

# Executive Branch Personnel

## Public Financial Disclosure Report:

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

#### Filer's Information

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ZAIS, MITCHELL MCGEEVER

Deputy Secretary, Department of Education

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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/ ZAIS, MITCHELL MCGEEVER [electronically signed on 10/21/2020 by ZAIS, MITCHELL MCGEEVER 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/ GOODRIDGE-KEILLER, MARCELLA, Certifying Official [electronically signed on 11/23/2020 by GOODRIDGE-KEILLER, MARCELLA in Integrity.gov]

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Other review conducted by

/s/ SPENCER, KRISTINA, Ethics Official [electronically signed on 11/18/2020 by SPENCER, KRISTINA in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 12/09/2020 by Granahan, Megan in Integrity.gov]

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Data Revised 11/12/2020

Data Revised 10/29/2020

Data Revised 10/28/2020

Data Revised 10/26/2020

## Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	USAA High Income Fund INSTL (UIHIX)	Purchase	03/25/2020	Yes	\$1,001 - \$15,000
2	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	03/25/2020	Yes	\$1,001 - \$15,000
3	ISHARES Trust Core MSCI EAFE ETF (IEFA)	Purchase	03/26/2020	Yes	\$1,001 - \$15,000
4	AQR Small Cap Multi Style FD CL (QSMLX)	Sale	03/19/2020	Yes	\$1,001 - \$15,000
5	ISHARES TR Barclays 7 10 YR (IEF)	Sale	03/21/2020	Yes	\$1,001 - \$15,000
6	AT&T INC COM USD1 (T)	Purchase	05/14/2020	Yes	\$1,001 - \$15,000
7	Apple INC Com (AAPL)	Sale	05/14/2020	Yes	\$1,001 - \$15,000
8	Boeing co com (BA)	Sale	05/14/2020	Yes	\$1,001 - \$15,000
9	American Beacon AHL Managed Futures Strategy F (AHLIX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
10	Baird Core Plus Bond (BCOIX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
11	Goldman Sachs International Small Cap Insights Fund (GICIX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
12	Harding Loevner International Equity Portfolio (HLMIX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
13	USAA Managed Allocation Fund (UMAFX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
14	USAA Income Fund Institutional Shares (UIINX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
15	Vanguard Growth and Income Fund Admiral Shares (VGIAX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
16	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
17	American Beacon International Equity Fund Class Y (ABEYX)	Purchase	05/06/2020	Yes	\$1,001 - \$15,000
18	Baird Core Plus Bond Fund (BCOIX)	Purchase	05/18/2020	Yes	\$1,001 - \$15,000
19	Goldman Sachs International Small Cap Insights Fund (GICIX)	Purchase	05/18/2020	Yes	\$1,001 - \$15,000
20	Harding Loevner International Equity Portfolio (HLMIX)	Purchase	05/18/2020	Yes	\$1,001 - \$15,000
21	USAA Managed Allocation Fund (UMAFX)	Purchase	05/18/2020	Yes	\$1,001 - \$15,000
22	USAA Income Fund Institutional Shares (UIINX)	Purchase	05/18/2020	Yes	\$1,001 - \$15,000
23	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	05/18/2020	Yes	\$1,001 - \$15,000
24	Victory Sycamore Established Value Fund Class R Shares (GETGX)	Purchase	05/18/2020	Yes	\$1,001 - \$15,000
25	Exelon Corporation (EXC)	Purchase	04/02/2020	Yes	\$1,001 - \$15,000
26	The Travelers Cos., Inc. (TRV)	Purchase	04/02/2020	Yes	\$1,001 - \$15,000
27	Tyson Foods, Inc. (TSN)	Purchase	04/02/2020	Yes	\$1,001 - \$15,000
28	Quest Diagnostics, Inc. (DGX)	Sale	04/02/2020	Yes	\$1,001 - \$15,000
29	WEC Energy Group, Inc. (WEC)	Sale	04/02/2020	Yes	\$1,001 - \$15,000
30	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Purchase	04/03/2020	Yes	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
31	iShares Core MSCI EAFE ETF (IEFA)		Sale	04/03/2020	Yes	\$1,001 - \$15,000
