

**From:** [LNAPPS1.USOGE@oge.gov](mailto:LNAPPS1.USOGE@oge.gov)  
**To:** [Marjorie R. Levine](#)  
**Subject:** New CD Assignment: Please review  
**Date:** Monday, March 1, 2021 12:07:11 PM

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A Certificate of Divestiture for Kerry is pending ACTION: Review in Process. Please click the link below.

(b)(5) internal agency network

Referral to DOS

**From:** Marjorie R. Levine <mlevine@oge.gov>  
**Sent:** Wednesday, March 3, 2021 11:28 PM  
**To:** Alexander, M. J. (b) (6) >  
**Subject:** Re: Kerry CD - [ Message contains CUI ]

CONTROLLED

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Yes, two in one day (busy times!) 11am works for me. I'll give you a call then.

Thanks,  
Marjie

Referral to DOS

From: Marjorie R. Levine <mlevine@oge.gov <<mailto:mlevine@oge.gov>> >  
Sent: Wednesday, March 3, 2021 4:50 PM  
To: Alexander, M. J. (b) (6) <[mailto:\(b\) \(6\)@oge.gov](mailto:(b) (6)@oge.gov)> >  
Subject: Kerry CD - [ Message contains CUI ]

CONTROLLED

Alex,

I'm reviewing the CD request submitted for John Kerry and my understanding is you are the agency POC. Could we set up a time to discuss a few questions I have? I'm happy to have a short call between now and 5:30, where I can give you the information I'm seeking and you can get back to me separately, or we could find a time tomorrow. Anytime between 11 and 4 works for me tomorrow.

Thank you,  
Marjie

Marjorie Levine  
Assistant Counsel, Ethics Law & Policy Branch  
Office of Government Ethics  
mlevine@oge.gov <<mailto:mlevine@oge.gov>> <<mailto:mlevine@oge.gov>  
<<mailto:mlevine@oge.gov>> >  
(202) 482-9268  
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**From:** [Elaine Newton](#)  
**To:** [Marjorie R. Levine](#)  
**Subject:** RE: Kerry CD  
**Date:** Friday, March 5, 2021 1:22:16 PM

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Hi Marjie,

I am available now

Thanks, Elaine

---

**From:** Marjorie R. Levine  
**Sent:** Friday, March 5, 2021 10:37 AM  
**To:** Elaine Newton <[enewton@oge.gov](mailto:enewton@oge.gov)>  
**Subject:** RE: Kerry CD

Elaine,

Could I give you a quick call about this CD?

Thanks,  
Marjie

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**From:** Marjorie R. Levine  
**Sent:** Thursday, March 4, 2021 5:45 PM  
**To:** Elaine Newton <[enewton@oge.gov](mailto:enewton@oge.gov)>  
**Subject:** Kerry CD

Hi Elaine,

I just forwarded the Kerry CD to you for review. I realized when I started working on the CD template that (b) (5)

. I am not sure about how to (b) (5), so would like to discuss that with you.

I'm available tomorrow to discuss the CD and any questions you may have about my notes.

Thanks,  
Marjie

Marjorie Levine  
Assistant Counsel, Ethics Law & Policy Branch  
Office of Government Ethics

[mlevine@oge.gov](mailto:mlevine@oge.gov)

(202) 482-9268

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**From:** [Marjorie R. Levine](#)  
**To:** [Elaine Newton](#)  
**Subject:** FW: CD question - [ Message contains CUI ]  
**Date:** Friday, March 5, 2021 3:39:59 PM

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Info below about the (b) (5).

