

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Hutchison III, Malcolm Clark

director, Commodity Futures Trading Commission

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/ Hutchison III, Malcolm Clark [electronically signed on 05/16/2020 by Hutchison III, Malcolm Clark 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/ LoPresti, Heather J, Certifying Official [electronically signed on 07/24/2020 by LoPresti, Heather J in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 07/24/2020

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	Schwab U.S. Broad Market ETF (SCHB)	Sale	01/27/2020	Yes	\$1,001 - \$15,000
2	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Sale	03/30/2020	Yes	\$1,001 - \$15,000
3	Schwab US REIT ETF (SCHH)	Purchase	03/30/2020	Yes	\$1,001 - \$15,000
4	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Purchase	03/30/2020	Yes	\$1,001 - \$15,000
5	Schwab US REIT ETF (SCHH)	Sale	05/04/2020	No	\$1,001 - \$15,000
6	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Sale	05/04/2020	No	\$1,001 - \$15,000
7	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	Yes	\$15,001 - \$50,000
8	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	Yes	\$250,001 - \$500,000
9	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	Yes	\$250,001 - \$500,000
10	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	Yes	\$15,001 - \$50,000
11	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Purchase	02/28/2020	Yes	\$15,001 - \$50,000
12	General Electric Co (GE)	Purchase	01/29/2020	Yes	\$1,001 - \$15,000
13	Roche Holding AG (RHHBY)	Purchase	04/22/2020	No	\$1,001 - \$15,000
14	Booking Holdings Inc. (BKNG)	Sale	04/27/2020	No	\$1,001 - \$15,000
15	eBay Inc. - Common Stock (EBAY)	Purchase	04/23/2020	No	\$1,001 - \$15,000
16	eBay Inc. - Common Stock (EBAY)	Purchase	04/22/2020	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
17	Willis Towers Watson PLC (WLTW)	Sale	04/21/2020	No	\$15,001 - \$50,000
18	Willis Towers Watson PLC (WLTW)	Sale	04/21/2020	No	\$1,001 - \$15,000
19	Hubbell Incorporated (HUBB)	Purchase	04/01/2020	Yes	\$15,001 - \$50,000
20	AmerisourceBergen Corp (ABC)	Sale	03/27/2020	Yes	\$1,001 - \$15,000
21	Oracle Corp (ORCL)	Sale	03/27/2020	Yes	\$1,001 - \$15,000
22	Wal-Mart Stores (WMT)	Sale	03/27/2020	Yes	\$1,001 - \$15,000
23	Progressive Corp (PGR)	Sale	03/27/2020	Yes	\$1,001 - \$15,000
24	Assurant Inc (AIZ)	Sale	03/27/2020	Yes	\$1,001 - \$15,000
25	n arlington nj muni bond	Sale	03/26/2020	Yes	\$1,001 - \$15,000
26	US Foods Holding Corp. (USFD)	Sale	03/25/2020	Yes	\$1,001 - \$15,000
27	Spirit AeroSystems Holdings, Inc. (SPR)	Purchase	03/25/2020	Yes	\$1,001 - \$15,000
28	Spirit AeroSystems Holdings, Inc. (SPR)	Purchase	03/25/2020	Yes	\$1,001 - \$15,000
29	US Foods Holding Corp. (USFD)	Sale	03/24/2020	Yes	\$1,001 - \$15,000
30	Facebook, Inc. - Class A Common Stock (FB)	Purchase	03/19/2020	Yes	\$1,001 - \$15,000
31	SS&C Technologies Holdings, Inc. - Common Stock (SSNC)	Purchase	03/17/2020	Yes	\$1,001 - \$15,000
32	T Rowe Price Group Inc (TROW)	Purchase	03/12/2020	Yes	\$1,001 - \$15,000
33	M&T Bank Corp (MTB)	Purchase	03/03/2020	Yes	\$1,001 - \$15,000
34	M&T Bank Corp (MTB)	Purchase	02/28/2020	Yes	\$1,001 - \$15,000
35	Wells Fargo & Co (WFC)	Sale	02/27/2020	Yes	\$15,001 - \$50,000
36	Carter's, Inc. (CRI)	Purchase	02/24/2020	Yes	\$1,001 - \$15,000
37	US Foods Holding Corp. (USFD)	Purchase	01/31/2020	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
38	US Foods Holding Corp. (USFD)	Purchase	01/30/2020	Yes	\$1,001 - \$15,000
