Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Sherman, Wendy

Deputy Secretary of State, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:
None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations

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/ Sherman, Wendy [electronically signed on 01/19/2021 by Sherman, Wendy in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Visek, Richard, Certifying Official [electronically signed on 02/08/2021 by Visek, Richard in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 02/08/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Harvard Kennedy School		Cambridge, Massachusetts	University/College	Director, Center for Public Leadership and Professor of the Practice of Public Leadership	1/2019	Present
2	Albright Stonebridge Group		Washington DC, District of Columbia	Corporation	Senior Counselor (not-employee, annual retainer)	1/2016	Present
3	NBC/MSNBC	See Endnote	New York, New York	Corporation	Contributor on air (not employee, annual retainer)	10/2019	Present
4	WRS Global, LLC		Bethesda, Maryland	LLC, Single Member	Sole Member	1/2016	Present
5	Bruce E. Stokes Irrevocable Trust		Bethesda, Maryland	Trust	Trustee	9/2006	Present
6	The Atlantic Council		Washington, District of Columbia	Non-Profit	Board Member	11/2017	Present
7	International Crisis Group		Washington, District of Columbia	Non-Profit	Board of Trustees	6/2018	Present
8	[redacted] Condominium	See Endnote	Cambridge, Massachusetts	Corporation	Member Condominium Association	10/2018	Present
9	PT Fund, Inc. (Presidential Transition Team)		Washington, District of Columbia	Transition Team	Team Member	12/2020	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA # 1	No			
1.1	U.S. brokerage firm, cash account	N/A	$50,001 - $100,000		None (or less than $201)
1.2	EEMV - ISHARES EDGE MSCI MIN VOL EMER	Yes	$15,001 - $50,000		None (or less than $201)
1.3	EFAV - ISHARES EDGE MSCI MIN VOL EAFE	Yes	$50,001 - $100,000		None (or less than $201)
1.4	MTUM - ISHARES EDGE MSCI US MOMENTUM	Yes	$50,001 - $100,000		None (or less than $201)
1.5	IUSB - ISHARES CORE TOTAL BOND ETF	Yes	$100,001 - $250,000		None (or less than $201)
1.6	GLD - SPDR GOLD TR GOLD SHS	Yes	$15,001 - $50,000		None (or less than $201)
1.7	XLP - CONS STAPLES SEL SECT SPDR FD	Yes	$50,001 - $100,000		None (or less than $201)
1.8	VIG - VANGUARD DIVIDEND APPRECIATION	Yes	$50,001 - $100,000		None (or less than $201)
1.9	IPPXX - INVESCO PREMIER INST	Yes	$50,001 - $100,000		None (or less than $201)
1.10	AQMIX - AQR MNGD FUTURES STRAT I	Yes	$15,001 - $50,000		None (or less than $201)
1.11	MAPIX - MATTHEWS ASIA DIVIDEND INV	Yes	$15,001 - $50,000		None (or less than $201)
1.12	PSPLX - PIMCO STOCKSPLUS SH I2	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	UBVSX - JPMORGAN UNDSC MNGR BEHV VL I	Yes	$15,001 - $50,000		None (or less than $201)
1.14	VGHCX - VANGUARD HEALTH CARE INV	Yes	$50,001 - $100,000		None (or less than $201)
1.15	VWINX - VANGUARD WELLESLEY INC INV	Yes	$100,001 - $250,000		None (or less than $201)
2	IRA #1	N/A		cash payments	$80,614
3	IRA #2	N/A		cash payments	$16,852
4	IRA # 2	No			
4.1	U.S. brokerage firm, cash account	N/A	$15,001 - $50,000		None (or less than $201)
4.2	GLD - SPDR GOLD TR GOLD SHS	Yes	$1,001 - $15,000		None (or less than $201)
4.3	VIG - VANGUARD DIVIDEND APPRECIATION	Yes	$1,001 - $15,000		None (or less than $201)
4.4	BSV - VANGUARD SHORT TERM BND	Yes	$50,001 - $100,000		None (or less than $201)
4.5	IPPXX - INVESCO PREMIER INST	Yes	$15,001 - $50,000		None (or less than $201)
4.6	AQMIX - AQR MNGD FUTURES STRAT I -	Yes	$1,001 - $15,000		None (or less than $201)
4.7	SGOIX - FIRST EAGLE OVERSEAS I	Yes	$1,001 - $15,000		None (or less than $201)
4.8	WCMIX - WCM FOCUSED INTL GWTH INST	Yes	$1,001 - $15,000		None (or less than $201)
