

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

## Filer's Information

---

Murphy, W Patrick

Chief of Mission, Department of State

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/ Murphy, W Patrick [electronically signed on 05/14/2022 by Murphy, W Patrick in Integrity.gov] - Filer received a 30 day filing extension.

---

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/ Mann, Judy, Certifying Official [electronically signed on 07/11/2022 by Mann, Judy in Integrity.gov]

---

Other review conducted by

/s/ Mann, Judy, Ethics Official [electronically signed on 07/11/2022 by Mann, Judy in Integrity.gov]

---

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/15/2022 by Granahan, Megan in Integrity.gov]

---

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

None

---

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	RCM - Roth IRA - Equities	No			
1.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	BlackRock Health Sciences Opps Instl (SHSSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Invesco Diversified Dividend Fund Class Y Shares (LCEYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.12	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.14	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.16	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	GMO Resources; I (GEACX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2	RCM - Roth IRA - Fixed Income	No			
2.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.4	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	RCM - Roth IRA - Alternatives	No			
3.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	RCM - Traditional IRA - Equities	No			
4.1	Akre Focus Fund Institutional Class Shares (AKRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
4.3	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000

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

None

### 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	RCM - Traditional IRA - Equities (S)	No			
1.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.11	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.12	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.13	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	GMO Resources; I (GEACX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2	RCM - Traditional IRA - Fixed Income (S)	No			
2.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	RCM - Traditional IRA - Alternatives (S)	No			
3.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	RCM - Roth IRA - Equities (S)	No			
4.1	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.2	BlackRockGlobal Dividend Portfolio Institutional Shares (BIBDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.6	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.11	MFS Value Fund Class I Shares (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.13	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	GMO Resources; I (GEACX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.16	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.17	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	RCM - Roth IRA - Fixed Income (S)	No			
5.1	Axonix Strategic Income Fund (AXSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	Invesco BulletShares 2020 Corporate Bond ETF (BSCK)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.5	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.7	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.8	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.9	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
5.10	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	RCM - Roth IRA - Alternatives (S)	No			
6.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
7	RCM - Inherited IRA - Equities (S)	No			
7.1	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.2	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.3	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.4	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.5	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.6	GMO Resources; I (GEACX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.7	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.8	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.11	Ishares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.12	MFS Value Fund Class I Shares (MEIIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.13	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.14	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8	RCM - Inherited IRA - Fixed Income (S)	No			
