF Bank CD	N/A	None (or less than \$1,001)		\$1,001 - \$2,500

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	MONTGOMERY ALA GO REF WTS SER.	Purchase	03/10/2020	\$100,001 - \$250,000
2	AUBURN ALA WTR WKS BRD WTR REV BDS SER.	Purchase	03/26/2020	\$100,001 - \$250,000
3	SEATTLE WASH MUN LT & PWR REV IMPT BD	Purchase	03/04/2020	\$50,001 - \$100,000
4	LA PORTE TEX INDPT SCH DIST UNLTD TAX	Purchase	03/05/2020	\$100,001 - \$250,000
5	VIRGINIA ST RES AUTH INFRASTRUCTURE REV BDS	Purchase	02/27/2020	\$50,001 - \$100,000
6	WESTERVILLE OHIO CITY SCH DIST GO	Purchase	03/11/2020	\$100,001 - \$250,000
7	SPOTSYLVANIA CNTY VA GO PUB IMPT AND REF	Purchase	02/26/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	VIRGINIA ST PUB SCH AUTH SCH FING SCH	Purchase	02/24/2020	\$100,001 - \$250,000
9	FAIRFAX CNTY VA GO BDS SER.SERIES 2011A	Sale	04/01/2020	\$50,001 - \$100,000
10	SEATTLE WASH MUN LT & PWR REV IMPT	Sale	04/01/2020	\$15,001 - \$50,000
11	VIRGINIA ST PUB SCH AUTH SCH FING SCH	Sale	04/01/2020	\$50,001 - \$100,000
12	LA PORTE TEX INDPT SCH DIST UNLTD TAX	Sale	04/01/2020	\$100,001 - \$250,000
13	WESTERVILLE OHIO CITY SCH DIST GO	Sale	04/01/2020	\$100,001 - \$250,000
14	SPOTSYLVANIA CNTY VA GO PUB IMPT	Sale	04/01/2020	\$50,001 - \$100,000
15	FORT BEND TEX INDPT SCH DIST UNLTD	Purchase	08/26/2020	\$100,001 - \$250,000
16	NORFOLK VA GO REF BDS SER.2010 SER f	Sale	08/07/2020	\$50,001 - \$100,000
17	COLORADO ST CTFS PARTN NATL WESTN CTR 05.00000% 09/01/2031 LEASE PUR FIN PROG COPS SER. 2020A	Purchase	10/14/2020	\$100,001 - \$250,000
18	ARLINGTON CNTY VA GO BDS SER. 2013A 04.00000% 08/01/2030	Sale	10/07/2020	\$100,001 - \$250,000
19	ASG MANAGED FUTURES STRATEGY a FUND CL Y	Sale	02/19/2020	\$15,001 - \$50,000
20	ATHENA BEHAVIORAL TACTICAL FD CL I	Sale	02/19/2020	\$250,001 - \$500,000
21	Baron Real Estate Income Fund Retail Class Shares (BRIFX)	Sale	02/19/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	DIAMOND HILL LONG/SHRT FUND	Sale	02/19/2020	\$15,001 - \$50,000
23	PIMCO All Asset Fund Institutional Class Shares (PAAIX)	Sale	02/19/2020	\$250,001 - \$500,000
24	WCM FOCUSED INTL GROWTH FUND INSTL	Sale	02/19/2020	\$50,001 - \$100,000
25	WILLIAM BLAIR MACRO ALLOCATION		02/19/2020	\$100,001 - \$250,000
26	ALGER CAPITAL APPRECIATION CL Z		02/20/2020	\$100,001 - \$250,000
27	CAMBIAR OPPORTUNITY - INSTITUTIONAL+	Purchase		\$100,001 - \$250,000
28	CONGRESS MID CAP GROWTH INSTL	Purchase	02/20/2020	\$250,001 - \$500,000
29	Deer Park Total Return Credit Fund Class C Shares (DPFCX)	Purchase	02/20/2020	\$50,001 - \$100,000
30	DRIEHAUS INTERNAT'L SMALL CAP GROWTH FD+	Purchase	02/20/2020	\$50,001 - \$100,000
