

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Rosen, Jeffrey A

Deputy Attorney General, USDOJ, Department of Justice

Date of Termination: 01/20/2021

Other Federal Government Positions Held During the Preceding 12 Months:

Acting Attorney General (12/2020 - 1/2021)

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/ Rosen, Jeffrey A [electronically signed on 02/06/2021 by Rosen, Jeffrey A 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/ Weinsheimer, Bradley, Certifying Official [electronically signed on 02/09/2021 by Weinsheimer, Bradley in Integrity.gov]

Other review conducted by

/s/ Shaw, Cynthia K, Ethics Official [electronically signed on 02/08/2021 by Shaw, Cynthia K in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 02/16/2021 by Granahan, Megan in Integrity.gov]

Data Revised 02/08/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Revocable Living Trust (no reportable assets)	McLean, Virginia	Trust	Trustee	12/1996	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kirkland & Ellis LLP, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments (annual)	\$22,156
2	St. Paul Business Trust, defined benefit plan (value not readily ascertainable) Trust assumed majority of Kirkland's pension obligation at age 61	N/A		Retirement payments (annual)	\$175,000
3	Vanguard Emerging Markets Stock Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Vanguard Inflation Protected Securities Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Vanguard Total International Stock Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Vanguard Total Stock Market Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	ISHARES EDGE MSCI USA QUALITY FACTOR ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	VEA VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	US brokerage money market account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
11	COFYX Columbia Contrarian Core Fund Institutional 3 Class	Yes	\$250,001 - \$500,000		None (or less than \$201)
12	CCALX Conestoga Small Cap Institutional Class	Yes	\$50,001 - \$100,000		None (or less than \$201)
13	PCBIX Principal MidCap Fund Institutional Clas	Yes	\$100,001 - \$250,000		None (or less than \$201)
14	PRZIX T. Rowe Price Emerging Markets Stock Fund I Class	Yes	\$50,001 - \$100,000		None (or less than \$201)
15	Columbia Select Large Equity Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
16	DSEEX Doubleline Shiller Enhanced CAPE Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
17	CMGIX BlackRock MidCap Growth Equity Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
18	JPMorgan Emerging Mkt Equity Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
19	Fidelity Real Estate Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
20	Vanguard Treasury Money Market Fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
21	Touchstone Sands Capital Select Growth Fund Class Y Shares (CFSIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
22	MFS Research International Fund Class I Shares (MRSIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	Morgan Stanley Institutional Fund Trust Growth Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
24	Columbia Select Mid Cap Value Fund Institutional 3 Class Shares	Yes	\$100,001 - \$250,000		None (or less than \$201)
25	Delaware Small Cap Core Fund Class R6 Shares (DCZRX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
26	Fuller & Thaler Behavioral Small-Cap Equity Fund (FTHFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
27	Harbor Small Cap Value Fund (HASCX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
28	William Blair International Small Cap Growth Fund (WIISX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
29	Columbia Dividend Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kirkland & Ellis LLP	Chicago, Illinois	I continue to participate in this defined benefit plan. St. Paul Business Trust has assumed majority of Kirkland pension obligation at age 61.	6/1982
2	Kirkland & Ellis LLP 401k	Chicago, Illinois	I continue to have holdings in this defined contribution plan, but the firm does not make any contributions after my retirement in 2017.	5/2009