Thanks,  
Marjie

Referral to DOS



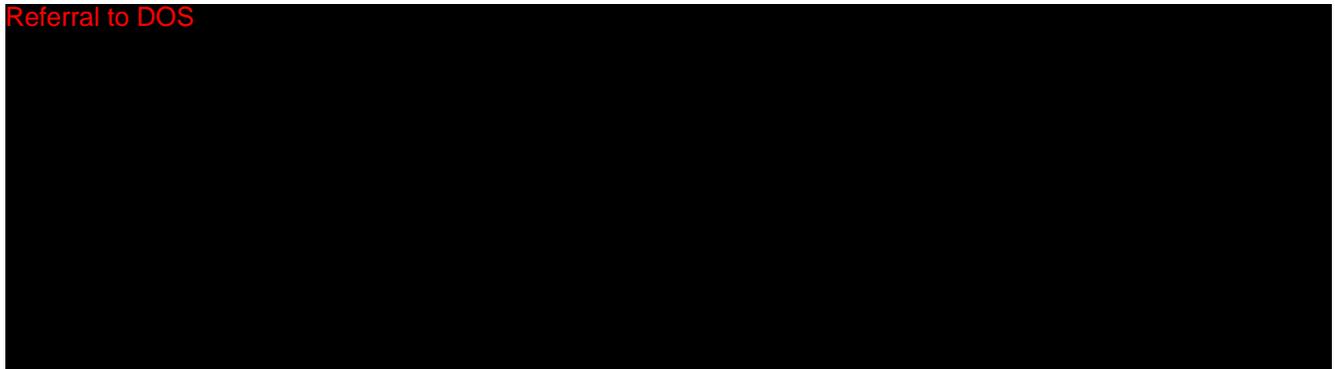
**From:** Marjorie R. Levine <[mlevine@oge.gov](mailto:mlevine@oge.gov)>  
**Sent:** Thursday, March 4, 2021 5:32 PM  
**To:** Alexander, M. J. <(b) (6)>  
**Subject:** Re: CD question - [ Message contains CUI ]

CONTROLLED

-----  
Thanks for confirming that. Another question: (b) (5). Sorry for so many questions at COB.

Thanks,  
Marjie

Referral to DOS



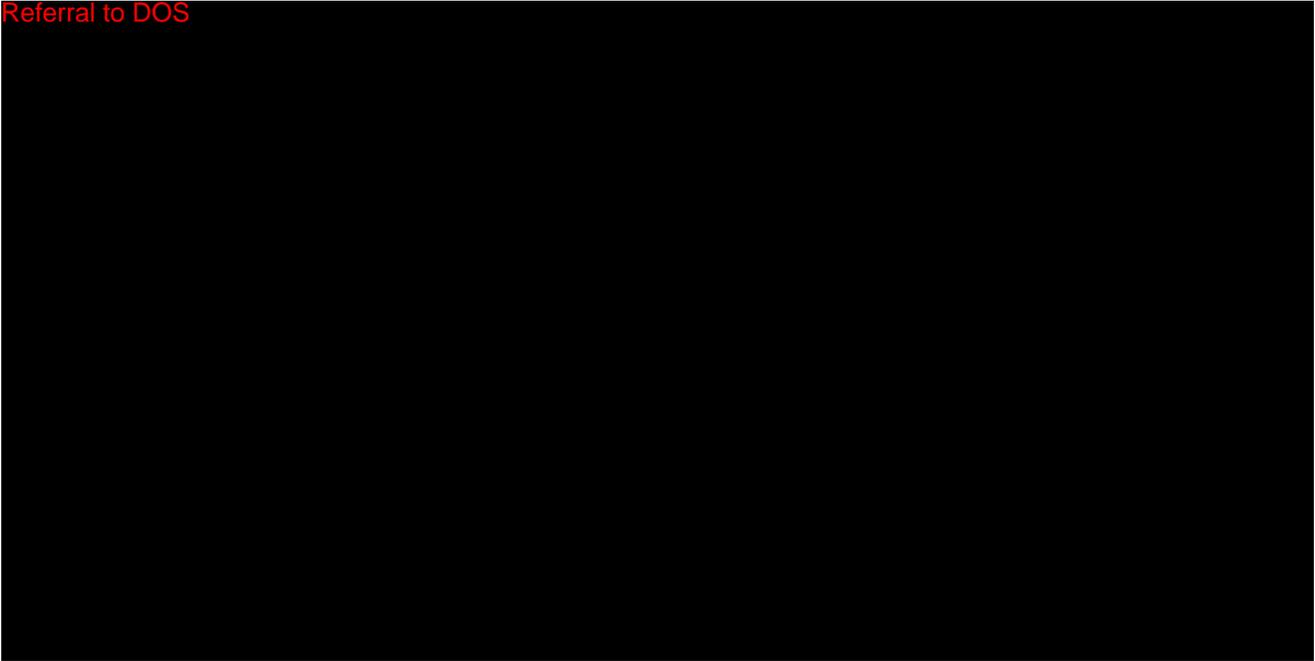
From: Marjorie R. Levine <[mlevine@oge.gov](mailto:mlevine@oge.gov) <<mailto:mlevine@oge.gov>> >  
Sent: Thursday, March 4, 2021 5:15 PM  
To: Alexander, M. J. (b) (6) <[\(b\) \(6\)](mailto:(b) (6))> >  
Subject: Re: CD question - [ Message contains CUI ]