4.9	TRBCX - T ROWE PRICE BLUE CHIP GR	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.10	VWINX - VANGUARD WELLESLEY INC INV		Yes	None (or less than $1,001)		None (or less than $201)
4.11	WMCVX - WASATCH SM CAP VAL FD		Yes	$1,001 - $15,000		None (or less than $201)
5	WRS Global 401(k) # 1		No			
5.1	U.S. brokerage firm, cash account		N/A	$15,001 - $50,000		None (or less than $201)
5.2	EEMV - ISHARES EDGE MSCI MIN VOL EMER		Yes	$1,001 - $15,000		None (or less than $201)
5.3	IUSB - ISHARES CORE TOTAL BOND ETF		Yes	$50,001 - $100,000		None (or less than $201)
5.4	SLY - SPDR S&P 600 SMALL CAP ETF		Yes	$1,001 - $15,000		None (or less than $201)
5.5	SCHV - SCWAB U.S. LARGE-CAP VALUE		Yes	$1,001 - $15,000		None (or less than $201)
5.6	BSV - VANGUARD SHORT TERM BND		Yes	$50,001 - $100,000		None (or less than $201)
5.7	IPPXX - INVESCO PREMIER INST		Yes	$15,001 - $50,000		None (or less than $201)
5.8	CIPIX - CHAMPLAIN MID CAP INST		Yes	$1,001 - $15,000		None (or less than $201)
5.9	WCMIX - WCM FOCUSED INTL GWTH INST		Yes	$1,001 - $15,000		None (or less than $201)
5.10	TRBCX - T ROWE PRICE BLUE CHIP GR		Yes	$15,001 - $50,000		None (or less than $201)
6	WRS Global 401(k) # 1	See Endnote	N/A		cash payments	$60,448
7	Prudential		No			
7.1	Variable Annuity # 1		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1.1	AST INVESTMENT GRADE BOND PORTFOLIO	Yes	$50,001 - $100,000		None (or less than $201)
7.1.2	AST PRESERVATION ASSET ALLOCATION FUND	Yes	$100,001 - $250,000		None (or less than $201)
7.2	Variable Annuity # 2	No			
7.2.1	AST PRESERVATION ASSET ALLOCATION Fund	Yes	$100,001 - $250,000		None (or less than $201)
8	WRS Global, LLC	No	$1,001 - $15,000		
8.1	Albright Stonebridge Group	N/A		Consulting Fees	$119,016
8.2	NBC/MSNBC - Appearance Contract October 10, 2019-December 23, 2020	N/A		Appearances	$96,687
8.3	International House, New York - Honorarium, February 5, 2020	N/A		Income from Speech	$1,200
8.4	World Wide Speakers Group, Ringling College, Sarasota, Florida - Honorarium February 17, 2020	N/A		Income from Speech	$38,500
8.5	University of Kentucky Virtual Discussion - Honorarium July 29, 2020	N/A		Income from Speech	$7,500
8.6	University of Chicago Virtual Event - Honorarium October 20, 2020	N/A		Income from Speech	$4,000
8.7	Johns Hopkins School of Advanced International Studies Moderated Conversation - Honorarium November 19, 2020	N/A		Income from Speech	$7,500
8.8	CSIS Global Security Forum - Honorarium December 14, 2020	N/A		Income from Speech	$2,000
8.9	Johns Hopkins University - Carnegie Squares - Honorarium - November 19, 2020	N/A		Income from speech	$1,000
8.10	U.S. bank, cash account WRS Global Business Fundamental	N/A	$1,001 - $15,000	Interest	None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	TIAA Cref 403(b) Harvard Kennedy School		No			
9.1	TIAA Cref Multi-Asset 100%Vanguard Institutional Target Retirement 2015 Institutional	See Endnote	Yes	$100,001 - $250,000		None (or less than $201)
10	Harvard Kennedy School		N/A		Salary	$456,639
11	Harvard Kennedy School		N/A		Mortgage benefit paid as part of the transition fund provided for in my employment contract	$51,079
12	Not for the Faint of Heart : Lessons in Courage, Power, and Persistence - Book, Published 2018 by PublicAffairs	See Endnote	N/A			None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Harvard Kennedy School	Cambridge, Massachusetts	Director, Center for Public Leadership and Professor of the Practice of Public Leadership. Upon resignation, the housing benefit will be terminated and there will be no other benefits. I will continue to participate in my 403(b) defined contribution plan, but the plan sponsor will no longer make contributions after the date of my separation.	1/2019

