

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

Filer's Information

ZAIS, MITCHELL MCGEEVER

DEPUTY SECRETARY, Department of Education

Report Year: 2020

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/ ZAIS, MITCHELL MCGEEVER [electronically signed on 07/28/2020 by ZAIS, MITCHELL MCGEEVER in Integrity.gov] - Filer received a 90 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Goodridge-Keiller, Marcella, Certifying Official [electronically signed on 08/25/2020 by Goodridge-Keiller, Marcella in Integrity.gov]

Other review conducted by

/s/ Spencer, Kristina, Ethics Official [electronically signed on 08/20/2020 by Spencer, Kristina in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 08/20/2020

Data Revised 08/17/2020

Data Revised 08/14/2020

Data Revised 08/05/2020

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	USAA Traditional IRA	No	\$500,001 - \$1,000,000		
1.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	AbbVie, Inc. (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	American Tower Corp Com USDO.01 (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Ameriprise Financial, Inc. (AMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	AmerisourceBergen Corp. (ABC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	Amgen Inc. (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.9	Applied Materials, Inc. (AMAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	Best Buy Co., Inc. (BBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Bristol-Myers Squibb (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Cardinal Health, Inc. (CAH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	Dominion Energy, Inc. (D)	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
1.18	Eaton Corp. Plc (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Essex Property Trust, Inc. (ESS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Exxon Mobil Corp. (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	Fifth Third Bancorp (FITB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Genuine Parts Co. (GPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	Gilead Sciences, Inc. (GILD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.24	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	HP, Inc. (HPQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	Illinois Tool Works, Inc. (ITW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.28	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.29	Lam Research Corp. (LRCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	Lowe's Companies ICN (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	M&T Bank Corp. (MTB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	Merck & Co., Inc. (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	Omnicom Group, Inc. (OMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	Parker-Hannifin Corp. (PH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.37	T. Rowe Price Group, Inc. (TROW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.38	Quest Diagnostics, Inc. (DGX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.39	Raytheon Co. (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.40	Regions Financial Corp. (RF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.41	Starbucks Corp. (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	Texas Instruments Incorporated (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.43	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.44	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.45	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.47	American Beacon International Equity Fund Class Y Shares (ABEYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.48	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.49	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.50	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.51	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.52	Hartford Schroders Emerging Markets Equity Fund Class F Shares (HHHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.53	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.54	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.55	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.56	TCW Emerging Markets Income Fund Class I Shares (TGEIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.57	USAA High Income Fund Institutional Class Shares (UIHIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.58	USAA Income Fund Institutional Class Shares (UIINX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.59	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.60	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.61	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.62	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.63	SPDR Portfolio Intermediate Term Corporate Bond ETF (SPIB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2	USAA Roth IRA	No	\$50,001 - \$100,000		