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	Roth IRA: Vanguard Treasury Money Market Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	U.S. bank account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. bank account #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. CMA account #4 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	VEMAX Vanguard Emerging Markets Stock Index Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6	VWEAX Vanguard High Yield Corporate Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7	VWIUX Vanguard Intermediate Term Tax Exempt Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
8	Vanguard Prime Money Market Fund	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	VBTLX Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10	VTIAX Vanguard Total International Stock Index Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11	Fidelity Tax Exempt MMF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	FEQTX Fidelity Equity Dividend Income Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	Schwab U.S. Dividend Equity ETF	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
14	Schwab Cash Reserves	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
15	DC INCOME TAX 5%23 TAX COMB DUE 12/01/23	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
16	DENTON TX 5%21 GO LTX DUE 02/15/21	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
17	FL ST B/E PUB ED 5%22 TAX EXIT DUE 06/01/22	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
18	KING CNTY WA SD #40 5%21 GO UTX DUE 12/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
19	MN PFA REVOLVING 5%23 AUTH POOL DUE 03/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20	NY ST PWR AUTH 5%22 UTIL PWR DUE 11/15/22	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
21	NY ST URB DEV CORP 5%27 TAX SPL DUE 03/15/27	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
22	OR ST DEPT ADMN LTR 5%24 VP DUE 04/01/24	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	PENNSYLVANIA ST 5.375%20 GO UTX DUE 07/01/20 AS	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
24	SANTA CLARA CA FA 4%23 BLDG LEAS DUE 02/01/23 XT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
25	UNIV CINCINNATI OH 5%25 EDUC PUB DUE 06/01/25	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
26	VA ST PUB SCH AUTH 5%24 SCH IMPT DUE 08/01/24	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
27	BERNSTEIN DIVERSIFIED MUNI PORTFOLIO	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
28	TAX-AWARE OVERLAY A PORTFOLIO CLASS 1 (SATOX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
29	TAX-AWARE OVERLAY B PORTFOLIO CLASS 1 (SBTOX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
30	AB DISCOVERY GRWTH FUND- ADV	Yes	\$50,001 - \$100,000		None (or less than \$201)
31	AB DISCOVERY VALUE FUND- ADV	Yes	\$50,001 - \$100,000		\$201 - \$1,000
32	BERNSTEIN EMERGING MRKTS PORTFOLIO	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
33	BERNSTEIN TAX-MANAGED INT'L PORTFOLIO	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
34	AB MULTI-MANAGER ALTERNATIVE FUND	Yes	\$250,001 - \$500,000		None (or less than \$201)
35	WELLS FARGO ADVISORS MONEY MARKET	Yes	\$50,001 - \$100,000		None (or less than \$201)
36	AMER FDS INC FUND AMR A (AMECX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37	CAPITAL INCOME BLDR CL A (CAIBX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
38	AMER FDS CAP WRLD G/I A (CWGIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
39	AMER FDS WASH MUTUAL A (AWSHX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
40	AMER FDS INVST CO AMR A (AIVSX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
41	AMERICAN FDS DEV WORLD A (DWGAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
42	VA ST HSG DEV AUTH CPN 3.050% DUE 10/01/22	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
43	SMYTH CNTY VA PUB IMPT SERA G/OCPN 4.0% 11/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
44	VA ST HSG DEV AUTH 2.850% DUE 10/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
45	VA SMALL BUSINESS FING AUTH REV RFDG 4% HAMPTON U	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
46	FAIRFAX CNTY VA IDA REV HC INOVA HLTH 4.0%	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
47	UPPER OCCOQUAN SWR AUTH VA 3% 07/01/44	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
48	POQUOSON VA RFDG G/O 4% 02/15/25	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