8.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.2	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.3	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.4	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.5	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.6	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.7	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.8	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	RCM - Inherited IRA - Alternatives (S)	No			
9.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia Pre-paid529-3	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Virginia Invest529-3	No			
2.1	2021 Portfolio	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	U.S. Fed Savings Bank (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	Undeveloped land, New Hampton, NH	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Rental House, Falls Church, VA	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
6	Virginia Pre-paid529-1	No	\$1,001 - \$15,000		None (or less than \$201)
7	Virginia Pre-paid529-2	No	\$1,001 - \$15,000		None (or less than \$201)
8	Virginia Invest529-1	No			
8.1	Stable Value	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	Virginia Invest529-2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	2018 Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	RCM - Joint - Equities - 1	No			
10.1	Akre Focus Fund Institutional Class Shares (AKRIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.2	ArtisanGlobal Opportunities Fund Advisor Class Shares (APDRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.3	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.4	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.6	Cohen & Steers Tax Advantaged Pfd Secs & Income Fu(PTA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.7	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.8	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.10	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.11	iShares Morningstar Large-Cap Growth ETF (JKE)	Yes	None (or less than \$1,001)		None (or less than \$201)
10.12	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.13	MFS International Growth Fund Class I Shares (MQGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.14	MFS Value Fund Class I Shares (MEIIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
10.15	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.16	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.17	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
10.18	Alger Small Cap Growth Fund Class Z Shares (ASCZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.19	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.20	iShares Morningstar Large-Cap Growth ETF (ILCG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
10.21	Royce Special Equity Fund Institutional Class Shares (RSEIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	RCM - Joint - Fixed Income - 1	No			
11.1	Axonic Strategic Income Fund (AXSIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.2	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.3	Franklin Convertible Securities Fund Advisor Class Shares (FCSZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.4	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.5	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.6	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.7	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.8	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.9	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.10	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.11	Virtus Newfleet Multi-Sector Short Term Bond Fund Class I Shares (PIMSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	RCM - Joint - Alternatives - 1	No			
12.1	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.2	JPMorgan Hedged Equity Fund Class I Shares (JHEQX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
13	RCM - Joint - Equities - 2	No			