2.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	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
2.3	American Beacon International Equity Fund Class Y Shares (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Hartford Schrodgers Emerging Markets Equity Fund Class F Shares (HHHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	USAA Managed Allocation Fund (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.12	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.14	TCW Emerging Markets Income Fund Class I Shares (TGEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	USAA High Income Fund Institutional Class Shares (JIHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	USAA Income Fund Institutional Class Shares (UIINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.17	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Fidelity Traditional IRA #2	No	\$50,001 - \$100,000		
3.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	PzenaEmerging Markets Value Fund Investor Class Shares (PZVEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	WCM Focused International Growth Fund Investor Class Shares (WCMRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	North Star Dividend Fund Class I Shares (NSDVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	North Star Opportunity Fund Class A Shares (NSOPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Lord Abbett Short Duration Income Fund Class A Shares (LALDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Fidelity Traditional IRA #1	No	\$50,001 - \$100,000		
4.1	Fidelity Government Cash Reserves (FDRXX) See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
4.2	JPMorgan Equity Income Fund Class A Shares (OIEIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Fidelity Traditional IRA #3	No	\$50,001 - \$100,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Innovator S&P 500Power Buffer ETF - January (PJAN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Innovator Russell 2000Power Buffer ETF - October (KOCT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	Innovator MSCI EAFEPower Buffer ETF - July (IJUL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	iShares S&P 100 ETF (OEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	iShares Core High Dividend ETF (HDV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	ISHARES CORE U.S. AGGREGATE BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	iShares Core International Aggregate Bond ETF (IAGG)	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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	Coldwell Banker Realty (Residential Realtor)	N/A		Commissions on sales	
2	USAA Roth IRA	No	\$50,001 - \$100,000		
2.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	American Beacon International Equity Fund Class Y Shares (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Hartford Schrodgers Emerging Markets Equity Fund Class F Shares (HHHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	USAA Managed Allocation Fund (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.11	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.13	TCW Emerging Markets Income Fund Class I Shares (TGEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	USAA High Income Fund Institutional Class Shares (UIHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	USAA Income Fund Institutional Class Shares (UIINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.16	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	USAA Traditional IRA	No	\$50,001 - \$100,000		
3.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	American Beacon International Equity Fund Class Y Shares (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Hartford Schrodgers Emerging Markets Equity Fund Class F Shares (HHHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	USAA Managed Allocation Fund (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.12	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.14	TCW Emerging Markets Income Fund Class I Shares (TGEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	USAA High Income Fund Institutional Class Shares (UIHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	USAA Income Fund Institutional Class Shares (UIINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.17	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Yes	\$1,001 - \$15,000		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	\$50,001 - \$100,000		None (or less than \$201)
