

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

Filer's Information

Chao, Elaine L

Secretary, Department of Transportation

Date of Termination: 01/11/2021

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/ Chao, Elaine [electronically signed on 05/11/2021 by Chao, Elaine 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/ Kaleta, Judith, Certifying Official [electronically signed on 06/10/2021 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/09/2021 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/28/2021

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|-------------------------------|-------------|----------------------|---------------------------|---------------|--------|---------|
| 1 | Firebird International LLC | See Endnote | Louisville, Kentucky | Limited Liability Company | Sole Member | 5/2009 | Present |
| 2 | Elaine L Chao Revocable Trust | | Louisville, Kentucky | Trust | Trustee | 9/2012 | Present |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-------------|-----------------------------|-------------|---------------------------|
| 1 | Firebird International LLC | See Endnote | N/A | | |
| 1.1 | Firebird International LLC, SunTrust Business Checking | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.2 | Firebird International LLC, SunTrust Business Money Market Performance | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 1.3 | Wells Fargo & Company | | | DSU Vesting | \$27,200 |
| 2 | Wells Fargo & Company, common stock | N/A | \$500,001 - \$1,000,000 | Dividends | \$15,001 - \$50,000 |
| 3 | Wells Fargo & Company, Deferred Stock Compensation | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4 | UBS Pension Trust (Personal Retirement Account) | No | | | |
| 4.1 | UBS Brokerage Account (Cash) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 4.2 | WGIFX - American Funds Capital World Gr & Inc F2 | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|-----------------------|-------------|---------------------------|
| 4.3 | SDSCX - BNY Mellon Small/Mid Cap Growth Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.4 | FEGIX - First Eagle Gold I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.5 | PEQPX - Principal Equity Income P | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.6 | GFFFX - American Funds Growth Fund of Amer F2 | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.7 | DPFFX - Delaware Diversified Income Instl | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4.8 | TGBAX - Templeton Global Bond Adv | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4.9 | PGDPX - Principal Global Div Inc P | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 5 | Mutual of America Tax Deferred Annuity | No | | | |
| 5.1 | Deutsch VSI Capital Growth | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 6 | UBS PSP (Personal Retirement Account) | No | | | |
| 6.1 | UBS Brokerage Account (cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.2 | JHIGX - JHancock International Growth Fund Class R2 | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 6.3 | JDVPX - JHancock Disciplined Value Fund Class R2 | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7 | The Heritage Foundation 403(b) | | | | |
| 7.1 | VFIAX - Vanguard 500 Index Admiral | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------|-------------|---------------------------|
| 7.2 | PREIX - T. Rowe Price Equity Index 500 | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 7.3 | VTSAX - Vanguard Total Stock Market Index Fund Admiral Class | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 8 | The Heritage Foundation Retirement Plan (defined contribution plan) | | | | |
