

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

---

Monaco, Lisa O

Deputy Attorney General, Department of Justice

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/ Monaco, Lisa O [electronically signed on 08/12/2022 by Monaco, Lisa O 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/ Gupta, Vanita, Certifying Official [electronically signed on 10/20/2022 by Gupta, Vanita in Integrity.gov]

---

Other review conducted by

/s/ Shaw, Cynthia K, Ethics Official [electronically signed on 10/20/2022 by Shaw, Cynthia K in Integrity.gov]

---

U.S. Office of Government Ethics Certification

Data Revised 10/20/2022

Data Revised 10/19/2022

Data Revised 10/18/2022

Data Revised 08/23/2022

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	O'Melveny & Myers LLP		Washington, District of Columbia	Law Firm	Non-equity Partner	3/2019	4/2021
2	New York University School of Law		New York, New York	University/College	Distinguished Senior Fellow/Adjunct Professor of Law	2/2017	4/2021
3	Accenture Federal Services		Arlington, Virginia	Corporation	Member, Board of Managers	12/2017	4/2021
4	Cognosante LLC	See Endnote	Falls Church, Virginia	Corporation	Member, Board of Advisors	10/2017	4/2021
5	Hostage US		Washington, District of Columbia	Non-Profit	Member, Board of Directors	3/2018	4/2021
6	Bipartisan Commission on Biodefense/Hudson Institute		Washington, District of Columbia	Non-Profit	Commissioner	3/2018	4/2021
7	Alclear LLC	See Endnote	New York, New York	Corporation	Member, Security Advisory Board	6/2019	4/2021
8	LOM Strategies, LLC	See Endnote	Washington, District of Columbia	Corporation	Manager	3/2017	Present
9	Aspen Institute		Washington, District of Columbia	Non-Profit	Co-Chair, Cybersecurity Group	1/2018	4/2021
10	Watson Institute for International and Public Affairs Board of Overseers, Brown University		Providence, Rhode Island	University/College	Member, Board of Overseers	5/2019	4/2021

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
11	Cafe Media	New York, New York	Corporation	Consultant	8/2020	1/2021
12	PT Fund, Inc. (Presidential Transition Team)	Washington, District of Columbia	Non-Profit	Volunteer Advisor	9/2020	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	O'Melveny & Myers LLP	N/A		Salary	\$130,523
2	Accenture Federal Services	N/A		Director Fees	\$49,025
3	Cognosante LLC (Health care technology)	N/A		Director Fees	\$112,500
4	New York University School of Law	N/A		Salary	\$43,088
5	New York University TIAA Retirement	No			
5.1	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	O'Melveny & Myers LLP 401(k)	No			
6.1	Fidelity Freedom Index 2030 Fund Investor Class Shares (FXIFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Cognosante LLC (Health care technology) vested restricted stock units (Repurchased upon resignation)	N/A	None (or less than \$1,001)	Cash payment	\$341,352
8	LOM Strategies, LLC (security consulting, value reflects U.S. bank cash account)	No	\$250,001 - \$500,000		None (or less than \$201)
9	IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	Alger Small Cap Focus Fund Class Z Shares (AGOZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.2	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.4	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.5	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.6	John Hancock Funds III International Growth Fund Class I Shares (GOGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.7	JPMorgan Global Allocation Fund Class I Shares (GAOSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.8	Loomis Sayles Growth Fund Class Y Shares (LSGRX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.9	Lord Abbett Ultra Short Bond Fund Class F Shares (LUBFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.10	Matthews Pacific Tiger Fund Institutional Class Shares (MIPTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.11	PIMCO Low Duration Income Fund Class I-2 Shares (PFTPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.12	Smead Value Fund Class I1 Shares (SVFFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.13	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.14	T Rowe Price Dividend Growth Fund, Inc. (PRDGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.15	Touchstone Sands Capital Emerging Markets Growth Fund Class Y Shares (TSEMXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.16	Virtus KAR International Small-Cap Fund Class I Shares (VIISX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.17	ALLSPRING SPECIAL SMALL CAP VALUE FUND (ESPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.18	US Bank (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.19	NEUBERGER BERMAN LARGE CAP VALUE FUND CL INSTL (NBPIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	SEP IRA	No			
10.1	US Bank (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	ISH TR CORE DIVID GROWTH ETF (DGRO)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.3	SPDR Portfolio S&P 500 ETF (SPLG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.4	SPDR PORTFOLIO S&P 400 MID CAP ETF (SPMD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.5	SPDR PORTFOLIO EMERGING MARKETS ETF (SPEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.6	SPDR PORTFOLIO S&P 600 SMALL CAP ETF (SPSM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.7	VANGUARD WORLD FD SHS ESG US STOCK ETF (ESGV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.8	VANGUARD WORLD FD SHS ESG INTERNATIONAL STOCK ETF (VSGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.9	WISDOMTREE EMERGING MARK (XSOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Cafe Media	N/A		Consulting Fees for 2020 services	\$5,500
12	O'Melveny & Myers LLP	N/A		Bonus for 2020 services	\$237,500