2	AAFMAA Life Insurance, whole life	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	113 acre tree farm, Newberry, SC (leased for hunting)	N/A	\$250,001 - \$500,000	Rent or Royalties	\$1,001 - \$2,500
4	Philatelic Collection	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Allianz Life Insurance Company of North America, fixed annuity	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	OneAmerica, American United Life Insurance Company, whole life	N/A	\$50,001 - \$100,000		None (or less than \$201)
7	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	USAA Managed Account	No	\$50,001 - \$100,000		\$1,001 - \$2,500
8.1	USAA Money Market Fund (USAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	American Beacon AHL Managed Futures Strategy Fund Class R5 Shares (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	American Beacon International Equity Fund Class Y Shares (ABEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.4	AQR Small Cap Multi-Style Fund Class R6 Shares (QSERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.5	AQR Style Premia Alternative Fund Class R6 Shares (QSPRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.6	Goldman Sachs International Small Cap Insights Fund Class R6 Shares (GICUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.7	International Equity Portfolio Institutional Class Z Shares (HLIZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.8	Hartford Schroders Emerging Markets Equity Fund Class F Shares (HHHFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.9	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.10	USAA Managed Allocation Fund (UMAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.11	Vanguard Growth & Income Fund Admiral Shares (VGIAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.12	Victory Sycamore Established Value Fund Class R6 Shares (VEVRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.13	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.14	USAA Income Fund Institutional Class Shares (UIINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.15	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.16	USAA Short-Term Bond Fund Institutional Class Shares (UISBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Royal Caribbean Cruises Ltd (RCL)	Purchase	04/12/2019	\$1,001 - \$15,000
2	Carnival Corp (CCL)	Sale	04/12/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
3	Intuit Inc. - Common Stock (INTU)	Purchase	07/03/2019	\$1,001 - \$15,000
4	International Business Machines Corporation (IBM)	Purchase	07/03/2019	\$1,001 - \$15,000
5	Exxon Mobil Corp (XOM)	Purchase	07/03/2019	\$1,001 - \$15,000
6	CBS Corp B (CBS)	Purchase	07/03/2019	\$1,001 - \$15,000
7	Ameriprise Financial Inc Com (AMP)	Purchase	07/03/2019	\$1,001 - \$15,000
8	Omnicom Group (OMC)	Purchase	07/03/2019	\$1,001 - \$15,000
9	T. Rowe Price Group, Inc. - Common Stock (TROW)	Purchase	07/03/2019	\$1,001 - \$15,000
10	Quest Diagnostics Incorporated (DGX)	Purchase	07/03/2019	\$1,001 - \$15,000
11	Discover Financial Services (DFS)	Purchase	07/05/2019	\$1,001 - \$15,000
12	Apple Inc. - Common Stock (AAPL)	Purchase	07/05/2019	\$1,001 - \$15,000
13	Lam Research Corporation - Common Stock (LRCX)	Purchase	07/05/2019	\$1,001 - \$15,000
14	Lowe's Companies, Inc. (LOW)	Purchase	07/05/2019	\$1,001 - \$15,000
15	Accenture plc (ACN)	Purchase	07/10/2019	\$1,001 - \$15,000
16	Verizon Communications Inc (VZ)	Purchase	07/05/2019	\$1,001 - \$15,000
17	AmerisourceBergen Corp (ABC)	Purchase	07/10/2019	\$1,001 - \$15,000
18	Cardinal Health Inc (CAH)	Purchase	07/10/2019	\$1,001 - \$15,000
19	Chevron Corp (CVX)	Purchase	07/10/2019	\$1,001 - \$15,000
20	Dominion Energy, Inc. (D)	Purchase	07/10/2019	\$1,001 - \$15,000
21	Genuine Parts Company (GPC)	Purchase	07/10/2019	\$1,001 - \$15,000
22	Ford Motor Company (F)	Purchase	07/10/2019	\$1,001 - \$15,000
23	Philip Morris International (PM)	Purchase	07/10/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	Regions Financial Corp (RF)	Purchase	07/10/2019	\$1,001 - \$15,000
25	Target Corporation (TGT)	Purchase	07/10/2019	\$1,001 - \$15,000
26	American Express Co (AXP)	Purchase	07/11/2019	\$1,001 - \$15,000
27	Cummins Inc (CMI)	Purchase	07/11/2019	\$1,001 - \$15,000
28	Illinois Tool Works Inc (ITW)	Purchase	07/11/2019	\$1,001 - \$15,000
29	Oracle Corporation (ORCL)	Purchase	07/11/2019	\$1,001 - \$15,000
30	Baxter International Inc. (BAX)	Purchase	07/12/2019	\$1,001 - \$15,000