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	WRS Global LLC	Bethesda, Maryland	My business will be inactive during my appointment. Through this LLC, among other services, I have an arrangement with NBC/MSNBC to provide commentary and I provide consulting with the Albright Stonebridge Group. Upon confirmation, my arrangements with NBC/MSNBC will be terminated, I will resign my position with the Albright Stonebridge Group, all other services will cease, and all outstanding client fees will be fixed before I enter government service. I will continue to participate in my single-member defined contribution plan.	1/2021

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Albright Stonebridge Group	Washington DC, District of Columbia	Senior Counselor (not-employee, annual retainer)
2	NBC/MSNBC	New York, New York	Contributor on air through a retainer contract.
3	WRS Global, LLC	Bethesda, Maryland	Sole Member LLC. Vehicle for non-salaried income.
4	Harvard Kennedy School	Cambridge, Massachusetts	Director, Center for Public Leadership and Professor of the Practice of Public Leadership
5	Microsoft	Washington, District of Columbia	Provided Consulting for Microsoft through ASG retainer contract including an origination fee paid by ASG.
6	Washington Speakers Bureau, Claremont College	Claremont, California	Speaking Event for Claremont College 2019
7	Washington Speakers Bureau The Common Fund	Orlando, Florida	Speaking event for The Common Fund 2019
8	Washington Speakers Bureau Temple Emanuel	Great Neck, New York	Speaking event for Temple Emanuel 2019

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
9	World Wide Speakers Bureau Ringling College	Sarasota, Florida	Speech
10	University of Kentucky	Lexington, Kentucky	Speech
11	Johns Hopkins University School of Advanced International Studies	Baltimore, Maryland	Speech
12	Purolite	Washington, District of Columbia	Provided Consulting for Purolite through ASG retainer contract.
13	Western Digital	Washington, District of Columbia	Provided Consulting for Western Digital through ASG retainer contract.
14	Illumina	Washington, District of Columbia	Provided Consulting for Illumina through ASG retainer contract.
15	Merck KGaA	Washington, District of Columbia	Provided Consulting for Merck KGaA through ASG retainer contract.
16	Washington Speakers Bureau CIBC	Washington, District of Columbia	Speaking event for Canadian Imperial Bank of Commerce 2019

