Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Emanuel, William

Board Member, National Labor Relations Board

Report Year: 2021

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/ Emanuel, William [electronically signed on 05/13/2021 by Emanuel, William 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).

Other review conducted by

U.S. Office of Government Ethics Certification
Certification Declined on 9/13/21 by Granahan, Megan.

Data Revised 09/13/2021

Data Revised 08/31/2021

Data Revised 06/07/2021

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(08/31/2021, Burow, Kathryn): This report has not been certified because the NLRB’s Inspector General substantiated an allegation that Mr. Emanuel participated in matters in which he had a conflicting financial interest.
N/A	N/A	General	(09/13/2021, Granahan, Megan): Decline to certify based on information provided in Agency's public annotation declination statement.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Emanuel Family Trust	Los Angeles, California	Trust	Trustee	9/2007	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	UBS Retirement Account	N/A		Cash distributions	$2,250
1.1	UBS Money Market Deposit Account	N/A	$100,001 - $250,000		None (or less than $201)
1.2	Energy Select Sector SPDR Fund (XLE)	Yes	$50,001 - $100,000		None (or less than $201)
1.3	Financial Select Sector SPDR Fund (XLF)	Yes	$15,001 - $50,000		None (or less than $201)
1.4	First Trust NYSE Arca Biotechnology Index Fund (FBT)	Yes	$50,001 - $100,000		None (or less than $201)
1.5	Health Care Select Sector SPDR Fund (XLV)	Yes	$100,001 - $250,000		None (or less than $201)
1.6	Industrial Select Sector SPDR Fund (XLI)	Yes	$100,001 - $250,000		None (or less than $201)
1.7	iShares Russell 2000 ETF (IWM)	Yes	$50,001 - $100,000		None (or less than $201)
1.8	iShares S&P 500 Value ETF (IVE)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	iShares Russell 1000 Value ETF (IWD)	Yes	$100,001 - $250,000		None (or less than $201)
1.10	iShares Russell 2000 Value ETF (IWN)	Yes	$15,001 - $50,000		None (or less than $201)
1.11	iShares PHLX Semiconductor ETF (SOXX)	Yes	$50,001 - $100,000		None (or less than $201)
1.12	iShares Transportation Average ETF (IYT)	Yes	$15,001 - $50,000		None (or less than $201)
1.13	iShares US Home Construction ETF (ITB)	Yes	$100,001 - $250,000		None (or less than $201)
1.14	Materials Select Sector SPDR Fund (XLB)	Yes	$15,001 - $50,000		None (or less than $201)
1.15	SPDR S&P Biotech ETF (XBI)	Yes	$15,001 - $50,000		None (or less than $201)
1.16	SPDR S&P Regional Banking ETF (KRE)	Yes	$1,001 - $15,000		None (or less than $201)
1.17	Utilities Select Sector SPDR Fund (XLU)	Yes	$15,001 - $50,000		None (or less than $201)
1.18	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	$1,001 - $15,000		None (or less than $201)
1.19	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	$250,001 - $500,000		None (or less than $201)
1.20	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	$100,001 - $250,000		None (or less than $201)
1.21	First Trust Low Duration Opportunities ETF (LMBS)	Yes	$100,001 - $250,000		None (or less than $201)
1.22	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	$100,001 - $250,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.23	iShares TIPS Bond ETF (TIP)	Yes	$100,001 - $250,000		None (or less than $201)
1.24	iShares Short-Term Corporate Bond ETF (IGSB)	Yes	$100,001 - $250,000		None (or less than $201)
1.25	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	$15,001 - $50,000		None (or less than $201)
1.26	JPMorgan Ultra-Short Income ETF (JPST)	Yes	$250,001 - $500,000		None (or less than $201)
