

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Fernandez, Nuria

Administrator, Federal Transit Administration, Department of Transportation

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Fernandez, Nuria [electronically signed on 04/18/2023 by Fernandez, Nuria 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/ Kaleta, Judith, Certifying Official [electronically signed on 06/15/2023 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/15/2023 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/13/2023 by Granahan, Megan in Integrity.gov]

Data Revised 06/14/2023

Data Revised 05/30/2023

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #2	No			
1.1	NVO Novo Nordisk	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Canadian Pacific Railway Limited Common Stock (CP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Ferrari N.V. Common Shares (RACE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	ASML Holding N.V. New York Registry Shares (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	ADYEV ADYEN N V UNSPONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Aon Plc (AON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	EVVTV EVOLUTION AB AMERICAN DEPOSITARY RECEIPTS UNSPONSORED	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	SBGSY SCHNEIDER ELECTRIC SE UNSPONSORED	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	IRA #1	No			
2.1	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	Texas Instruments Incorporated (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Broadcom, Inc. (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	NIKE, Inc. (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	UnitedHealth Group, Inc. (UNH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.8	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Comcast Corporation (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Illinois Tool Works, Inc. (ITW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	Bristol-Myers Squibb Co (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	Lam Research Corporation (LRCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.16	Marsh & McLennan Cos., Inc. (MMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.18	Mastercard, Inc. (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.19	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	Philip Morris International, Inc. (PM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.21	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	ConocoPhillips (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	Intuit, Inc. (INTU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	Tractor Supply Co. (TSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	Rockwell Automation, Inc. (ROK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	Stryker Corp. (SYK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	S&P Global, Inc. (SPGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	AbbVie, Inc. (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.29	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	California Public Employee Retirement System	N/A	\$15,001 - \$50,000	California Public Employee Retirement System (CalPERS). I receive a monthly pension effective 3/2021.	\$21,383
4	IRA# 3	Yes			
4.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.2	CUSUX	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.3	CIUEX	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	Fidelity International Index Fund (FSPSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.5	CGLBX	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	JPMorgan BetaBuilders Europe ETF (BBEU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	IRA #4	Yes			
