# Executive Branch Personnel

# Public Financial Disclosure Report (OGE Form 278e)

## Filer's Information

Russell, Catherine M

Assistant to the President and Director of the White House Presidential Personnel Office, White House - Biden-Harris Administration

Date of Termination: 01/07/2022

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/ Russell, Cathy [electronically signed on 03/15/2022 by Russell, Cathy in Integrity.gov] - Filer received a 23 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/ Hermanowicz, Rebecca A, Certifying Official [electronically signed on 06/07/2022 by Hermanowicz, Rebecca A in Integrity.gov]

Other review conducted by
/s/ Hermanowicz, Rebecca A, Ethics Official [electronically signed on 06/07/2022 by Hermanowicz, Rebecca A in Integrity.gov]

U.S. Office of Government Ethics Certification

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

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|---|---|---|---|---|---|
| 1 | Women's Foreign Policy Group | Washington, District of Columbia | Non-Profit | Co-Chair | 11/2017 | 1/2021 |
| 2 | Women for Women International | Washington, District of Columbia | Non-Profit | Global Board Member | 11/2017 | 1/2021 |
| 3 | Sesame Workshop | New York, New York | Non-Profit | Global Advisory Group Member | 2/2018 | 1/2021 |
| 4 | National Security Action | Washington, District of Columbia | Social Welfare Organization | Member, Advisory Council | 9/2017 | 1/2021 |
| 5 | Thomson Reuters Foundation, Inc. | New York, New York | Non-Profit | Member, Trust Women Initiative | 2/2014 | 1/2021 |
| 6 | U.S.-Afghan Women's Council | Washington, District of Columbia | Non-Partisan Public-Private Partnership | Member | 11/2013 | 1/2021 |
| 7 | PT Fund, Inc. | Washington, District of Columbia | Presidential Transition | Member, Advisory Board | 9/2020 | 1/2021 |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1 | Russell IRA DES | | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1.1 | MORNINGSTAR US DIVIDEND GROWTH INDEX (ISHARES) ISHARES CORE DIVIDEND GROWTH ETF (DGRO) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.2 | Cash Account | No | $1,001 - $15,000 | | None (or less than $201) |
| 1.3 | S&P 500 INDEX FUND (SPDR) SPDR S&P 500 ETF TRUST (SPY) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 1.4 | RUSSELL 1000 VALUE INDEX FUND (ISHARES) ISHARES RUSSELL 1000 VALUE ETF (IWD) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.5 | S&P 100 INDEX FUND (ISHARES) ISHARES S&P 100 ETF (OEF) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.6 | RUSSELL 1000 GROWTH INDEX FUND (ISHARES) ISHARES RUSSELL 1000 GROWTH ETF (IWF) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.7 | MSCI EUROPE INDEX FUND (VANGUARD) VANGUARD FTSE EUROPEAN ETF ETF (VGK) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.8 | MSCI JAPAN INDEX FUND (ISHARES) ISHARES, INC.MSCI JAPAN ETF MUTUAL FUND (EWJ) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.9 | S&P MIDCAP 400 INDEX FUND (ISHARES) ISHARES CORE S&P MID-CAP ETF (IJH) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.10 | MSCI PACIFIC EX-JAPAN INDEX FUND (ISHARES) ISHARES MSCI PACIFIC EX JAPAN ETF (EPP) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.11 | MSCI UNITED KINGDOM INDEX FUND (ISHARES) ISHARES, INC. - ISHARES MSCI UNITED KINGDOM ETF (EWU) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 1.12 | S&P SMALLCAP 600 INDEX FUND (ISHARES) 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 |
|---|---|---|---|---|---|
| 1.13 | ISHARES MSCI CANADA ETF Non-Qualified Gross Dividend On 147 Shs @ 0.23309700 ISHARES MSCI CANADA ETF | Yes | None (or less than $1,001) | | None (or less than $201) |
| 1.14 | MSCI EMU INDEX FUND (ISHARES) ISHARES MSCI EUROZONE ETF (EZU) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 1.15 | MSCI EMERGING MARKETS INVESTABLE MARKET INDEX FUND (ISHARES) ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG) | Yes | $1,001 - $15,000 | | None (or less than $201) |

