

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Rice, Susan E

Assistant to the President and Domestic Policy Advisor, White House - Biden-Harris Administration

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Rice, Susan E [electronically signed on 04/17/2023 by Rice, Susan E 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/ McBurney, Molly E, Certifying Official [electronically signed on 05/08/2023 by McBurney, Molly E in Integrity.gov]

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Other review conducted by

/s/ McBurney, Molly E, Ethics Official [electronically signed on 05/08/2023 by McBurney, Molly E in Integrity.gov]

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U.S. Office of Government Ethics Certification

Data Revised 05/08/2023

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
6.	26	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	(05/08/2023, McBurney, Molly E): The value of this asset was reported incorrectly in the prior report.

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	SERice LLC	Washington, District of Columbia	Author/Speaking Business	President	4/2017	Present
2	Rice Cameron Family Foundation		Charitable Foundation	Trustee	12/2006	Present
3	Cameron Family Trust 2012		Trust	Trustee	1/2012	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SERice LLC See Endnote	No			
2	SEP-IRA	No			
2.1	UBS INSURED SWEEP CASH PROGRAM	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.2	UBS Select Government Investor Fund (SGEXX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.3	BEAL BANK FIXED RATE CD	No	\$100,001 - \$250,000		None (or less than \$201)
3	BENEFICIARY IRA	No			
3.1	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.4	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.5	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.6	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.7	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.8	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.9	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.10	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.11	UBS BANK DEPOSIT ACCOUNT	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Invesco Opt Yld Dvs Cmd Str No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.14	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.16	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.17	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.18	iShares MBS ETF (MBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	SPDR SER TRUST S&P OIL & GAS EXPL & PRODUCTION ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	FLEXSHARES MORNINGSTAR GLOBAL UPSTREAM NATURAL (GUNR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.21	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	iShares MSCI EAFE ETF (EFA)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4	SUSAN BENEFICIARY IRA #2	No		cash distributions	\$62,215
4.1	UBS BANK USA CORE SAVINGS	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
4.2	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.3	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.4	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.5	iShares TIPS Bond ETF (TIP)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.6	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.7	US TREAS INFLO PROT BOND	N/A	\$15,001 - \$50,000		\$201 - \$1,000
4.8	iShares MSCI ACWI ETF (ACWI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.10	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.11	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.12	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.13	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.14	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.15	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.16	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.17	UBS INSURED CASH SWEEP PROGRAM	No	\$50,001 - \$100,000		None (or less than \$201)
5	THE BROOKINGS INSTITUTION TIAA-CREF RETIREMENT	No			
5.1	CREF Stock Class R2 (QCSTPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	CREF Growth R2 (QCGRPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	CREF GLOBAL EQUITIES (QCGLPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	TIAA REAL ESTATE (QREARX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.5	CREF BOND MARKET R2 (QCBMPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	CREF SOCIAL CHOICE R2 (QCSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	AFTRA RESIDUALS	N/A	None (or less than \$1,001)	Rent or Royalties	\$201 - \$1,000

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Brookings Institution	WASHINGTON, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2002

