Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cicconi, Martine E

Special Assistant to the President and Associate White House Counsel, White House - Biden-Harris Administration

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:
None

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

/s/ Cicconi, Martine E [electronically signed on 04/21/2022 by Cicconi, Martine E in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Kozmycz, Marina M, Certifying Official [electronically signed on 05/13/2022 by Kozmycz, Marina M in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 05/12/2022

Data Revised 05/11/2022

Data Revised 05/09/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Attorney General of Virginia	Richmond, Virginia	State Government	Deputy Solicitor General	7/2019	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Attorney General of Virginia	N/A		Salary and leave payout	$15,962
2	First Tr ETF FD VII ETF TCW Opportunistic FXD Income ETF (FIXD)	No	$1,001 - $15,000	Dividends	None (or less than $201)
3	First TR Global ETF Tacticalt Commodity Strategy Fund (FTGC)	No	$1,001 - $15,000	Dividends	$201 - $1,000
4	First Tr NASDAQ ETF Cybersecurity (CIBR)	No	$1,001 - $15,000	Dividends	None (or less than $201)
5	First Trust Capital ETF Strength (FTCS)	No	$15,001 - $50,000	Dividends	$201 - $1,000
6	First Trust Cloud ETF Computing ETF (SKYY)	No	$1,001 - $15,000	Dividends	None (or less than $201)
7	Global X FDS ETF Global X Uranium ETF (URA)	No	$1,001 - $15,000	Dividends	None (or less than $201)
8	Invesco QQQ Tr ETF Unit Ser 1 (QQQ)	No	$15,001 - $50,000	Dividends	None (or less than $201)
9	iShares ETF PFD & Income SECS (PFF)	No	None (or less than $1,001)	Dividends	None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Vaneck Vectors Tr ETF Semiconductor ETF (SMH)	No	$1,001 - $15,000	Dividends	None (or less than $201)
11	AB High Income FD INC Advisor CL (AGDYX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
12	Guggenheim FDS TR Total Return BD FD INSTL CL (GIBIX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
13	Delaware Group Global & INTL FDS Emerging Mkts FD CL INSTL CL (DEMIX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
14	Delware SMID CAP Growth Fund CL I (DFDIX)	No	$1,001 - $15,000		
15	Eaton Vance Total Return Bond Fund Cl I (EIBAX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
16	Eaton Vance ADV SR FLTNG RT Advantage Fund CL I (EIFAX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
17	Fidelty Advisor INTL Capital App CL I(FCPIX)	No	$1,001 - $15,000		
18	Goldmans Sachs Funds Goldman Sachs GQG PTNRS INTL OPPTYS FD INSTL CL (GSIMX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
19	JPMorgan TR I Opportunistic Equity Long/Short FD I CL (JOEQX)	No	$1,001 - $15,000		
20	Virtus Strat TR ALLIANZ CONV FD INSTL CLASS (ANNPX)	No	None (or less than $1,001)	Dividends	None (or less than $201)
21	PIMCO Investment Grade Credit Bond Fund INST (PIGIX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
22	Undiscovered Managers Behavioral Value Class L (UBVLX)	No	$1,001 - $15,000	Dividends	None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Virginia Attorney General	Richmond, Virginia	Employer retirement plan. Neither I nor my employer have contributed to this plan since my departure in January 2021 and I rolled the balance over to my personal IRA in 2021.	7/2019

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	King & Spaulding LLP (Law Firm)	N/A		salary, bonus	
2	First Tr ETF FD VII ETF TCW Opportunistic FXD Income ETF (FIXD)	No	$15,001 - $50,000	Dividends	$201 - $1,000