13.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.2	ColumbiaGlobal Technology Growth Fund Class C Shares (CTHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.4	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	RCM - Joint - Fixed Income - 2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.1	Virginia Commonwealth Transn Brd Tr (927793HS1)	No	None (or less than \$1,001)		None (or less than \$201)
14.2	Virginia Commonwealth Transn Brd Tr (927793KG3)	No	\$15,001 - \$50,000		None (or less than \$201)
14.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
14.4	Virginia St Res Auth Wtr & Swr (928181HU3)	No	\$15,001 - \$50,000		None (or less than \$201)
14.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)
15	RCM - Joint - Equities - 3	No			
15.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.2	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.3	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	RCM - Joint - Fixed Income - 3	No			
16.1	Virginia Commonwealth Transn Brd Tr (927793HS1)	No	None (or less than \$1,001)		None (or less than \$201)
16.2	Virginia Commonwealth Transn Brd Tr (927793KH1))	No	\$50,001 - \$100,000		None (or less than \$201)
16.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
16.4	Virginia St Res Auth Wtr & Swr (928181HU3))	No	\$15,001 - \$50,000		None (or less than \$201)
16.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	RCM - Joint - Equities - 4	No			
17.1	Washington Mutual Investors Fund Class C Shares (WSHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.2	Washington Mutual Investors Fund Class F2 Shares (WMFFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.3	Pioneer Fundamental Growth Fund Class Y Shares (FUNYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.4	T Rowe Price Communications & Technology, Inc (PRMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.5	USAA Cornerstone Aggressive Fund (UCAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	RCM - Joint - Fixed Income - 4	No			
18.1	Virginia St Res Auth Wtr & Swr (928181HS8)	No	None (or less than \$1,001)		None (or less than \$201)
18.2	Virginia St Res Auth Wtr & Swr (928181HL3)	No	None (or less than \$1,001)		None (or less than \$201)
18.3	Virginia St Res Auth Wtr & Swr (928181GL4)	No	\$1,001 - \$15,000		None (or less than \$201)
18.4	Virginia St Res Auth Wtr & Swr (928181HU3)	No	\$50,001 - \$100,000		None (or less than \$201)
18.5	Virginia St Res Auth Wtr & Swr (928181HN9)	No	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Virginia St Res Auth Wtr & Swr 11/01/21 (928181HL3)	Sale	11/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	Virginia St Res Auth Wtr & Swr 11/01/21(928181HS8)	Sale	11/01/2021	\$15,001 - \$50,000
3	T Rowe Price Communications & Technology, Inc (PRMTX)	Sale	08/20/2021	\$1,001 - \$15,000
4	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Sale	08/20/2021	\$1,001 - \$15,000
5	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Sale	08/20/2021	\$1,001 - \$15,000
6	GMO Resources;I (GEACX)	Sale	08/20/2021	\$1,001 - \$15,000
7	T. Rowe Price Comm & Tech Investor (PRMTX)	Sale	08/20/2021	\$1,001 - \$15,000
8	BlackRock Health Sciences Opps Instl (SHSSX)	Sale	08/20/2021	\$1,001 - \$15,000
9	BlackRock Health Sciences Opps Instl(SHSSX)	Sale	08/20/2021	\$1,001 - \$15,000
10	Cohen & Steers Real Estate Securities I(CSDIX)	Sale	08/20/2021	\$1,001 - \$15,000
11	Franklin Utilities Adv(FRUAX)	Sale	08/20/2021	\$1,001 - \$15,000
12	GMO Resources;I (GEACX)	Sale	08/20/2021	\$15,001 - \$50,000
13	T. Rowe Price Comm & Tech Investor(PRMTX)	Sale	08/20/2021	\$15,001 - \$50,000
14	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Sale	08/20/2021	\$1,001 - \$15,000
15	GMO Resources;I(GEACX)	Sale	08/20/2021	\$1,001 - \$15,000
16	T. Rowe Price Comm & Tech Investor(PRMTX)	Sale	08/20/2021	\$1,001 - \$15,000
17	BlackRock Health Sciences Opps Instl(SHSSX)	Sale	08/20/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
18	GMO Resources;I(GEACX)	Sale	08/20/2021	\$1,001 - \$15,000
19	T. Rowe Price Comm & Tech Investor(PRMTX)	Sale	08/20/2021	\$1,001 - \$15,000
20	BlackRock Health Sciences Opps Instl(SHSSX)	Sale	08/20/2021	\$1,001 - \$15,000
21	Cohen & Steers Real Estate Securities I(CSDIX)	Sale	08/20/2021	\$1,001 - \$15,000
22	Franklin Utilities Adv(FRUAX)	Sale	08/20/2021	\$1,001 - \$15,000
23	GMO Resources;I(GEACX)	Sale	08/20/2021	\$15,001 - \$50,000
24	T. Rowe Price Comm & Tech Investor(PRMTX)	Sale	08/20/2021	\$15,001 - \$50,000
25	Artisan International Value Instl(APHKX)	Purchase	08/20/2021	\$50,001 - \$100,000
26	Cohen & Steers Real Estate Securities I(CSDIX)	Purchase	07/07/2021	\$1,001 - \$15,000