### 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	Disney, 401(k) plan:	No			
1.1	Vanguard 500 Index Fund Institutional Select Shares (VFFSX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.2	BTC Lifepath 2025 F	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	Northern Global Sustainability Index Unitized Fund (NSRIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2	Disney, defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)
3	RBC Select Balanced Portfolio - Sr. A (RBF460)	Yes	\$100,001 - \$250,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Bank of Nova Scotia (BNS)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
2	Canadian Imperial Bank of Canada	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
3	Great West Life	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000
4	Royal Bank of Canada (RY)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
5	Toronto-Dominion Bank (TD)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
6	iShares MSCI EAFE ETF (EFA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
7	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
8	Bank of Montreal (BMO)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
9	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11	National Bank of Canada Common (NA)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
12	iShares Core MSCI EAFE ETF (IEMG)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
13	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
14	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
15	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
17	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
18	RBC CASH ACCOUNTS (USD)	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
19	RBC CASH ACCOUNTS (CDN)	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
20	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
21	Vanguard Tax Managed FTSE Dev Mkt ETF (VEA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
22	UBS Bank USA Deposit Acct	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
23	Vanguard Total Stock Mkt ETF (VTI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	Vanguard Mid-Cap Index Fund ETF Shares (VO)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
25	BNY Mellon Strategic Municipal Bond Fund, Inc (DSM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
26	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
27	Putnam Managed Municipal Income Trust (PMM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	PNC BANK ACCOUNT	N/A	\$100,001 - \$250,000		None (or less than \$201)
29	PNC BANK ACCOUNT	N/A	\$15,001 - \$50,000		None (or less than \$201)
30	PNC FOUNDATION ACCOUNT	N/A	\$50,001 - \$100,000		None (or less than \$201)
31	PNC Bank Account (LLC)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
32	PNC PERFORMANCE SELECT ACCT	N/A	\$15,001 - \$50,000		None (or less than \$201)
33	Sun Life Financial Life Insurance Life Pro	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	Washington Investment Group (passive interest in rental real estate)	N/A	\$100,001 - \$250,000	Rent or Royalties	None (or less than \$201)
35	Kelvin Creek Timber	N/A	\$500,001 - \$1,000,000	Timber sales	\$3,245
36	Merrill Lynch Brokerage Account - Cash Balance	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
37	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Yes	\$25,000,001 - \$50,000,000		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
38	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
39	iShares TIPS Bond ETF (TIP)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
40	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
41	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
42	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
43	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
44	iShares MSCI ACWI ETF (ACWI)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
45	Invesco QQQ Trust, Series 1	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
46	PNC BANK ACCOUNT	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
47	TD Canada Trust Bank Account	No	\$1,001 - \$15,000		None (or less than \$201)
48	(VA) CollegeAmerica 529 Plan #1	No			
48.1	CollegeAmerica 529 Balanced A	Yes	\$50,001 - \$100,000		None (or less than \$201)
48.2	49.2 American Balanced Fund - 529F2	Yes	\$15,001 - \$50,000		None (or less than \$201)
49	(VA) CollegeAmerica 529 Plan #2	Yes			None (or less than \$201)
49.1	American Mutual Fund Class 529-A Shares (CMLAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49.2	American Funds Bond Fund of America 529-A (CFAAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
49.3	Capital World Growth & Income Fund Class 529-A Shares (CWIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
49.4	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