3	First TR Global ETF Tacticalt Commodity Strategy Fund (FTGC)	No	$15,001 - $50,000	Dividends	$1,001 - $2,500
4	First Tr NASDAQ ETF Cybersecurity (CIBR)	No	$15,001 - $50,000	Dividends	$201 - $1,000
5	First Trust Capital ETF Strength (FTCS)	No	$100,001 - $250,000	Dividends	$1,001 - $2,500
6	First Trust Cloud ETF Computing ETF (SKYY)	No	$15,001 - $50,000	Dividends	$201 - $1,000
7	Global X FDS ETF Global X Uranium ETF (URA)	No	$1,001 - $15,000	Dividends	$201 - $1,000
8	Invesco QQQ Tr ETF Unit Ser 1 (QQQ)	No	$100,001 - $250,000	Dividends	$201 - $1,000
9	iShares ETF PFD & Income SECS (PFF)	No	$1,001 - $15,000	Dividends	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Vaneck Vectors Tr ETF Semiconductor ETF (SMH)	No	$15,001 - $50,000	Dividends	$201 - $1,000
11	AB High Income FD INC Advisor CL (AGDYX)	No	$15,001 - $50,000	Dividends	$1,001 - $2,500
12	Guggenheim FDS TR Total Return BD FD INSTL CL (GIBIX)	No	$15,001 - $50,000	Dividends	$201 - $1,000
13	Delaware Group Global & INTL FDS Emerging Mkts FD CL INSTL CL (DEMIX)	No	$15,001 - $50,000	Dividends	$201 - $1,000
14	Delware SMID CAP Growth Fund CL I (DFDIX)	No	$15,001 - $50,000		
15	Eaton Vance Total Return Bond Fund Cl I (EIBAX)	No	$15,001 - $50,000	Dividends	$201 - $1,000
16	Eaton Vance ADV SR FLTNG RT Advantage Fund CL I (EIFAX)	No	$15,001 - $50,000	Dividends	$201 - $1,000
17	Fidelty Advisor INTL Capital App CL I(FCPIX)	No	$1,001 - $15,000		
18	Goldmans Sachs Funds Goldman Sachs GQG PTNRS INTL OPPTYS FD INSTL CL (GSIMX)	No	$1,001 - $15,000	Dividends	$201 - $1,000
19	JPMorgan TR I Opportunistic Equity Long/Short FD I CL (JOEQX)	No	$1,001 - $15,000		
20	Virtus Strat TR ALLIANZ CONV FD INSTL CLASS (ANNPX)	No	$1,001 - $15,000	Dividends	None (or less than $201)
21	PIMCO Investment Grade Credit Bond Fund INST (PIGIX)	No	$15,001 - $50,000	Dividends	$1,001 - $2,500
22	Undiscovered Managers Behavioral Value Class L (UBVLX)	No	$1,001 - $15,000	Dividends	None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank Cash		N/A	$250,001 - $500,000		None (or less than $201)
2	iShares MBS ETF (MBB)		Yes	$1,001 - $15,000		None (or less than $201)
3	iShares Floating Rate Bond ETF (FLOT)		Yes	$1,001 - $15,000		None (or less than $201)
4	iShares iBoxx $ High Yield Corporate Bond ETF (HYG)		Yes	$1,001 - $15,000		None (or less than $201)
5	iShares 1-3 Year Treasury Bond ETF (SHY)		Yes	$1,001 - $15,000		$201 - $1,000
6	JPMorgan Ultra-Short Income ETF (JPST)	See Endnote	Yes	$1,001 - $15,000		$201 - $1,000
7	Financial Select Sector SPDR Fund (XLF)		Yes	$1,001 - $15,000		None (or less than $201)
8	Proshares Investment Grade-Interest Rate Hedged ETF (IGHG)		Yes	$1,001 - $15,000		None (or less than $201)
9	Proshares High Yield-Interest Rate Hedged (HYHG)		Yes	$1,001 - $15,000		None (or less than $201)
10	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)		Yes	$1,001 - $15,000		None (or less than $201)
11	Invesco QQQ Trust, Series 1 (QQQ)		Yes	$50,001 - $100,000		None (or less than $201)
12	First Trust Capital Strength ETF (FTCS)		Yes	$50,001 - $100,000		None (or less than $201)
13	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)		Yes	$15,001 - $50,000		None (or less than $201)
14	AB High Income Fund, Inc Advisor Class Shares (AGDYX)		Yes	$15,001 - $50,000		None (or less than $201)
15	JPMorgan Ultra-Short Income ETF (JPST)		Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Guggenheim Total Return Bond Fund Institutional Class Shares (GIBIX)	Yes	$15,001 - $50,000		None (or less than $201)
17	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Yes	$15,001 - $50,000		None (or less than $201)
18	First Trust Cloud Computing ETF (SKYY)	Yes	$15,001 - $50,000		None (or less than $201)