31	INVESCO OPPENHEIMER DEVELOPING MRKTS	Purchase	02/20/2020	\$50,001 - \$100,000
32	ISHARES TR COHEN STEER REIT	Sale	02/20/2020	\$50,001 - \$100,000
33	STERLING CAPITAL EQUITY INCOME CL I	Purchase	02/20/2020	\$50,001 - \$100,000
34	TOUCHSTONE SMALL CAP FUND CL	Purchase	02/20/2020	\$100,001 - \$250,000
35	WASATCH EMERGING MARKTS SM CAP INSTL +	Purchase	02/20/2020	\$15,001 - \$50,000
36	ISHARES CORE S&P MID-CAP ETF	Purchase	02/21/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	ISHARES MSCI EAFE ETF	Purchase	02/21/2020	\$15,001 - \$50,000
38	iShares Russell 2000 ETF (IWM)	Purchase		\$15,001 - \$50,000
39	ISHARES TRUST MSCI EMG MKTS ETF	Purchase	02/21/2020	\$15,001 - \$50,000
40	Alger Capital Appreciation Fund Class Z Shares (ACAZX)	Purchase	04/02/2020	\$15,001 - \$50,000
41	ASG MANAGED FUTURES STRATEGY FUND CL Y	Sale	04/02/2020	\$100,001 - \$250,000
42	BARON REAL ESTATE FUND INSTITUTIONAL+	Purchase	04/02/2020	\$15,001 - \$50,000
43	CAMBIAR OPPORTUNITY - INSTITUTIONAL+	Purchase	04/02/2020	\$50,001 - \$100,000
44	CONGRESS MID CAP GROWTH INSTL+	Purchase	04/02/2020	\$15,001 - \$50,000
45	DIAMOND HILL LONG/SHRT FUND CL I+	Purchase	04/02/2020	\$15,001 - \$50,000
46	DRIEHAUS INTERNAT'L SMALL CAP GROWTH FD	Purchase	04/02/2020	\$15,001 - \$50,000
47	GOLDMAN SACHS HI YIELD MUNI INSTL	Sale	04/02/2020	\$15,001 - \$50,000
48	INVESCO OPPENHEIMER DEVELOPING MRKTS R6	Purchase	04/02/2020	\$1,001 - \$15,000
49	STERLING CAPITAL EQUITY INCOME CL I	Purchase		\$250,001 - \$500,000
50	TOUCHSTONE SMALL CAP FUND CL I+	Purchase	04/02/2020	\$50,001 - \$100,000
51	WASATCH EMERGING MARKTS SM CAP INSTL	Purchase	04/02/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	WASATCH EMERGING MARKTS SM CAP INSTL	Purchase	04/02/2020	\$15,001 - \$50,000
53	WILLIAM BLAIR MACRO ALLOCATION a FUND CL I	Sale	04/02/2020	\$15,001 - \$50,000
54	ISHARES CORE S&P MID-CAP ETF	Purchase	04/03/2020	\$15,001 - \$50,000
55	iShares Core MSCI EAFE ETF (IEFA)	Purchase	04/03/2020	\$50,001 - \$100,000
56	ISHARES RUSSELL 2000 ETF	Purchase	04/03/2020	\$50,001 - \$100,000
57	ISHARES TR COHEN STEER REIT	Purchase	04/03/2020	\$15,001 - \$50,000
58	ISHARES TRUST MSCI EMG MKTS ETF USD DIS	Purchase	04/03/2020	\$15,001 - \$50,000
59	DEER PARK TOTAL RETURN CREDIT FUND	Sale	02/19/2020	\$100,001 - \$250,000
60	ALGER FOCUS EQUITY CL Z+ CONF:20050J6KFR	Purchase	02/20/2020	\$15,001 - \$50,000
61	DOUBLELINE TOTAL RETURN BOND FD CL I +	Purchase	02/20/2020	\$50,001 - \$100,000
62	iShares TIPS Bond ETF (TIP)	Sale	02/20/2020	\$500,001 - \$1,000,000
63	STERLING CAPITAL EQUITY INCOME CL	Purchase	02/20/2020	\$15,001 - \$50,000