49	VA CLG BLDG AUTH VA EDL FACS REV HIGH ED 4%	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
50	VIRGINIA ST HSG DEV AUTH 4.000% DUE 10/01/30	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51	VA SMALL BUSINESS FING AUTH 5.250% DUE 04/01/26	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
52	VA SMALL BUSINESS FING 4.750% DUE 04/01/23	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
53	FAIRFAX CNTY VA ECON DEV AUTH REV WIEHLE AVE	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
54	PRINCE WILLIAM CNTY VA IDA HC REV RFDG NOVANT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
55	VA ST HSG DEV AUTH RNTL HSG SER F 3.375% 10/1/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
56	ARLINGTON CNTY VA IDA 4.25% HSP FAC REV RFDG VA HOS	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
57	VA ST HSG DEV AUTH RNTL HSG 3.950% DUE 08/01/23	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
58	ROANOKE VA IDA HSP REV UNREFUND REF CARILLION	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
59	VA CLLG BLDG AUTH VA EDL FACS 4.000% DUE 09/01/30	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
60	VA ST HSG DEV AUTH RNTL HSG SER F 2.900% 10/1/20	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
61	VA ST PUB SCH AUTH RFDG 1997 RESOLUTION 3%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62	LYNCHBURG VA ECON DEV AUTH EDL FACS REV LYNC	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
63	VA ST HSG DEV AUTH RNTL HSG SERE 4.4% 10/1/40	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
64	VA ST PUB BLDG AUTH PUB FACS REV RFDG SER C	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65	VA ST HSG DEV AUTH RNTL HSG SER B 3% 8/1/27	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
66	VIRGINIA ST PUB BLDG AUTH PUB FACS REV SER A	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
67	FAIRFAX CNTY VA INDL DEV AUTH REV RFDG INOVA H	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
68	ROANOKE VA ECON DEV AUTH HSP REV RFDG CAROLI	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
69	VA COMWLTH UNIV HLTH SYS AUTH REV GEN 4.25%	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
70	VA ST HSG DEV AUTH RNTL 4.375% DUE 12/01/31	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
71	FAIRFAX CNTY VA IDA REV HC INOVA HLTH SYS PROJ	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
72	PRINCE WILLIAM CNTY VA IDA HC RFDG NOVANT HLTH	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
73	PRINCE WILLIAM CNTY VA IDA HC REV NOVANT OBLIG	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
74	SPOTSYLVANIA CNTY VA ECON DEV AUTH PUB FAC RE	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
75	DISTRICT COLUMBIA TAX INCREMENT REV CITY MKT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
76	MAHOMET IL ALT REV SOURCE DB B/E 4.500% 01/01/34	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
77	Pacific Life Flexible Premium Indexed Adjustable Variable Life Insurance: 1-Yr High Par Indexed Account (linked to S&P 500 index)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
78	John Hancock variable life insurance:Blue Chip Growth Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
79	John Hancock variable life insurance: Midcap Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
80	U.S. bank account #5 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
81	U.S. bank account #6 (CDs)	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
82	AB Large Cap Growth Fund Advisor Class	Yes	\$250,001 - \$500,000		\$201 - \$1,000
83	AB Value Fund Advisor Class	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
84	VA ST HSG DEV AUTH CMWLTH MTG 2.400% 10/1/20	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fuller & Thaler Behavioral Small-Cap Equity Fund	Purchase	03/31/2020	\$50,001 - \$100,000
2	MFS Research International Fund	Purchase	03/31/2020	\$15,001 - \$50,000
3	MFS Research International Fund	Purchase	03/20/2020	\$15,001 - \$50,000
4	Columbia Contrarian Core Fund	Purchase	03/31/2020	\$50,001 - \$100,000
5	Principal MidCap Fund	Purchase	06/19/2020	\$15,001 - \$50,000
6	Morgan Stanley Institutional Fund Trust Growth Portfolio	Purchase	06/19/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Delaware Small Cap Core Fund	Purchase	06/19/2020	\$50,001 - \$100,000
8	Touchstone Sands Capital Select Growth Fund	Purchase	07/23/2020	\$100,001 - \$250,000
9	Touchstone Sands Capital Select Growth Fund	Purchase	09/09/2020	\$50,001 - \$100,000
10	Columbia Dividend Income Fund	Purchase	09/09/2020	\$15,001 - \$50,000
