



January 22, 2021

Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, N.W., Suite 500
Washington, DC 20005-3917

Dear Mr. Rounds:

I am enclosing an amendment and supplement to Xavier Becerra's nominee public financial disclosure report, signed January 4, 2021. I have reviewed the additional information. Based on my review of this amendment and supplemental disclosure, I continue to believe that Mr. Becerra is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

**Randall J.
Hall -S** Digitally signed by
Randall J. Hall -S
Date: 2021.01.22
18:33:16 -05'00'

Randall J. Hall
Acting Associate General Counsel for Ethics
Alternate Designated Agency Ethics Official

Enclosures

January 22, 2021

Mr. Randall J. Hall
Acting Associate General Counsel for Ethics
Alternate Designated Agency Ethics Official
U.S. Department of Health and Human Services
Room 710-E, Hubert H. Humphrey Building
200 Independence Avenue, SW
Washington, DC 20201

Re: Amendment and Supplement to Financial Disclosure Report of Xavier Becerra

Dear Mr. Hall:

The purpose of this document is to correct inadvertent errors in the financial disclosure report that I signed on January 4, 2021. In my initial disclosure, I disclosed the incorrect name for an asset held in my spouse's individual retirement account and my brokerage accounts. I disclosed the incorrect value and income amounts for financial holdings in a brokerage account. I also inadvertently omitted disclosure of some financial holdings. These corrections are noted below.

The items identified below are amended, as follows:

Part 5

#	Description	EIF	Value	Income Type	Income Amount
4.2	PIMCO Active Bond ETF (BOND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	PIMCO Active Bond ETF (BOND)	Yes	\$1,001 - \$15,000		None (or less than \$201)

Part 6

#	Description	EIF	Value	Income Type	Income Amount
1.1	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2	PIMCO Active Bond ETF (BOND)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

1.3	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	PIMCO Enhanced Short Maturity Active ETF (MINT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.11	Parnassus Mid Cap Fund - Investor Class (PARMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.15	iShares U.S. Real Estate ETF (IYR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.16	U.S. brokerage money market account (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2.3	PIMCO Active Bond ETF (BOND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.5	PIMCO Enhanced Short Maturity Active ETF (MINT)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.14	American Funds Capital World Growth & Income Fund - Class F1 (CWGFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.17	Welltower, Inc. (WELL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5	U.S. credit union #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)

The items identified below were inadvertently omitted:

Part 6

#	Description	EIF	Value	Income Type	Income Amount
1.18	American Funds Growth Fund of America – Class F1 (GFAFX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000

2.18	American Funds Growth Fund of America – Class F1 (GFAFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	iShares U.S. Real Estate ETF (IYR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	PIMCO Active Bond ETF (BOND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	PIMCO Enhanced Short Maturity Active ETF (MINT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	Eaton Vance Floating-Rate Advantage Fund – Class A (EAFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	American Funds Capital World Growth & Income Fund – Class F1 (CWGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	American Funds New Perspective Fund – Class F1 (NPFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	American Funds Washington Mutual Investors Fund – Class F1 (WSHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	Glenmede Quantitative U.S. Large Cap Growth Equity Portfolio – Advisor Class (GTLLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	Janus Henderson Enterprise Fund – Class T (JAENX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	JPMorgan Equity Income Fund – Class A (OIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	JPMorgan Large Cap Growth Fund – Class A (OLGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	Parnassus Mid Cap Fund –	Yes	\$1,001 - \$15,000		None (or less

Investor Class (PARMX)					than \$201)
T. Rowe Price Global Stock Fund (PRGSX)	Yes	\$1,001 - \$15,000			None (or less than \$201)
U.S. brokerage cash account	N/A	\$1,001 - \$15,000			None (or less than \$201)
Welltower, Inc. (WELL)	N/A	None (or less than \$1,001)	Capital Gains		\$1,001 - \$2,500
American Funds Growth Fund of America – Class F1 (GFAFX)	Yes	None (or less than \$1,001)			\$1,001 - \$2,500

I understand that this amendment will be attached to my financial disclosure report and released upon request with that report.