39	US Foods Holding Corp. (USFD)	Purchase	01/29/2020	Yes	\$1,001 - \$15,000
40	US Foods Holding Corp. (USFD)	Purchase	01/28/2020	Yes	\$1,001 - \$15,000
41	Exxon Mobil Corp (XOM)	Purchase	01/24/2020	Yes	\$1,001 - \$15,000
42	Omnicom Group (OMC)	Purchase	01/10/2020	Yes	\$1,001 - \$15,000
43	Cisco Systems Inc (CSCO)	Purchase	01/10/2020	Yes	\$1,001 - \$15,000
44	AmerisourceBergen Corp (ABC)	Purchase	01/07/2020	Yes	\$1,001 - \$15,000
45	Aptiv PLC (APTV)	Sale	01/02/2020	Yes	\$15,001 - \$50,000
46	General Motors Company (GM)	Sale	04/27/2020	No	\$15,001 - \$50,000
47	LSI Industries Inc. - Common Stock (LYTS)	Purchase	04/03/2020	Yes	\$15,001 - \$50,000
48	EPR Properties (EPR) (REIT)	Sale	04/03/2020	Yes	\$1,001 - \$15,000
49	NetApp, Inc. - Common Stock (NTAP)	Purchase	04/02/2020	Yes	\$15,001 - \$50,000
50	NetApp, Inc. - Common Stock (NTAP)	Purchase	04/01/2020	Yes	\$15,001 - \$50,000
51	Bristol-Myers Squibb (BMY)	Purchase	03/23/2020	Yes	\$15,001 - \$50,000
52	Sabre Corporation - Common Stock (SABR)	Sale	03/23/2020	Yes	\$1,001 - \$15,000
53	Valero Energy Corp (VLO)	Sale	03/23/2020	Yes	\$15,001 - \$50,000
54	Bank of America Corp (BAC)	Purchase	03/23/2020	Yes	\$15,001 - \$50,000
55	Cullen/Frost Bankers, Inc. (CFR)	Sale	03/16/2020	Yes	\$15,001 - \$50,000
56	T Rowe Price Group Inc (TROW)	Purchase	03/12/2020	Yes	\$15,001 - \$50,000
57	T Rowe Price Group Inc (TROW)	Sale	03/04/2020	Yes	\$15,001 - \$50,000
58	Intl Business Machines Corp (IBM)	Purchase	02/27/2020	Yes	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
59	Sabre Corporation - Common Stock (SABR)	Purchase	02/26/2020	Yes	\$1,001 - \$15,000
60	msm - msc indl class a	Purchase	02/25/2020	Yes	\$15,001 - \$50,000
61	msm - msc indl class a	Purchase	02/21/2020	Yes	\$15,001 - \$50,000
62	Emerson Electric Co (EMR)	Sale	02/19/2020	Yes	\$50,001 - \$100,000
63	Amgen Inc. - Common Stock (AMGN)	Sale	02/10/2020	Yes	\$1,001 - \$15,000
64	Avago Technologies Limited - Ordinary Shares (AVGO)	Sale	02/10/2020	Yes	\$1,001 - \$15,000
65	Lockheed Martin (LMT)	Sale	02/10/2020	Yes	\$1,001 - \$15,000
66	T Rowe Price Group Inc (TROW)	Sale	02/10/2020	Yes	\$1,001 - \$15,000
67	American Electric Power (AEP)	Sale	02/10/2020	Yes	\$1,001 - \$15,000
68	LyondellBasell Industries N.V. (LYB)	Purchase	01/31/2020	Yes	\$1,001 - \$15,000
69	cfr - cullen frost bankers	Purchase	01/31/2020	Yes	\$1,001 - \$15,000
70	PPL Corp (PPL)	Purchase	01/17/2020	No	\$15,001 - \$50,000
71	PPL Corp (PPL)	Purchase	01/16/2020	Yes	\$15,001 - \$50,000
72	wba - walgreens boots	Purchase	01/09/2020	Yes	\$1,001 - \$15,000
73	Kohl's Corp (KSS)	Sale	01/09/2020	No	\$15,001 - \$50,000
74	Kohl's Corp (KSS)	Purchase	01/02/2020	Yes	\$1,001 - \$15,000
75	brkb - berkshire hathaway	Purchase	03/24/2020	Yes	\$15,001 - \$50,000
76	Carmax Inc (KMX)	Purchase	01/08/2020	Yes	\$15,001 - \$50,000
77	JPMorgan Equity Income Fund Class I (HLIEX)	Purchase	02/28/2020	Yes	\$15,001 - \$50,000
78	Vanguard High Dividend Yield Index Admiral Shares (VHYAX)	Purchase	02/28/2020	Yes	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
79	Vanguard Admiral Funds - Vanguard S&P Mid-Cap 400 ETF (IVOO)	Purchase	04/30/2020	No	\$15,001 - \$50,000
80	Vanguard Dividend Growth Fund	Purchase	04/30/2020	No	\$15,001 - \$50,000
81	Invesco Index BulletShares 2022	Purchase	04/30/2020	No	\$15,001 - \$50,000
82	Vanguard Mid-Cap Value Index Admiral (VMVAX)	Sale	04/30/2020	No	\$15,001 - \$50,000
83	Baron Discovery Fund (BDFFX)	Sale	04/30/2020	No	\$15,001 - \$50,000

Endnotes

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

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.