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New York University School of Law	New York, New York	I continue to be a beneficiary of this defined contribution plan. The plan sponsor will not make further contributions after my separation.	2/2017
2	O'Melveny & Myers LLP	Washington, District of Columbia	I continue to be a beneficiary of this defined contribution plan. The plan sponsor will not make further contributions after my separation.	3/2019
3	LOM Strategies LLC	Washington, District of Columbia	My consulting business continues to be inactive during my appointment.	2/2021
4	Cognosante LLC	Falls Church, Virginia	Pursuant to company's director compensation plan, upon my resignation the company repurchased my vested restricted stock units and I received a cash payout.	4/2021

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

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

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

None

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage account #1	No			
1.1	Communication Services Select Sector SPDR Fund (XLC)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.2	Health Care Select Sector SPDR Fund (XLV)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.3	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.4	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.5	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.6	Energy Select Sector SPDR Fund (XLE)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.7	Industrial Select Sector SPDR Fund (XLI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Technology Select Sector SPDR Fund (XLK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Financial Select Sector SPDR Fund (XLF)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.11	Vanguard Pacific Stock Index Fund Vanguard FTSE Pacific ETF Shares (VPL)	Yes	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.12	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.14	US bank (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.15	ALGER WEATHERBIE SPECIALIZED GROWTH FUND CLASS Z (ASMZX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
1.16	ALLSPRING SPECIAL SMALL CAP VALUE FUND (ESPNX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.17	ALLSPRING STRATEGIC MUNICIPAL BOND FUND (STRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.18	CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND (XLY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	ISHARES MSCI ALL COUNTRY ASIA EX JAPAN ETF (AAXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	ISHARES TR RUSSELL 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	ISHARES CORE S&P U.S. GROWTH ETF (IUSG)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.22	ISHARES CORE S&P U.S. VALUE ETF (IUSV)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.23	JOHN HANCOCK INTL GROWTH FUND CL I (GOGIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.24	LOOMIS SAYLES GROWTH FUND CL Y (LSGRX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.25	MAINSTAY MACKAY TAX FREE BOND FUND CLASS I (MTBIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.26	SMEAD VALUE FUND CLASS I1 (SVFFX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.27	SPDR PORTFOLIO S&P 400 MID CAP ETF (SPMD)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.28	SPDR PORTFOLIO S&P 600 SMALL CAP ETF (SPSM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.29	VANGUARD WORLD FD SHS ESG INTERNATIONAL STOCK ETF (VSGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.30	VIRTUS KAR INTERNATIONAL SMALL MID CAP FUND CL I (VIISX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2	Brokerage account #2 - CLOSED ACCOUNT	No			