## 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 | BlackRock Inc. | N/A | None (or less than $1,001) | Employment Compensation | |
| 2 | BlackRock Inc. (BLK) unvested restricted stock units | N/A | Over $1,000,000 | | None (or less than $201) |
| 3 | BlackRock Inc. 401(k) Plan | | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 3.1 | BlackRock LifePath Index Retirement (LIRIX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 4 | Merrill Lynch Brokerage Account | | | | |
| 4.1 | Cash | N/A | $50,001 - $100,000 | | None (or less than $201) |
| 4.2 | BlackRock Inc. (BLK) | N/A | Over $1,000,000 | Dividends | $50,001 - $100,000 |
| 5 | O'Melveny & Myers LLP, defined benefit plan (value not readily ascertainable) | N/A | | Pension payments | |
| 6 | Donilon Fidelity SEPIRA | | | | |
| 6.1 | Fidelity Government Money Market (FDRXX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 7 | Donilon Fidelity Rollover IRA #2 | | | | |
| 7.1 | FIDELITY GOVERNMENT CASH RESERVES (FDRXX) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 8 | Donilon Fidelity Roth IRA | | | | |
| 8.1 | FIDELITY GOVERNMENT CASH RESERVES (FDRXX) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 9 | Donilon Fidelity Roth IRA | | | | |
| 9.1 | FIDELITY GOVERNMENT CASH RESERVES (FDRXX) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 10 | Donilon Fidelity Traditional IRA | | | | |
| 10.1 | AQR MANAGED FUTURES FUND CL I (AQMIX) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 10.2 | FIDELITY GOVERNMENT CASH RESERVES (FDRXX) | Yes | $15,001 - $50,000 | | None (or less than $201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 10.3 | HARBOR LCV RET (HNLVX) | Yes | $250,001 - $500,000 | | None (or less than $201) |
| 10.4 | CHAMPLAIN SMALL COMPANY CLASS INSTL (CIPNX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 10.5 | BLACKROCK ADVANTAGE INTL K (BROKX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 10.6 | EDGEWOOD GROWTH FUND INSTL CLEAN(EGFIX) | Yes | $250,001 - $500,000 | | None (or less than $201) |
| 10.7 | HARDING LOEVNER INTL EQUITY PORT INSTL (HLMIX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 10.8 | PEAR TREE POLARIS FRGN VALUE INSTL (QFVIX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 10.9 | TORTOISE MLP & PIPELINE FD INSTL (TORIX) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 10.10 | BOSTON PARTNERS SM CAP VALUE II INST (BPSIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 10.11 | AKRE FOCUS FUND INSTL (AKRIX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 10.12 | SOUND SHORE FUND INSTITUTIONAL (SSHVX) | Yes | $250,001 - $500,000 | | None (or less than $201) |
| 10.13 | BLACKROCK HIGH YLD BD PORT CL KURT(BRHYX) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 10.14 | BLACKROCK COREALPHA BOND FUND CL I (BCRIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 10.15 | DOUBLELINE LOW DURATION BOND CL I (DBLSX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 10.16 | PGIM HIGH YIELD CL Z (PHYZX) | Yes | $15,001 - $50,000 | | None (or less than $201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 10.17 | WELLS FARGO CORE BOND FD INSTL (MBFIX) | Yes | None (or less than $1,001) | | None (or less than $201) |
| 10.18 | HOTCHKIS AND WILEY HIGH YIELD FUND CL I (HWHIX) | Yes | None (or less than $1,001) | | None (or less than $201) |
| 10.19 | FIDELITY 500 INDEX FUND (FXAIX) | Yes | None (or less than $1,001) | | None (or less than $201) |
| 11 | Donilon Fidelity Rollover IRA #1 | | | | |
| 11.1 | ALLSPRING CORE BOND FUND INST (MBFIX) | Yes | $100,001 - $250,000 | | None (or less than $201) |
| 11.2 | AQR MANAGED FUTURES FUND CL I (AQMIX) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 11.3 | FIDELITY GOVERNMENT CASH RESERVES (FDRXX) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 11.4 | JOHCM INTERNATIONAL SELECT FUND CL I (JOHIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.5 | AMG YACKTMAN FOCUSED I (YAFIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.6 | AKRE FOCUS FUND INSTL (AKRIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.7 | CALAMOS MARKET NEUTRAL INCOME CL IF(CMNIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.8 | RIVER CANYON TOTAL RETURN BOND INSTL (RCTIX) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 11.9 | CHIRON CAPITAL ALLOCATION FUND CL IF(CCAPX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.10 | BLACKROCK STRATEGIC INC OPP PORT CLEAN K (BSIKX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.11 | JOHN HANCOCK INCOME FUND CLASS I (JSTIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 11.12 | BRANDYWINEGLOBAL GLBL UNCONSTRAN BD I (LROIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.13 | PIMCO INCOME FUND INSTITUTIONAL FUND (PIMIX) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 11.14 | TCW EMERGING MKTS INCOME CL I (TGEIX) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 11.15 | LEGG MASON WESTERN ASSET MACRO OPP I (LAOIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.16 | BNY MELLON GLOBAL REAL RETURN I (DRRIX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 11.17 | ARTISAN FOCUS FUND INSTL (APHTX) | Yes | $50,001 - $100,000 | | None (or less than $201) |