5.1	iShares 7-10 Year Treasury Bond ETF (IEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Schwab US TIPS ETF (SCHP)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	PGIM Ultra Short Bond ETF (PULS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	PGIM Total Return Bond Fund Class R6 Shares (PTRQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	First Eagle Small Cap Opportunity Fund Class I (JHDRX)	Yes	\$1,001 - \$15,000		
5.7	PIMCO Mortgage Opportunities and Bond Fund Institutional Class Shares (PMZIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	JPMorgan Income Fund Class R6 Shares (JMSFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	California Public Employees' Retirement System	Sacramento, California	I retired from my former employment with the Santa Clara Valley Transportation and will receive monthly pension checks from CalPERS	3/2021

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	Washington Metropolitan Transit Authority	N/A	\$50,001 - \$100,000	Retirement Payments	
2	Chicago Transit Authority	N/A	\$15,001 - \$50,000	Retirement Payments	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TOD Brokerage Account	Yes			
1.1	JPMorgan Large Cap Growth Fund Class R6 (JLGMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	iShares 7-10 Year Treasury Bond ETF (IEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	JPMorgan Mortgage-Backed Securities Fund Class R6 (JMBUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	PGIM Total Return Bond R6 (PTRQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	CRM Long/Short Opportunities Fund Institutional Shares (CRIHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	PIMCO Mortgage Opportunities and BdInstl (PMZIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	JPMorgan Income Fund Class R6 Shares (JMSFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	JPMorgan Short Duration Bond Fund Class R6 Shares (JSDUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	Schwab US TIPS ETF (SCHP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	PGIM Ultra Short Bond ETF (PULS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	JPMorgan Hedged Equity 2 Fund Class R6 (JHDRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	JPMorgan Equity Premium Income ETF JPMorgan Equity Premium Income ETF (JEPI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	John Hancock Diversified Macro Fund Class R6 Shares (JDJRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	PIMCO TRENDS Managed Futures Strategy Fund Institutional Class Shares (PQTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Bank #1 (Cash)	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
3	MANAGED RETIREMENT - A				
3.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	Six Circles U.S. Unconstrained Equity Fund Six Circles U.S. Unconstrained Equity Fund (CUSUX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Six Circles International Unconstrained Equity Fund Six Circles International Unconstrained Equity Fund (CIUEX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	Fidelity International Index Fund (FSPSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.5	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	CGLBX - SIX CIRCLES TR GLOBAL BD (CGLBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.7	JPMorgan BetaBuilders Europe ETF (BBEU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.8	JPMorgan BetaBuilders Canada ETF (BBCA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.9	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	JPMorgan BetaBuilders Japan ETF (BBJP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.11	Blackstone Alternative Multi-Strategy Fund Class Y Shares (BXMYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.12	Lord Abbett Short Duration Income Fund Class F3 Shares (LOLDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.13	CRDOX - SIX CIRCLES TRUST CREDIT OPPORTUNITIES FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.14	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.17	PIMCO Dynamic Bond Fund Institutional Class Shares (PFIUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	iShares US Treasury Bond ETF (GOVT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	MANAGED RETIREMENT - B				