Sincerely,



Xavier Becerra

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Becerra, Xavier

Secretary, Department of Health & Human Services

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Finance
 - Committee on Health, Education, Labor, and Pensions
-

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/ Becerra, Xavier [electronically signed on 01/04/2021 by Becerra, Xavier 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/ Hall, Randall, Certifying Official [electronically signed on 01/17/2021 by Hall, Randall in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 01/17/2021 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 01/18/2021 by Rounds, Emory in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	State of California, Office of the Attorney General	Sacramento, California	State Government	Attorney General	1/2017	Present
2	Family Revocable Trust	See Endnote	Trust	Trustee	11/2011	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Glenmede Quantitative U.S. Large Cap Growth Equity Portfolio - Advisor Class (GTLLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Janus Henderson Enterprise Fund - Class T (JAENX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Parnassus Mid Cap Fund - Investor Class (PARMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	T. Rowe Price Global Stock Fund (PRGSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	American Funds New Perspective Fund - Class F1 (NPFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	American Funds Capital World Growth & Income Fund - Class F1 (CWGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	iShares U.S. Real Estate ETF (IYR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	State of California	See Endnote		Salary	\$175,182
3	State of California, 457(b) plan	No			
3.1	Savings Plus Program Target Date Fund 2020, Pre-Tax	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	State of California, 401(k) plan	No			
4.1	Savings Plus Program Target Date Fund 2020	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	California Public Employees' Retirement System (CalPERS) Pension, 401(a) defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of California, 457(b) plan	Sacramento, California	I will retain this defined contribution plan. The sponsor will not make contributions to this plan after my separation.	1/2017
2	State of California, 401(k) plan	Sacramento, California	I will retain this defined contribution plan. The sponsor will not make contributions to this plan after my separation.	1/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	CalPERS Pension, 401(a) defined benefit plan	Sacramento, California	I will retain this defined benefit plan.	1/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	State of California	Sacramento, California	Attorney General