## 6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1 | Russell Fidelity Account #1 | | | | |
| 1.1 | ISHARES Inc MSCI CDA ETF (EWC) | Yes | None (or less than $1,001) | | $201 - $1,000 |
| 1.2 | ISHARES MSCI EUROZONE ETF (EZU) | Yes | $500,001 - $1,000,000 | | $5,001 - $15,000 |
| 1.3 | ISHARES INC MSCI PAC JP ETF (EPP) | Yes | $250,001 - $500,000 | | $5,001 - $15,000 |
| 1.4 | ISHARES S&P 100 ETF (OEF) | Yes | $100,001 - $250,000 | | $1,001 - $2,500 |
| 1.5 | ISHARES CORE S&P 500 ETF (IVV) | Yes | $1,000,001 - $5,000,000 | | $15,001 - $50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 1.6 | ISHARES CORE S&P 500/BAR (IVW) | Yes | $500,001 - $1,000,000 | | $2,501 - $5,000 |
| 1.7 | ISHARES S&P 500 VALUE ETF (IVE) | Yes | $500,001 - $1,000,000 | | $5,001 - $15,000 |
| 1.8 | ISHARES CORE S&P MIDCAP ETF (IJH) | Yes | $250,001 - $500,000 | | $2,501 - $5,000 |
| 1.9 | ISHARES CORE S&P SMALL CAPCAP E (IJR) | Yes | $250,001 - $500,000 | | $2,501 - $5,000 |
| 1.10 | ISHARES INCC CORE MSCI EMERGING MKTS ETF (IEMG) | Yes | $100,001 - $250,000 | | $2,501 - $5,000 |
| 1.11 | ISHARES INC MSCI JPN ETF NEW (EWJ) | Yes | $100,001 - $250,000 | | $2,501 - $5,000 |
| 1.12 | ISHARES TRUST CORE DIVID GWTH (DGRO) | Yes | $100,001 - $250,000 | | $2,501 - $5,000 |
| 1.13 | ISHARES TR MSCI UK ETF NEW (EWU) | Yes | $250,001 - $500,000 | | $5,001 - $15,000 |
| 1.14 | VANGUARD INTL EQUITY INDEX FDS FTSE EUROPE ETF (VGK) | Yes | $50,001 - $100,000 | | $1,001 - $2,500 |
| 1.15 | FIDELITY GOVERNMENT CASH RESERVES (FDRXX) | Yes | $50,001 - $100,000 | | None (or less than $201) |
| 2 | Russell Fidelity Account #2 | | | | |
| 2.1 | EDGEWOOD GROWTH FUND INSTL CL (EGFIX) | Yes | $250,001 - $500,000 | | $15,001 - $50,000 |
| 2.2 | CHAMPLAIN SMALL COMPANY CLASS INSTL (CIPNX) | Yes | $100,001 - $250,000 | | $2,501 - $5,000 |
| 2.3 | HARBOR LCV RET (HNLVX) | Yes | $250,001 - $500,000 | | $15,001 - $50,000 |
| 2.4 | HARDING LOEVNER INTL EQUITY PORT INSTL (HLMIX) | Yes | $100,001 - $250,000 | | $2,501 - $5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 2.5 | AKRE FOCUS FUND INSTL (AKRIX) | Yes | $100,001 - $250,000 | | $5,001 - $15,000 |
| 2.6 | BOSTON PARTNERS SM CAP VALUE II INST (BPSIX) | Yes | $50,001 - $100,000 | | $2,501 - $5,000 |
| 2.7 | SOUND SHOURE FUND INSTITUTIONAL (SSHVX) | Yes | $250,001 - $500,000 | | $50,001 - $100,000 |
| 2.8 | AMERICAN HIGH INCOME MUNI BOND FD CL F3 (HIMFX) | Yes | $50,001 - $100,000 | | $2,501 - $5,000 |
| 2.9 | FIDELITY GOVERNMENT CASH RESERVES (FDRXX) | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 2.10 | FID ADV LIMITED TERM MUNICIPAL INZOME Z (FIWAX) | Yes | $100,001 - $250,000 | | $2,501 - $5,000 |
| 2.11 | FID ADV INTERMEDIATE MUNICIPAL INCOME Z (FIQZX) | Yes | $250,001 - $500,000 | | $5,001 - $15,000 |
| 2.12 | TORTOISE MLP & PIPELINE FD INSTL (TORIX) | Yes | $1,001 - $15,000 | | $201 - $1,000 |
| 2.13 | BLACKROCK ADVANTAGE INTL K (BROKX) | Yes | $100,001 - $250,000 | | $5,001 - $15,000 |
| 2.14 | PEAR TREE POLARIS FRGN VALUE INSTL (QFVIX) | Yes | $100,001 - $250,000 | | $1,001 - $2,500 |
| 2.15 | FIDELITY 500 INDEX FUND | Yes | None (or less than $1,001) | | $201 - $1,000 |
| 3 | Russell Brokerage Account #1 | | | | |
| 3.1 | GOLDMAN SACHS BANK USA CASH DEPOSIT (BDA) | N/A | $5,000,001 - $25,000,000 | Interest | $2,501 - $5,000 |
| 3.2 | NEW YORK N Y GO 5% 08/01/21 FA GO BDS A ETM REFUNDED 01/06/21 UT BEO S&P AA+ /Moody's Aaa | N/A | None (or less than $1,001) | Interest | $201 - $1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 3.3 | NEW YORK N Y GO 5% 08/01/21 FA GO BDS A UT BEO S&P AA /Moody's Aa2 | N/A | None (or less than $1,001) | Interest | $201 - $1,000 |
| 3.4 | BEAUMONT TEX INDPT SCH DIST GO 5% 02/15/22 FA ULTD TAX REF BDS 2016 UT BEO S&P AAA /Moody's Aaa | N/A | $15,001 - $50,000 | | None (or less than $201) |
| 4 | Russell Brokerage Account #2 | | | | |
| 4.1 | GOLDMAN SACHS BANK USA CASH DEPOSIT (BDA) | N/A | $50,001 - $100,000 | Interest | $201 - $1,000 |
| 5 | Russell Fixed Income Account | | | | |
| 5.1 | GOLDMAN SACHS BANK USA DEPOSIT (BDA) | N/A | $50,001 - $100,000 | | None (or less than $201) |