CONTROLLED

-----  
Thank you Alex. I am close to submitting my part of the CD review to Elaine. In case it comes up, can you please explain (b) (5) I forgot to ask about this earlier. (5)

Thanks,  
Marjie

Referral to DOS



From: Marjorie R. Levine <mlevine@oge.gov <<mailto:mlevine@oge.gov> <<mailto:mlevine@oge.gov>>>>  
Sent: Thursday, March 4, 2021 4:48 PM  
To: Alexander, M. J. (b) (6) <[<mailto:\(b\) \(6\)>>>](mailto:(b) (6))>>>  
Subject: RE: CD question - [ Message contains CUI ]

CONTROLLED

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Alex,

Just confirming you received my question below?

Thanks,  
Marjie

From: Marjorie R. Levine  
Sent: Thursday, March 4, 2021 3:04 PM  
To: 'Alexander, M. J.' (b) (6) <[<mailto:\(b\) \(6\)>>>](mailto:(b) (6))>>> <[<mailto:\(b\) \(6\)>>>](mailto:(b) (6))>>>  
Subject: Re: CD question - [ Message contains CUI ]

CONTROLLED

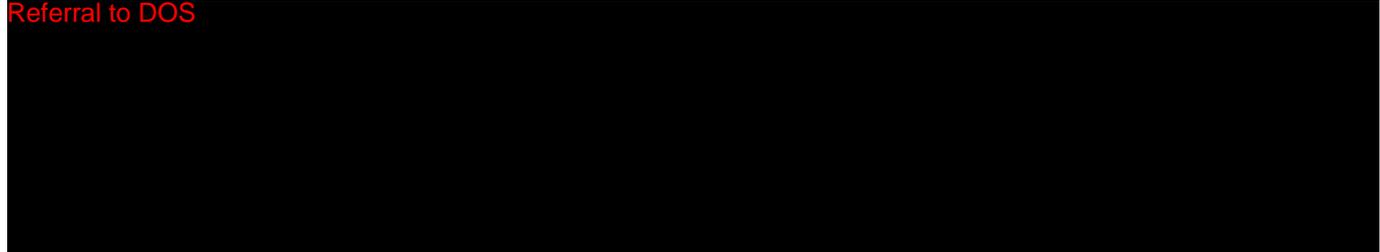
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Alex,

Is it possible for you to send me a (b) (5) 

Thanks,  
Marjie

Referral to DOS



Referral to DOS

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From: Marjorie R. Levine <mlevine@oge.gov <<mailto:mlevine@oge.gov>  
<<mailto:mlevine@oge.gov%20%3cmmailto:mlevine@oge.gov>> > >  
Sent: Thursday, March 4, 2021 12:10 PM  
To: Alexander, M. J. <(b) (6) <[<mailto:\(b\) \(6\)>](mailto:(b) (6))>  
<[<mailto:\(b\) \(6\)>](mailto:(b) (6))> > >  
Subject: CD question - [ Message contains CUI ]