49.5	Intermediate Bond Fund of America Class 529-A Shares (CBOAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
50	TD Bank Account	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
51	CUMBERLAND COUNTY ME MUNICIPAL BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
52	ELIZABETHTOWN KY PB RV BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Purchase	10/25/2022	\$1,001 - \$15,000
2	SPDR SER Trust S&P Oil Expl & Production ETF (XOP)	Purchase	10/25/2022	\$1,001 - \$15,000
3	ISHARES MBS ETF (MBB)	Purchase	10/25/2022	\$1,001 - \$15,000
4	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Purchase	10/25/2022	\$1,001 - \$15,000
5	VanEck Vectors JP Morgan EM Local Currency Bond ETF (EMLC)	Purchase	09/28/2022	\$1,001 - \$15,000
6	iShares Core MSCI EAFE ETF (IEFA)	Purchase	09/28/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Purchase	08/02/2022	\$1,001 - \$15,000
8	ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG)	Purchase	07/14/2022	\$1,001 - \$15,000
9	iShares Core MSCI EAFE ETF (IEFA)	Purchase	07/14/2022	\$1,001 - \$15,000
10	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	06/28/2022	\$1,001 - \$15,000
11	iShares Core MSCI EAFE ETF (IEFA)	Purchase	06/01/2022	\$1,001 - \$15,000
12	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Purchase	03/29/2022	\$15,001 - \$50,000
13	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	03/10/2022	\$1,001 - \$15,000
14	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Purchase	03/09/2022	\$1,001 - \$15,000
15	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	03/09/2022	\$1,001 - \$15,000
16	INVESCO OPTIMUM YIELD DIVERSIFIED COMMODITY (PDBC)	Purchase	03/01/2022	\$1,001 - \$15,000
17	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Purchase	03/01/2022	\$1,001 - \$15,000
18	iShares Core MSCI EAFE ETF (IEFA)	Purchase	02/01/2022	\$1,001 - \$15,000
19	INVESCO OPTIMUM YIELD DIVERSIFIED COMMODITY (PDBC)	Purchase	01/07/2022	\$1,001 - \$15,000
20	Vanguard Growth Index Fund ETF Class Shares (VUG)	Sale	10/21/2022	\$1,001 - \$15,000
21	Vanguard Value Index Fund ETF Shares (VTV)	Sale	10/25/2022	\$1,001 - \$15,000
22	INVESCO OPTIMUM YIELD DIVERSIFIED COMMODITY (PDBC)	Sale	10/25/2022	\$1,001 - \$15,000
23	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Sale	10/25/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	INVESCO OPTIMUM YIELD DIVERSIFIED COMMODITY (PDBC)	Sale	08/02/2022	\$1,001 - \$15,000
25	Vanguard Value Index Fund ETF Shares (VTV)	Sale	07/14/2022	\$1,001 - \$15,000
26	iShares Broad USD Investment Grade Corporate Bond ETF (USIG)	Sale	07/14/2022	\$1,001 - \$15,000
27	iShares Russell Mid-Cap Value ETF (IWS)	Sale	06/28/2022	\$1,001 - \$15,000
28	Vanguard Intermediate-Term Treasury Index Fund ETF Class Shares (VGIT)	Sale	03/29/2022	\$1,001 - \$15,000
29	INVESCO OPTIMUM YIELD DIVERSIFIED COMMODITY (PDBC)	Sale	03/29/2022	\$1,001 - \$15,000
30	iShares 20+ Year Treasury Bond ETF (TLT)	Sale	03/29/2022	\$1,001 - \$15,000
31	iShares MSCI EAFE ETF (EFA)	Sale	03/29/2022	\$1,001 - \$15,000
32	iShares MSCI EAFE ETF (EFA)	Sale	03/09/2022	\$1,001 - \$15,000
33	iShares Russell Mid-Cap Value ETF (IWS)	Sale	03/09/2022	\$1,001 - \$15,000
34	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Sale	03/01/2022	\$1,001 - \$15,000
35	WisdomTree Japan Hedged Equity Fund (DXJ)	Sale	02/01/2022	\$1,001 - \$15,000
36	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Sale	02/01/2022	\$1,001 - \$15,000
37	iShares 20+ Year Treasury Bond ETF (TLT)	Sale	02/01/2022	\$1,001 - \$15,000
38	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Sale	01/07/2022	\$1,001 - \$15,000
39	CUMBERLAND COUNTY ME MUNI BOND	Sale	12/01/2022	\$15,001 - \$50,000
40	ELIZABETHTOWN KY PB RV	Sale	04/04/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
41	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	12/12/2022	\$15,001 - \$50,000
42	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Sale	12/12/2022	\$15,001 - \$50,000
43	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Sale	11/02/2022	\$50,001 - \$100,000
44	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Sale	11/02/2022	\$15,001 - \$50,000
45	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	02/28/2022	\$15,001 - \$50,000
46	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	04/04/2022	\$1,001 - \$15,000
47	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Sale	02/28/2022	\$1,001 - \$15,000
48	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Sale	02/28/2022	\$1,001 - \$15,000
49	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Sale	04/04/2022	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
2.	1	All fees and payments for speeches and public appearances, books, opinion writing, residuals and travel are received by SERice LLC.



# 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).

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