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Transatlantic Policy Network (Brussels) - Honorarium September 9, 2020, Paper due January 31, 2021	N/A		Writing for 2 assignments (not published) over the September 9, 2020, TPN report on economics and the transatlantic relationship due January 31, 2021. Not published, this is a report, no payments remaining.	$3,500
2	Research Institute of Economy (Japan) - honorarium 10/19/20	N/A		Speech	$474
3	German Marshall Fund - Consultant/Fellow 2020	N/A		Executive Director for the Transaltantic task force and nonresident fellow. Writing final report for the task force. $35,000 received in 2020 and $17,500 received in January 2021.	$52,500
4	Transatlantic Policy Network - Honorarium December 19,2019	N/A		Fee for Paper on Economics and Trade done in 2019 paid during 2020	$4,000
5	TIAA-CREF 403(b)	No			
5.1	Council on Foreign Relations DC Retirement Plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.1	TIAA Cref Council on Foreign Relations	N/A		Required Minimum Distribution	$6,128
5.1.2	Annuity -Invested in TIAA Traditional	N/A	$100,001 - $250,000		None (or less than $201)
5.2	Worldwatch Institute 403(b) Defined Contribution Retirement	No			
5.2.1	TIAA Cref World Watch Institute 403(b) Defined Contribution Plan	N/A		Required Minimum Distribution	$8,198
5.2.2	Annuity invested in TIAA Traditional	N/A	$100,001 - $250,000		None (or less than $201)
5.3	Council on Foreign Relations TDA Plan	N/A			
5.3.1	TIAA Cref Council on Foreign Relations	N/A		Required Minimum Distribution	$2,150
5.3.2	Annuity invested in TIAA Traditional	N/A	$50,001 - $100,000		None (or less than $201)
6	Line intentionally left blank				
7	Sp IRA/SEP Account # 1	No			
7.1	U.S. Brokerage firm, cash account	N/A	$100,001 - $250,000		None (or less than $201)
7.2	EEMV - ISHARES EDGE MSCI MIN VOL EMER	Yes	$15,001 - $50,000		None (or less than $201)
7.3	MTUM - ISHARES EDGE MSCI US MOMENTUM	Yes	$15,001 - $50,000		None (or less than $201)
7.4	IUSB - ISHARES CORE TOTAL BOND ETF	Yes	$100,001 - $250,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.5	GLD - SPDR GOLD TR GOLD SHS	Yes	$50,001 - $100,000		None (or less than $201)
7.6	XLP - CONS STAPLES SEL SECT SPDR FD	Yes	$15,001 - $50,000		None (or less than $201)
7.7	VIG - VANGUARD DIVIDEND APPRECIATION	Yes	$50,001 - $100,000		None (or less than $201)
7.8	AQR - AQR MNGD FUTURES STRAT I	Yes	$15,001 - $50,000		None (or less than $201)
7.9	CIPIX - CHAMPLAIN MID CAP INST	Yes	$15,001 - $50,000		None (or less than $201)
7.10	IVIQX - IVA INTERNATIONAL I	Yes	$15,001 - $50,000		None (or less than $201)
7.11	WCMIX - WCM FOCUSED INTL GWTH INST	Yes	$15,001 - $50,000		None (or less than $201)
7.12	PCOXX - FEDERATED HRMS PRIME CS OBL WS	Yes	$100,001 - $250,000		None (or less than $201)
7.13	PSPLX - PIMCO STOCKSPLUS SH I2	Yes	$1,001 - $15,000		None (or less than $201)
7.14	VGHCX - VANGUARD HEALTH CARE INV	Yes	$15,001 - $50,000		None (or less than $201)
7.15	VWINX - VANGUARD WELLESLEY INC INV	Yes	$100,001 - $250,000		None (or less than $201)
8	Sp IRA #2 (Roth)	N/A		cash payments	$5,176
9	Sp IRA #2 (Roth)	No			
9.1	U.S. brokerage firm, cash account	N/A	$1,001 - $15,000		None (or less than $201)
9.2	EEMV - ISHARES EDGE MSCI MIN VOL EMER	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3	IJH - ISHARES S&P MIDCAP 400 INDEX	Yes	$1,001 - $15,000		None (or less than $201)
9.4	IUSB - ISHARES CORE TOTAL BOND ETF	Yes	$1,001 - $15,000		None (or less than $201)
9.5	SLY - SPDR S&P 600 SMALL CAP ETF	Yes	$1,001 - $15,000		None (or less than $201)
9.6	SCHV - SCWAB U.S. LARGE-CAP VALUE	Yes	$1,001 - $15,000		None (or less than $201)
9.7	BSV - VANGUARD SHORT TERM BND	Yes	$1,001 - $15,000		None (or less than $201)
9.8	IPPXX - INVESCO PREMIER INST	Yes	$1,001 - $15,000		None (or less than $201)
9.9	WCMIX - WCM FOCUSED INTL GWTH INST	Yes	$1,001 - $15,000		None (or less than $201)
9.10	PARWX - Parnassus Endeavor Fund Investor Shares	Yes	$1,001 - $15,000		None (or less than $201)
10	Sp IRA # 3	No			
10.1	FTVIP FRANKLIN INCOME VIP FUND	Yes	$15,001 - $50,000		None (or less than $201)
10.2	FTVIP-MUTUAL SHARES VIP FND-CL 2	Yes	$1,001 - $15,000		None (or less than $201)
10.3	FTVIP-TEMPLETON FOREIGN VIP FND	Yes	$1,001 - $15,000		None (or less than $201)
10.4	INVESCO VI AMERCN FRANCHISE FND	Yes	$1,001 - $15,000		None (or less than $201)
10.5	MORGAN STANLEY VIF EM MARKETS EQ	Yes	$1,001 - $15,000		None (or less than $201)
10.6	MORGAN STANLEY VIF US REAL ESTAT	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7	PUTNAM SMALL CAP VALUE IB	Yes	$1,001 - $15,000		None (or less than $201)
11	Carnegie Endowment - Honorarium, 1/11/20	N/A		Carnegie Endowment Report	$15,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage firm, cash account	N/A	$100,001 - $250,000		None (or less than $201)
2	MYI - BLACKROCK MUNIYIELD QLTY FD 3	Yes	None (or less than $1,001)		None (or less than $201)