| 5.2 | CONN ST GO 5% 07/15/21 JJ SER C UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.3 | NEBRASKA ST COLLEGE FACS CORP REV 3% 07/15/23 JJ DEFD MAINTENANCE AND REF BDS NEB ST COLLEGE 2016 INS BEO | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.4 | VESTAVIA HILLS ALA DB 5% 08/01/21 FA GO WTS 2018 UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.5 | HOMEWOOD ALA GO 5% 09/01/23 MS WTS LT BEO SR LIEN | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.6 | ST CLAIR CNTY ALA GO 4% 02/01/26CA FA GO WTS 2015 A LT BNK QUAL BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.7 | GRAND CNTY COLO SCH DIST NO GO 5.0000% 12/01/21 JD 002 EAST GRAND RFDG BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.8 | DISTRICT COLUMBIA GO 5% 06/01/24 JD GO BDS 2017D UT BEO | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.9 | DISTRICT OF COLUMBIA REV 5.0000% 12/01/21CA JD (WASHINGTON, D.C.) BEO | N/A | None (or less than $1,001) | Interest | $201 - $1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 5.10 | ESSEX CNTY N J IMPT AUTH PROJ REV 5.2500% 12/15/20 JD REV UNREFUNDED BALANCE-RFDG-CONS AMBAC BEO SR | N/A | None (or less than $1,001) | Interest | $1,001 - $2,500 |
| 5.11 | RANKIN CNTY MISS SCH DIST GO 5% 08/01/22 FA LTD TAX REF NTS 2015B LT BEO | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.12 | NEW YORK NY FOR PREVIOUS GO 5% 08/01/20 FA ISSUES SEE 64966K GENERAL OBLIGATION BONDS UT BEO | N/A | None (or less than $1,001) | Interest | $5,001 - $15,000 |
| 5.13 | PENNSYLVANIA ST GO 5% 09/15/21 MS GO BDS 2016 UT BEO SR LIEN | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.14 | PENNSYLVANIA ST GO 5% 08/15/22 FA GO BDS 2015 UT BEO SR LIEN | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.15 | ALASKA MUN BD BK ALASKA MUN BD GO 5% 03/01/24 MS BK AUTH TACABLE-SER ONE-B TAXBL BED | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.16 | MIAMI BEACH FLA WTR & SWR REV REV 5% 09/01/24 MS REV REF BDS 2017 BEO | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.17 | JACKSONVILLE FLA SPL REV REV 5% 10/01/24 AO SPL REV REF BDS A BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.18 | MIAMIDADE REV 5.0000% 04/01/24 AO COUNTY BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.19 | DUBUQUE CNTY IOWA GO 5% 06/01/24 JD GO URBAN RENEWAL BDS 2018 C UT BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 5.20 | DU PAGE CNTY ILL CMNTY UNIT GO 5% 11/01/23 MN SCH DIST NO 200 WHEATON GO REF SCH BDS 2018 UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.21 | COOK CNTY ILL SCH DIST NO 074 GO 4% 12/01/21 JD LINCOLNWOOD GO LTD TAX BDS 2018 LT | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 5.22 | KY St PPTY & BLDGS COMMN REVS REV 5% 08/01/21 FA RFDGPROJ NO 108SER B BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.23 | LEXINGTON-FAYETTE URBAN CNTY GO 5% 10/01/22 AO GOVT KY GO VAR PURP GO BDS 2018A UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.24 | MICH FIN AUTH SR LIEN DISTR REV 5.0000% 11/01/23 MN CHART CTY OF WAYNE CRIMINAL JUSTICE CTR PROJ SRS 2018 | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.25 | CLAY CNTY MO PUB SCH DIST NO GO 4% 03/01/23 MS 53 LIBERTY GO REF BDS 2015 UT BNK QUAL BEO | N/A | $250,001 - $500,000 | Interest | $5,001 - $15,000 |
| 5.26 | BASTROP CNTY TEX DB 5% 08/01/25 FA CTFS OBLIG 2018 LT BNK QUAL BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.27 | BEAUMONT TEX GO 5% 03/01/22 MS GO REF BDS 2015 LT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.28 | BURLESON TEX GO 4% 03/01/23 MS GO REF AND IMPT BDS 2016 LT BEO | N/A | $100,001 - $250,000 | Interest | $2,501 - $5,000 |
| 5.29 | FORT BEND CNTY TEX GO 5% 03/01/24 MS ULTD TAX ROAD REF BDS 2018 UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.30 | MC KINNEY TEX WTRWKS & SWR REV REV 5% 03/15/25 MS REV REF AND IMPT BDS 2017 BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.31 | DALLAS TEX GO 5% 02/15/24 FA GO REF IMPT BDS DENTON COLLIN ROCKWALL KAUFMAN 2019A LT BED | N/A | $250,001 - $500,000 | Interest | $5,001 - $15,000 |