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Providence St. Joseph Health	See Endnote	N/A	director fees	
2	California Health Care Foundation	N/A		director fees	
3	Valley Medical Group	N/A	None (or less than \$1,001)	salary, bonus, partnership share	
4	IRA #1	No			
4.1	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	PIMCO Total Return Fund - Institutional Class (PTTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.5	Glenmede Quantitative U.S. Large Cap Growth Equity Portfolio - Advisor Class (GTLLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Janus Hernderson Enterprise Fund - Class T (JAENX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Parnassus Mid Cap Fund - Investor Class (PARMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	T. Rowe Price Global Stock Fund (PRGSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	American Funds New Perspective Fund - Class F1 (NPFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	American Funds Capital World Growth & Income Fund (CWGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	iShares U.S. Real Estate ETF (IYR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	IRA #2	No			
5.1	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	PIMCO Total Return Fund - Class R (PTRRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	PIMCO Enhanced Short Maturity Active ETF (MINT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.7	Glenmede Quantitative U.S. Large Cap Growth Equity Portfolio - Advisor Class (GTLLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	Janus Henderson Enterprise Fund - Class T (JAENX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Parnassus Mid Cap Fund - Investor Class (PARMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	T. Rowe Price Global Stock Fund (PRGSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	American Funds New Perspective Fund - Class F1 (NPFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.14	American Funds Capital World Growth & Income Fund - Class F1 (CWGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.15	iShares U.S. Real Estate ETF (IYR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.16	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	USC Medical Center, 457(b) plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	New York Life Stable Value Guaranteed Interest Account	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Valley Medical Group, 401(k) plan	No			
7.1	Vanguard Treasury Money Market Fund - Investor Class (VUSXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	University of California, Davis	N/A		salary	
9	USC Medical Center, 401(a) plan	No			
9.1	TIAA Traditional	N/A	\$100,001 - \$250,000		None (or less than \$201)
10	George Washington University Retirement Plan for Faculty & Staff, 401(a) plan	No			
10.1	TIAA Traditional	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	USC Medical Center, 403(b) plan	No			
11.1	TIAA Traditional	N/A	\$100,001 - \$250,000		None (or less than \$201)
11.2	Wells Fargo Short Duration Government Bond Fund - Class R6 (MSDRX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
12	George Washington University Supplemental Retirement Plan, 403(b) plan	No			
12.1	TIAA-CREF Money Market Fund - Institutional Class (TCIXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
13	Virginia Hospital Center, 403(b) plan	No			
13.1	T. Rowe Price Government Money Fund (PRRXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
14	Virginia Hospital Center, 401(k) plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.1	T. Rowe Price Stable Value N	Yes	\$50,001 - \$100,000		None (or less than \$201)
15	University of California, 401(a) plan	No			
15.1	UC Pathway Fund 2030	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	University of California, 403(b) plan	No			
16.1	UC Pathway Fund 2020	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	University of California, 457(b) plan	No			
17.1	UC Pathway Fund 2020	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Washington Hospital Center, deferred compensation savings plan	No			
18.1	iShares U.S. Aggregate Bond Index Fund - Class K (WFBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	Washington Hospital Center, 403(b) plan	No			
19.1	Fidelity Freedom Blend 2025 Fund - Class K (FHBEX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	CHG Companies, Inc. (DBA CompHealth)	N/A		Contract fees for services	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage Account #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.2	PIMCO Total Return Fund - Institutional Class (PTTRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	PIMCO Enhanced Short Maturity Active ETF (MINT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.6	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	Glenmede Quantitative U.S. Large Cap Growth Equity Portfolio - Advisor Class (GTLLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.9	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.10	Janus Henderson Enterprise Fund - Class T (JAENX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.11	Parnassus Mid Cap Fund - Investor Class (PARMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.12	T. Rowe Price Global Stock Fund (PRGSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	American Funds New Perspective Fund - Class F1 (NPFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	American Funds Capital World Growth & Income Fund - Class F1 (CWGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.15	iShares U.S. Real Estate ETF (IYR)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.16	U.S. brokerage money market account (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
1.17	Welltower, Inc. (WELL)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2	U.S. Brokerage Account #2	No			
2.1	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	PIMCO Total Return Fund - Institutional Class (PTTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	PIMCO Enhanced Short Maturity Active ETF (MINT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Glenmede Quantitative U.S. Large Cap Growth Equity Portfolio - Advisor Class (GTLLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Janus Henderson Enterprise Fund - Class T (JAENX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	Parnassus Mid Cap Fund - Investor Class (PARMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	T. Rowe Price Global Stock Fund (PRGSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	American Funds New Perspective Fund - Class F1 (NPFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	American Funds Capital World Growth & Income Fund - Class F1 (CWGFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.15	iShares U.S. Real Estate ETF (IYR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	Welltower, Inc. (WELL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3	U.S. Brokerage Account #3	No			
3.1	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. credit union #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	U.S. credit union #2 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
6	Residential Real Estate, Monterey Park, CA	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
7	Residential Real Estate, Los Angeles, CA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
8	Residential Real Estate, Sacramento, CA	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
9	Residential Real Estate, Sacramento, CA	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Congressional Federal Credit Union	See Endnote	Mortgage (investment/rental property)	\$15,001 - \$50,000	2011	2.75	15 years
2	Congressional Federal Credit Union	See Endnote	Mortgage (investment/rental property)	\$250,001 - \$500,000	2018	3.875	15 years
3	Congressional Federal Credit Union	See Endnote	Mortgage (investment/rental property)	\$250,001 - \$500,000	2018	3.875	15 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	2	I serve as Trustee of a family revocable trust created for estate planning purposes.
2.	2	Beginning July 1, 2020, I voluntarily reduced my salary.

PART	#	ENDNOTE
5.	1	Service on the Board ceased in March 2020.
8.	1	Property in Los Angeles, California.
8.	2	Property in Sacramento, California.
8.	3	Property in Sacramento, California.

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).