4.1	Novo Nordisk A/S Common Stock (NVO)	No	\$1,001 - \$15,000		None (or less than \$201)
4.2	Canadian Pacific Railway Limited Common Stock (CP)	No	\$1,001 - \$15,000		None (or less than \$201)
4.3	Ferrari N.V. Common Shares (RACE)	No	\$1,001 - \$15,000		None (or less than \$201)
4.4	ASML Holding N.V. New York Registry Shares (ASML)	No	\$1,001 - \$15,000		None (or less than \$201)
4.5	ADYEY - ADYEN N V UNSPONSORED	No	\$1,001 - \$15,000		None (or less than \$201)
4.6	Aon Plc (AON)	No	\$1,001 - \$15,000		None (or less than \$201)
4.7	EVVTY - EVOLUTION AB AMERICAN DEPOSITORY	No	\$1,001 - \$15,000		None (or less than \$201)
4.8	LVMUY - LVMH MOET HENNESY LOUIS VITTON	No	\$1,001 - \$15,000		None (or less than \$201)
4.9	SBGSY - SCHNEIDER ELECTRIC SE UNSPONSORED	No	\$1,001 - \$15,000		None (or less than \$201)
4.10	AstraZeneca PLC American Depository Shares (AZN)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.11	NSRGY - NESTLE SA SPONSORED	No	\$1,001 - \$15,000		None (or less than \$201)
4.12	AAGIY - AIA GROUP LTD	No	\$1,001 - \$15,000		None (or less than \$201)
4.13	DSDVY - A S AMERICAN DEPOSITORY	No	\$1,001 - \$15,000		None (or less than \$201)
4.14	CSLLY - CSL LIMITED SPONSORED	No	\$1,001 - \$15,000		None (or less than \$201)
4.15	Atlassian Corporation Plc Class A Ordinary Shares (TEAM)	No	\$1,001 - \$15,000		None (or less than \$201)
4.16	ICON plc Ordinary Shares (ICLR)	No	\$1,001 - \$15,000		None (or less than \$201)
4.17	ASMIY - ASM INTERNATIONAL NV	No	\$1,001 - \$15,000		None (or less than \$201)
4.18	ICICI Bank Limited Common Stock (IBN)	No	\$1,001 - \$15,000		None (or less than \$201)
4.19	STERIS Plc (Ireland) (STE)	No	\$1,001 - \$15,000		None (or less than \$201)
4.20	Mettler-Toledo International, Inc. (MTD)	No	\$1,001 - \$15,000		None (or less than \$201)
4.21	EXPGY - EXPERIAN	No	\$1,001 - \$15,000		None (or less than \$201)
4.22	PRNDY - PERNARD RICARD S AMERICAN DEPOSITORY	No	\$1,001 - \$15,000		None (or less than \$201)
4.23	SXYAY - SIKA AG AMERICAN DEPOSTARY	No	\$1,001 - \$15,000		None (or less than \$201)
4.24	Thomson Reuters Corp Ordinary Shares (TRI)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.25	Accenture Plc (ACN)	No	\$1,001 - \$15,000		None (or less than \$201)
4.26	Linde Plc (LIN)	No	\$1,001 - \$15,000		None (or less than \$201)
4.27	Arch Capital Group Ltd. (ACGL)	No	\$1,001 - \$15,000		None (or less than \$201)
4.28	LSRCY - LASERTEC CORPORATION AMERICAN DEPOSITARY	No	\$1,001 - \$15,000		None (or less than \$201)
4.29	ResMed, Inc. (RMD)	No	\$1,001 - \$15,000		None (or less than \$201)
4.30	Ferguson plc Ordinary Shares (FERG)	No	\$1,001 - \$15,000		None (or less than \$201)
4.31	Waste Connections Inc. Common Shares (WCN)	No	\$1,001 - \$15,000		None (or less than \$201)
4.32	LZAGY - LONZA GROUP ZUERICH	No	\$1,001 - \$15,000		None (or less than \$201)
4.33	ATLKY - ATLAS COPCO	No	\$1,001 - \$15,000		None (or less than \$201)
4.34	EPAM Systems, Inc. (EPAM)	No	None (or less than \$1,001)		None (or less than \$201)
4.35	LNNGY - LIN NING COMPANY LTD UNSPONSORED	No	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	The PNC Financial Services Group, Inc. (PNC)	Sale	01/27/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	Accenture Plc (ACN)	Sale	01/25/2022	\$1,001 - \$15,000
3	NXPI - Semiconductors	Purchase	01/25/2022	\$1,001 - \$15,000
4	Activision Blizzard, Inc. (ATVI)	Sale	01/20/2022	\$1,001 - \$15,000
5	NXPI - Semiconductors	Purchase	01/20/2022	\$1,001 - \$15,000
6	Bank of America Corp. (BAC)	Purchase	01/19/2022	\$1,001 - \$15,000