1.27	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Yes	$100,001 - $250,000		None (or less than $201)
1.28	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Yes	$100,001 - $250,000		None (or less than $201)
1.29	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	$100,001 - $250,000		None (or less than $201)
2	Jones Day Qualified Defined Benefit Plan (value not readily ascertainable)	N/A		Retirement Payments (Annual)	$9,564

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Jones Day Qualified Defined Benefit Plan	Los Angeles, California	I will continue to participate in this defined benefit plan.	1/1998

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	SEP IRA	No		cash distribution	$4,204
1.1	iShares 7-10 Year Treasury Bond ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.2	iShares 1-3 Year Treasury Bond ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.3	iShares MSCI Emerging Markets	Yes	$1,001 - $15,000		None (or less than $201)
1.4	iShares Russell Midcap	Yes	$1,001 - $15,000		None (or less than $201)
1.5	Energy Select Sector SPDR Fund (XLE)	Yes	$1,001 - $15,000		None (or less than $201)
1.6	Financial Select Sector SPDR Fund (XLF)	Yes	$1,001 - $15,000		None (or less than $201)
1.7	Health Care Select Sector SPDR Fund (XLV)	Yes	$1,001 - $15,000		None (or less than $201)
1.8	Industrial Select Sector SPDR Fund (XLI)	Yes	$1,001 - $15,000		None (or less than $201)
1.9	iShares S&P 500 Value ETF (IVE)	Yes	$1,001 - $15,000		None (or less than $201)
1.10	iShares PHLX Semiconductor ETF (SOXX)	Yes	$1,001 - $15,000		None (or less than $201)
1.11	iShares Transportation Average ETF (IYT)	Yes	$1,001 - $15,000		None (or less than $201)
1.12	iShares US Home Construction ETF (ITB)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	Materials Select Sector SPDR Fund (XLB)	Yes	$1,001 - $15,000		None (or less than $201)
1.14	SPDR S&P Biotech ETF (XBI)	Yes	$1,001 - $15,000		None (or less than $201)
1.15	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	$1,001 - $15,000		None (or less than $201)
1.16	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	$1,001 - $15,000		$201 - $1,000
1.17	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	$1,001 - $15,000		None (or less than $201)
1.18	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	$1,001 - $15,000		None (or less than $201)
1.19	CASH	No	$1,001 - $15,000		None (or less than $201)
1.20	Vanguard Short-Term Corporate Bond	Yes	$1,001 - $15,000		None (or less than $201)
1.21	IShares Trust iShares 1-5 Year Invt Grade Corporate Bond ETF	Yes	$1,001 - $15,000		None (or less than $201)
1.22	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	$1,001 - $15,000		None (or less than $201)
1.23	iShares Russell 2000 ETF (IWM)	Yes	$1,001 - $15,000		None (or less than $201)
1.24	iShares Russell 1000 Value ETF (IWD)	Yes	$1,001 - $15,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	602 Santa Monica Partners LP	See Endnote	No	$1,001 - $15,000	Limited partnership distribution	$357
2	U. S. bank account (cash)		N/A	$100,001 - $250,000	Interest	None (or less than $201)
3	The Emanuel Family Trust DTD		No		Distributions	$22,800
3.1	UBS Money Market Deposit Account		N/A	$50,001 - $100,000		None (or less than $201)
3.2	Vanguard Mid-Cap ETF		Yes	$50,001 - $100,000		$201 - $1,000
3.3	Vanguard S&P 500 ETF		Yes	$100,001 - $250,000		$15,001 - $50,000
3.4	JP Morgan USD Emerging Market Bond		Yes	$15,001 - $50,000		$201 - $1,000
3.5	Financial Select Sector SPDR Fund (XLF)		Yes	$15,001 - $50,000		$2,501 - $5,000
3.6	First Trust NYSE Arca Biotechnology Index Fund (FBT)		Yes	$15,001 - $50,000		$201 - $1,000
3.7	Industrial Select Sector SPDR Fund (XLI)		Yes	$50,001 - $100,000		$5,001 - $15,000