| 8.1 | ARTKX - Artisan International Value Investor | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.2 | BARAX - Baron Asset Retail | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.3 | FAIRX - Fairholme | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.4 | LSBDX - Loomis Sayles Bond Instl | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.5 | OAKMX - Oakmark I | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.6 | RSEIX - Royce Special Equity Instl | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.7 | SLASX - Selected American Shares S | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.8 | PRMSX - T.Rowe Price Emerging Markets Stock | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.9 | VGSLX - Vanguard REIT Index Adm | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.10 | WIIBX - Segall Bryant & Hamil Plus Bond Instl | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9 | UBS IRA | | | | |
| 9.1 | WGIFX - American Funds Capital World Gr & Inc F2 (UBS) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-------------|-----------------------------|--------------------|---------------------------|
| 9.2 | FEGIX - First Eagle Gold I (UBS) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.3 | PEQPX - Principal Equity Income P (UBS) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 9.4 | RSPYX - RS Partners Y (UBS) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.5 | GFFFX - American Funds Growth Fund of Amer F2 (UBS) | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 9.6 | DPFFX - Delaware Diversified Income Instl (UBS) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 9.7 | TGBAX - Templeton Global Bond Adv (UBS) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 10 | Vanguard IRA Account (Personal Retirement Account) | | | | |
| 10.1 | VFIAX - Vanguard 500 Index Admiral | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 10.2 | VUSXX - Vanguard Treasury Money Market | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 11 | AMCP Security Holdings LP | See Endnote | None (or less than \$1,001) | Passthrough Income | \$1,634 |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|---|----------------------------------|--|---------|
| 1 | Wells Fargo & Company | San Francisco, California | Pursuant to the terms of the company's Directors Stock Compensation and Deferral Plan – Stock Award Deferrals, I will receive a stock payout for my deferred stock compensation (all of which is fully vested at the time of grant) based on various elections I have made each year that I have served on the Board. I will continue to receive deferred stock compensation equivalents, which track dividends on the company's common stock until I receive the stock payout. The approximate portion of my remaining deferred stock compensation to be paid out as of December 31, 2020 is as follows: March 2021 – 100%. | 6/2011 |
| 2 | The Heritage Foundation 403(b) | Washington, District of Columbia | I will continue to participate in this defined contribution plan. The sponsor has not made any further contributions since my separation from the company. | 6/2016 |
| 3 | Delta Airlines | Atlanta, Georgia | As a former director of Northwest Airlines, which merged with Delta Airlines in 2009, I receive discounted travel on Delta Airlines. I have never been a director of Delta Airlines, and this benefit is taxable on such discounted airfare at rates established by the Internal Revenue Service. I will forgo this benefit while in office per my ethics agreement. | 10/2008 |
| 4 | The Heritage Foundation Retirement Plan | Washington, District of Columbia | I will continue to participate in this defined contribution plan. The sponsor has not made any further contributions since my separation from the company. | 6/2016 |
| 5 | AMCP Security Holdings, LP | Greenwich, Connecticut | I retained incentive units in this limited partnership when I resigned from the Centerra Group, LLC advisory board on December 31, 2015. Centerra was a subsidiary of the partnership, but was sold in 4/2017. Future distributions could only occur from (1) outstanding indemnity escrow accounts related to the sale of Centerra and (2) receivables from Centerra customers for work performed before that sale. - Final distribution was made from this partnership in 2020. | 8/2015 |

