

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

Filer's Information

Raimondo, Gina Marie

Secretary of Commerce, Department of Commerce

Report Year: 2022

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/ Raimondo, Gina Marie [electronically signed on 05/16/2022 by Raimondo, Gina Marie 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/ Dornburg, Erica M, Certifying Official [electronically signed on 05/23/2022 by Dornburg, Erica M in Integrity.gov]

Other review conducted by

/s/ Jacobi, Will, Ethics Official [electronically signed on 05/16/2022 by Jacobi, Will in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/23/2022

Data Revised 05/16/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Truth Initiative	Washington, District of Columbia	Non-Profit	Board Member	8/2017	1/2021
2	Yale Corporation	New Haven, Connecticut	Higher Education Institution	Alumni Fellow	7/2014	1/2021
3	Family Trust #1	Providence, Rhode Island	Trust	Co-Trustee	10/2012	Present
4	Family Trust #2	Providence, Rhode Island	Trust	Co-Trustee	10/2012	Present
5	State of Rhode Island	Providence, Rhode Island	State Government	Governor	1/2015	3/2021
6	Rhode Island Commerce Corporation	Providence, Rhode Island	Quasi-public corporation	Chair	1/2015	3/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	State of Rhode Island	N/A		Salary as Governor	\$19,908
2	SEP-IRA	No			
2.1	Fidelity New Markets Income Fund (FNMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Fidelity Floating Rate High Income Fund (FFRHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Fidelity Short-Term Bond Fund (FSHBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Fidelity High Income Fund (SPHIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	Fidelity Total Bond Fund (FTBFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Roth IRA	No			
3.1	Vanguard Real Estate ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Traditional IRA	No			
4.1	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.3	Vanguard Total International Stock ETF (VXUS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Vanguard S&P Small-Cap 600 ETF (VIOO)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.5	Vanguard S&P Mid-Cap 400 ETF (IVOO)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.6	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.7	Vanguard Total Stock Market ETF (VTI)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.8	Vanguard Real Estate ETF (VNQ)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	Fidelity New Markets Income Fund (FNMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.10	Fidelity Floating Rate High Income Fund (FFRHX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.11	Fidelity Capital & Income Fund (FAGIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.12	Fidelity High Income Fund (SPHIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.13	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Vanguard S&P 500 ETF (VOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.15	Fidelity Short-Term Bond Fund (FSHBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	Fidelity Total Bond Shares (FTBFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	State of Rhode Island 457b Retirement Account	No			
5.1	State Street S&P 500 Index Securities Lending Series Fund Class II	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	Fidelity Contrafund K6 Fund (FLCNX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.3	Fidelity Low-Priced Stock Fund (FLPKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	PIMCO Total Return Fund (PTTAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	American Funds EuroPacific Growth Fund;R6 (REGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	State of Rhode Island Defined Benefit Plan (value not readily ascertainable): eligible for \$1287.56/mo at age 67	N/A			None (or less than \$201)
7	Earnout payment from sale of Opengear Investors, Inc	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of Rhode Island	Providence, Rhode Island	I will continue to participate in this defined benefit plan.	1/2011
2	State of Rhode Island	Providence, Rhode Island	I will continue to participate in this defined contribution plan (457b). The plan sponsor will not make further contributions	1/2011