11	William Blair International Small Cap Growth Fund	Purchase	12/28/2020	\$15,001 - \$50,000
12	Harbor Small Cap Value Fund	Purchase	12/28/2020	\$50,001 - \$100,000
13	Columbia Select Mid Cap Value Fund	Purchase	12/28/2020	\$100,001 - \$250,000
14	Oakmark International Fund	Sale	03/20/2020	\$15,001 - \$50,000
15	ClearBridge Small Cap Fund	Sale	03/31/2020	\$15,001 - \$50,000
16	Harding Loevner International Equity Portfolio	Sale	03/31/2020	\$15,001 - \$50,000
17	Advisors Inner Circle Edgewood Growth Fund	Sale	03/31/2020	\$50,001 - \$100,000
18	ClearBridge Small Cap Fund	Sale	06/19/2020	\$50,001 - \$100,000
19	DoubleLine Shiller Enhanced CAPE Fund	Sale	06/19/2020	\$50,001 - \$100,000
20	NatixisLoomis Sayles Growth Fund	Sale	07/23/2020	\$50,001 - \$100,000
21	Advisors Inner Circle Edgewood Growth Fund	Sale	07/23/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	NatixisLoomis Sayles Growth Fund	Sale	09/09/2020	\$50,001 - \$100,000
23	BlackRock Mid-Cap Growth Equity Portfolio	Sale	12/28/2020	\$100,001 - \$250,000
24	Conestoga Small Cap Fund	Sale	12/28/2020	\$15,001 - \$50,000
25	iShares MSCI EAFE Small-Cap ETF	Sale	12/28/2020	\$15,001 - \$50,000
26	Vanguard Total Stock Market Index Fund	Sale	03/18/2020	\$500,001 - \$1,000,000
27	Vanguard Total Stock Market Index Fund	Sale	03/18/2020	\$100,001 - \$250,000
28	Vanguard Total Stock Market Index Fund	Sale	03/16/2020	\$100,001 - \$250,000
29	Vanguard Total Stock Market Index Fund	Sale	03/19/2020	\$250,001 - \$500,000
30	Vanguard Total International Stock Index Fund	Sale	03/19/2020	\$100,001 - \$250,000
31	Vanguard European Stock Index Fund	Sale	03/18/2020	\$15,001 - \$50,000
32	Schwab U.S. Dividend Equity ETF	Sale	03/19/2021	\$15,001 - \$50,000
33	Bernstein Diversified Municipal Portfolio	Purchase	02/20/2021	\$1,001 - \$15,000
34	Bernstein Diversified Municipal Portfolio	Purchase	02/21/2021	\$15,001 - \$50,000
35	Bernstein Diversified Municipal Portfolio	Purchase	03/20/2021	\$1,001 - \$15,000
36	Bernstein Diversified Municipal Portfolio	Purchase	04/20/2021	\$1,001 - \$15,000
37	AB Tax Aware Overlay B Portfolio	Purchase	04/30/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	Bernstein Tax-Managed Int'l Portfolio	Purchase	04/30/2021	\$1,001 - \$15,000
39	AB Value Fund Adv	Purchase	04/30/2021	\$15,001 - \$50,000
40	AB Discovery Value Adv	Purchase	04/30/2021	\$1,001 - \$15,000
41	Bernstein Diversified Municipal Portfolio	Purchase	05/20/2021	\$1,001 - \$15,000
42	Bernstein Diversified Municipal Portfolio	Purchase	06/19/2021	\$1,001 - \$15,000
43	Bernstein Diversified Municipal Portfolio	Purchase	07/20/2021	\$1,001 - \$15,000
44	Bernstein Diversified Municipal Portfolio	Purchase	08/20/2021	\$1,001 - \$15,000
45	AB Value Fund Adv	Purchase	08/28/2021	\$15,001 - \$50,000
46	Bernstein Diversified Municipal Portfolio	Purchase	09/18/2020	\$1,001 - \$15,000
47	Bernstein Diversified Municipal Portfolio	Purchase	10/20/2020	\$1,001 - \$15,000
48	Bernstein Diversified Municipal Portfolio	Purchase	11/20/2020	\$1,001 - \$15,000
49	Bernstein Tax-Managed Int'l Portfolio	Purchase	11/27/2020	\$1,001 - \$15,000
50	AB Emerging Market Portfolio	Purchase	12/09/2020	\$1,001 - \$15,000
51	AB Large Cap Growth Adv	Purchase	12/10/2020	\$1,001 - \$15,000
52	AB Value Fund Adv	Purchase	12/14/2020	\$1,001 - \$15,000
53	AB Tax-Aware Overlay B Portfolio	Purchase	12/16/2020	\$1,001 - \$15,000
54	AB Tax-Aware Overlay A Portfolio	Purchase	12/16/2020	\$1,001 - \$15,000
55	Bernstein Diversified Municipal Portfolio	Purchase	12/18/2020	\$1,001 - \$15,000
56	AB Multi-Manager Alternative Fund	Purchase	12/31/2020	\$15,001 - \$50,000
57	AB Large Cap Growth Adv	Sale	02/21/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
58	Bernstein Diversified Municipal Portfolio	Sale	04/22/2020	\$1,001 - \$15,000
59	AB Large Cap Growth Adv	Sale	04/30/2020	\$15,001 - \$50,000
60	Bernstein Diversified Municipal Portfolio	Sale	07/21/2020	\$1,001 - \$15,000
61	AB Large Cap Growth Adv	Sale	08/28/2020	\$15,001 - \$50,000
62	Bernstein Diversified Municipal Portfolio	Sale	10/21/2020	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	CENLAR	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2013	3.375	30 years
2	CENLAR	See Endnote	Mortgage on Personal Residence	\$50,001 - \$100,000	2013	3.0	3/1 year ARM

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
8.	1	Paid in full on 12/4/2020
8.	2	Paid in full on 12/4/2020

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).