| 5.32 | KING & SNOHOMISH CNTYS WASH GO 5% 12/01/20 JD SCH DIST NO 417 NORTHSHORE REF BDS 2013 UT BEO | N/A | None (or less than $1,001) | Interest | $2,501 - $5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 5.33 | KING CNTY WASH SCH DIST NO 210 GO 4% 12/01/22 JD FEDERAL WAY ULTD TAX GO REF BDS 2015 UT BEO | N/A | $100,001 - $250,000 | Interest | $2,501 - $5,000 |
| 5.34 | KING CNTY WASH SCH DIST NO 409 GO 5% 12/01/23 JD TAHOMA GO BDS 2013 UT BEO | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.35 | SAUK PRAIRIE WIS SCH DIST GO 5% 03/01/24 MS GO SCH BLDG BDS UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.36 | PASCO CNTY FLA SOLID WASTE REV 5.0000% 10/01/20 AO DISP & RESOURCE RECOVERY AMT-RFDG AMT BEO | N/A | None (or less than $1,001) | Interest | $2,501 - $5,000 |
| 5.37 | WESTMONT ILL DB 5% 01/01/26 JJ GO BDS INCOME TAX ALT REV SOURCE 2019 A UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.38 | UNIVERSITY ILL UNIV REVS REV 5% 04/01/25 AO AUXILIARY FACS SYS BDS 2019 A INS BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.39 | GRAND FORKS N D SALES TAX REV REV 5% 12/15/20 JD REF BDS THE ALERUS PROJ 2015D BEO SR LIEN | N/A | None (or less than $1,001) | Interest | $5,001 - $15,000 |
| 5.40 | OHIO ST GO 5% 09/15/26 MS COMMON SCHS GO REF BDS 2015A UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.41 | NORMAN OKLA GO 2.5000% 06/01/22 JD GO BDS 2019 A UT BEO | N/A | $250,001 - $500,000 | Interest | $5,001 - $15,000 |
| 5.42 | VIRGINIA ST PUB BLDG AUTH PUB REV 5% 08/01/23 FA FACS REV REV BDS 2016 C AMT BEO SR LIEN | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 5.43 | PENNSYLVANIA ST GO 5% 05/01/27 MN GO BDS FIRST SER 2020 UT BEO | N/A | $100,001 - $250,000 | Interest | $5,001 - $15,000 |
| 5.44 | ORANGE CNTY FLA SCH BRD CTFS COPS 5.0000% 08/01/27-CA FA PARTN COPS 2017B CERTS PARTN S-T SPL RDM | N/A | $100,001 - $250,000 | Interest | $2,501 - $5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 5.45 | SCHOOL BOARD OF MIAMI- GO 5.0000% 03/15/27-CA MS DADE FL SCHOOL DISTRICT BEO | N/A | $250,001 - $500,000 | Interest | $5,001 - $15,000 |
| 5.46 | NY CITY TRANSITIONAL FIN AUTH REV 5.0080% 08/01/27-CA FA FUTURE TAX SECURED BONDS | N/A | $100,001 - $250,000 | Interest | $2,501 - $5,000 |
| 5.47 | HOUSTON TEX GO 5% 03/01/28 MS REF PUB | N/A | $100,001 - $250,000 | | None (or less than $201) |
| 5.48 | ESSEX CNTY N J GO 4% 08/15/28 FA GO | N/A | $100,001 - $250,000 | | None (or less than $201) |
| 5.49 | PUEBLO CNTY COLO SCH DIST NO GO 5% 12/15/28 | N/A | $100,001 - $250,000 | | None (or less than $201) |
| 6 | Russell Liquidity Account | | | | |
| 6.1 | GOLDMAN SACHS BANK USA DEPOSIT (BDA) | N/A | $15,001 - $50,000 | | None (or less than $201) |
| 6.2 | MARICOPA CNTY ARIZ UNI SCH GO 3% 07/01/22 JJ DIST NO 89 DYSART REF BDS 2016 LT BEO S&P AA | N/A | $15,001 - $50,000 | Interest | $15,001 - $50,000 |
| 6.3 | CONNECTICUT ST GO 5% 09/15/21 MS GO REF BDS 2018 F UT BEO | N/A | None (or less than $1,001) | Interest | $15,001 - $50,000 |
| 6.4 | URBANDALE IOWA CMNTY SCH DIST GO 3% 12/01/20 JD GO REF BDS 2018D UT BNK QUAL BEO | N/A | None (or less than $1,001) | Interest | $201 - $1,000 |
| 6.5 | ROCHESTER MICH CMNTY SCH DIST GO 3.0000% 05/01/22 MN ULTD TAX GO BLDG SITE BDS OKLND MCMB CNTYS II UT BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.6 | PENNSAUKEN TWP N J SCH DIST GO 3% 07/15/21 JJ BRD ED BDS 2018 UT BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.7 | CLARK CNTY NEV SCH DIST GO 5% 06/15/21 JD GO LTD TAX REF BDS 2012A LT BEO | N/A | None (or less than $1,001) | Interest | $15,001 - $50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 6.8 | NEW YORK N Y GO 5.0000% 08/01/21 FA FISCAL 2019SER A UT BEO | N/A | None (or less than $1,001) | Interest | $1,001 - $2,500 |
| 6.9 | METROPOLITAN TRAN AUTH N Y REV 5.0000% 05/15/21 MN BEO | N/A | None (or less than $1,001) | Interest | $50,001 - $100,000 |
| 6.10 | PENNSYLVANIA ST GO 5.0000% 08/15/23 FA RFDG-FIRST SER UT BEO | N/A | $15,001 - $50,000 | Interest | $15,001 - $50,000 |