19	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Yes	$15,001 - $50,000		None (or less than $201)
20	JPMorgan Hedged Equity Fund Class I Shares (JHEQX)	Yes	$15,001 - $50,000		None (or less than $201)
21	First Trust NASDAQ Cybersecurity ETF (CIBR)	Yes	$15,001 - $50,000		None (or less than $201)
22	VanEck Vectors Semiconductor ETF (SMH)	Yes	$15,001 - $50,000		None (or less than $201)
23	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Yes	$15,001 - $50,000		None (or less than $201)
24	Emerging Markets Fund Institutional Class Shares (DEMIX)	Yes	$15,001 - $50,000		None (or less than $201)
25	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Yes	$15,001 - $50,000		None (or less than $201)
26	Eaton Vance Core Plus Bond Fund Class I Shares (EIBAX)	Yes	$1,001 - $15,000		None (or less than $201)
27	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	$1,001 - $15,000		None (or less than $201)
28	SPDR Gold Shares (GLD)	Yes	$1,001 - $15,000		None (or less than $201)
29	iShares Preferred and Income Securities ETF (PFF)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	AllianzGI Convertible Fund Institutional Class Shares (ANNPX)	See Endnote	Yes	$1,001 - $15,000		$1,001 - $2,500
31	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)		Yes	$1,001 - $15,000		None (or less than $201)
32	VA 529 #1: American Funds College 2033 Fund Class 529-C Shares (CTLCX)		Yes	$15,001 - $50,000		None (or less than $201)
33	VA 529 #2: American Funds College 2033 Fund Class 529-A Shares (CTLAX)		Yes	$15,001 - $50,000		None (or less than $201)
34	Janus Henderson Mortgage-Backed Securities ETF (JMBS)		Yes	$15,001 - $50,000		None (or less than $201)
35	Undiscovered Managers Behavioral Value Fund Class A Shares (UBVAX)		Yes	$1,001 - $15,000		None (or less than $201)
36	Global X Uranium ETF (URA)		Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	12/15/2021	$1,001 - $15,000
2	Guggenheim Total Return Bond Fund Institutional Class Shares (GIBIX)	Purchase	12/15/2021	$1,001 - $15,000
3	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Purchase	12/15/2021	$1,001 - $15,000
4	Eaton Vance Core Plus Bond Fund Class I Shares (EIBAX)	Purchase	12/15/2021	$1,001 - $15,000
5	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	12/15/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
6	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	12/15/2021	$1,001 - $15,000
7	First Trust Cloud Computing ETF (SKYY)	Purchase	12/15/2021	$1,001 - $15,000
8	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Purchase	12/15/2021	$1,001 - $15,000
9	First Trust NASDAQ Cybersecurity ETF (CIBR)	Purchase	12/15/2021	$1,001 - $15,000
10	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Purchase	12/15/2021	$1,001 - $15,000
11	Eaton Vance Core Plus Bond Fund Class I Shares (EIBAX)	Purchase	10/06/2021	$1,001 - $15,000
12	First Trust Cloud Computing ETF (SKYY)	Purchase	10/06/2021	$1,001 - $15,000
13	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Purchase	10/06/2021	$1,001 - $15,000
14	First Trust NASDAQ Cybersecurity ETF (CIBR)	Purchase	10/06/2021	$1,001 - $15,000
15	First Trust Capital Strength ETF (FTCS)	Purchase	10/06/2021	$15,001 - $50,000
16	Global X Uranium ETF (URA)	Purchase	10/06/2021	$1,001 - $15,000
17	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	10/06/2021	$15,001 - $50,000
18	VanEck Vectors Semiconductor ETF (SMH)	Purchase	10/06/2021	$1,001 - $15,000
19	Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	08/12/2021	$1,001 - $15,000
20	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Purchase	08/12/2021	$1,001 - $15,000