27	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	07/07/2021	\$1,001 - \$15,000
28	GQG Partners Emerging Markets EquityInst(GQGIX)	Purchase	07/07/2021	\$15,001 - \$50,000
29	Artisan Global Opportunities Advisor(APDRX)	Sale	07/07/2021	\$50,001 - \$100,000
30	BlackRock Event Driven Equity Instl(BILPX)	Sale	07/07/2021	\$1,001 - \$15,000
31	Franklin Utilities Adv(FRUAX)	Sale	07/07/2021	\$1,001 - \$15,000
32	Metropolitan West Total Return Bd I(MWTIX)	Sale	07/07/2021	\$15,001 - \$50,000
33	PGIM Short-Term Corporate Bond Z(PIFZX)	Sale	07/07/2021	\$1,001 - \$15,000
34	Artisan International Value Instl(APHKX)	Purchase	07/07/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	Artisan Global Opportunities Advisor(APDRX)	Sale	07/07/2021	\$1,001 - \$15,000
36	Artisan International Value Instl(APHKX)	Purchase	07/07/2021	\$1,001 - \$15,000
37	Artisan Global Opportunities Advisor(APDRX)	Sale	07/07/2021	\$1,001 - \$15,000
38	Artisan International Value Instl(APHKX)	Purchase	07/07/2021	\$1,001 - \$15,000
39	Artisan Global Opportunities Advisor(APDRX)	Sale	07/07/2021	\$1,001 - \$15,000
40	BlackRock Event Driven Equity Instl(BILPX)	Purchase	06/28/2021	\$1,001 - \$15,000
41	BlackRock Systematic Multi-Strat Instl(BIMBX)	Purchase	06/28/2021	\$1,001 - \$15,000
42	JPMorgan Hedged Equity I(JHEQX)	Purchase	06/28/2021	\$50,001 - \$100,000
43	Vanguard Value ETF(VTV)	Purchase	06/28/2021	\$15,001 - \$50,000
44	PIMCO Investment Grade Credit Bond Instl(PIGIX)	Sale	06/28/2021	\$1,001 - \$15,000
45	JPMorgan Hedged Equity 2 C(JHDCX)	Purchase	04/27/2021	\$15,001 - \$50,000
46	JPMorgan Hedged Equity 2 C(JHDCX)	Purchase	04/27/2021	\$15,001 - \$50,000
47	Virginia Comwlth Transn Brd Tr 04/01/21(927793HS1)	Sale	04/01/2021	\$15,001 - \$50,000
48	Virginia Comwlth Transn Brd Tr 04/01/21(927793HS1)	Sale	04/01/2021	\$15,001 - \$50,000
49	American Funds Washington Mutual C(WSHCX)	Purchase	03/30/2021	\$1,001 - \$15,000
50	Pioneer Fundamental Growth Fund Class C Shares (FUNCX)	Purchase	03/30/2021	\$1,001 - \$15,000
51	American Funds Washington Mutual C(WSHCX)	Purchase	03/30/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	Akre Focus Instl(AKRIX)	Purchase	03/30/2021	\$1,001 - \$15,000
53	BlackRock Health Sciences Opps Instl(SHSSX)	Purchase	03/30/2021	\$1,001 - \$15,000
54	T. Rowe Price Comm & Tech Investor(PRMTX)	Purchase	03/30/2021	\$1,001 - \$15,000
55	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	03/30/2021	\$15,001 - \$50,000
56	GQG Partners Emerging Markets EquityInst(GQGIX)	Purchase	03/30/2021	\$15,001 - \$50,000
57	MFS Value I(MEIIIX)	Purchase	03/30/2021	\$15,001 - \$50,000
58	iShares Morningstar Large-Cap Growth ETF(JKE)	Sale	03/19/2021	\$15,001 - \$50,000
59	iShares Morningstar Large-Cap Growth ETF(JKE)	Sale	03/19/2021	\$1,001 - \$15,000
60	iShares Morningstar Large-Cap Growth ETF(JKE)	Sale	03/19/2021	\$1,001 - \$15,000
61	iShares Morningstar Large-Cap Growth ETF(JKE)	Sale	03/19/2021	\$1,001 - \$15,000
62	GMO Resources;l(GEACX)	Purchase	03/17/2021	\$15,001 - \$50,000
63	MFS Value I(MEIIIX)	Purchase	03/17/2021	\$1,001 - \$15,000
64	Vanguard Dividend Appreciation ETF(VIG)	Purchase	03/17/2021	\$1,001 - \$15,000
65	BlackRock Systematic Multi-Strat Instl(BIMBX)	Sale	03/17/2021	\$1,001 - \$15,000
66	ClearBridge Large Cap Growth I(SBLYX)	Sale	03/17/2021	\$15,001 - \$50,000
67	GMO Resources;l(GEACX)	Purchase	03/17/2021	\$1,001 - \$15,000
68	ClearBridge Large Cap Growth I(SBLYX)	Sale	03/17/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
69	Akre Focus Instl(AKRIX)	Purchase	03/09/2021	\$1,001 - \$15,000
70	Alger Small Cap Growth Fund Class Z Shares (ASCZX)	Purchase	03/09/2021	\$1,001 - \$15,000
71	Axonic Strategic Income I(AXSIX)	Purchase	03/09/2021	\$1,001 - \$15,000
72	GMO Resources;l(GEACX)	Purchase	03/09/2021	\$1,001 - \$15,000
73	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	03/09/2021	\$1,001 - \$15,000
74	GQG Partners Emerging Markets EquityInst(GQGIX)	Purchase	03/09/2021	\$1,001 - \$15,000
75	iShares Morningstar Large-Cap Growth ETF(JKE)	Purchase	03/09/2021	\$1,001 - \$15,000
76	JPMorgan Hedged Equity I(JHEQX)	Purchase	03/09/2021	\$1,001 - \$15,000
77	Royce Special Equity Instl(RSEIX)	Purchase	03/09/2021	\$1,001 - \$15,000
78	Vanguard Value ETF(VTV)	Purchase	03/09/2021	\$1,001 - \$15,000
79	Akre Focus Instl(AKRIX)	Purchase	03/03/2021	\$1,001 - \$15,000