| 6.11 | BEAUMONT TEX INDPT SCH DIST GO 5% 02/15/22 FA ULTD TAX REF BDS 2016 UT BEO | N/A | None (or less than $1,001) | Interest | $1,001 - $2,500 |
| 6.12 | HOUSTON TEX GO 5% 03/01/21 MS PUB IMPT REF BDS 2016 A UT BEO | N/A | None (or less than $1,001) | Interest | $50,001 - $100,000 |
| 6.13 | WISCONSIN ST GO 5% 05/01/27 MN GO BDS 2014B PRERE 05/01/22 UT BEO SR LIEN | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.14 | MASSACHUSETTS DEPT TRANSN MET REV 5% 01/01/23 JJ HWY SYS REV REF SR BDS 2019 A BEO SR LIEN | N/A | $15,001 - $50,000 | Interest | $1,001 - $2,500 |
| 6.15 | MARYLAND ST GO 5.0000% 08/01/22 FA RFDGST & LOC FACS LNSECOND SER C BEO | N/A | $50,001 - $100,000 | Interest | $2,501 - $5,000 |
| 6.16 | MONTGOMERY CNTY TEX GO 5% 03/01/23 MS ULTD TAX RD AND LTD TAX REF BDS 2016 A LT BEO | N/A | $15,001 - $50,000 | Interest | $201 - $1,000 |
| 6.17 | WAUKESHA WIS SCH DIST GO 3% 04/01/22 AO GO PROM NTS 2019 UT BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.18 | PORTAGE CNTY WIS GO 2% 06/01/22 JD GO PROM NTS 2019A UT BEO | N/A | $50,001 - $100,000 | Interest | $201 - $1,000 |
| 6.19 | MADISON WIS AREA TECHNICAL GO 4% 03/01/23 MS COLLEGE DIST GO PROM NTS 2018-19C UT BEO | N/A | $15,001 - $50,000 | Interest | $201 - $1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 6.20 | OREGON WIS SCH DIST GO 2.5000% 03/01/23 MS GO SCH IMPT BDS 2015 UT BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.21 | OKLAHOMA CNTY OKLA INDPT SCH GO 2% 08/01/22 FA DIST NO 012 EDMOND GO BLDG BDS 2019 UT BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.22 | LOUISIANA (STATE OF) GO 5% 08/01/23 FA GENERAL OBLIGATION REFUNDING BONDS, SERIES 2016-B BEO S&P AA | N/A | $15,001 - $50,000 | Interest | $1,001 - $2,500 |
| 6.23 | SOUTHEAST POLK IOWA CMNTY SCH GO 5% 05/01/24 MN DIST GO SCH REF BDS 2015A PRERE 05/01/23 UT BEO | N/A | $15,001 - $50,000 | Interest | $1,001 - $2,500 |
| 6.24 | BEXAR CNTY TEX DB 4.0000% 06/15/36 JD CTFS OF OBLIG 2013 A PRERE 06/15/23 LT BEO | N/A | $15,001 - $50,000 | Interest | $1,001 - $2,500 |
| 6.25 | KING CNTY WASH SWR REV REV 5% 07/01/23 JJ REV REF BDS 2014B BEO SR LIEN | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.26 | ENERGY NORTHWEST REV 5.0000% 07/01/23 JJ COLUMBIA GENERATING STATION ELEC REV & RFDG B BEO | N/A | $15,001 - $50,000 | Interest | $201 - $1,000 |
| 6.27 | NEBRASKA PUB PWR DIST REV REV 2.2160% 01/01/24 JJ TAXABLE GEN BDS 2019 B-1 TAXBL BEO | N/A | $15,001 - $50,000 | | None (or less than $201) |
| 6.28 | DENTON TEX GO 4% 02/15/24 FA GO REF AND IMPT BDS 2015 LT BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 6.29 | KATY TEX INDPT SCH DIST GO 5% 02/15/24 FA ULTD TAX SCH BLDG BDS 2017 UT BEO | N/A | $15,001 - $50,000 | Interest | $201 - $1,000 |
| 6.30 | BAB ENVIRO IMPRVMNT & ENERGY REV 5.0630% 05/01/24 MN THIRD LIEN SER C ISSUER SUBSIDY TAXBL BEO | N/A | $15,001 - $50,000 | Interest | $1,001 - $2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|---|---|---|---|
| 6.31 | JAMES CITY CNTY VA ECONOMIC REV 5% 06/15/24 JD DEV AUTHY PUB FAC REV REF BDS CNTY GOVT PROJS 2021 BEO | N/A | $50,001 - $100,000 | Interest | $1,001 - $2,500 |
| 7 | MetLife Whole Life Insurance Policy | N/A | $1,001 - $15,000 | Dividends | $5,001 - $15,000 |
| 8 | Fidelity 529 Plan | | | | |
| 8.1 | NH College Port. (Fidelity Funds) | Yes | $15,001 - $50,000 | | None (or less than $201) |
| 9 | Fidelity 529 Plan | | | | |
| 9.1 | NH College Port. (Fidelity Funds) | Yes | $250,001 - $500,000 | | None (or less than $201) |
| 10 | AXA Equitable Life Insurance Company, variable life | | | | |
| 10.1 | EQ/Equity 500 Index | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 10.2 | EQ/Large Cap Value Managed Volatility | Yes | $1,001 - $15,000 | | None (or less than $201) |
| 11 | M&T Bank Account | N/A | $15,001 - $50,000 | | None (or less than $201) |
| 12 | Citibank Checking Bank Account | N/A | $50,001 - $100,000 | | None (or less than $201) |
| 13 | Citibank Savings Bank Account | N/A | $15,001 - $50,000 | | None (or less than $201) |
| 14 | Morgan Stanley Brokerage Account | N/A | $15,001 - $50,000 | | None (or less than $201) |