21	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	08/12/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	Putnam Short Duration Bond Fund Class Y Shares (PARYX)	Purchase	08/12/2021	$15,001 - $50,000
23	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	05/21/2021	$1,001 - $15,000
24	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Purchase	05/21/2021	$1,001 - $15,000
25	Guggenheim Total Return Bond Fund Institutional Class Shares (GIBIX)	Purchase	05/21/2021	$1,001 - $15,000
26	Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	05/21/2021	$1,001 - $15,000
27	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Purchase	05/21/2021	$1,001 - $15,000
28	Eaton Vance Core Plus Bond Fund Class I Shares (EIBAX)	Purchase	05/21/2021	$1,001 - $15,000
29	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	05/21/2021	$1,001 - $15,000
30	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Purchase	05/21/2021	$1,001 - $15,000
31	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	05/21/2021	$1,001 - $15,000
32	First Trust Cloud Computing ETF (SKYY)	Purchase	05/21/2021	$1,001 - $15,000
33	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Purchase	05/21/2021	$1,001 - $15,000
34	First Trust NASDAQ Cybersecurity ETF (CIBR)	Purchase	05/21/2021	$1,001 - $15,000
35	First Trust Capital Strength ETF (FTCS)	Purchase	05/21/2021	$1,001 - $15,000
36	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Purchase	05/21/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	iShares Preferred and Income Securities ETF (PFF)	Purchase	05/21/2021	$1,001 - $15,000
38	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	05/21/2021	$1,001 - $15,000
39	JPMorgan Opportunistic Equity Long/Short Fund Class I Shares (JOEQX)	Purchase	05/21/2021	$1,001 - $15,000
40	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	05/21/2021	$1,001 - $15,000
41	AllianzGI Convertible Fund Institutional Class Shares (ANNPX)	Purchase	05/21/2021	$1,001 - $15,000
42	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Purchase	05/21/2021	$1,001 - $15,000
43	SPDR Gold Shares (GLD)	Purchase	05/21/2021	$1,001 - $15,000
44	Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX)	Purchase	05/21/2021	$1,001 - $15,000
45	VanEck Vectors Semiconductor ETF (SMH)	Purchase	05/21/2021	$1,001 - $15,000
46	Eaton Vance Core Plus Bond Fund Class I Shares (EIBAX)	Purchase	03/25/2021	$1,001 - $15,000
47	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Purchase	03/25/2021	$1,001 - $15,000
48	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	03/25/2021	$15,001 - $50,000
49	JPMorgan Opportunistic Equity Long/Short Fund Class I Shares (JOEQX)	Purchase	03/25/2021	$1,001 - $15,000
50	Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX)	Purchase	03/25/2021	$1,001 - $15,000
51	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Purchase	01/13/2021	$1,001 - $15,000
52	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Purchase	01/13/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	01/13/2021	$15,001 - $50,000
54	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	01/13/2021	$15,001 - $50,000
55	iShares Preferred and Income Securities ETF (PFF)	Purchase	01/13/2021	$1,001 - $15,000
56	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	01/13/2021	$1,001 - $15,000
57	Emerging Markets Fund Institutional Class Shares (DEMIX)	Sale	12/15/2021	$1,001 - $15,000
58	JPMorgan Opportunistic Equity Long/Short Fund Class I Shares (JOEQX)	Sale	12/15/2021	$1,001 - $15,000
59	Putnam Short Duration Bond Fund Class Y Shares (PARYX)	Sale	12/15/2021	$15,001 - $50,000
60	VanEck Vectors Semiconductor ETF (SMH)	Sale	12/15/2021	$1,001 - $15,000