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 | Merrill Lynch - IRA Mitch | N/A | | IRA - Required Minimum Distribution and Withdrawal | \$0 |
| 2 | Mitch IRA MLPA | | | | |
| 2.1 | Bank of America - IRA Cash Account | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 2.2 | SCPB - SPDR Barclays Short Term Corp Bd ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.3 | VCSH - Vanguard Short-Term Corporate Bond ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.4 | IWM - iShares Russell 2000 | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.5 | VO - Vanguard Mid-Cap ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.6 | SPY - SPDR S&P 500 ETF | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|--|-----|-----------------------------|-------------|---------------------------|
| 1 | VMMXX - Vanguard Money Market Reserves | Yes | None (or less than \$1,001) | | None (or less than \$201) |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-------------|-----|----------------------------|-------------------|---------------------------|
| 2 | VMSXX - Vanguard Municipal Money Market | | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 3 | VFIAX - Vanguard 500 Index Admiral | | Yes | \$5,000,001 - \$25,000,000 | | \$100,001 - \$1,000,000 |
| 4 | US bank Money Market Account 1 (Cash) | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5 | Real Property with Carriage House Rental - Washington, DC | | N/A | \$1,000,001 - \$5,000,000 | Rent or Royalties | \$15,001 - \$50,000 |
| 6 | US bank Account 1 (Cash) | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7 | US bank Account 2 (Cash) | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8 | TRBCX - T. Rowe Price Blue Chip Growth | | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 9 | PRITX - T.Rowe Price International Stock Fd | | Yes | \$100,001 - \$250,000 | | \$1,001 - \$2,500 |
| 10 | RPMGX - T. Rowe Price Mid-Cap Growth | | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 11 | PRSCX - T. Rowe Price Science & Tech | | Yes | \$50,001 - \$100,000 | | \$5,001 - \$15,000 |
| 12 | OTCFX - T. Rowe Price Small - Cap Stock | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 13 | Elaine L Chao Revocable Trust | | | | | |
| 13.1 | VFIAX - Vanguard 500 Index Admiral | See Endnote | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 13.2 | VGIAX - Vanguard Growth & Income Adm | See Endnote | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 13.3 | VMSXX - Vanguard Municipal Money Market | See Endnote | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-------------------------|-------------|---------------------------|
| 14 | US bank Account 3 (Cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 15 | MNNAX - Victory Munder Multi-Cap A | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 16 | VHCAX - Vanguard Capital Opportunity Adm | Yes | \$250,001 - \$500,000 | | \$15,001 - \$50,000 |
| 17 | VSIAX - Vanguard Small Cap Value Index Admiral | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 18 | VFIAX - Vanguard 500 Index Admiral | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 19 | A. Mitchell McConnell, Jr. Revocable Trust | | | | |
| 19.1 | US Brokerage Money Market Account (Cash) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 20 | Vanguard 529 College Savings Plan | | | | |
| 20.1 | Vanguard TRGT 32/33 | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 21 | Vanguard 529 College Savings Plan | | | | |
| 21.1 | Vanguard TRGT 32/33 | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT | |
|---|------------------------|-------------|----------|------------|--------------------|
| 1 | WFC - Wells Fargo & Co | See Endnote | Purchase | 03/04/2020 | \$1,001 - \$15,000 |
| 2 | WFC - Wells Fargo & Co | See Endnote | Purchase | 06/03/2020 | \$1,001 - \$15,000 |
| 3 | WFC - Wells Fargo & Co | See Endnote | Purchase | 09/02/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|--|-------------|----------|------------|-----------------------|
| 4 | WFC - Wells Fargo & Co | See Endnote | Purchase | 12/03/2020 | \$1,001 - \$15,000 |
| 5 | Vanguard 90STK10BND Portfolio (Age Based) | See Endnote | Sale | 10/30/2020 | \$100,001 - \$250,000 |
| 6 | Vanguard TRGT 32/33 | See Endnote | Purchase | 10/30/2020 | \$100,001 - \$250,000 |
| 7 | Vanguard Aggressive Growth Portfolio (Age Based) | See Endnote | Sale | 09/04/2020 | \$50,001 - \$100,000 |
| 8 | Vanguard 90STK10BND Portfolio (Age Based) | See Endnote | Purchase | 09/04/2020 | \$50,001 - \$100,000 |
| 9 | Vanguard 90STK10BND Portfolio (Age Based) | See Endnote | Sale | 10/30/2020 | \$50,001 - \$100,000 |