2.1	Lyft, Inc. (LYFT)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3	Brokerage account #3 - CLOSED ACCOUNT	No			
3.1	Abbott Laboratories (ABT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.2	AbbVie, Inc. (ABBV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.3	Accenture Plc (ACN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.4	Air Products and Chemicals, Inc. (APD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.5	American Express Co. (AXP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.6	AmerisourceBergen Corp. (ABC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.7	Amgen Inc. (AMGN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.8	Analog Devices, Inc. (ADI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.9	Apple, Inc. (AAPL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.10	Automatic Data Processing, Inc. (ADP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.11	BlackRock, Inc. (BLK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
3.12	Bristol-Myers Squibb (BMY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.13	Broadcom, Inc. (AVGO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.14	Capital One Financial Corp. (COF)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.15	Cisco Systems, Inc. (CSCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.16	CME Group, Inc. (CME)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.17	The Coca-Cola Co. (KO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.18	Comcast Corp. (CMCSA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.19	Crown Castle International Corp. (CCI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.20	Deere & Co. (DE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.21	Dover Corp. (DOV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.22	Eaton Corp. Plc (ETN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.23	Eli Lilly & Co. (LLY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
3.24	Fidelity National Information Services, Inc. (FIS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.25	Arthur J. Gallagher & Co. (AJG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.26	Hartford Finl Services Group (HIG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.27	The Home Depot, Inc. (HD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
3.28	Honeywell International, Inc. (HON)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.29	Illinois Tool Works, Inc. (ITW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.30	Johnson & Johnson (JNJ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.31	JPMorgan Chase & Co. (JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.32	Lockheed Martin Corp. (LMT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.33	Marsh & McLennan Cos., Inc. (MMC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.34	McDonald's Corp. (MCD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.35	Medtronic Plc (MDT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.36	MetLife, Inc. (MET)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.37	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
3.38	Mondelez International, Inc. (MDLZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.39	NextEra Energy, Inc. (NEE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