61	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Sale	10/06/2021	$1,001 - $15,000
62	Emerging Markets Fund Institutional Class Shares (DEMIX)	Sale	10/06/2021	$1,001 - $15,000
63	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Sale	10/06/2021	$1,001 - $15,000
64	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Sale	10/06/2021	$1,001 - $15,000
65	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Sale	10/06/2021	$1,001 - $15,000
66	JPMorgan Opportunistic Equity Long/Short Fund Class I Shares (JOEQX)	Sale	10/06/2021	$1,001 - $15,000
67	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Sale	08/12/2021	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	JPMorgan Ultra-Short Income ETF (JPST)	Sale	08/12/2021	$15,001 - $50,000
69	SPDR Gold Shares (GLD)	Sale	08/12/2021	$1,001 - $15,000
70	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Sale	03/25/2021	$1,001 - $15,000
71	JPMorgan Hedged Equity Fund Class I Shares (JHEQX)	Sale	03/25/2021	$15,001 - $50,000
72	JPMorgan Ultra-Short Income ETF (JPST)	Sale	03/25/2021	$1,001 - $15,000
73	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Sale	01/13/2021	$1,001 - $15,000
74	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	Sale	01/13/2021	$1,001 - $15,000
75	First Trust NASDAQ Cybersecurity ETF (CIBR)	Sale	01/13/2021	$1,001 - $15,000
76	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	01/13/2021	$1,001 - $15,000
77	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	01/13/2021	$15,001 - $50,000
78	JPMorgan Emerging Markets Equity Fund Class L Shares (JMIEX)	Sale	01/13/2021	$15,001 - $50,000
79	VanEck Vectors Semiconductor ETF (SMH)	Sale	01/13/2021	$1,001 - $15,000
80	iShares Floating Rate Bond ETF (FLOT)	Purchase	10/06/2021	$1,001 - $15,000
81	iShares Preferred and Income Securities ETF (PFF)	Purchase	10/06/2021	$1,001 - $15,000
82	Janus Henderson Mortgage-Backed Securities ETF (JMBS)	Purchase	10/06/2021	$15,001 - $50,000
83	Proshares Investment Grade-Interest Rate Hedged ETF (IGHG)	Purchase	10/06/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
84	iShares Floating Rate Bond ETF (FLOT)	Purchase	04/14/2021	$1,001 - $15,000
85	iShares MBS ETF (MBB)	Sale	10/06/2021	$15,001 - $50,000
86	iShares iBoxx $ High Yield Corporate Bond ETF (HYG)	Sale	10/06/2021	$1,001 - $15,000
87	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	10/06/2021	$1,001 - $15,000
88	JPMorgan Ultra-Short Income ETF (JPST)	Sale	10/06/2021	$1,001 - $15,000
89	Financial Select Sector SPDR Fund (XLF)	Sale	10/06/2021	$1,001 - $15,000
90	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Sale	10/06/2021	$1,001 - $15,000
91	Financial Select Sector SPDR Fund (XLF)	Sale	04/14/2021	$1,001 - $15,000
92	First Trust Cloud Computing ETF (SKYY)	Purchase	12/15/2021	$1,001 - $15,000
93	First Trust Capital Strength ETF (FTCS)	Purchase	10/06/2021	$1,001 - $15,000
94	Global X Uranium ETF (URA)	Purchase	10/06/2021	$1,001 - $15,000
95	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	10/06/2021	$1,001 - $15,000
96	VanEck Vectors Semiconductor ETF (SMH)	Purchase	10/06/2021	$1,001 - $15,000
97	Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	08/12/2021	$1,001 - $15,000
98	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Purchase	08/12/2021	$1,001 - $15,000
99	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	08/12/2021	$1,001 - $15,000
100	First Trust NASDAQ Cybersecurity ETF (CIBR)	Purchase	08/12/2021	$1,001 - $15,000
101	First Trust Capital Strength ETF (FTCS)	Purchase	08/12/2021	$1,001 - $15,000
102	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	08/12/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