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	PathAI	N/A		Salary	
2	Traditional IRA	No			
2.1	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Vanguard S&P Small-Cap 600 ETF (VIOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	Vanguard S&P Mid-Cap 400 ETF (IVOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Vanguard Real Estate ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Fidelity New Markets Income Fund (FNMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Fidelity Floating Rate High Income Fund;Fid Flt Rt Hi Inc (FFRHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Fidelity High Income Fund (SPHIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.10	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Fidelity Total Bond Shares (FTBFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	McKinsey & Company Defined Contribution Plan	No			
3.1	Special Situations Fund	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
4	PathAI Defined Contribution Plan	No			
4.1	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	PathAI equity	N/A			
5.1	PathAI, Inc., vested stock options	No	\$250,001 - \$500,000		None (or less than \$201)
5.2	PathAI restricted stock	No	\$250,001 - \$500,000		None (or less than \$201)
5.3	PathAI common stock	No	\$100,001 - \$250,000		None (or less than \$201)
5.4	PathAI, Inc. stock options: (value not easily ascertainable); 109,317 unvested shares, strike \$6.07, vest monthly until 1/24, exp. 90 days after employment ends.	N/A			None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2	Family Trust #1	No			
2.1	Fidelity Extended Market Index Fund (FSMAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.3	Fidelity Small Cap Index Fund (FSSNX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.4	Fidelity New Markets Income Fund (FNMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.5	Vanguard S&P Small-Cap 600 ETF (VIOO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.7	Vanguard S&P Mid-Cap 400 ETF (IVOO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.8	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.9	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.10	Vanguard FTSE Developed Markets ETF (VEA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.11	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.12	Vanguard FTSE All-World ex-US ETF (VEU)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.13	Vanguard S&P 500 ETF (VOO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.14	Vanguard Tax-Exempt Bond ETF (VTED)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Vanguard Real Estate ETF (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.16	U.S. brokerage account (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2.17	Vanguard International Equity Index ETF (VT)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3	Family Trust #2	No			
3.1	Fidelity Extended Market Index Fund (FSMAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Fidelity Small Cap Index Fund (FSSNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Fidelity New Markets Income Fund (FNMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.6	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.7	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.8	Vanguard S&P Small-Cap 600 ETF (VIOO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.9	Vanguard S&P Mid-Cap 400 ETF (IVOO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.10	Vanguard FTSE Developed Markets ETF (VEA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.11	Vanguard FTSE All-World ex-US ETF (VEU)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.12	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.13	Vanguard S&P 500 ETF (VOO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.14	Vanguard Tax-Exempt Bond ETF (VTEB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	Vanguard Real Estate ETF (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.16	U.S. brokerage account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.17	Vanguard International Equity Index (VT)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Rhode Island College Bound Saver (Individual 529 Plan) #1	No			
4.1	Stable Value Portfolio RI	Yes	\$250,001 - \$500,000		None (or less than \$201)
5	Rhode Island College Bound Saver (Individual 529 Plan) #2	No			
5.1	Stable Value Portfolio RI	Yes	\$250,001 - \$500,000		None (or less than \$201)
6	Residential real estate - South Kingstown, RI	No	\$500,001 - \$1,000,000	Rent or Royalties	\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Vanguard International Equity Index FDS TT World (VT)	Purchase	03/19/2021	\$100,001 - \$250,000
2	Vanguard Health Care Index Fund ETF Class Shares (VHT)	Sale	03/10/2021	\$15,001 - \$50,000
3	Energy Select Sector SPDR Fund (XLE)	Sale	03/10/2021	\$1,001 - \$15,000
4	Fidelity Health Care Portfolio (FSPHX)	Sale	03/10/2021	\$50,001 - \$100,000
5	Fidelity Health Care Services Portfolio (FSHCX)	Sale	03/10/2021	\$15,001 - \$50,000
6	Fidelity Pharmaceuticals Portfolio (FPHAX)	Sale	03/10/2021	\$15,001 - \$50,000
7	Vanguard International Equity Index FDS FF World (VT)	Purchase	03/19/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	Vanguard Health Care Index Fund ETF Class Shares (VHT)	Sale	03/10/2021	\$15,001 - \$50,000
9	Energy Select Sector SPDR Fund (XLE)	Sale	03/10/2021	\$1,001 - \$15,000
10	Fidelity Health Care Services Portfolio (FSHCX)	Sale	03/10/2021	\$15,001 - \$50,000
11	Fidelity Pharmaceuticals Portfolio (FPHAX)	Sale	03/10/2021	\$15,001 - \$50,000
12	Fidelity Health Care Portfolio (FSPHX)	Sale	03/10/2021	\$50,001 - \$100,000
13	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	04/16/2021	\$1,001 - \$15,000
14	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	04/16/2021	\$15,001 - \$50,000
15	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	04/16/2021	\$15,001 - \$50,000
16	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	04/16/2021	\$15,001 - \$50,000
17	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	04/16/2021	\$15,001 - \$50,000
18	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	04/16/2021	\$15,001 - \$50,000
19	Fidelity 500 Index Fund (FXAIX)	Purchase	04/16/2021	\$15,001 - \$50,000