80	Alger Small Cap Growth Z(ASCZX)	Purchase	03/03/2021	\$1,001 - \$15,000
81	Axonic Strategic Income I(AXSIX)	Purchase	03/03/2021	\$1,001 - \$15,000
82	GMO Resources;l(GEACX)	Purchase	03/03/2021	\$1,001 - \$15,000
83	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	03/03/2021	\$1,001 - \$15,000
84	GQG Partners Emerging Markets EquityInst(GQGIX)	Purchase	03/03/2021	\$1,001 - \$15,000
85	iShares Morningstar Large-Cap Growth ETF(JKE)	Purchase	03/03/2021	\$1,001 - \$15,000
86	JPMorgan Hedged Equity I(JHEQX)	Purchase	03/03/2021	\$1,001 - \$15,000
87	Royce Special Equity Instl(RSEIX)	Purchase	03/03/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
88	Vanguard Value ETF(VTV)	Purchase	03/03/2021	\$1,001 - \$15,000
89	Akre Focus Instl(AKRIX)	Purchase	02/25/2021	\$1,001 - \$15,000
90	Alger Small Cap Growth Z(ASCZX)	Purchase	02/25/2021	\$1,001 - \$15,000
91	Axonic Strategic Income I(AXSIX)	Purchase	02/25/2021	\$15,001 - \$50,000
92	GMO Resources;I(GEACX)	Purchase	02/25/2021	\$15,001 - \$50,000
93	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	02/25/2021	\$15,001 - \$50,000
94	GQG Partners Emerging Markets EquityInst(GQGIX)	Purchase	02/25/2021	\$15,001 - \$50,000
95	iShares Morningstar Large-Cap Growth ETF (JKE)	Purchase	02/25/2021	\$15,001 - \$50,000
96	JPMorgan Hedged Equity I(JHEQX)	Purchase	02/25/2021	\$15,001 - \$50,000
97	MFS Value I(MEIIIX)	Purchase	02/25/2021	\$15,001 - \$50,000
98	Royce Special Equity Instl(RSEIX)	Sale	02/25/2021	\$1,001 - \$15,000
99	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	02/25/2021	\$1,001 - \$15,000
100	Vanguard Value ETF(VTV)	Purchase	02/25/2021	\$1,001 - \$15,000
101	Vanguard Financials ETF(VFH)	Sale	02/25/2021	\$1,001 - \$15,000
102	Axonic Strategic Income I(AXSIX)	Purchase	02/12/2021	\$1,001 - \$15,000
103	BlackRock Event Driven Equity Instl(BILPX)	Purchase	02/12/2021	\$1,001 - \$15,000
104	BlackRock Event Driven Equity Instl(BILPX)	Purchase	02/12/2021	\$1,001 - \$15,000
105	BlackRock Systematic Multi-Strat Instl(BIMBX)	Purchase	02/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
106	Franklin Utilities Fund Advisor Class (FRUAX)	Purchase	02/12/2021	\$1,001 - \$15,000
107	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	02/12/2021	\$50,001 - \$100,000
108	JPMorgan Global Bond Opportunities Fund Class I Shares (GBOSX)	Purchase	02/12/2021	\$1,001 - \$15,000
109	Metropolitan West Total Return Bd I(MWTIX)	Purchase	02/12/2021	\$15,001 - \$50,000
110	MFS Value I(MEIIIX)	Purchase	02/12/2021	\$1,001 - \$15,000
111	Neuberger Berman Strategic Income Fund Institutional Class Shares (NSTLX)	Purchase	02/12/2021	\$1,001 - \$15,000
112	PGIM Short-Term Corporate Bond Z(PIFZX)	Purchase	02/12/2021	\$1,001 - \$15,000
113	PIMCO Income Instl(PIMIX)	Purchase	02/12/2021	\$1,001 - \$15,000
114	ClearBridge Large Cap Growth I(SBLYX)	Sale	02/12/2021	\$1,001 - \$15,000
115	Cohen & Steers Real Estate Securities I(CSDIX)	Sale	02/12/2021	\$15,001 - \$50,000
116	Franklin Convertible Securities Adv(FCSZX)	Sale	02/12/2021	\$15,001 - \$50,000
117	GQG Partners Emerging Markets EquityInst(GQGIX)	Sale	02/12/2021	\$1,001 - \$15,000
118	iShares Core S&P Mid-Cap(IJH)	Sale	02/12/2021	\$1,001 - \$15,000
119	iShares Core S&P Small-Cap(IJR)	Sale	02/12/2021	\$1,001 - \$15,000
120	iShares Morningstar Large-Cap Growth ETF(JKE)	Sale	02/12/2021	\$1,001 - \$15,000
121	T. Rowe Price Comm & Tech Investor(PRMTX)	Sale	02/12/2021	\$1,001 - \$15,000
122	Vanguard Dividend Appreciation ETF(VIG)	Sale	02/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
123	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	01/26/2021	\$1,001 - \$15,000
124	Franklin Convertible Securities Adv(FCSZX)	Sale	01/26/2021	\$1,001 - \$15,000
125	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	01/26/2021	\$1,001 - \$15,000
126	Franklin Convertible Securities Adv(FCSZX)	Sale	01/26/2021	\$1,001 - \$15,000
127	Goldman Sachs GQG Ptnrs Intl Opps Instl(GSIMX)	Purchase	01/26/2021	\$1,001 - \$15,000
128	Franklin Convertible Securities Adv(FCSZX)	Sale	01/16/2021	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Specialized Loan Servicing	Mortgage on Personal Residence	\$50,001 - \$100,000	2017	3.5	15-year fixed

## 9. Gifts and Travel Reimbursements

None

## Endnotes

# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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

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

---