3.8	Health Care Select Sector SPDR Fund (XLV)		Yes	$100,001 - $250,000		$15,001 - $50,000
3.9	iShares Russell 2000 ETF (IWM)		Yes	$50,001 - $100,000		$5,001 - $15,000
3.10	iShares Russell 1000 Value ETF (IWD)		Yes	$100,001 - $250,000		$15,001 - $50,000
3.11	iShares Russell 2000 Value ETF (IWN)		Yes	$15,001 - $50,000		$2,501 - $5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	iShares PHLX Semiconductor ETF (SOXX)	Yes	$50,001 - $100,000		$15,001 - $50,000
3.13	iShares Transportation Average ETF (IYT)	Yes	$15,001 - $50,000		$2,501 - $5,000
3.14	iShares US Home Construction ETF (ITB)	Yes	$50,001 - $100,000		$2,501 - $5,000
3.15	Materials Select Sector SPDR Fund (XLB)	Yes	$15,001 - $50,000		$2,501 - $5,000
3.16	SPDR S&P Biotech ETF (XBI)	Yes	$50,001 - $100,000		$5,001 - $15,000
3.17	SPDR S&P Regional Banking ETF (KRE)	Yes	$1,001 - $15,000		None (or less than $201)
3.18	Utilities Select Sector SPDR Fund (XLU)	Yes	$1,001 - $15,000		$1,001 - $2,500
3.19	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	$15,001 - $50,000		$1,001 - $2,500
3.20	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	$100,001 - $250,000		$15,001 - $50,000
3.21	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	$100,001 - $250,000		$15,001 - $50,000
3.22	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	$15,001 - $50,000		$5,001 - $15,000
3.23	iShares TIPS Bond ETF (TIP)	Yes	$50,001 - $100,000		$2,501 - $5,000
3.24	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	$15,001 - $50,000		None (or less than $201)
3.25	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Yes	$50,001 - $100,000		$201 - $1,000
3.26	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Yes	$100,001 - $250,000		$201 - $1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.27	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)		Yes	$15,001 - $50,000		None (or less than $201)
3.28	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)		Yes	$500,001 - $1,000,000		$50,001 - $100,000
3.29	SPDR Gold Shares (GLD)		Yes	$1,001 - $15,000		None (or less than $201)
3.30	IShares Trust 1-5 INVT Grade Corp Bond (IGSB)	See Endnote	N/A	$100,001 - $250,000		$1,001 - $2,500
3.31	JP Morgan Ultra-Short Income ETF		N/A	$15,001 - $50,000		$201 - $1,000
3.32	Consumer Staples Select Sector SPDR Fund (XLP)		Yes	None (or less than $1,001)		$201 - $1,000
4	Resource Management Joint Account	See Endnote	No		Cash Distribution	$68,400
4.1	Vanguard High-Yield Corporate Admiral Shares		Yes	None (or less than $1,001)		$1,001 - $2,500
4.2	Vanguard FTSE Developed Markets ETF		Yes	None (or less than $1,001)		$1,001 - $2,500
4.3	Vanguard Real Estate ETF		Yes	None (or less than $1,001)		$1,001 - $2,500
4.4	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)		Yes	None (or less than $1,001)		$15,001 - $50,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Energy Select Sector SPDR Fund (XLE)	Purchase	05/20/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	Energy Select Sector SPDR Fund (XLE)	Purchase	05/22/2020	$15,001 - $50,000
3	Energy Select Sector SPDR Fund (XLE)	Purchase	05/27/2020	$1,001 - $15,000
4	Financial Select Sector SPDR Fund (XLF)	Purchase	11/09/2020	$15,001 - $50,000
5	First Trust NYSE Arca Biotechnology Index Fund (FBT)	Purchase	06/29/2020	$15,001 - $50,000
6	Health Care Select Sector SPDR Fund (XLV)	Purchase	03/05/2020	$100,001 - $250,000
7	Health Care Select Sector SPDR Fund (XLV)	Purchase	04/06/2020	$1,001 - $15,000
8	Health Care Select Sector SPDR Fund (XLV)	Purchase	04/21/2020	$15,001 - $50,000
9	Industrial Select Sector SPDR Fund (XLI)	Purchase	08/06/2020	$1,001 - $15,000
10	Industrial Select Sector SPDR Fund (XLI)	Purchase	08/12/2020	$15,001 - $50,000