64	WCM FOCUSED INTL GROWTH FUND INSTL +	Purchase	02/20/2020	\$15,001 - \$50,000
65	WILLIAM BLAIR MACRO ALLOCATION FUND CL	Purchase	02/20/2020	\$50,001 - \$100,000
66	ISHARES CORE S&P TOTAL US STOCK	Purchase	02/20/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
67	ISHARES CORE S&P 500 ETF	Purchase	02/21/2020	\$50,001 - \$100,000
68	ISHARES EDGE MSCI USA QUALITY	Purchase	02/21/2020	\$15,001 - \$50,000
69	ISHARES EDGE MSCI MIN VOL USA ETF	Purchase	02/21/2020	\$1,001 - \$15,000
70	ISHARES EDGE MSCI USA SIZE FACTOR ETF	Purchase	02/21/2020	\$1,001 - \$15,000
71	ISHARES GLOBAL TECH ETF	Purchase	02/21/2020	\$1,001 - \$15,000
72	ISHARES INC CORE MSCI EMERGING MKTS	Purchase	02/21/2020	\$1,001 - \$15,000
73	ISHARES INC ESG MSCI EM ETF	Purchase	02/21/2020	\$1,001 - \$15,000
74	ISHARES TR ESG MSCI USA ETF	Purchase	02/21/2020	\$15,001 - \$50,000
75	ISHARES TR INTRM TR CRP ETF	Purchase	02/21/2020	\$1,001 - \$15,000
76	ISHARES TR MBS ETF	Purchase	02/21/2020	\$1,001 - \$15,000
77	ISHARES TR US TREAS BD ETF	Purchase	02/21/2020	\$15,001 - \$50,000
78	ISHARES TR 20 YR TR BD ETF	Purchase	02/21/2020	\$1,001 - \$15,000
79	ISHARES TRUST CORE MSCI EAFE ETF	Purchase	02/21/2020	\$15,001 - \$50,000
80	ISHARES TRUST 0-5YR HIGH YIELD	Purchase	02/21/2020	\$1,001 - \$15,000
81	ISHARES U S ETF TR SHT MAT BD ETF	Purchase	02/21/2020	\$1,001 - \$15,000
82	ISHARES CORE S&P 500 ETF	Purchase	03/16/2020	\$1,001 - \$15,000
83	ISHARES EDGE MSCI USA QUALITY	Purchase	03/16/2020	\$1,001 - \$15,000
84	ISHARES INC CORE MSCI EMERGING MKTS	Purchase	03/16/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
85	ISHARES TR ESG MSCI USA ETF	Purchase	03/16/2020	\$1,001 - \$15,000
86	ISHARES TR US TREAS BD ETF	Purchase	03/16/2020	\$1,001 - \$15,000
87	ISHARES TR 20 YR TR BD ETF	Purchase	03/16/2020	\$1,001 - \$15,000
88	ISHARES TRUST CORE MSCI EAFE ETF	Purchase	03/16/2020	\$1,001 - \$15,000
89	ISHARES U S ETF TR SHT MAT BD ETF	Purchase	03/16/2020	\$1,001 - \$15,000
90	ISHARES CORE S&P TOTAL US STOCK	Purchase	04/14/2020	\$1,001 - \$15,000
91	ISHARES CORE S&P 500 ETF	Sale	04/14/2020	\$1,001 - \$15,000
92	ISHARES EDGE MSCI USA QUALITY	Sale	04/14/2020	\$15,001 - \$50,000
93	ISHARES EDGE MSCI MIN VOL USA ETF	Sale	04/14/2020	\$1,001 - \$15,000
94	ISHARES EDGE MSCI USA VALUE FACTOR ETF	Purchase	04/14/2020	\$1,001 - \$15,000
95	ISHARES IBOX INVESTMENT GRADE	Purchase	04/14/2020	\$15,001 - \$50,000
96	ISHARES INC CORE MSCI EMERGING MKTS	Sale	04/14/2020	\$1,001 - \$15,000
97	ISHARES INC ESG MSCI EM ETF	Purchase	04/14/2020	\$1,001 - \$15,000
98	ISHARES TR EAFE GRWTH ETF	Purchase	04/14/2020	\$15,001 - \$50,000
99	ISHARES TR ESG MSCI USA ETF	Purchase	04/14/2020	\$15,001 - \$50,000
