

## Executive Branch Personnel

### Public Financial Disclosure Report:

### Periodic Transaction Report (OGE Form 278-T)

#### Filer's Information

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**Ferriero, David S**

Archivist of the United States, National Archives and Records Administration

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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/ Ferriero, David S [electronically signed on 04/16/2020 by Ferriero, David S in Integrity.gov]

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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/ Runkel, Christopher M, Certifying Official [electronically signed on 05/18/2020 by Runkel, Christopher M in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/17/2020 by Granahan, Megan in Integrity.gov]

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Data Revised 05/20/2020

## Transactions

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	Citigroup Inc. Bonds 5.375% Aug 09 2020	See Endnote	Purchase	03/03/2020	Yes	\$100,001 - \$250,000
2	Bank of America Corporation Bonds SER MTN 2.625% Oct 19 2020	See Endnote	Purchase	03/20/2020	No	\$100,001 - \$250,000
3	JPMorgan Chase & Co. Bonds 4.250% Oct 15 2020	See Endnote	Purchase	03/20/2020	No	\$50,001 - \$100,000
4	Chevron Corporation Stock CVX	See Endnote	Sale	03/20/2020	No	\$15,001 - \$50,000
5	Cohen & Steers Infrastructure Fund UTF	See Endnote	Sale	03/20/2020	No	\$1,001 - \$15,000
6	Disney Company Stock DIS	See Endnote	Sale	03/20/2020	No	\$15,001 - \$50,000
7	Ecolab Inc. Stock ECL	See Endnote	Sale	03/20/2020	No	\$1,001 - \$15,000
8	JPMorgan Chase & Co. Stock JPM	See Endnote	Sale	03/20/2020	No	\$15,001 - \$50,000
9	ONEOK, Inc. Stock OKE	See Endnote	Sale	03/20/2020	No	\$1,001 - \$15,000
10	Prologis, Inc. Stock PLD	See Endnote	Sale	03/20/2020	No	\$15,001 - \$50,000
11	Raytheon Company Stock RTN	See Endnote	Sale	03/20/2020	No	\$1,001 - \$15,000
12	The Toronto-Dominion Bank Stock TD	See Endnote	Sale	03/20/2020	No	\$1,001 - \$15,000
13	UGI Corporation Stock UGI	See Endnote	Sale	03/20/2020	No	\$1,001 - \$15,000
14	JP Morgan Chase & Co. Bonds 4.95% Mar 25 2020 - REDEEMED	See Endnote		03/25/2020	No	\$100,001 - \$250,000
15	Wells Fargo and Company Bonds SER MTN 2.550% Dec 07 2020	See Endnote	Purchase	03/31/2020	No	\$100,001 - \$250,000

## Endnotes

PART	#	ENDNOTE
Transactions	1	New. Bonds mature August 9, 2020. Notice of transaction received 3/13/2020, on March broker's statement.
Transactions	2	New. Bonds mature October 19, 2020.
Transactions	3	New. Bonds mature October 15, 2020. This transaction is separate from the sale of JPMorgan Chase & Co. stock on 3/20/20; and the redemption of a different tranche of JPM bonds on 3/25/20.
Transactions	4	All sold. No cap gains; dividends earned in 2020 prior to sale > \$200.
Transactions	5	All sold. Purchased December 2019. No cap gains; dividends earned in 2020 prior to sale < \$201.
Transactions	6	All sold. Cap gains < \$201; no dividends earned in 2020 prior to sale. Change in value category from 12/31/19, to sale date is due to market forces.
Transactions	7	All sold. No cap gains; dividends earned in 2020 prior to sale < \$201.
Transactions	8	All sold. No cap gains; dividends earned in 2020 prior to sale > \$200. Change in value category from 12/31/19, to sale date is due to market forces. This transaction is separate from the purchase of JPMorgan Chase & Co. bonds on 3/20/20; and the redemption of a different tranche of JPM bonds on 3/25/20.
Transactions	9	All sold. No cap gains; dividends earned in 2020 prior to sale > \$200. Change in value category from 12/31/19, to sale date is due to market forces.
Transactions	10	All sold. No cap gains; dividends earned in 2020 prior to sale > \$200.
Transactions	11	All sold, including shares purchased 2/3/20. No cap gains; dividends earned in 2020 prior to sale < \$201. Change in value category from 12/31/19, to sale date is due to market forces. Note: The Raytheon Company became Raytheon Technologies Corporation, ticker RTX, on April 3, 2020, following a merger with United Technologies. The Raytheon Company was still selling under RTN on date of this transaction.
Transactions	12	All sold. No cap gains; dividends earned in 2020 prior to sale > \$200. Change in value category from 12/31/19, to sale date is due to market forces.
Transactions	13	All sold. No cap gains; dividends earned in 2020 prior to sale < \$201. Change in value category from 2019 annual to sale date is due to market forces.

PART	#	ENDNOTE
Transactions	14	All bonds redeemed. Purchased October 2019. Interest earned in 2020 prior to redemption > \$5,000. This transaction is separate from the purchase of a new tranche of JPM bonds on 3/20/20, and the sale of JPMorgan Chase & Co. stock on 3/20/20.
Transactions	15	New. Bonds mature December 7, 2020.

## Summary of Contents

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

## Privacy Act Statement

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

with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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