11	Industrial Select Sector SPDR Fund (XLI)	Purchase	08/27/2020	$1,001 - $15,000
12	Industrial Select Sector SPDR Fund (XLI)	Purchase	09/04/2020	$50,001 - $100,000
13	iShares Russell 2000 ETF (IWM)	Purchase	11/03/2020	$15,001 - $50,000
14	iShares Russell 2000 ETF (IWM)	Purchase	11/12/2020	$15,001 - $50,000
15	iShares Russell 2000 ETF (IWM)	Purchase	12/12/2020	$1,001 - $15,000
16	iShares S&P 500 Value ETF (IVE)	Purchase	11/23/2020	$1,001 - $15,000
17	iShares Russell 2000 Value ETF (IWN)	Purchase	11/16/2020	$1,001 - $15,000
18	iShares Russell 2000 Value ETF (IWN)	Purchase	11/23/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
19	iShares Russell 1000 Value ETF (IWD)	Purchase	04/29/2020	$15,001 - $50,000
20	American Electric Power Co., Inc. (AEP)	Purchase	03/02/2020	$1,001 - $15,000
21	Blackstone Group Inc CL A	Purchase	03/02/2020	$15,001 - $50,000
22	Medical Properties Trust Inc REIT	Purchase	03/02/2020	$1,001 - $15,000
23	Micron Technology, Inc. (MU)	Purchase	03/02/2020	$1,001 - $15,000
24	NVIDIA Corp. (NVDA)	Purchase	03/02/2020	$1,001 - $15,000
25	Zoetis, Inc. (ZTS)	Purchase	03/02/2020	$1,001 - $15,000
26	American Electric Power Co., Inc. (AEP)	Purchase	03/05/2020	$15,001 - $50,000
27	PepsiCo, Inc. (PEP)	Purchase	03/03/2020	$15,001 - $50,000
28	Thermo Fisher Scientific, Inc. (TMO)	Purchase	03/03/2020	$1,001 - $15,000
29	American Electric Power Co., Inc. (AEP)	Sale	03/05/2020	$15,001 - $50,000
30	Blackstone Group Inc Cl A	Sale	03/05/2020	$15,001 - $50,000
31	Medical Properties Trust, Inc. (MPW)	Sale	03/05/2020	$1,001 - $15,000
32	Micron Technology, Inc. (MU)	Sale	03/05/2020	$1,001 - $15,000
33	NVIDIA Corp. (NVDA)	Sale	03/05/2020	$1,001 - $15,000
34	PepsiCo, Inc. (PEP)	Sale	03/05/2020	$15,001 - $50,000
35	SPDR Gold Shares (GLD)	Purchase	03/05/2020	$15,001 - $50,000
36	Thermo Fisher Scientific, Inc. (TMO)	Sale	03/05/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	03/05/2020	$100,001 - $250,000
38	Zoetis, Inc. (ZTS)	Sale	03/05/2020	$1,001 - $15,000
39	Utilities Select Sector SPDR Fund (XLU)	Purchase	03/06/2020	$15,001 - $50,000
40	Utilities Select Sector SPDR Fund (XLU)	Purchase	03/09/2020	$1,001 - $15,000
41	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	03/09/2020	$15,001 - $50,000
42	Vanguard High-Yield Corporate Fund Admiral Shares (VWEAX)	Sale	03/09/2020	$100,001 - $250,000
43	SPDR S&P 500 ETF Trust (SPY)	Sale	03/18/2020	$100,001 - $250,000
44	iShares 1-3 Year Treasury Bond ETF (SHY)	Purchase	03/19/2020	$50,001 - $100,000
45	Utilities Select Sector SPDR Fund (XLU)	Purchase	03/19/2020	$1,001 - $15,000
46	vanguard Consumer Discretionary ETF	Purchase	03/19/2020	$1,001 - $15,000
47	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	03/19/2020	$15,001 - $50,000
48	iShares Short Treasury Bond ETF (SHV)	Purchase	03/20/2020	$50,001 - $100,000
49	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	03/24/2020	$15,001 - $50,000
50	Driehaus Active Income Fund (LCMAX)	Purchase	03/27/2020	$1,001 - $15,000
51	Vanguard Consumer Discretionary ETF	Purchase	03/31/2020	$1,001 - $15,000
52	Driehaus Active Income Fund (LCMAX)	Sale	04/01/2020	$100,001 - $250,000
53	Eaton Vance Global Macro Absolute Return Fund	Sale	04/01/2020	$100,001 - $250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
54	iShares 1-3 Year Treasury Bond ETF (SHY)	Purchase	04/01/2020	$1,001 - $15,000
55	SPDR S&P 500 ETF Trust (SPY)	Sale	04/01/2020	$50,001 - $100,000
56	Utilities Select Sector SPDR Fund (XLU)	Purchase	04/01/2020	$1,001 - $15,000
57	Vanguard FTSE Developed MKT ETF	Sale	04/01/2020	$1,001 - $15,000
58	Vanguard FTSE Developed MKT ETF	Sale	04/01/2020	$1,001 - $15,000