7	The PNC Financial Services Group, Inc. (PNC)	Sale	01/19/2022	\$1,001 - \$15,000
8	EVVY - Evolution AB	Purchase	01/13/2022	\$1,001 - \$15,000
9	NXPI - NXP Semiconductors N V	Purchase	02/03/2022	\$1,001 - \$15,000
10	Booz Allen Hamilton Holding Corp. (BAH)	Sale	02/03/2022	\$1,001 - \$15,000
11	NXPI - NXP Semiconductors N V	Purchase	02/11/2022	\$1,001 - \$15,000
12	Philip Morris International, Inc. (PM)	Purchase	03/31/2022	\$1,001 - \$15,000
13	Air Products and Chemicals, Inc. (APD)	Sale	03/25/2022	\$1,001 - \$15,000
14	Air Products and Chemicals, Inc. (APD)	Sale	03/18/2022	\$1,001 - \$15,000
15	Booz Allen Hamilton Holding Corp. (BAH)	Sale	03/15/2022	\$1,001 - \$15,000
16	The PNC Financial Services Group, Inc. (PNC)	Sale	03/15/2022	\$1,001 - \$15,000
17	NXPI - Semiconductors	Sale	03/14/2022	\$1,001 - \$15,000
18	ATLKY - Atlas Cop Co	Sale	03/09/2022	\$1,001 - \$15,000
19	TSM - Taiwan Semiconductors	Sale	03/08/2022	\$1,001 - \$15,000
20	Philip Morris International, Inc. (PM)	Purchase	03/04/2022	\$1,001 - \$15,000
21	Lam Research Corp. (LRCX)	Purchase	05/02/2022	\$1,001 - \$15,000
22	The PNC Financial Services Group, Inc. (PNC)	Sale	05/02/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	ASMIY ASM International	Purchase	04/26/2022	\$1,001 - \$15,000
24	BlackRock, Inc. (BLK)	Purchase	05/02/2022	\$1,001 - \$15,000
25	Air Products and Chemicals, Inc. (APD)	Sale	04/22/2022	\$1,001 - \$15,000
26	BlackRock, Inc. (BLK)	Purchase	04/22/2022	\$1,001 - \$15,000
27	ConocoPhillips (COP)	Purchase	04/22/2022	\$1,001 - \$15,000
28	NVO Novo Nordisk	Purchase	04/14/2022	\$1,001 - \$15,000
29	SBGSY SCHNEIDER ELECTRIC	Purchase	04/08/2022	\$1,001 - \$15,000
30	Air Products and Chemicals, Inc. (APD)	Sale	03/31/2022	\$1,001 - \$15,000
31	Philip Morris International, Inc. (PM)	Purchase	03/31/2022	\$1,001 - \$15,000
32	Bank of America Corp. (BAC)	Sale	05/17/2022	\$1,001 - \$15,000
33	DSDVY - DSV A S American Depository Receipts	Sale	05/03/2022	\$1,001 - \$15,000
34	BlackRock, Inc. (BLK)	Purchase	05/17/2022	\$1,001 - \$15,000
35	Rockwell Automation, Inc. (ROK)	Purchase	06/17/2022	\$1,001 - \$15,000
36	Target Corp. (TGT)	Purchase	06/17/2022	\$1,001 - \$15,000
37	Bank of America Corp. (BAC)	Sale	06/13/2022	\$1,001 - \$15,000
38	Rockwell Automation, Inc. (ROK)	Purchase	06/13/2022	\$1,001 - \$15,000
39	Target Corp. (TGT)	Purchase	06/13/2022	\$1,001 - \$15,000
40	EPAM Systems, Inc. (EPAM)	Purchase	08/19/2022	\$1,001 - \$15,000
41	Taiwan Semiconductor Mfg	Sale	08/19/2022	\$1,001 - \$15,000
42	Shopify Inc.	Sale	08/15/2022	\$1,001 - \$15,000
43	ATLASSIAN Corporation	Purchase	08/12/2022	\$1,001 - \$15,000
44	BlackRock, Inc. (BLK)	Sale	09/28/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
45	Intuit, Inc. (INTU)	Purchase	09/22/2022	\$1,001 - \$15,000
46	Becton, Dickinson and Company (BDX)	Sale	09/13/2022	\$1,001 - \$15,000
47	Medtronic Plc (MDT)	Purchase	09/13/2022	\$1,001 - \$15,000
48	Texas Instruments Incorporated (TXN)	Sale	08/31/2022	\$1,001 - \$15,000
49	WCN - Waste Connections Inc.	Purchase	10/04/2022	\$1,001 - \$15,000
50	Tractor Supply Co. (TSCO)	Purchase	10/25/2022	\$1,001 - \$15,000
51	Eaton Corp. Plc (ETN)	Sale	10/25/2022	\$1,001 - \$15,000
52	AbbVie, Inc. (ABBV)	Purchase	11/29/2022	\$1,001 - \$15,000
53	Medtronic Plc (MDT)	Sale	11/29/2022	\$1,001 - \$15,000
54	SHZHY - SHENZHOU ITL Group HLDGS LTD	Sale	11/29/2022	\$1,001 - \$15,000
55	AbbVie, Inc. (ABBV)	Purchase	11/22/2022	\$1,001 - \$15,000
56	Intuit, Inc. (INTU)	Purchase	11/22/2022	\$1,001 - \$15,000
57	Medtronic Plc (MDT)	Sale	11/22/2022	\$1,001 - \$15,000
58	SBGSY -SCHNEIDER ELECTRIC SE	Purchase	11/18/2022	\$1,001 - \$15,000
59	AAGIY - AIA GROUP LTD	Sale	11/15/2022	\$1,001 - \$15,000
60	AbbVie, Inc. (ABBV)	Purchase	11/15/2022	\$1,001 - \$15,000
61	Comcast Corp. (CMCSA)	Sale	11/15/2022	\$1,001 - \$15,000