100	ISHARES TR INTRM TR CRP ETF	Sale	04/14/2020	\$1,001 - \$15,000
101	ISHARES TR MBS ETF	Sale	04/14/2020	\$1,001 - \$15,000
102	ISHARES TR MBS ETF	Sale	04/14/2020	\$1,001 - \$15,000
103	ISHARES TR SH TR CRPORT ETF	Purchase	04/14/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
104	ISHARES TR U.S. MED DVC ETF	Purchase	04/14/2020	\$1,001 - \$15,000
105	ISHARES TR US TREAS BD ETF	Sale	04/14/2020	\$15,001 - \$50,000
106	ISHARES TR 20 YR TR BD ETF	Sale	04/14/2020	\$1,001 - \$15,000
107	ISHARES TRUST CORE MSCI EAFE ETF	Sale	04/14/2020	\$15,001 - \$50,000
108	ISHARES CORE S&P 500 ETF	Sale	06/09/2020	\$1,001 - \$15,000
109	ISHARES CORE S&P SMALL-CAP E	Purchase		\$1,001 - \$15,000
110	ISHARES EDGE MSCI USA VALUE FACTOR ETF	Purchase	06/09/2020	\$1,001 - \$15,000
111	ISHARES IBOXX INVESTMENT GRADE	Purchase	06/09/2020	\$1,001 - \$15,000
112	ISHARES INC ESG MSCI EM ETF	Sale	06/09/2020	\$1,001 - \$15,000
113	ISHARES TR ESG MSCI USA ETF	Sale	06/09/2020	\$1,001 - \$15,000
114	ISHARES TR SH TR CRPORT ETF	Sale	06/09/2020	\$1,001 - \$15,000
115	ISHARES TR US TREAS BD ETF	Purchase	06/09/2020	\$1,001 - \$15,000
116	ISHARES TRUST CORE MSCI EAFE ETF	Purchase	06/09/2020	\$1,001 - \$15,000
117	ISHARES U S FINANCIAL SERVICES	Purchase	06/09/2020	\$1,001 - \$15,000
118	ISHARES U S ETF TR SHT MAT BD ETF	Sale	06/09/2020	\$1,001 - \$15,000
119	ISHARES CORE S&P SMALL-CAP E	Sale	10/09/2020	\$1,001 - \$15,000
120	ISHARES IBOXX \$ INVESTMENT GRADE	Sale	10/09/2020	\$1,001 - \$15,000
121	ISHARES INC ESG AWR MSCI EM	Purchase	10/09/2020	\$1,001 - \$15,000
122	ISHARES S&P GLOBAL TECHNOLOGY	Sale	10/09/2020	\$1,001 - \$15,000
123	ISHARES TR EAFE GRWTH ETF	Sale	10/09/2020	\$1,001 - \$15,000
124	ISHARES TR ESG AWR MSCI USA	Purchase	10/09/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
125	ISHARES TR MBS ETF AVERAGE PRICE TRADE	Purchase	10/09/2020	\$1,001 - \$15,000
126	ISHARES TR US TREAS BD ETF	Sale	10/09/2020	\$1,001 - \$15,000
127	ISHARES TRUST CORE MSCI EAFE ETF	Sale	10/09/2020	\$1,001 - \$15,000
128	ISHARES TRUST DOW JONES UNITED STATES	Sale	10/09/2020	\$1,001 - \$15,000
129	ISHARES U S ETF TR SHT MAT BD ETF	Sale	10/09/2020	\$1,001 - \$15,000
130	ISHARES S&P 500	Purchase	11/11/2020	\$1,001 - \$15,000
131	ISHARES TR US TREAS BD ETF	Sale	11/10/2020	\$1,001 - \$15,000

## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

None

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## Endnotes

# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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

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

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