32	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)		Purchase	04/24/2020	Yes	\$1,001 - \$15,000
33	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)		Purchase	04/24/2020	Yes	\$1,001 - \$15,000
34	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)		Purchase	04/24/2020	Yes	\$1,001 - \$15,000
35	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)		Purchase	04/24/2020	Yes	\$1,001 - \$15,000
36	USAA Income Fund Institutional Class Shares (UIINX)		Purchase	04/24/2020	Yes	\$1,001 - \$15,000
37	American Beacon International Equity Fund Class Y Shares (ABEYX)		Sale	04/24/2020	Yes	\$1,001 - \$15,000
38	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)		Sale	04/24/2020	Yes	\$1,001 - \$15,000
39	AT&T INC COM USD1 (T)		Purchase	05/12/2020	Yes	\$1,001 - \$15,000
40	Apple, Inc. (AAPL)		Sale	05/12/2020	Yes	\$1,001 - \$15,000
41	Broadcom, Inc. (AVGO)	See Endnote	Purchase	06/22/2020	Yes	\$1,001 - \$15,000
42	ConocoPhillips (COP)	See Endnote	Purchase	06/22/2020	Yes	\$1,001 - \$15,000
43	The Hershey Co. (HSY)	See Endnote	Purchase	06/22/2020	Yes	\$1,001 - \$15,000
44	Russell Tax-Managed Real Assets Fund Class A Shares (RTXAX)		Sale	06/24/2020	Yes	\$1,001 - \$15,000
45	Schwab Government Money Fund Sweep Class Shares (SWGXX)		Purchase	05/27/2020	Yes	\$1,001 - \$15,000
46	Broadcom, Inc. (AVGO)		Purchase	06/24/2020	Yes	\$1,001 - \$15,000
47	ConocoPhillips (COP)		Purchase	06/24/2020	Yes	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
48	The Hershey Co. (HSY)	See Endnote	Purchase	06/22/2020	Yes	\$1,001 - \$15,000
49	Russell Tax-Managed Real Assets Fund Class A Shares (RTXAX)		Sale	06/22/2020	Yes	\$1,001 - \$15,000
50	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)		Purchase	09/15/2020	Yes	\$1,001 - \$15,000
51	USAA Income Fund Institutional Class Shares (UIINX)		Purchase	09/15/2020	Yes	\$1,001 - \$15,000
52	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)		Purchase	09/15/2020	Yes	\$1,001 - \$15,000
53	Delaware Emerging Markets Fund Institutional Class Shares (DEMIX)		Purchase	09/09/2020	Yes	\$1,001 - \$15,000
54	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)		Sale	09/08/2020	Yes	\$1,001 - \$15,000
55	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)		Purchase	09/14/2020	Yes	\$1,001 - \$15,000
56	American Beacon International Equity Fund Class Y Shares (ABEYX)		Purchase	09/15/2020	Yes	\$1,001 - \$15,000
57	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)		Purchase	09/15/2020	Yes	\$1,001 - \$15,000
58	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)		Purchase	09/14/2020	Yes	\$1,001 - \$15,000
59	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)		Purchase	09/14/2020	Yes	\$1,001 - \$15,000
60	Harding Loevner International Equity Portfolio Institutional Class Z Shares (HLIZX)		Purchase	09/14/2020	Yes	\$1,001 - \$15,000
61	Hartford Schrodgers Emerging Markets Equity Fund Class F Shares (HHHFX)		Purchase	09/14/2020	Yes	\$1,001 - \$15,000
62	USAA Managed Allocation Fund (UMAFX)		Purchase	09/14/2020	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
63	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Purchase	09/15/2020	Yes	\$1,001 - \$15,000
64	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Purchase	09/14/2020	Yes	\$1,001 - \$15,000
65	iShares Core 1-5 Year USD Bond ETF (ISTB)	Purchase	07/24/2020	Yes	\$1,001 - \$15,000
66	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Purchase	07/22/2020	Yes	\$1,001 - \$15,000

## Endnotes

PART	#	ENDNOTE
Transactions	41	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.
Transactions	42	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.
Transactions	43	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.
Transactions	48	This is a duplicated reported entry. This transaction was previously reported on the transaction report submitted on 7/27/2020.

## 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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