62	Target Corp. (TGT)	Purchase	11/10/2022	\$1,001 - \$15,000
63	U.S. Bancorp (USB)	Sale	11/10/2022	\$1,001 - \$15,000
64	LVMUY LVMH MOET LOUIS VUITTON SA	Sale	12/29/2022	\$1,001 - \$15,000
65	lululemon athletica, Inc. (LULU)	Sale	12/28/2022	\$1,001 - \$15,000
66	TEAM ATLISSIAN CORPORATION CLASS A	Purchase	12/20/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
67	Bank of America Corp. (BAC)	Purchase	12/14/2022	\$1,001 - \$15,000
68	Lam Research Corp. (LRCX)	Sale	12/14/2022	\$1,001 - \$15,000
69	The PNC Financial Services Group, Inc. (PNC)	Sale	12/14/2022	\$1,001 - \$15,000
70	Linde Plc (LIN)	Purchase	12/28/2022	\$1,001 - \$15,000
71	Activision Blizzard, Inc. (ATVI)	Sale	11/30/2022	\$1,001 - \$15,000
72	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	12/22/2022	\$1,001 - \$15,000
73	CGLBX - SIX CIRCLES TR GLOBAL	Purchase	12/30/2022	\$1,001 - \$15,000
74	Fidelity 500 Index Fund (FXAIX)	Sale	12/19/2022	\$1,001 - \$15,000
75	Fidelity 500 Index Fund (FXAIX)	Sale	12/19/2022	\$1,001 - \$15,000
76	Six Circles U.S. Unconstrained Equity Fund Six Circles U.S. Unconstrained Equity Fund (CUSUX)	Purchase	12/16/2022	\$1,001 - \$15,000
77	Six Circles International Unconstrained Equity Fund Six Circles International Unconstrained Equity Fund (CIUEX)	Purchase	12/16/2022	\$1,001 - \$15,000
78	Six Circles International Unconstrained Equity Fund Six Circles International Unconstrained Equity Fund (CIUEX)	Sale	12/16/2022	\$1,001 - \$15,000
79	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	12/13/2022	\$1,001 - \$15,000
80	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	12/15/2022	\$1,001 - \$15,000
81	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Sale	12/15/2022	\$1,001 - \$15,000
82	ICICI Bank Limited Common Stock (IBN)	Purchase	12/13/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
83	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	12/01/2022	\$1,001 - \$15,000
84	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	11/22/2022	\$1,001 - \$15,000
85	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	11/17/2022	\$1,001 - \$15,000
86	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	11/17/2022	\$1,001 - \$15,000
87	QCPCM - JP MORGAN SWEEP	Sale	11/10/2022	\$1,001 - \$15,000
88	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Sale	11/14/2022	\$1,001 - \$15,000
89	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Sale	11/10/2022	\$1,001 - \$15,000
90	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Purchase	11/10/2022	\$1,001 - \$15,000
91	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	11/07/2022	\$1,001 - \$15,000
92	JPMorgan Hedged Equity 2 Fund Class R6 (JHDRX)	Sale	10/31/2022	\$1,001 - \$15,000
93	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Purchase	11/01/2022	\$1,001 - \$15,000
94	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Purchase	10/25/2022	\$1,001 - \$15,000
95	QBERQ - JP MORGAN IRA SWEEP	Sale	10/12/2022	\$1,001 - \$15,000
96	Fidelity 500 Index Fund (FXAIX)	Purchase	10/11/2022	\$1,001 - \$15,000
97	Fidelity 500 Index Fund (FXAIX)	Sale	10/11/2022	\$1,001 - \$15,000
98	Fidelity International Index Fund (FSPSX)	Sale	10/11/2022	\$1,001 - \$15,000
99	iShares US Treasury Bond ETF (GOVT)	Purchase	10/12/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
100	CRDOX -	Purchase	10/11/2022	\$1,001 - \$15,000
101	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	10/06/2022	\$1,001 - \$15,000
102	QCPCM - JP MORGAN DEPOSIT SWEEP	Purchase	09/29/2022	\$1,001 - \$15,000
103	QBPNZ - BLACKROCK LIQUIDITY	Sale	09/26/2022	\$1,001 - \$15,000
104	PGIM High Yield Fund Class R6 Shares (PHYQX)	Purchase	09/06/2022	\$1,001 - \$15,000
105	iShares 7-10 Year Treasury Bond ETF (IEF)	Purchase	08/25/2022	\$1,001 - \$15,000
106	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	08/17/2022	\$1,001 - \$15,000
107	QCPCM	Sale	08/16/2022	\$1,001 - \$15,000