31	M&T Bank Corporation (MTB)	Purchase	07/12/2019	\$1,001 - \$15,000
32	Royal Caribbean Cruises Ltd. (RCL)	Sale	07/03/2019	\$1,001 - \$15,000
33	Bank of America Corp (BAC)	Sale	07/03/2019	\$1,001 - \$15,000
34	CVS Health Corporation (CVS)	Sale	07/03/2019	\$1,001 - \$15,000
35	KeyCorp (KEY)	Sale	07/03/2019	\$1,001 - \$15,000
36	Magna International, Inc. (MGA)	Sale	07/03/2019	\$1,001 - \$15,000
37	Xilinx Inc (XLNX)	Sale	07/03/2019	\$1,001 - \$15,000
38	McDonald's Corporation (MCD)	Sale	07/05/2019	\$1,001 - \$15,000
39	ConocoPhillips (COP)	Sale	07/05/2019	\$1,001 - \$15,000
40	Unilever NV Euro (UN)	Sale	07/05/2019	\$1,001 - \$15,000
41	Microsoft Corp (MSFT)	Sale	07/05/2019	\$1,001 - \$15,000
42	Medtronic PLC (MDT)	Sale	07/10/2019	\$1,001 - \$15,000
43	Boeing Company	Sale	07/10/2019	\$1,001 - \$15,000
44	Bristol-Myers Squibb Company (BMY)	Sale	07/10/2019	\$1,001 - \$15,000
45	CME Group Inc. - Class A Common Stock (CME)	Sale	07/10/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	PepsiCo Inc (PEP)	Sale	07/10/2019	\$1,001 - \$15,000
47	United Technologies Corp (UTX)	Sale	07/10/2019	\$1,001 - \$15,000
48	Comcast Corporation - Class A Common Stock (CMCSA)	Sale	07/11/2019	\$1,001 - \$15,000
49	AT&T Inc.	Sale	07/11/2019	\$1,001 - \$15,000
50	Lockheed Martin Corporation (LMT)	Sale	07/11/2019	\$1,001 - \$15,000
51	NextEra Energy, Inc. (NEE)	Sale	07/11/2019	\$1,001 - \$15,000
52	Applied Materials, Inc. - Common Stock (AMAT)	Purchase	07/03/2019	\$1,001 - \$15,000
53	Essex Rental Corporation - Common Stock (ESSX)	Purchase	08/30/2019	\$1,001 - \$15,000
54	Intuit Inc. - Common Stock (INTU)	Sale	08/30/2019	\$1,001 - \$15,000
55	Amgen Inc (AMGN)	Purchase	08/30/2019	\$1,001 - \$15,000
56	Johnson & Johnson (JNJ)	Sale	08/30/2019	\$1,001 - \$15,000
57	Johnson & Johnson (JNJ)	Sale	09/04/2019	\$1,001 - \$15,000
58	Amgen Inc (AMGN)	Purchase	09/04/2019	\$1,001 - \$15,000
59	Intuit Inc (INTU)	Sale	09/04/2019	\$1,001 - \$15,000
60	Essex Rental Corporation - Common Stock (ESSX)	Purchase	09/04/2019	\$1,001 - \$15,000
61	Cbs corp new cl b discretion	Sale	10/29/2019	\$1,001 - \$15,000
62	Boeing Co Com	Purchase	10/29/2019	\$1,001 - \$15,000
63	Disney walt co discretion	Purchase	10/29/2019	\$1,001 - \$15,000
64	Bristol-meyers squibb co com	Purchase	10/29/2019	\$1,001 - \$15,000
65	American Tower Corp Com (AMT)	Purchase	07/03/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
66	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Purchase	06/04/2019	\$1,001 - \$15,000
67	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Purchase	06/11/2019	\$100,001 - \$250,000
68	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Purchase	06/28/2019	\$1,001 - \$15,000
69	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	06/11/2019	\$1,001 - \$15,000
70	Innovator S&P 500Power Buffer ETF - January (PJAN)	Purchase	12/16/2019	\$1,001 - \$15,000
71	Innovator Russell 2000Power Buffer ETF - October (KOCT)	Purchase	10/18/2019	\$1,001 - \$15,000
72	Innovator MSCI EAFEPower Buffer ETF - July (IJUL)	Purchase	10/18/2019	\$1,001 - \$15,000
73	iShares S&P 100 ETF (OEF)	Purchase	05/21/2019	\$1,001 - \$15,000
74	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	06/11/2019	\$1,001 - \$15,000
75	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Purchase	06/04/2019	\$1,001 - \$15,000
76	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	06/11/2019	\$1,001 - \$15,000
77	PIMCO RAEEmerging Markets Fund Institutional Class Shares (PEIFX)	Purchase	06/05/2019	\$1,001 - \$15,000
78	USAA Intermediate-Term Bond Fund Institutional Class Shares (UIITX)	Purchase	06/11/2019	\$1,001 - \$15,000
79	Chubb Ltd NPV (CB)	Sale	07/03/2019	\$1,001 - \$15,000
80	iShares Core S&P Small Cap E (IJR)	Sale	06/28/2019	\$1,001 - \$15,000
81	iShares Core S&P 500 ETF (IVV)	Sale	06/28/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
82	Lazard Emerging Markets Equity Blend Portfolio Institutional Shares (EMBIX)	Sale	06/04/2019	\$1,001 - \$15,000
83	Voya Intermediate Bond Fund Class W (IIBWX)	Sale	06/11/2019	\$1,001 - \$15,000
84	Lazard Emerging Markets Equity Blnd Inst (EMBIX)	Sale	06/04/2019	\$1,001 - \$15,000
85	Voya Intermediate Bond W (IIBWX)	Sale	06/11/2019	\$1,001 - \$15,000
86	Lazard Emerging Markets Equity Blnd Inst (EMBIX)	Sale	06/04/2019	\$1,001 - \$15,000
87	Voya Intermediate Bond W (IIBWX)	Sale	06/11/2019	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1.17	Under reporting threshold
2.	4.1	Under reporting threshold

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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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.

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