## 7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 1 | AMG YACKTMAN FOCUSED I (YAFIX) | Purchase | 12/15/2021 | $1,001 - $15,000 |
| 2 | LEGG MASON WESTERN ASSET MACRO OPP I (LAOIX) | Purchase | 12/22/2021 | $1,001 - $15,000 |
| 3 | Chiron Capital Allocation Fund Class I Shares (CCAPX) | Purchase | 12/22/2021 | $1,001 - $15,000 |
| 4 | ARTISAN FOCUS FUND INSTL (APHTX) | Purchase | 11/23/2021 | $1,001 - $15,000 |
| 5 | JOHCM INTERNATIONAL SELECT INSTL (JOHIX) | Purchase | 12/15/2021 | $1,001 - $15,000 |
| 6 | AKRE FOCUS FUND INSTL (AKRIX) | Purchase | 12/10/2021 | $1,001 - $15,000 |
| 7 | AQR Managed Futures Strategy Fund Class I Shares (AQMIX) | Purchase | 12/23/2021 | $1,001 - $15,000 |
| 8 | AKRE FOCUS FUND INSTL (AKRIX) | Purchase | 08/12/2021 | $15,001 - $50,000 |
| 9 | PIMCO Income Fund Institutional Class Shares (PIMIX) | Purchase | 08/12/2021 | $1,001 - $15,000 |
| 10 | JOHCM INTERNATIONAL SELECT INSTL (JOHIX) | Purchase | 08/12/2021 | $1,001 - $15,000 |
| 11 | BNY MELLON GLOBAL REAL RETURN I (DRRIX) | Purchase | 08/12/2021 | $15,001 - $50,000 |
| 12 | RIVER CANYON TOTAL RETURN BOND INSTL (RCTIX) | Purchase | 08/12/2021 | $15,001 - $50,000 |
| 13 | AMG Yacktman Focused Fund Class I Shares (YAFIX) | Purchase | 08/12/2021 | $1,001 - $15,000 |
| 14 | TCW EMERGING MKTS INCOME CL I (TGEIX) | Purchase | 07/30/2021 | $1,001 - $15,000 |
| 15 | BRANDYWINEGLOBAL GLBL UNCONSTRAN BD I (LROIX) | Purchase | 07/30/2021 | $1,001 - $15,000 |
| 16 | John Hancock Income Fund Class I Shares (JSTIX) | Purchase | 07/30/2021 | $1,001 - $15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 17 | Calamos Market Neutral Income Fund Class I Shares (CMNIX) | Purchase | 07/30/2021 | $1,001 - $15,000 |
| 18 | AQR Managed Futures Strategy Fund Class I Shares (AQMIX) | Purchase | 07/30/2021 | $1,001 - $15,000 |
| 19 | ARTISAN FOCUSED FUND ADVISOR CL (APDTX) | Purchase | 02/22/2021 | $15,001 - $50,000 |
| 20 | LEGG MASON WESTERN ASSET MACRO OPP I (LAOIX) | Sale | 08/12/2021 | $1,001 - $15,000 |
| 21 | BlackRock Strategic Income Opportunities Portfolio Class K Shares (BSIKX) | Sale | 08/12/2021 | $1,001 - $15,000 |
| 22 | ARTISAN FOCUSED FUND ADVISOR CL (APDTX) | Sale | 08/12/2021 | $1,001 - $15,000 |
| 23 | Chiron Capital Allocation Fund Class I Shares (CCAPX) | Sale | 08/12/2021 | $1,001 - $15,000 |
| 24 | AQR Managed Futures Strategy Fund Class I Shares (AQMIX) | Sale | 08/12/2021 | $15,001 - $50,000 |
| 25 | ARTISAN FOCUSED FUND ADVISOR CL (APDTX) | Sale | 07/30/2021 | $1,001 - $15,000 |
| 26 | LEGG MASON WESTERN ASSET MACRO OPP I (LAOIX) | Sale | 02/22/2021 | $1,001 - $15,000 |
| 27 | BlackRock Strategic Income Opportunities Portfolio Class K Shares (BSIKX) | Sale | 02/22/2021 | $1,001 - $15,000 |
| 28 | Chiron Capital Allocation Fund Class I Shares (CCAPX) | Sale | 01/25/2021 | $1,001 - $15,000 |
| 29 | Calamos Market Neutral Income Fund Class I Shares (CMNIX) | Sale | 08/12/2021 | $15,001 - $50,000 |
| 30 | AKRE FOCUS FUND INSTL (AKRIX) | Sale | 07/30/2021 | $1,001 - $15,000 |
| 31 | AMG Yacktman Focused Fund Class I Shares (YAFIX) | Sale | 07/30/2021 | $1,001 - $15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 32 | TCW EMERGING MKTS INCOME CL I (TGEIX) | Sale | 08/12/2021 | $1,001 - $15,000 |
| 33 | BRANDYWINEGLOBAL GLBL UNCONSTRAN BD I (LROIX) | Sale | 08/12/2021 | $1,001 - $15,000 |
| 34 | JOHCM INTERNATIONAL SELECT INSTL (JOHIX) | Sale | 07/30/2021 | $1,001 - $15,000 |
| 35 | PUEBLO CNTY COLO SCH DIST NO GO 5% 12/15/28 JD | Purchase | 12/23/2021 | $100,001 - $250,000 |
| 36 | ISHARES MSCI PACIFIC EX JAPAN ETF (EPP) | Purchase | 12/21/2021 | $1,001 - $15,000 |
| 37 | iShares MSCI Eurozone ETF (EZU) | Purchase | 12/21/2021 | $1,001 - $15,000 |
| 38 | HOUSTON TEX GO 5% 03/01/28 MS | Purchase | 12/02/2021 | $100,001 - $250,000 |
| 39 | MARICOPA CNTY ARIZ UNI SCH GO 3% 07/01/22 JJ | Purchase | 09/16/2021 | $15,001 - $50,000 |
| 40 | ESSEX CNTY N J GO 4% 08/15/28 FA | Purchase | 08/04/2021 | $100,001 - $250,000 |