108	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	08/16/2022	\$1,001 - \$15,000
109	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	08/16/2022	\$1,001 - \$15,000
110	QCPCM	Sale	08/11/2022	\$1,001 - \$15,000
111	iShares US Treasury Bond ETF (GOVT)	Sale	08/12/2022	\$1,001 - \$15,000
112	PGIM Total Return Bond Fund Class R6 Shares (PTRQX)	Purchase	08/11/2022	\$1,001 - \$15,000
113	QCPCM	Sale	08/09/2022	\$1,001 - \$15,000
114	QBERQ	Sale	08/08/2022	\$1,001 - \$15,000
115	QBERQ	Purchase	08/05/2022	\$1,001 - \$15,000
116	WisdomTree Floating Rate Treasury Fund (USFR)	Purchase	08/09/2022	\$1,001 - \$15,000
117	Fidelity 500 Index Fund (FXAIX)	Purchase	08/05/2022	\$1,001 - \$15,000
118	Fidelity International Index Fund (FSPSX)	Sale	08/05/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
119	JPMorgan BetaBuilders Europe ETF (BBEU)	Sale	08/08/2022	\$1,001 - \$15,000
120	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	08/08/2022	\$1,001 - \$15,000
121	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Purchase	08/08/2022	\$1,001 - \$15,000
122	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	07/21/2022	\$1,001 - \$15,000
123	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	07/19/2022	\$1,001 - \$15,000
124	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	07/14/2022	\$1,001 - \$15,000
125	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Sale	07/15/2022	\$1,001 - \$15,000
126	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	07/07/2022	\$1,001 - \$15,000
127	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	07/05/2022	\$1,001 - \$15,000
128	Fidelity 500 Index Fund (FXAIX)	Purchase	07/05/2022	\$1,001 - \$15,000
129	Fidelity 500 Index Fund (FXAIX)	Sale	07/05/2022	\$1,001 - \$15,000
130	QCPCM	Sale	06/30/2022	\$1,001 - \$15,000
131	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	07/05/2022	\$1,001 - \$15,000
132	JPMorgan Hedged Equity 2 Fund Class R6 (JHDRX)	Purchase	06/30/2022	\$1,001 - \$15,000
133	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	06/17/2022	\$1,001 - \$15,000
134	iShares US Treasury Bond ETF (GOVT)	Sale	06/22/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
135	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Sale	06/22/2022	\$1,001 - \$15,000
136	Schwab Intermediate-Term US Treasury ETF (SCHR)	Sale	06/15/2022	\$1,001 - \$15,000
137	QBERQ	Sale	06/08/2022	\$1,001 - \$15,000
138	QBERQ	Sale	06/07/2022	\$1,001 - \$15,000
139	Fidelity 500 Index Fund (FXAIX)	Sale	06/07/2022	\$1,001 - \$15,000
140	JPMorgan BetaBuilders Europe ETF (BBEU)	Sale	06/08/2022	\$1,001 - \$15,000
141	CRDOX	Purchase	06/07/2022	\$1,001 - \$15,000
142	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	06/08/2022	\$1,001 - \$15,000
143	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Purchase	06/08/2022	\$1,001 - \$15,000
144	QCPCM	Purchase	05/19/2022	\$1,001 - \$15,000
145	iShares US Treasury Bond ETF (GOVT)	Purchase	05/23/2022	\$1,001 - \$15,000
146	QCPCM	Sale	05/18/2022	\$1,001 - \$15,000
147	iShares Core S&P 500 ETF (IVV)	Sale	05/19/2022	\$1,001 - \$15,000
148	JPMorgan Hedged Equity 2 Fund Class R6 (JHDRX)	Purchase	05/18/2022	\$1,001 - \$15,000
149	OCPCM	Purchase	05/11/2022	\$1,001 - \$15,000
150	iShares US Treasury Bond ETF (GOVT)	Purchase	05/11/2022	\$1,001 - \$15,000
151	PGIM Total Return Bond Fund Class R6 Shares (PTRQX)	Sale	05/10/2022	\$1,001 - \$15,000
152	QCPCM	Purchase	05/03/2022	\$1,001 - \$15,000
153	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	05/03/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
154	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	05/02/2022	\$1,001 - \$15,000
155	Schwab Intermediate-Term US Treasury ETF (SCHR)	Sale	05/03/2022	\$1,001 - \$15,000
156	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	05/26/2022	\$1,001 - \$15,000