| 10 | Vanguard TRGT 32/33 | See Endnote | Purchase | 10/30/2020 | \$50,001 - \$100,000 |
| 11 | VHCAX - Vanguard Capital Opportunity Fund Admiral Shares | See Endnote | Purchase | 12/21/2020 | \$1,001 - \$15,000 |
| 12 | VHCAX - Vanguard Capital Opportunity Fund Admiral Shares | See Endnote | Purchase | 12/21/2020 | \$15,001 - \$50,000 |
| 13 | VSIAX - Vanguard Small-Cap Value Index Fund Admiral Class Shares | See Endnote | Purchase | 03/09/2020 | \$1,001 - \$15,000 |
| 14 | VSIAX - Vanguard Small-Cap Value Index Fund Admiral Class Shares | See Endnote | Purchase | 06/24/2020 | \$1,001 - \$15,000 |
| 15 | VSIAX - Vanguard Small-Cap Value Index Fund Admiral Class Shares | See Endnote | Purchase | 09/24/2020 | \$1,001 - \$15,000 |
| 16 | VSIAX - Vanguard Small-Cap Value Index Fund Admiral Class Shares | See Endnote | Purchase | 12/23/2020 | \$1,001 - \$15,000 |
| 17 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 03/09/2020 | \$1,001 - \$15,000 |
| 18 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 06/26/2020 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|--|-------------|----------|------------|-----------------------|
| 19 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 09/28/2020 | \$1,001 - \$15,000 |
| 20 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 12/21/2020 | \$1,001 - \$15,000 |
| 21 | VFIAX - Vanguard 500 Index Fund Admiral Shares | | Purchase | 03/16/2020 | \$250,001 - \$500,000 |
| 22 | VGIAX - Vanguard Growth & Income Fund Admiral Shares | See Endnote | Purchase | 06/26/2020 | \$1,001 - \$15,000 |
| 23 | VGIAX - Vanguard Growth & Income Fund Admiral Shares | See Endnote | Purchase | 12/21/2020 | \$1,001 - \$15,000 |
| 24 | VGIAX - Vanguard Growth & Income Fund Admiral Shares | See Endnote | Purchase | 12/21/2020 | \$15,001 - \$50,000 |
| 25 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 12/21/2020 | \$15,001 - \$50,000 |
| 26 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | See Endnote | Purchase | 03/09/2020 | \$1,001 - \$15,000 |
| 27 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | See Endnote | Purchase | 06/26/2020 | \$1,001 - \$15,000 |
| 28 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | See Endnote | Purchase | 09/28/2020 | \$1,001 - \$15,000 |
| 29 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | See Endnote | Purchase | 12/21/2020 | \$1,001 - \$15,000 |
| 30 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | | Purchase | 03/12/2020 | \$50,001 - \$100,000 |
| 31 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | | Purchase | 03/16/2020 | \$250,001 - \$500,000 |
| 32 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | | Purchase | 04/06/2020 | \$250,001 - \$500,000 |
| 33 | VFIAX - Vanguard 500 Index Fund Admiral Shares (IRA) | | Sale | 04/07/2020 | \$250,001 - \$500,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|------------|-----------------------|
| 34 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 03/09/2020 | \$15,001 - \$50,000 |
| 35 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 06/26/2020 | \$15,001 - \$50,000 |
| 36 | VFIAX - Vanguard 500 Index Fund Admiral Shares | See Endnote | Purchase | 09/28/2020 | \$15,001 - \$50,000 |
| 37 | SDSCX - BNY Mellon Small/Mid Cap Growth Fund Class I Shares (UBS PS) | See Endnote | Purchase | 12/02/2020 | \$1,001 - \$15,000 |
| 38 | GFFFX - Growth Fund of America Class F2 Shares (UBS PS) | See Endnote | Purchase | 12/21/2020 | \$1,001 - \$15,000 |
| 39 | GFFFX - Growth Fund of America Class F2 Shares (UBS IRA) | See Endnote | Purchase | 12/21/2020 | \$1,001 - \$15,000 |
| 40 | T Rowe Price Blue Chip Growth Fund, Inc (TRBCX) | See Endnote | Purchase | 12/14/2020 | \$1,001 - \$15,000 |
| 41 | PRITX - T Rowe Price International Stock Fund | See Endnote | Purchase | 12/16/2020 | \$1,001 - \$15,000 |
| 42 | RPMGX - T Rowe Price Mid-Cap Growth Fund, Inc | See Endnote | Purchase | 12/14/2020 | \$15,001 - \$50,000 |
| 43 | PRSCX - T Rowe Price Science & Technology Fund, Inc | See Endnote | Purchase | 12/15/2020 | \$1,001 - \$15,000 |
| 44 | PRSCX - T Rowe Price Science & Technology Fund, Inc | See Endnote | Purchase | 12/15/2020 | \$1,001 - \$15,000 |
| 45 | OTCFX - T Rowe Price Small-Cap Stock Fund, Inc | See Endnote | Purchase | 12/14/2020 | \$1,001 - \$15,000 |
| 46 | PREIX - T. Rowe Price Equity Index 500 Fund | See Endnote | Purchase | 12/11/2020 | \$1,001 - \$15,000 |
| 47 | VTSAAX - Vanguard Total Stock Market Index Fund Admiral Class Shares (403(b)) | | Purchase | 03/16/2020 | \$100,001 - \$250,000 |