3.40	Norfolk Southern Corp. (NSC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.41	Parker-Hannifin Corp. (PH)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.42	Paychex, Inc. (PAYX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.43	PepsiCo, Inc. (PEP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.44	Philip Morris International, Inc. (PM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.45	The PNC Financial Services Group, Inc. (PNC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.46	PPG Industries, Inc. (PPG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.47	T. Rowe Price Group, Inc. (TROW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.48	Procter & Gamble Co. (PG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.49	Progressive Corp. (PGR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.50	Prologis, Inc. (PLD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.51	QUALCOMM, Inc. (QCOM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.52	Raytheon Co. (RTN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.53	Republic Services, Inc. (RSG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.54	The Charles Schwab Corp. (SCHW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.55	Sempra Energy (SRE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.56	Stanley Black & Decker, Inc. (SWK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.57	Starbucks Corp. (SBUX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.58	Sysco Corp. (SYY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.59	Texas Instruments Incorporated (TXN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
3.60	UnitedHealth Group, Inc. (UNH)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.61	U.S. Bancorp (USB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.62	Verizon Communications, Inc. (VZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.63	Walmart, Inc. (WMT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.64	WEC Energy Group, Inc. (WEC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.65	Xcel Energy, Inc. (XEL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.66	Morgan Stanley (MS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
3.67	The TJX Cos., Inc. (TJX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.68	Truist Financial Corp (TFC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3.69	Trane Technologies PLC (TT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
4	Brokerage account #4 - CLOSED ACCOUNT	No			
4.1	Alphabet, Inc. Class C (GOOG)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.2	Alphabet, Inc. Class A (GOOGL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.3	Amazon.com, Inc. (AMZN)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.4	Autodesk, Inc. (ADSK)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.5	Automatic Data Processing, Inc. (ADP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
4.6	Boeing Co (BA)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.7	Cerner Corp. (CERN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
4.8	Cisco Systems, Inc. (CSCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	Colgate-Palmolive Co. (CL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
4.10	Deere & Co. (DE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
4.11	The Walt Disney Co. (DIS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.12	Expeditors International of Washington, Inc. (EXPD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
4.13	Facebook, Inc. (FB)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.14	FactSet Research Systems, Inc. (FDS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
4.15	Illumina, Inc. (ILMN)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.16	Intuitive Surgical, Inc. (ISRG)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.17	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
4.18	Monster Beverage Corp. (MNST)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.19	NVIDIA Corp. (NVDA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