157	JPMorgan Hedged Equity 2 Fund Class R6 (JHDRX)	Purchase	04/26/2022	\$1,001 - \$15,000
158	iShares Short Treasury Bond ETF (SHV)	Sale	04/25/2022	\$1,001 - \$15,000
159	iShares US Treasury Bond ETF (GOVT)	Purchase	04/25/2022	\$1,001 - \$15,000
160	Vanguard Long-Term Treasury Index Fund ETF Class Shares (VGLT)	Sale	04/25/2022	\$1,001 - \$15,000
161	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	04/26/2022	\$1,001 - \$15,000
162	JPMorgan Hedged Equity 2 Fund Class R6 (JHDRX)	Purchase	04/25/2022	\$1,001 - \$15,000
163	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	04/14/2022	\$1,001 - \$15,000
164	Fidelity 500 Index Fund (FXAIX)	Purchase	04/11/2022	\$1,001 - \$15,000
165	Fidelity 500 Index Fund (FXAIX)	Sale	04/11/2022	\$1,001 - \$15,000
166	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	04/08/2022	\$1,001 - \$15,000
167	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	04/06/2022	\$1,001 - \$15,000
168	QCPCM	Sale	03/31/2022	\$1,001 - \$15,000
169	QCPCM	Sale	03/28/2022	\$1,001 - \$15,000
170	iShares 7-10 Year Treasury Bond ETF (IEF)	Sale	03/30/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
171	iShares Short Treasury Bond ETF (SHV)	Purchase	03/28/2022	\$1,001 - \$15,000
172	QCPCM	Sale	03/23/2022	\$1,001 - \$15,000
173	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	03/22/2022	\$1,001 - \$15,000
174	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	03/21/2022	\$1,001 - \$15,000
175	iShares Short Treasury Bond ETF (SHV)	Purchase	03/23/2022	\$1,001 - \$15,000
176	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	03/09/2022	\$1,001 - \$15,000
177	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Purchase	03/08/2022	\$1,001 - \$15,000
178	QCPCM	Purchase	03/03/2022	\$1,001 - \$15,000
179	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Sale	03/03/2022	\$1,001 - \$15,000
180	QBERQ	Sale	02/17/2022	\$1,001 - \$15,000
181	QCPCM	Sale	02/16/2022	\$1,001 - \$15,000
182	QBERQ	Purchase	02/16/2022	\$1,001 - \$15,000
183	CRDOX	Sale	02/16/2022	\$1,001 - \$15,000
184	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Purchase	02/17/2022	\$1,001 - \$15,000
185	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)	Purchase	02/16/2022	\$1,001 - \$15,000
186	PIMCO Total Return Fund Institutional Class Shares (PTTRX)	Sale	02/10/2022	\$1,001 - \$15,000
187	QCPCM	Purchase	02/04/2022	\$1,001 - \$15,000
188	QBERQ	Purchase	02/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
189	QCPCM	Sale	02/03/2022	\$1,001 - \$15,000
190	QBERQ	Sale	02/03/2022	\$1,001 - \$15,000
191	Fidelity 500 Index Fund (FXAIX)	Purchase	02/03/2022	\$1,001 - \$15,000
192	iShares US Treasury Bond ETF (GOVT)	Sale	02/03/2022	\$1,001 - \$15,000
193	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Sale	02/04/2022	\$1,001 - \$15,000
194	QCPCM	Purchase	01/31/2022	\$1,001 - \$15,000
195	QCPCM	Sale	01/21/2022	\$1,001 - \$15,000
196	QCPCM	Purchase	01/20/2022	\$1,001 - \$15,000
197	BlackRock Liquidity Funds Fed Fund Portfolio Institutional Class Fund (TFDXX)	Sale	01/13/2022	\$1,001 - \$15,000
198	JPMorgan Hedged Equity Fund Class R6 Shares (JHQRX)	Purchase	01/11/2022	\$1,001 - \$15,000
199	JPMorgan Hedged Equity 2 Fund Class R6 (JHDRX)	Sale	01/11/2022	\$1,001 - \$15,000
200	Rockwell Automation, Inc. (ROK)	Purchase	07/22/2022	\$1,001 - \$15,000
201	Target Corp. (TGT)	Purchase	07/19/2022	\$1,001 - \$15,000
202	Astrazeneca PLC	Purchase	07/13/2022	\$1,001 - \$15,000
203	ADYEV N V	Purchase	07/11/2022	\$1,001 - \$15,000
204	LZAGY LONZA GROUP	Sale	07/11/2022	\$1,001 - \$15,000
205	Mettler-Toledo International, Inc. (MTD)	Sale	07/05/2022	\$1,001 - \$15,000
206	CSSLY CSL LTD	Sale	07/01/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Barclays	Credit Card	\$10,001 - \$15,000	2012	21.42%	Revolving

9. Gifts and Travel Reimbursements

None

Endnotes

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).