59	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	04/01/2020	$15,001 - $50,000
60	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Sale	04/01/2020	$15,001 - $50,000
61	Vanguard Short-Term Bond ETF	Purchase	04/01/2020	$15,001 - $50,000
62	Health Care Select Sector SPDR Fund (XLV)	Purchase	04/06/2020	$1,001 - $15,000
63	iShares 1-3 Year Treasury Bond ETF (SHY)	Purchase	04/06/2020	$100,001 - $250,000
64	ishares Core U.S. Aggregate Bond ETF	Sale	04/06/2020	$50,001 - $100,000
65	iShares Short Treasury Bond ETF (SHV)	Purchase	04/06/2020	$100,001 - $250,000
66	iShares Short-Term Corporate Bond ETF (IGSB)	Purchase	04/06/2020	$100,001 - $250,000
67	SPDR S&P 500 ETF Trust (SPY)	Sale	04/06/2020	$50,001 - $100,000
68	Utilities Select Sector SPDR Fund (XLU)	Purchase	04/06/2020	$1,001 - $15,000
69	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	04/06/2020	$1,001 - $15,000
70	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	04/06/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
71	Vanguard Short-Term Corporate Bond Index Fund Institutional Class Shares (VSTBX)	Purchase	04/06/2020	$50,001 - $100,000
72	Vanguard Small-Cap ETF	Sale	04/06/2020	$15,001 - $50,000
73	IShares Short-Term Corporate Bond ETF	Purchase	04/09/2020	$1,001 - $15,000
74	SPDR Gold Shares ETF	Sale	04/13/2020	$15,001 - $50,000
75	Vanguard FTSE Emerging Markets ETF	Sale	04/16/2020	$15,001 - $50,000
76	Health Care Select Sector SPDR Fund (XLV)	Purchase	04/21/2020	$15,001 - $50,000
77	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Sale	04/21/2020	$50,001 - $100,000
78	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	04/21/2020	$50,001 - $100,000
79	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	04/24/2020	$15,001 - $50,000
80	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	04/30/2020	$15,001 - $50,000
81	iShares Russell 1000 Value ETF (IWD)	Purchase	04/29/2020	$15,001 - $50,000
82	iShares Short Treasury Bond ETF (SHV)	Sale	04/30/2020	$15,001 - $50,000
83	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	05/04/2020	$15,001 - $50,000
84	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	05/18/2020	$15,001 - $50,000
85	iShares Russell 1000 ETF (IWB)	Purchase	05/18/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
86	Ishares Core U.S. Aggregate Bond ETF	Sale	05/20/2020	$500,001 - $1,000,000
87	iShares Russell 1000 ETF (IWB)	Purchase	05/20/2020	$100,001 - $250,000
88	iShares Short-Term Corporate Bond ETF (IGSB)	Purchase	05/22/2020	$50,001 - $100,000
89	iShares Russell 1000 Value ETF (IWD)	Purchase	05/27/2020	$100,001 - $250,000
90	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Sale	05/27/2020	$15,001 - $50,000
91	Vanguard Short-Term Corporate Bond Index Fund Institutional Class Shares (VSTBX)	Purchase	05/28/2020	$50,001 - $100,000
92	First Trust Low Duration Mortgage Opportunities ETF	Purchase	05/28/2020	$100,001 - $250,000
93	iShares PHLX Semiconductor ETF (SOXX)	Purchase	05/28/2020	$15,001 - $50,000
94	iShares TIPS Bond ETF (TIP)	Purchase	05/28/2020	$100,001 - $250,000
95	SPDR Gold Shares ETF	Purchase	05/28/2020	$15,001 - $50,000
96	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	05/28/2020	$50,001 - $100,000
97	iShares PHLX Semiconductor ETF (SOXX)	Purchase	05/29/2020	$15,001 - $50,000
98	iShares Russell 1000 ETF (IWB)		05/29/2020	$1,001 - $15,000
99	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Sale	05/29/2020	$15,001 - $50,000
100	SPDR Gold Shares (GLD)	Sale	06/03/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
101	iShares TIPS Bond ETF (TIP)	Purchase	06/11/2020	$15,001 - $50,000
102	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	06/12/2020	$1,001 - $15,000