4.20	Oracle Corp. (ORCL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
4.21	QUALCOMM, Inc. (QCOM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
4.22	Regeneron Pharmaceuticals, Inc. (REGN)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.23	Salesforce.com, Inc. (CRM)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.24	SEI Investments Co. (SEIC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
4.25	Starbucks Corp. (SBUX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
4.26	Varian Medical Systems, Inc. (VAR)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
4.27	Visa, Inc. (V)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
4.28	Workday, Inc. (WDAY)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.29	Yum China Holdings Inc (YUMC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
4.30	Alibaba Group Holding LT (BABA)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.31	Novo Nordisk A S ADR (NVO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
4.32	Roche Holdings Ltd SPN ADR (RHHBY)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
5	Brokerage account #5	No			
5.1	US bank (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.2	FedFund Institutional Shares (TFDXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	U.S. bank #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Facebook, Inc. (FB)	Sale	07/15/2021	\$15,001 - \$50,000
2	NVIDIA Corp. (NVDA)	Sale	07/15/2021	\$15,001 - \$50,000
3	Abbott Laboratories (ABT)	Sale	07/15/2021	\$1,001 - \$15,000
4	AbbVie, Inc. (ABBV)	Sale	07/15/2021	\$1,001 - \$15,000
5	Air Products and Chemicals, Inc. (APD)	Sale	07/15/2021	\$1,001 - \$15,000
6	Alibaba Group Holding LT (BABA)	Sale	07/15/2021	\$1,001 - \$15,000
7	Alphabet, Inc. Class C (GOOG)	Sale	07/15/2021	\$1,001 - \$15,000
8	Alphabet, Inc. Class A (GOOGL)	Sale	07/15/2021	\$1,001 - \$15,000
9	Amazon.com, Inc. (AMZN)	Sale	07/15/2021	\$15,001 - \$50,000
10	American Express Co. (AXP)	Sale	07/15/2021	\$1,001 - \$15,000
11	Amgen Inc. (AMGN)	Sale	07/15/2021	\$1,001 - \$15,000
12	Analog Devices, Inc. (ADI)	Sale	07/15/2021	\$1,001 - \$15,000
13	Apple, Inc. (AAPL)	Sale	07/15/2021	\$1,001 - \$15,000
14	Arthur J. Gallagher & Co. (AJG)	Sale	07/15/2021	\$1,001 - \$15,000
15	Autodesk, Inc. (ADSK)	Sale	07/15/2021	\$1,001 - \$15,000
16	Becton, Dickinson and Company (BDX)	Sale	07/15/2021	\$1,001 - \$15,000
17	Automatic Data Processing, Inc. (ADP)	Sale	07/15/2021	\$1,001 - \$15,000
18	BlackRock, Inc. (BLK)	Sale	07/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
19	Boeing Co (BA)	Sale	07/15/2021	\$1,001 - \$15,000
20	Bristol-Myers Squibb (BMY)	Sale	07/15/2021	\$1,001 - \$15,000
21	Broadcom, Inc. (AVGO)	Sale	07/15/2021	\$1,001 - \$15,000
22	Cerner Corp. (CERN)	Sale	07/15/2021	\$1,001 - \$15,000
23	Chevron Corp. (CVX)	Sale	07/15/2021	\$1,001 - \$15,000
24	Cisco Systems, Inc. (CSCO)	Sale	07/15/2021	\$1,001 - \$15,000
25	CME Group, Inc. (CME)	Sale	07/15/2021	\$1,001 - \$15,000
26	CMS Energy Corp. (CMS)	Sale	07/15/2021	\$1,001 - \$15,000
27	Colgate-Palmolive Co. (CL)	Sale	07/15/2021	\$1,001 - \$15,000
28	Comcast Corp. (CMCSA)	Sale	07/15/2021	\$1,001 - \$15,000
29	Communication Services Select Sector SPDR Fund (XLC)	Sale	07/15/2021	\$15,001 - \$50,000
30	ConocoPhillips (COP)	Sale	07/15/2021	\$1,001 - \$15,000
31	Crown Castle International Corp. (CCI)	Sale	07/15/2021	\$1,001 - \$15,000
32	Deere & Co. (DE)	Sale	07/15/2021	\$1,001 - \$15,000
33	CVS Health Corp. (CVS)	Sale	07/15/2021	\$1,001 - \$15,000
34	Dover Corp. (DOV)	Sale	07/15/2021	\$1,001 - \$15,000
35	Eaton Corp. Plc (ETN)	Sale	07/15/2021	\$1,001 - \$15,000
36	Eli Lilly & Co. (LLY)	Sale	07/15/2021	\$1,001 - \$15,000