20	Fidelity 500 Index Fund (FXAIX)	Purchase	04/16/2021	\$15,001 - \$50,000
21	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	04/30/2021	\$1,001 - \$15,000
22	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	04/30/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	04/30/2021	\$1,001 - \$15,000
24	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	04/30/2021	\$1,001 - \$15,000
25	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	04/30/2021	\$1,001 - \$15,000
26	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	04/30/2021	\$1,001 - \$15,000
27	Fidelity 500 Index Fund (FXAIX)	Purchase	04/30/2021	\$1,001 - \$15,000
28	Fidelity 500 Index Fund (FXAIX)	Purchase	04/30/2021	\$1,001 - \$15,000
29	Fidelity 500 Index Fund (FXAIX)	Purchase	07/18/2021	\$15,001 - \$50,000
30	Fidelity 500 Index Fund (FXAIX)	Purchase	07/08/2021	\$15,001 - \$50,000
31	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	07/08/2021	\$1,001 - \$15,000
32	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	07/08/2021	\$1,001 - \$15,000
33	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	07/08/2021	\$1,001 - \$15,000
34	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	07/08/2021	\$1,001 - \$15,000
35	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	07/08/2021	\$1,001 - \$15,000
36	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	07/08/2021	\$1,001 - \$15,000
37	Fidelity 500 Index Fund (FXAIX)	Purchase	07/19/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	Fidelity 500 Index Fund (FXAIX)	Purchase	07/19/2021	\$15,001 - \$50,000
39	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	07/19/2021	\$15,001 - \$50,000
40	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	07/19/2021	\$15,001 - \$50,000
41	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	07/19/2021	\$15,001 - \$50,000
42	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	07/19/2021	\$15,001 - \$50,000
43	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	07/19/2021	\$15,001 - \$50,000
44	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	07/19/2021	\$15,001 - \$50,000
45	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	07/19/2021	\$15,001 - \$50,000
46	Fidelity 500 Index Fund (FXAIX)	Purchase	09/10/2021	\$15,001 - \$50,000
47	Fidelity 500 Index Fund (FXAIX)	Purchase	09/10/2021	\$15,001 - \$50,000
48	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	09/10/2021	\$15,001 - \$50,000
49	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	09/10/2021	\$15,001 - \$50,000
50	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	09/10/2021	\$15,001 - \$50,000
51	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	09/10/2021	\$15,001 - \$50,000
52	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	09/10/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	09/10/2021	\$15,001 - \$50,000
54	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	09/10/2021	\$15,001 - \$50,000
55	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	11/29/2021	\$15,001 - \$50,000
56	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	11/29/2021	\$15,001 - \$50,000
57	Vanguard S&P Mid-Cap 400 Index Fund ETF Shares (IVOO)	Purchase	11/29/2021	\$15,001 - \$50,000
58	Vanguard S&P Mid-Cap 400 Index Fund ETF Shares (IVOO)	Purchase	11/29/2021	\$15,001 - \$50,000
59	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	11/29/2021	\$15,001 - \$50,000
60	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	11/29/2021	\$15,001 - \$50,000
61	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	11/29/2021	\$15,001 - \$50,000
62	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	11/29/2021	\$15,001 - \$50,000
63	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	11/30/2021	\$15,001 - \$50,000
64	Vanguard S&P Small-Cap 600 Index Fund ETF Shares (VIOO)	Purchase	11/30/2021	\$15,001 - \$50,000
65	Vanguard S&P Mid-Cap 400 Index Fund ETF Shares (IVOO)	Purchase	11/30/2021	\$15,001 - \$50,000
66	Vanguard S&P Mid-Cap 400 Index Fund ETF Shares (IVOO)	Purchase	11/30/2021	\$15,001 - \$50,000
67	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	11/30/2021	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
68	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)		Purchase	11/30/2021	\$15,001 - \$50,000
69	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)		Purchase	11/30/2021	\$15,001 - \$50,000
70	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)		Purchase	11/30/2021	\$15,001 - \$50,000
71	Vanguard 500 Index Fund ETF Shares (VOO)		Purchase	11/30/2021	\$15,001 - \$50,000
72	Vanguard 500 Index Fund ETF Shares (VOO)		Purchase	11/30/2021	\$15,001 - \$50,000
73	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	See Endnote	Sale	04/21/2021	\$100,001 - \$250,000
74	Vanguard S&P Mid-Cap 400 Index Fund ETF Shares (IVOO)		Purchase	09/10/2021	\$1,001 - \$15,000
75	Fidelity Total Bond Fund Fidelity Total Bond Shares (FTBFX)		Purchase	04/09/2021	\$1,001 - \$15,000
76	Fidelity Total Bond Fund Fidelity Total Bond Shares (FTBFX)		Purchase	04/30/2021	\$15,001 - \$50,000
77	iShares Core S&P Mid-Cap ETF (IJH)		Purchase	04/30/2021	\$15,001 - \$50,000
78	Vanguard Total International Stock Index Fund ETF Shares (VXUS)		Purchase	04/30/2021	\$15,001 - \$50,000
79	Vanguard 500 Index Fund ETF Shares (VOO)		Purchase	04/30/2021	\$15,001 - \$50,000
80	Vanguard S&P Mid-Cap 400 Index Fund ETF Shares (IVOO)		Purchase	09/10/2021	\$1,001 - \$15,000
81	Fidelity Total Bond Fund Fidelity Total Bond Shares (FTBFX)		Purchase	04/09/2021	\$1,001 - \$15,000
82	Fidelity Short-Term Bond Fund (FSHBX)		Purchase	04/09/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
83	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Purchase	09/15/2021	\$1,001 - \$15,000
84	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Purchase	09/15/2021	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Nina & David Fialkow	Boston, Massachusetts	3 tickets to Kennedy Center Honors event and accompanying meal on December 5, 2021	\$2700 (estimate)

Endnotes

PART	#	ENDNOTE
7.	73	Qualified distribution via roll-over of retirement account

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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