| 41 | BAB ENVIRO IMPRVMNT & ENERGY REV 5.0630% 05/01/24 MN | Purchase | 07/20/2021 | $50,001 - $100,000 |
| 42 | NY CITY TRANSITIONAL FIN AUTH REV 5.0080% 08/01/27-CA FA | Purchase | 07/16/2021 | $100,001 - $250,000 |
| 43 | NEBRASKA PUB PWR DIST REV REV 2.2160% 01/01/24 JJ | Purchase | 07/08/2021 | $15,001 - $50,000 |
| 44 | ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG) | Purchase | 06/17/2021 | $1,001 - $15,000 |
| 45 | iShares MSCI Canada ETF (EWC) | Sale | 06/17/2021 | $1,001 - $15,000 |
| 46 | ENERGY NORTHWEST REV 5.0000% 07/01/23 JJ | Purchase | 06/17/2021 | $15,001 - $50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 47 | KATY TEX INDPT SCH DIST GO 5% 02/15/24 FA | Purchase | 06/17/2021 | $15,001 - $50,000 |
| 48 | JAMES CITY CNTY VA ECONOMIC REV 5% 06/15/24 JD | Purchase | 05/19/2021 | $50,001 - $100,000 |
| 49 | iShares Core S&P Mid-Cap ETF (IJH) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 50 | iShares Russell 1000 Value ETF (IWD) | Purchase | 04/07/2021 | $15,001 - $50,000 |
| 51 | iShares Core Dividend Growth ETF (DGRO) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 52 | iShares Russell 1000 Growth ETF (IWF) | Purchase | 04/07/2021 | $15,001 - $50,000 |
| 53 | iShares S&P 100 ETF (OEF) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 54 | SPDR S&P 500 ETF Trust (SPY) | Purchase | 04/07/2021 | $50,001 - $100,000 |
| 55 | iShares Core S&P Small-Cap ETF (IJR) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 56 | ISHARES, INC.MSCI JAPAN ETF MUTUAL FUND (EWJ) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 57 | ISHARES, INC. - ISHARES MSCI UNITED KINGDOM ETF (EWU) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 58 | ISHARES MSCI PACIFIC EX JAPAN ETF (EPP) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 59 | ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 60 | iShares MSCI Canada ETF (EWC) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 61 | VANGUARD FTSE EUROPEAN ETF ETF (VGK) | Purchase | 04/07/2021 | $1,001 - $15,000 |
| 62 | DENTON TEX GO 4% 02/15/24 FA | Purchase | 03/02/2021 | $50,001 - $100,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 63 | VANGUARD INTL EQUITY INDEX FDS FTSE EUROPE ETF (VGK) | Purchase | 01/21/2022 | $15,001 - $50,000 |
| 64 | ISHARES TR MSCI UK ETF NEW (EWU) | Purchase | 01/21/2022 | $50,001 - $100,000 |
| 65 | ISHARES TRUST CORE DIVID GWTH (DGRO) | Purchase | 01/21/2022 | $50,001 - $100,000 |
| 66 | ISHARES INC MSCI JPN ETF NEW (EWJ) | Purchase | 01/21/2022 | $50,001 - $100,000 |
| 67 | ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG) | Purchase | 01/21/2022 | $50,001 - $100,000 |
| 68 | iShares Core S&P Small-Cap ETF (IJR) | Purchase | 01/21/2022 | $100,001 - $250,000 |
| 69 | ISHARES S&P MIDCAP 400 INDEX FUND (IJH) | Purchase | 01/21/2022 | $100,001 - $250,000 |
| 70 | iShares S&P 500 Value ETF (IVE) | Purchase | 01/21/2022 | $250,001 - $500,000 |
| 71 | iShares S&P 500 Growth ETF (IVW) | Purchase | 01/21/2022 | $100,001 - $250,000 |
| 72 | iShares Core S&P 500 ETF (IVV) | Purchase | 01/21/2022 | $500,001 - $1,000,000 |
| 73 | ISHARES S&P 100 INDEX FUND (OEF) | Purchase | 01/21/2022 | $15,001 - $50,000 |
| 74 | ISHARES INC MSCI PAC JP ETF (EPP) | Purchase | 01/21/2022 | $50,001 - $100,000 |
| 75 | iShares MSCI Eurozone ETF (EZU) | Purchase | 01/21/2022 | $100,001 - $250,000 |
| 76 | ARTISAN FOCUSED FUND ADVISOR CL (APDTX) to ARTISAN FOCUS FUND INSTL (APHTX) | Exchange | 09/08/2021 | |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|---|---|---|
| 77 | CHIRON CAPITAL ALLOCATION FUND CL I (CCAPX) | Purchase | 12/22/2021 | $1,001 - $15,000 |
| 78 | AMG Yacktman Focused Fund Class I Shares (YAFIX) | Purchase | 12/15/2021 | $1,001 - $15,000 |
| 79 | AMG Yacktman Focused Fund Class I Shares (YAFIX) | Purchase | 12/15/2021 | $1,001 - $15,000 |

## 8. Liabilities

None

## 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).