37	Energy Select Sector SPDR Fund (XLE)	Sale	07/15/2021	\$1,001 - \$15,000
38	Expeditors International of Washington, Inc. (EXPD)	Sale	07/15/2021	\$1,001 - \$15,000
39	FactSet Research Systems, Inc. (FDS)	Sale	07/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
40	Fidelity National Information Services, Inc. (FIS)	Sale	07/15/2021	\$1,001 - \$15,000
41	Financial Select Sector SPDR Fund (XLF)	Sale	07/15/2021	\$15,001 - \$50,000
42	First Trust Cloud Computing ETF (SKYY)	Sale	07/15/2021	\$15,001 - \$50,000
43	The Hartford Financial Services Group, Inc. (HIG)	Sale	07/15/2021	\$1,001 - \$15,000
44	General Dynamics Corp. (GD)	Sale	07/15/2021	\$1,001 - \$15,000
45	Hasbro, Inc. (HAS)	Sale	07/15/2021	\$1,001 - \$15,000
46	Honeywell International, Inc. (HON)	Sale	07/15/2021	\$1,001 - \$15,000
47	Health Care Select Sector SPDR Fund (XLV)	Sale	07/15/2021	\$15,001 - \$50,000
48	Illinois Tool Works, Inc. (ITW)	Sale	07/15/2021	\$1,001 - \$15,000
49	Illumina, Inc. (ILMN)	Sale	07/15/2021	\$1,001 - \$15,000
50	Intuitive Surgical, Inc. (ISRG)	Sale	07/15/2021	\$1,001 - \$15,000
51	iShares Nasdaq Biotechnology ETF (IBB)	Sale	07/15/2021	\$1,001 - \$15,000
52	Johnson & Johnson (JNJ)	Sale	07/15/2021	\$1,001 - \$15,000
53	JPMorgan Chase & Co. (JPM)	Sale	07/15/2021	\$1,001 - \$15,000
54	Lockheed Martin Corp. (LMT)	Sale	07/15/2021	\$1,001 - \$15,000
55	Marsh & McLennan Cos., Inc. (MMC)	Sale	07/15/2021	\$1,001 - \$15,000
56	McDonald's Corp. (MCD)	Sale	07/15/2021	\$1,001 - \$15,000
57	Medtronic Plc (MDT)	Sale	07/15/2021	\$1,001 - \$15,000
58	Merck & Co., Inc. (MRK)	Sale	07/15/2021	\$1,001 - \$15,000
59	MetLife, Inc. (MET)	Sale	07/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
60	Microsoft Corp. (MSFT)	Sale	07/15/2021	\$15,001 - \$50,000
61	Mondelez International, Inc. (MDLZ)	Sale	07/15/2021	\$1,001 - \$15,000
62	Monster Beverage Corp. (MNST)	Sale	07/15/2021	\$1,001 - \$15,000
63	NextEra Energy, Inc. (NEE)	Sale	07/15/2021	\$1,001 - \$15,000
64	Morgan Stanley (MS)	Sale	07/15/2021	\$1,001 - \$15,000
65	Norfolk Southern Corp. (NSC)	Sale	07/15/2021	\$1,001 - \$15,000
66	Novartis ADR (NVS)	Sale	07/15/2021	\$1,001 - \$15,000
67	Novo Nordisk A S ADR (NVO)	Sale	07/15/2021	\$1,001 - \$15,000
68	Oracle Corp. (ORCL)	Sale	07/15/2021	\$1,001 - \$15,000
69	Parker-Hannifin Corp. (PH)	Sale	07/15/2021	\$1,001 - \$15,000
70	Paychex, Inc. (PAYX)	Sale	07/15/2021	\$1,001 - \$15,000
71	PepsiCo, Inc. (PEP)	Sale	07/15/2021	\$1,001 - \$15,000
72	Philip Morris International, Inc. (PM)	Sale	07/15/2021	\$1,001 - \$15,000
73	PPG Industries, Inc. (PPG)	Sale	07/15/2021	\$1,001 - \$15,000
74	Progressive Corp. (PGR)	Sale	07/15/2021	\$1,001 - \$15,000
75	Procter & Gamble Co. (PG)	Sale	07/15/2021	\$1,001 - \$15,000
76	Prologis, Inc. (PLD)	Sale	07/15/2021	\$1,001 - \$15,000
77	QUALCOMM, Inc. (QCOM)	Sale	07/15/2021	\$1,001 - \$15,000
78	Raytheon Co. (RTN)	Sale	07/15/2021	\$1,001 - \$15,000
79	REALTY INCM CRP MD PV\$1	Sale	07/15/2021	\$1,001 - \$15,000
80	Republic Services, Inc. (RSG)	Sale	07/15/2021	\$1,001 - \$15,000
81	Regeneron Pharmaceuticals, Inc. (REGN)	Sale	07/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
82	Roche Holdings Ltd SPN ADR (RHHBY)	Sale	07/15/2021	\$1,001 - \$15,000
83	Salesforce.com, Inc. (CRM)	Sale	07/15/2021	\$1,001 - \$15,000
84	Schlumberger NV (SLB)	Sale	07/15/2021	\$1,001 - \$15,000
85	SEI Investments Co. (SEIC)	Sale	07/15/2021	\$1,001 - \$15,000
86	Sempra Energy (SRE)	Sale	07/15/2021	\$1,001 - \$15,000
87	Starbucks Corp. (SBUX)	Sale	07/15/2021	\$1,001 - \$15,000
88	Sysco Corp. (SYY)	Sale	07/15/2021	\$1,001 - \$15,000
89	T. Rowe Price Group, Inc. (TROW)	Sale	07/15/2021	\$1,001 - \$15,000