3	UTIXX - FEDERATED HRMS USTRSY CS RS IS	Yes	$100,001 - $250,000		$1,001 - $2,500
4	NHMAX - NUVEEN HI YLD MUNI BOND A	Yes	$15,001 - $50,000		$1,001 - $2,500
5	BALTIMORE CNTY M OIDCoupon 3.00% Mature 02/01/2035 [redacted]	N/A	$15,001 - $50,000	Interest	$201 - $1,000
6	UNIVERSITY MD SYS AUXILIARY FAC & TUITI OIDCoupon 3.00% Mature 04/01/2036 [redacted]	N/A	$15,001 - $50,000	Interest	$201 - $1,000
7	BILLERICA MASS MUN PURP LN GENL OBLIGCoupon 4.00% Mature 10/15/2028 [redacted]	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
8	CASCADE CNTY MONT ELEM SCH DIST NO 1 GREAT FALLSCoupon 4.00% Mature 07/01/2029 [redacted]	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	JEFFERSON CNTY COLO SCH DIST NO R-001 REFCoupon 4.00% Mature 12/15/2023 [redacted]	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
10	KING CNTY WASH SWR REV REF SER-BCoupon 5.00% Mature 07/01/2029 [redacted])	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
11	MASSACHUSETTS BAY TRANSN AUTH MASS REV-ACoupon 4.00% Mature 07/01/2026 [redacted]	N/A	$15,001 - $50,000	Interest	$201 - $1,000
12	MASSACHUSETTS DEPT TRANSN MET HWY SYS REV REF-ACoupon 5.00% Mature 01/01/2027 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
13	MASSACHUSETTS ST CLEAN WTR TR GREEN REVOLVING FD REVCoupon 5.00% Mature 08/01/2032 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
14	MASSACHUSETTS ST DEV FIN AGY REVCoupon 5.00% Mature 10/15/2027 [redacted]	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
15	MASSACHUSETTS ST PORT AUTH REV-BCoupon 5.00% Mature 07/01/2034 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
16	MASSACHUSETTS ST SCH BLDG AUTHDEDICATED SALES TAX REVCoupon 5.00% Mature 02/15/2026 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
17	MASSACHUSETTS ST WTR RES AUTH GREEN GEN REV-CCoupon 4.00% Mature 08/01/2022 [redacted]	N/A	$15,001 - $50,000	Interest	None (or less than $201)
18	MASSACHUSETTS ST WTR RES AUTH GREEN GEN REV-CCoupon 4.00% Mature 08/01/2022 [redacted]	N/A	$15,001 - $50,000	Interest	None (or less than $201)
19	NATICK MASSCoupon 3.00% Mature 08/01/2032 [redacted]	N/A	$50,001 - $100,000	Interest	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	NEW YORK ST URBAN DEV CORP PERS INCOME REV-ACoupon 5.00% Mature 03/15/2030 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
21	OREGON ST GENL OBLIG REV-ACoupon 5.00% Mature 05/01/2034 [redacted]	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
22	QUINCY MASS MULT PURP LN GENL OBLIGCoupon 4.00% Mature 07/01/2032 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
23	REGIONAL TRANSPORTATION DISTRICT COLO SALES TAX REV REF-ACoupon 5.00% Mature 11/01/2027 [redacted]	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
24	TAUNTON MASS MUN PURP LN GENL OBLIGCoupon 4.00% Mature 08/15/2033 ([redacted]	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
25	TEWKSBURY MASS GENL OBLIGCoupon 4.00% Mature 06/01/2030 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
26	UNIVERSITY WASH UNIV REVS REV REF-ACoupon 5.00% Mature 12/01/2032 [redacted]	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
27	WESTON MASS GENL OBLIGCoupon 5.00% Mature 01/15/2030 [redacted]	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
28	WISCONSIN ST GENL OBLIG SER-CCoupon 4.00% Pre-Ref 05/01/2021 @ 100.000 [redacted]	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
29	U.S. brokerage firm, cash account	N/A	$50,001 - $100,000		None (or less than $201)
30	EEMV - ISHARES EDGE MSCI MIN VOL EMER	Yes	$1,001 - $15,000		$2,501 - $5,000
31	AGG - ISHARES CORE U.S. AGGREGATE	Yes	$50,001 - $100,000		$1,001 - $2,500
32	IWS - ISHARES RUSSELL MIDCAP V ETF	Yes	$15,001 - $50,000		$15,001 - $50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	IEI - ISHARES 3-7 YR TREASURY BD ETF		Yes	$15,001 - $50,000		$201 - $1,000
34	EFAV - ISHARES EDGE MSCI MIN VOL EAFE		Yes	$15,001 - $50,000		$15,001 - $50,000
35	MTUM - ISHARES EDGE MSCI US MOMENTUM		Yes	$15,001 - $50,000		$15,001 - $50,000
36	SCHD - SCHWAB US DVD EQUITY ETF		Yes	$15,001 - $50,000		$50,001 - $100,000
37	BNDX - VANGUARD TOTAL INTL BOND ETF		Yes	$15,001 - $50,000		None (or less than $201)
38	IPPXX - INVESCO PREMIER INST		Yes	$50,001 - $100,000		None (or less than $201)
39	SHSSX - BLACKROCK HEALTH SCIENCE OPP I		Yes	$15,001 - $50,000		$15,001 - $50,000
40	WCMIX - WCM FOCUSED INTL GWTH INST		Yes	$15,001 - $50,000		$201 - $1,000
41	PARWX - PARNASSUS ENDEAVOR FUND		Yes	$15,001 - $50,000		None (or less than $201)
42	LTMIX - THORNBURG LTD TRM MUNI I		Yes	$50,001 - $100,000		$1,001 - $2,500
43	VWINX - VANGUARD WELLESLEY INC INV		Yes	$100,001 - $250,000		$15,001 - $50,000
44	Joint Prudential Life Insurance - Fixed Universal Life - Second to Die Policy- $500,000 Death Benefit		N/A	$15,001 - $50,000		None (or less than $201)
45	Transamerica Advisors Life Insurance Annuity - Annuity Distribution	See Endnote	N/A		Inherited Annuity payments, no readily ascertainable value	$6,684