103	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	03/25/2021	$1,001 - $15,000
104	JPMorgan Opportunistic Equity Long/Short Fund Class I Shares (JOEQX)	Purchase	03/25/2021	$1,001 - $15,000
105	Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX)	Purchase	03/25/2021	$1,001 - $15,000
106	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Purchase	01/13/2021	$1,001 - $15,000
107	Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	01/13/2021	$1,001 - $15,000
108	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	01/13/2021	$1,001 - $15,000
109	Emerging Markets Fund Institutional Class Shares (DEMIX)	Sale	10/06/2021	$1,001 - $15,000
110	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Sale	10/06/2021	$1,001 - $15,000
111	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Sale	08/12/2021	$1,001 - $15,000
112	SPDR Gold Shares (GLD)	Sale	08/12/2021	$1,001 - $15,000
113	JPMorgan Hedged Equity Fund Class I Shares (JHEQX)	Sale	03/25/2021	$1,001 - $15,000
114	JPMorgan Ultra-Short Income ETF (JPST)	Sale	03/25/2021	$1,001 - $15,000
115	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Sale	01/13/2021	$1,001 - $15,000
116	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	Sale	01/13/2021	$1,001 - $15,000
117	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	01/13/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
118	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	01/13/2021	$1,001 - $15,000
119	JPMorgan Emerging Markets Equity Fund Class L Shares (JMIEX)	Sale	01/13/2021	$1,001 - $15,000
120	VanEck Vectors Semiconductor ETF (SMH)	Sale	01/13/2021	$1,001 - $15,000
121	First Trust Capital Strength ETF (FTCS)	Purchase	10/06/2021	$1,001 - $15,000
122	Global X Uranium ETF (URA)	Purchase	10/06/2021	$1,001 - $15,000
123	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	10/06/2021	$1,001 - $15,000
124	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	08/12/2021	$1,001 - $15,000
125	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Purchase	03/25/2021	$1,001 - $15,000
126	JPMorgan Opportunistic Equity Long/Short Fund Class I Shares (JOEQX)	Purchase	03/25/2021	$1,001 - $15,000
127	Undiscovered Managers Behavioral Value Fund Class L Shares (UBVLX)	Purchase	03/25/2021	$1,001 - $15,000
128	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Purchase	01/13/2021	$1,001 - $15,000
129	Emerging Markets Fund Institutional Class Shares (DEMIX)	Purchase	01/13/2021	$1,001 - $15,000
130	First TrustGlobal Tactical Commodity Strategy Fund (FTGC)	Sale	10/06/2021	$1,001 - $15,000
131	Calamos Evolving World Growth Fund Class I Shares (CNWIX)	Sale	08/12/2021	$1,001 - $15,000
132	SPDR Gold Shares (GLD)	Sale	08/12/2021	$1,001 - $15,000
133	JPMorgan Hedged Equity Fund Class I Shares (JHEQX)	Sale	03/25/2021	$1,001 - $15,000
134	JPMorgan Ultra-Short Income ETF (JPST)	Sale	03/25/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
135	Delaware Smid Cap Growth Fund Institutional Class Shares (DFDIX)	Sale	01/13/2021	$1,001 - $15,000
136	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	Sale	01/13/2021	$1,001 - $15,000
137	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	01/13/2021	$1,001 - $15,000
138	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	01/13/2021	$1,001 - $15,000
139	JPMorgan Emerging Markets Equity Fund Class L Shares (JMIEX)	Sale	01/13/2021	$1,001 - $15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	6	Small portion of holding JPST sold at a gain in 2020
6.	30	Small portion of holding ANNPX sold at a gain in 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).