90	Texas Instruments Incorporated (TXN)	Sale	07/15/2021	\$1,001 - \$15,000
91	The Coca-Cola Co. (KO)	Sale	07/15/2021	\$1,001 - \$15,000
92	The Home Depot, Inc. (HD)	Sale	07/15/2021	\$1,001 - \$15,000
93	The PNC Financial Services Group, Inc. (PNC)	Sale	07/15/2021	\$1,001 - \$15,000
94	The TJX Cos., Inc. (TJX)	Sale	07/15/2021	\$1,001 - \$15,000
95	The Walt Disney Co. (DIS)	Sale	07/15/2021	\$1,001 - \$15,000
96	Truist Financial Corp (TFC)	Sale	07/15/2021	\$1,001 - \$15,000
97	U.S. Bancorp (USB)	Sale	07/15/2021	\$1,001 - \$15,000
98	Varian Medical Systems, Inc. (VAR)	Sale	07/15/2021	\$1,001 - \$15,000
99	UnitedHealth Group, Inc. (UNH)	Sale	07/15/2021	\$1,001 - \$15,000
100	Verizon Communications, Inc. (VZ)	Sale	07/15/2021	\$1,001 - \$15,000
101	Visa, Inc. (V)	Sale	07/15/2021	\$1,001 - \$15,000
102	Walmart, Inc. (WMT)	Sale	07/15/2021	\$1,001 - \$15,000
103	WEC Energy Group, Inc. (WEC)	Sale	07/15/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
104	Xcel Energy, Inc. (XEL)	Sale	07/15/2021	\$1,001 - \$15,000
105	Workday, Inc. (WDAY)	Sale	07/15/2021	\$1,001 - \$15,000
106	Yum China Holdings Inc (YUMC)	Sale	07/15/2021	\$1,001 - \$15,000
107	Yum! Brands, Inc. (YUM)	Sale	07/15/2021	\$1,001 - \$15,000
108	Chubb Ltd. (CB)	Sale	07/15/2021	\$1,001 - \$15,000
109	Lyft, Inc. (LYFT)	Sale	07/19/2021	\$50,001 - \$100,000
110	ALGER WEATHERBIE SPECIALIZED GR FD CL Z (ASMZX)	Purchase	07/15/2021	\$15,001 - \$50,000
111	ISH TR CORE DIVID GROWTH ETF (DGRO)	Purchase	07/15/2021	\$15,001 - \$50,000
112	ISHARES CORE S&P U.S. GROWTH ETF (IUSG)	Purchase	07/15/2021	\$50,001 - \$100,000
113	ISHARES CORE S&P US VALUE ETF (IUSV)	Purchase	07/15/2021	\$50,001 - \$100,000
114	JOHN HANCOCK INTL GROWTH FUND CL I (GOGIX)	Purchase	07/15/2021	\$15,001 - \$50,000
115	LOOMIS SAYLES GROWTH FUND CL Y (LSGRX)	Purchase	07/15/2021	\$50,001 - \$100,000
116	MAINSTAY MACKAY TAX FREE BOND FUND CL I (MTBIX)	Purchase	07/15/2021	\$15,001 - \$50,000
117	NEUBERGER BERMAN LARGE CAP VALUE FD CL INSTL (NBPIX)	Purchase	07/15/2021	\$50,001 - \$100,000
118	SMEAD VALUE FUND I1 CLASS (SVFFX)	Purchase	07/15/2021	\$50,001 - \$100,000
119	SPDR PORTFOLIO EMERGING MARKETS ETF (SPEM)	Purchase	07/15/2021	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
120	SPDR PORTFOLIO S&P 400 MID CAP ETF (SPMD)		Purchase	07/15/2021	\$50,001 - \$100,000
121	SPDR PORTFOLIO S&P 400 MID CAP ETF (SPMD)		Purchase	07/15/2021	\$15,001 - \$50,000
122	SPDR PORTFOLIO S&P 500 ETF (SPLG)		Purchase	07/15/2021	\$50,001 - \$100,000
123	SPDR PORTFOLIO S&P 600 SMALL CAP ETF (SPSM)		Purchase	07/15/2021	\$15,001 - \$50,000
124	SPDR PORTFOLIO S&P 600 SMALL CAP ETF (SPSM)		Purchase	07/15/2021	\$15,001 - \$50,000
125	VANGUARD WORLD FD SHS ESG INTL STK ETF (VSGX)		Purchase	07/15/2021	\$15,001 - \$50,000
126	VANGUARD WORLD FD SHS ESG INTL STK ETF (VSGX)		Purchase	07/15/2021	\$15,001 - \$50,000
127	VANGUARD WORLD FD SHS ESG US STK ETF (ESGV)		Purchase	07/15/2021	\$50,001 - \$100,000
128	VIRTUS KAR INTERNATIONAL SMALL CAP FUND CL I (VIISX)		Purchase	07/15/2021	\$15,001 - \$50,000
129	WELLS FARGO SPECIAL SMALL CAP VALUE FD INSTL (ESPNX)		Purchase	07/15/2021	\$15,001 - \$50,000
130	WELLS FARGO SPECIAL SMALL CAP VALUE FD INSTL (ESPNX)		Purchase	07/15/2021	\$15,001 - \$50,000
131	WELLS FARGO STRATEGIC MUNICIPAL BOND FD INSTL (STRIX)		Purchase	07/15/2021	\$15,001 - \$50,000
132	WISDOMTREE EMERGING MARK (XSOE)		Purchase	07/15/2021	\$15,001 - \$50,000
133	ACCENTURE PLC SHS (CAN)	See Endnote	Sale	07/15/2021	\$1,001 - \$15,000
134	ALGER SMALL CAP FOCUS FUND CLASS Z (AGOZX)		Sale	07/15/2021	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
135	ALTRIA GROUP INC (MO)	Sale	07/15/2021	\$1,001 - \$15,000
136	AMERISOURCEBERGEN CORP (ABC)	Sale	07/15/2021	\$1,001 - \$15,000