103	Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	06/12/2020	$15,001 - $50,000
104	Vanguard FTSE Developed MKT ETF	Sale	06/18/2020	$100,001 - $250,000
105	Vanguard FTSE Emerging Markets	Sale	06/18/2020	$100,001 - $250,000
106	iShares Russell 1000 Growth ETF (IWF)	Purchase	06/22/2020	$50,001 - $100,000
107	Utilities Select Sector SPDR Fund (XLU)	Sale	06/22/2020	$15,001 - $50,000
108	Vanguard Growth & Income Fund Investor Shares (VQNPX)	Purchase	06/24/2020	$50,001 - $100,000
109	First Trust NYSE Arca Biotechnology Index Fund (FBT)	Purchase	06/29/2020	$50,001 - $100,000
110	iShares Short-Term Corporate Bond ETF (IGSB)	Purchase	06/29/2020	$50,001 - $100,000
111	Vanguard Short-Term Corporate Bond Index Fund Institutional Class Shares (VSTBX)	Purchase	06/29/2020	$15,001 - $50,000
112	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Purchase	07/06/2020	$15,001 - $50,000
113	SPDR Gold Shares (GLD)	Purchase	07/07/2020	$1,001 - $15,000
114	SPDR S&P Biotech ETF (XBI)	Purchase	07/09/2020	$1,001 - $15,000
115	Consumer Staples Select Sector SPDR Fund (XLP)	Purchase	07/13/2020	$15,001 - $50,000
116	iShares Russell 1000 Growth ETF (IWF)	Sale	07/13/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
117	iShares Russell 1000 Value ETF (IWD)	Purchase	07/13/2020	$1,001 - $15,000
118	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Purchase	07/21/2020	$1,001 - $15,000
119	First Trust Low Duration Mortgage Opportunities ETF	Sale	07/22/2020	$15,001 - $50,000
120	iShares US Home Construction ETF (ITB)	Purchase	07/29/2020	$50,001 - $100,000
121	Vanguard Growth Index Fund ETF Class Shares (VUG)	Sale	07/29/2020	$15,001 - $50,000
122	SPDR S&P Biotech ETF (XBI)	Purchase	08/03/2020	$1,001 - $15,000
123	Industrial Select Sector SPDR Fund (XLI)	Purchase	08/06/2020	$1,001 - $15,000
124	iShares Russell 1000 Growth ETF (IWF)	Sale	08/06/2020	$15,001 - $50,000
125	IShares Transn Average ETF	Purchase	08/06/2020	$15,001 - $50,000
126	SPDR Gold Shares (GLD)	Purchase	08/06/2020	$1,001 - $15,000
127	iShares Russell 2000 ETF (IWM)	Purchase	08/10/2020	$1,001 - $15,000
128	iShares Russell 1000 Value ETF (IWD)	Purchase	08/10/2020	$1,001 - $15,000
129	Consumer Staples Select Sector SPDR Fund (XLP)	Purchase	08/12/2020	$15,001 - $50,000
130	Industrial Select Sector SPDR Fund (XLI)	Purchase	08/12/2020	$15,001 - $50,000
131	IShares Russeell 1000 ETF	Purchase	08/12/2020	$100,001 - $250,000
132	iShares Russell 2000 ETF (IWM)	Purchase	08/12/2020	$15,001 - $50,000
133	iShares Transportation Average ETF (IYT)	Purchase	08/12/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
134	JP Morgan Ultra-Shortt Income ETF	Purchase	08/12/2020	$15,001 - $50,000
135	SPDR S&P 500 ETF TR	Sale	08/12/2020	$250,001 - $500,000
136	SPDR S&P Biotech ETF (XBI)	Purchase	08/12/2020	$15,001 - $50,000
137	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Sale	08/26/2020	$15,001 - $50,000
138	Industrial Select Sector SPDR Fund (XLI)	Purchase	08/27/2020	$1,001 - $15,000
139	SPDR S&P Regl Banking ETF	Purchase	08/27/2020	$15,001 - $50,000
140	JP Morgan Ultra-Short Income	Purchase	08/27/2020	$15,001 - $50,000
141	Vanguard Real Estate ETF	Sale	08/31/2020	$50,001 - $100,000
142	iShares Russell 1000 Growth ETF (IWF)	Sale	09/03/2020	$15,001 - $50,000
143	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Sale	09/03/2020	$15,001 - $50,000
144	Vanguard Growth Index Fund ETF Class Shares (VUG)	Sale	09/03/2020	$50,001 - $100,000
145	Industrial Select Sector SPDR Fund (XLI)	Purchase	09/04/2020	$50,001 - $100,000
146	Vanguard Growth ETF	Purchase	09/08/2020	$1,001 - $15,000
147	SPDR S&P Biotech ETF (XBI)	Purchase	09/09/2020	$15,001 - $50,000