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|------|--|
| 1. | 1 | This is a single-member pass-through entity whose sole source of income is from my director fees and speaking fees, as separately disclosed herein. The only income in 2020 in Firebird International LLC is from director fees that were earned in a prior year, but deferred until 2020. |
| 2. | 1 | This is a single-member pass-through entity whose sole source of income is from my director fees and speaking fees, as separately disclosed herein. The only income in 2020 in Firebird International LLC is from director fees that were earned in a prior year, but deferred until 2020. |
| 2. | 11 | Final K-1 received in 2020 |
| 6. | 13.1 | Asset was transferred into revocable trust during 2020. |
| 6. | 13.2 | Asset was transferred into revocable trust during 2020. |
| 6. | 13.3 | Asset was transferred into revocable trust during 2020. |
| 7. | 1 | Dividend Reinvestment |
| 7. | 2 | Dividend Reinvestment |
| 7. | 3 | Dividend Reinvestment |
| 7. | 4 | Dividend Reinvestment |
| 7. | 5 | Even exchange from Vanguard 90STK10BND to Vanguard TRGT 32/33 |

| PART | # | ENDNOTE |
|------|----|--|
| 7. | 6 | Even exchange from Vanguard 90STK10BND to Vanguard TRGT 32/33 |
| 7. | 7 | Even exchange from Vanguard Aggressive Growth to Vanguard 90STK10BND |
| 7. | 8 | Even exchange from Vanguard Aggressive Growth to Vanguard 90STK10BND |
| 7. | 9 | Even exchange from Vanguard 90STK10BND to Vanguard TRGT 32/33 |
| 7. | 10 | Even exchange from Vanguard 90STK10BND to Vanguard TRGT 32/33 |
| 7. | 11 | Dividend Reinvestment |
| 7. | 12 | Capital Gains Reinvestment |
| 7. | 13 | Dividend Reinvestment |
| 7. | 14 | Dividend Reinvestment |
| 7. | 15 | Dividend Reinvestment |
| 7. | 16 | Dividend Reinvestment |
| 7. | 17 | Dividend Reinvestment |
| 7. | 18 | Dividend Reinvestment |
| 7. | 19 | Dividend Reinvestment |
| 7. | 20 | Dividend Reinvestment |
| 7. | 22 | Dividend Reinvestment |
| 7. | 23 | Dividend Reinvestment |
| 7. | 24 | Capital Gains Reinvestment |
| 7. | 25 | Dividend Reinvestment |
| 7. | 26 | Dividend Reinvestment |
| 7. | 27 | Dividend Reinvestment |
| 7. | 28 | Dividend Reinvestment |

| PART | # | ENDNOTE |
|------|----|----------------------------|
| 7. | 29 | Dividend Reinvestment |
| 7. | 34 | Dividend Reinvestment |
| 7. | 35 | Dividend Reinvestment |
| 7. | 36 | Dividend Reinvestment |
| 7. | 37 | Dividend Reinvestment |
| 7. | 38 | Capital Gains Reinvestment |
| 7. | 39 | Capital Gains Reinvestment |
| 7. | 40 | Dividend Reinvestment |
| 7. | 41 | Dividend Reinvestment |
| 7. | 42 | Capital Gain Reinvestment |
| 7. | 43 | Dividend Reinvestment |
| 7. | 44 | Capital Gain Reinvestment |
| 7. | 45 | Capital Gain Reinvestment |
| 7. | 46 | Dividend Reinvestment |

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).