137	AVALONBAY CMMUN INC REIT (AVB)	Sale	07/15/2021	\$1,001 - \$15,000
138	BEST BUY CO INC (BBY)	Sale	07/15/2021	\$1,001 - \$15,000
139	CAPITAL ONE FINL (COF)	Sale	07/15/2021	\$1,001 - \$15,000
140	CONSUMER DISCRETIONARY SPDR (XLY)	Sale	07/15/2021	\$15,001 - \$50,000
141	FIRST TRUST DOW JONES INTERNET INDEX FUND (FDN)	Sale	07/15/2021	\$15,001 - \$50,000
142	ISHARES 0-5 YEAR TIPS BOND ETF (STIP)	Sale	07/15/2021	\$1,001 - \$15,000
143	ISHARES 3-7 YEAR TREASURY BOND ETF (IEI)	Sale	07/15/2021	\$1,001 - \$15,000
144	ISHARES IBOXX \$ INVT GRADE CORP BD (LQD)	Sale	07/15/2021	\$1,001 - \$15,000
145	LOOMIS SAYLES GROWTH FUND CL Y (LSGRX)	Sale	07/15/2021	\$15,001 - \$50,000
146	MICROSOFT CORP (MSFT)	Sale	07/15/2021	\$1,001 - \$15,000
147	PACER BENCHMARK DATA AND INFRASTRUCTURE (SRVR)	Sale	07/15/2021	\$1,001 - \$15,000
148	PHILLIPS 66 SHS (PSX)	Sale	07/15/2021	\$1,001 - \$15,000
149	PROSHARES ONLINE RETAIL ETF SHS (ONLN)	Sale	07/15/2021	\$1,001 - \$15,000
150	SCHWAB CHARLES CORP NEW (SCHW)	Sale	07/15/2021	\$1,001 - \$15,000
151	SECTOR SPDR CONSMRS STPL (XLP)	Sale	07/15/2021	\$1,001 - \$15,000
152	SPDR PORTFOLIO S&P 500 (SPYG)	Sale	07/15/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
153	SPDR US FINANCIAL SECTOR ETF (XLF)	Sale	07/15/2021	\$15,001 - \$50,000
154	VANGUARD CONSUMER STAPLES ETF (VDC)	Sale	07/15/2021	\$1,001 - \$15,000
155	VANGUARD DIVIDEND APPRECIATION ETF (VIG)	Sale	07/15/2021	\$15,001 - \$50,000
156	VANGUARD INDUSTRIAL ETF (VIS)	Sale	07/15/2021	\$15,001 - \$50,000
157	VANGUARD INFORMATION TECH ETF (VGT)	Sale	07/15/2021	\$15,001 - \$50,000
158	VANGUARD INTRMDIATE-TERM CORPORATE BOND (VCIT)	Sale	07/15/2021	\$1,001 - \$15,000
159	VANGUARD MATERIALS ETF (VAW)	Sale	07/15/2021	\$1,001 - \$15,000
160	ALGER SMALL CAP FOCUS FUND CLASS Z AGENT REINV	Purchase	12/16/2021	\$1,001 - \$15,000
161	JANUS HENDERSON ENTERPRISE FUND I AGENT REINV	Purchase	12/21/2021	\$1,001 - \$15,000
162	JOHN HANCOCK INTL GROWTH FUND CL I AGENT REINV	Purchase	12/21/2021	\$1,001 - \$15,000
163	JP MORGAN GLOBAL ALLOCATION FUND CL I AGENT REINV	Purchase	12/17/2021	\$1,001 - \$15,000
164	JP MORGAN GLOBAL ALLOCATION FUND CL I AGENT REINV	Purchase	12/17/2021	\$1,001 - \$15,000
165	LOOMIS SAYLES GROWTH FUND CL Y AGENT REINV	Purchase	12/27/2021	\$1,001 - \$15,000
166	MATTHEWS PACIFIC TIGER FUND CL INSTL AGENT REINV	Purchase	12/16/2021	\$1,001 - \$15,000
167	NEUBERGER BERMAN LARGE CAP VALUE FD CL INSTL AGENT REINV	Purchase	12/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
168	SMEAD VALUE FUND I1 CLASS AGENT REINV	Purchase	12/20/2021	\$1,001 - \$15,000
169	T ROWE PRICE DIVIDEND GROWTH FUND INV CL AGENT REINV	Purchase	12/15/2021	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	4	Non-fiduciary role
1.	7	Uncompensated service.
1.	8	LOM Strategies, LLC is a single-member limited liability company for which I am the sole member.
7.	133	The amount of this transaction at the time of sale was believed to be below \$1,000, and therefore this transaction was not reported on the Form 278T filed after divestiture of filer's assets. During the preparation of this Annual Report, it was discovered that the transaction amount was between \$1,000 and \$2,000. Therefore, this transaction is now reported. The transaction amount re-verification also applies to: Line 135 Altria Group, Inc., Line 136 Amerisourcebergen Corp., Line 138 Best Buy Co., Inc., Line 139 Capital One Finl, Line 148 Phillips 66 SHS, and Line 150 Schwab Charles Corp New. All of these transactions have now been verified to have been between \$1,000 and \$2,000 and are reported on this Report.

# 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).

---