148	iShares US Home Construction ETF (ITB)	Purchase	09/10/2020	$50,001 - $100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
149	Ishares Russell 2000 ETF	Sale	09/23/2020	$15,001 - $50,000
150	Vanguard Growth ETF	Purchase	09/25/2020	$50,001 - $100,000
151	iShares Russell 1000 Value ETF (IWD)	Sale	10/05/2020	$50,001 - $100,000
152	JP Morgan Ultra-Short Income	Purchase	10/14/2020	$100,001 - $250,000
153	SPDR S&P Regl Banking ETF	Sale	10/14/2020	$15,001 - $50,000
154	iShares Russell 1000 Value ETF (IWD)	Sale	10/21/2020	$250,001 - $500,000
155	iShares Russell 2000 ETF (IWM)	Purchase	11/03/2020	$50,001 - $100,000
156	iShares Short Treasury Bond ETF (SHV)	Sale	11/03/2020	$100,001 - $250,000
157	Vanguard Growth ETF	Purchase	11/04/2020	$50,001 - $100,000
158	JP Morgan Ultra-Short Income ETF	Purchase	11/05/2020	$50,001 - $100,000
159	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Purchase	11/05/2020	$100,001 - $250,000
160	Financial Select Sector SPDR Fund (XLF)	Purchase	11/09/2020	$15,001 - $50,000
161	Consumer Staples Select Sector SPDR Fund (XLP)	Sale	11/12/2020	$15,001 - $50,000
162	iShares Russell 2000 ETF (IWM)	Purchase	11/12/2020	$15,001 - $50,000
163	iShares Russell 2000 Value ETF (IWN)	Purchase	11/16/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
164	ISHares MSCI All CTRY Asia Ex Japan ETF	Purchase	11/23/2020	$15,001 - $50,000
165	iShares Russell 2000 Value ETF (IWN)	Purchase	11/23/2020	$1,001 - $15,000
166	iShares S&P 500 Value ETF (IVE)	Purchase	11/23/2020	$1,001 - $15,000
167	Vanguard Growth ETF	Sale	11/23/2020	$50,001 - $100,000
168	Vanguard Small-Cap Value ETF	Purchase	11/24/2020	$1,001 - $15,000
169	SPDR S&P Biotech ETF (XBI)	Sale	12/11/2020	$15,001 - $50,000
170	iShares 0-5 Year TIPS Bond ETF (STIP)	Purchase	12/14/2020	$15,001 - $50,000
171	IShares Russell 2000 Etf	Purchase	12/15/2020	$1,001 - $15,000
172	SPDR S&P Regl Banking ETF	Purchase	12/16/2020	$1,001 - $15,000
173	SPDR S&P Biotech ETF (XBI)	Sale	12/21/2020	$15,001 - $50,000
174	IShares MSCI All Ctry Asia Ex Japan ETF	Sale	12/24/2020	$15,001 - $50,000
175	iShares Russell 2000 ETF (IWM)	Sale	12/29/2020	$15,001 - $50,000
176	iShares Russell 2000 Value ETF (IWN)	Sale	12/29/2020	$15,001 - $50,000
177	Vanguard Small-CAP Value ETF	Sale	12/29/2020	$1,001 - $15,000
178	Health Care Select Sector SPDR	Purchase	03/05/2020	$1,001 - $15,000
179	Vanguard Consumer Discretionary ETF	Purchase	03/05/2020	$1,001 - $15,000
180	First Trust Enhanced Short Mat Fund ETF	Purchase	03/06/2020	$1,001 - $15,000
181	iShares 20+ Year Treasury Bond ETF (TLT)	Sale	03/06/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
182	IShares MSCI EAFE ETF	Sale	03/06/2020	$1,001 - $15,000
183	Utilities Select Sector SPDR Fund (XLU)	Purchase	03/06/2020	$1,001 - $15,000
184	Vanguard Growth ETF	Purchase	03/10/2020	$1,001 - $15,000
185	Vanguard Real Estate ETF	Purchase	03/10/2020	$1,001 - $15,000
186	iShares Russell 2000 ETF (IWM)	Sale	03/12/2020	$1,001 - $15,000
187	IShares 1-3 Yr Treasuray Bond ETF	Purchase	03/19/2020	$1,001 - $15,000
188	iShares 7-10 Year Treasury Bond ETF (IEF)	Sale	03/19/2020	$1,001 - $15,000
189	Utilities Select Sector SPDR Fund (XLU)	Purchase	03/19/2020	$1,001 - $15,000
190	Vanguard Consumer Discretionary ETF	Purchase	03/19/2020	$1,001 - $15,000
191	iShares Short Treasury Bond ETF (SHV)	Purchase	04/09/2020	$1,001 - $15,000
192	Vanguard Real Estate ETF	Sale	04/21/2020	$1,001 - $15,000
193	Vanguard Short-Term Bond ETF	Purchase	04/22/2020	$1,001 - $15,000
194	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	04/29/2020	$1,001 - $15,000
195	iShares Russell 1000 Value ETF (IWD)	Purchase	04/29/2020	$1,001 - $15,000
196	Energy Select Sector SPDR Fund (XLE)	Purchase	05/20/2020	$1,001 - $15,000