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	[redacted] Irrevocable Trust				
46.1	U.S. bank, cash account	N/A	$1,001 - $15,000		None (or less than $201)
47	[redacted] Irrevocable Trust				
47.1	U.S. bank, cash account	N/A	None (or less than $1,001)		None (or less than $201)
48	U.S. bank, cash account	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
49	U.S. bank, cash account Business Economy	N/A	$1,001 - $15,000	Interest	None (or less than $201)

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase	Mortgage on Personal Residence	$500,001 - $1,000,000	2018	4%	30 years

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
1.	3	Contract is currently suspended per agreement signed December 23 since I began work as volunteer on the Transition.
1.	8	Member of Condo Association that consists of 2 homes, one of them mine. The other Members are Bruce Stokes and the other homeowner.
2.	6	Associated with WRS Global, final contribution will be made in 2021 for the 2020 contribution to the plan. If WRS Global is terminated, this plan will be rolled over into an IRA with Morgan Stanley
2.	9.1	The plan sponsor will no longer make contributions upon the date of my separation from Harvard Kennedy School employment.
2.	12	Value no readily ascertainable at this time. There are currently no expected additional royalties as confirmed with the publisher.
6.	45	The value of this asset is not readily ascertainable. Filer receives a fixed annual payment of $6,684.38 and holds no interest other than the right to this payment.

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.

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