197	iShares Russell 1000 Value ETF (IWD)	Purchase	05/27/2020	$1,001 - $15,000
198	Vanguard Consumer Discretionary ETF	Sale	05/27/2020	$1,001 - $15,000
199	iShares PHLX Semiconductor ETF (SOXX)	Purchase	05/28/2020	$1,001 - $15,000
200	iShares Russell 1000 Growth ETF (IWF)	Purchase	06/22/2020	$1,001 - $15,000
201	Utilities Select Sector SPDR Fund (XLU)	Sale	06/22/2020	$1,001 - $15,000
202	iShares US Home Construction ETF (ITB)	Purchase	07/29/2020	$1,001 - $15,000
203	Vanguard Growth ETF	Sale	07/29/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
204	SPDR S&P Biotech ETF (XBI)	Purchase	08/03/2020	$1,001 - $15,000
205	iShares Russell 1000 Growth ETF (IWF)	Sale	08/06/2020	$1,001 - $15,000
206	IShares Transn Average ETF	Purchase	08/06/2020	$1,001 - $15,000
207	Vanguard Consumer Discretionary ETF	Sale	09/03/2020	$1,001 - $15,000
208	Vanguard Growth ETF	Sale	09/03/2020	$1,001 - $15,000
209	Industrial Select Sector SPDR Fund (XLI)	Purchase	09/04/2020	$1,001 - $15,000
210	Vangaurd Growth ETF	Purchase	09/08/2020	$1,001 - $15,000
211	Materials Select Sector SPDR Fund (XLB)	Purchase	09/21/2020	$1,001 - $15,000
212	iShares Russell 1000 ETF (IWB)	Sale	09/21/2020	$15,001 - $50,000
213	iShares Russell 2000 ETF (IWM)	Purchase	11/03/2020	$1,001 - $15,000
214	iShares Short Treasury Bond ETF (SHV)	Sale	11/03/2020	$1,001 - $15,000
215	Vangaurd Growth ETF	Purchase	11/04/2020	$1,001 - $15,000
216	iShares Russell 2000 ETF (IWM)	Purchase	11/12/2020	$1,001 - $15,000
217	iShares S&P 500 Value ETF (IVE)	Purchase	11/23/2020	$1,001 - $15,000
218	Vanguard Growth ETF	Sale	11/23/2020	$1,001 - $15,000
219	iShares 0-5 Year TIPS Bond ETF (STIP)	Purchase	12/14/2020	$1,001 - $15,000
220	iShares Russell 2000 ETF (IWM)	Sale	12/29/2020	$1,001 - $15,000
221	Vanguard Small-Cap Value ETF	Sale	12/30/2020	$1,001 - $15,000
222	Energy Select Sector SPDR Fund (XLE)	Sale	10/08/2020	$15,001 - $50,000
223	IShares JP Morgan USD Emerging Markets Bond ETF	Sale	10/08/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
224	Ishares US Regl Banks ETF	Sale	10/14/2020	$50,001 - $100,000
225	Ishares Russell 1000 ETF	Sale	10/21/2020	$1,001 - $15,000
226	iShares Russell 2000 ETF (IWM)	Purchase	11/03/2020	$50,001 - $100,000
227	Vangaurd Growth ETF	Purchase	11/04/2020	$15,001 - $50,000
228	Financial Select Sector SPDR Fund (XLF)	Purchase	11/09/2020	$100,001 - $250,000
229	IShares Russell 2000 ETF	Purchase	11/12/2020	$15,001 - $50,000
230	iShares Russell 2000 Value ETF (IWN)	Purchase	11/16/2020	$15,001 - $50,000
231	IShares MSCI All CTRY Asia Ex Japan ETF	Purchase	11/23/2020	$15,001 - $50,000
232	IShares S&P 500 Value ETF	Purchase	11/23/2020	$15,001 - $50,000
233	Vanguard Growth ETF	Sale	11/23/2020	$50,001 - $100,000
234	Vanguard Small-Cap Value ETF	Purchase	11/24/2020	$15,001 - $50,000
235	iShares 0-5 Year TIPS Bond ETF (STIP)	Purchase	12/14/2020	$15,001 - $50,000
236	iShares Russell 2000 ETF (IWM)	Purchase	12/15/2020	$15,001 - $50,000
237	SPDR S&P Regl Banking ETF	Purchase	12/16/2020	$1,001 - $15,000
238	SPDR S&P Biotech ETF (XBI)	Sale	12/21/2020	$1,001 - $15,000
239	IShares MSCI All CTRY Asia Ex Japan ETF	Sale	12/24/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
240	iShares Russell 2000 Value ETF (IWN)	Sale	12/29/2020	$50,001 - $100,000
241	Vanguard Small-Cap Value ETF	Sale	12/30/2020	$15,001 - $50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	1	This represents the filer's ownership interest in a small restaurant.
6.	3.30	Asset name changed from IShares Short-Term Corporate Bond ETF.
6.	4	RMA Account assets were transferred to The Emanuel Family Trust on October 6, 2020.

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).