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Alex,

The spreadsheet of (b) (5)

Thank you,  
Marjie

Marjorie Levine

Assistant Counsel, Ethics Law & Policy Branch

Office of Government Ethics

[mlevine@oge.gov](mailto:mlevine@oge.gov) <<mailto:mlevine@oge.gov>> <<mailto:mlevine@oge.gov> <<mailto:mlevine@oge.gov>> >

<<mailto:mlevine@oge.gov> <<mailto:mlevine@oge.gov%20%3cmmailto:mlevine@oge.gov>> > > <<mailto:mlevine@oge.gov>

<<mailto:mlevine@oge.gov%20%3cmmailto:mlevine@oge.gov%20%3cmmailto:mlevine@oge.gov%20%3cmmailto:mlevine@oge.gov>>

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Referral to DOS

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Sent from [Workspace ONE Boxer](#)

On March 7, 2021 at 12:54:32 PM EST, Marjorie R. Levine <mlevine@oge.gov> wrote:

CONTROLLED

Hi Alex,

I hope you're having a good weekend. On Friday, Elaine asked me for additional information about the some of the holdings on the filer's 278. You have provided me with most of the information she requested, but I wanted to clarify one thing about

(b)(5), (b)(6) and some info (b)(3)

. I understand from speaking to you that (b) (5)

, but I want to determine (b) (5). Could you clarify

(b) (5) ?

Also, there is no need to get back to me today, but if you could send me the information by tomorrow morning, I would appreciate it.

Thank you,  
Marjie

Marjorie Levine  
Assistant Counsel, Ethics Law & Policy Branch  
Office of Government Ethics  
mlevine@oge.gov <<mailto:mlevine@oge.gov>>  
(202) 482-9268  
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**From:** [Marjorie R. Levine](#)  
**To:** [Elaine Newton](#)  
**Subject:** Kerry CD  
**Date:** Monday, March 8, 2021 9:46:37 AM

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Elaine,

I have updated my notes/FDTS for this CD to provide the information you requested on Friday. Please let me know if you need anything further.

Thank you,  
Marjie

Marjorie Levine  
Assistant Counsel, Ethics Law & Policy Branch  
Office of Government Ethics  
[mlevine@oge.gov](mailto:mlevine@oge.gov)  
(202) 482-9268  
Follow OGE @OfficeGovEthics

**From:** [LNAPPS1.USOGE@oge.gov](mailto:LNAPPS1.USOGE@oge.gov)  
**To:** [David J. Apol](#)  
**Subject:** CD for your review and approval  
**Date:** Monday, March 8, 2021 1:03:33 PM

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A Certificate of Divestiture for Kerry is pending ACTION: Final Review and Certification. Please click the link below.

(b)(5) internal agency network

Referral to DOS

**From:** Elaine Newton <enewton@oge.gov>

**Sent:** Monday, March 8, 2021 4:51 PM

**To:** Alexander, M. J. <(b) (6)>

**Cc:** Marjorie R. Levine <mlevine@oge.gov>; Marshall, Veda <vemarsha@oge.gov>; Elaine Newton <enewton@oge.gov>

**Subject:** Kerry Certificate of Divestiture - [ Message and attachment(s) contain CUI ]

CONTROLLED

Attachments released below

Email and attachment(s) contain CUI.

Good Afternoon:

In response to your request of March 1, 2021, attached is Certificate of Divestiture, OGE-2021-022 for John Kerry, Department of State. Please forward the certificate to Mr. Kerry.

If there are any questions, you may contact Marjorie Levin at 202-482-9268.

**Please confirm receipt of this email by replying to all.**

Thank you.

Elaine Newton

Associate Counsel

U.S. Office of Government Ethics

1201 New York Ave., NW, Suite 500

Washington, DC 20005-3915

Telephone: 202-482-9265

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The attached document contains CUI that requires protection and safeguarding in a manner that prevents unauthorized disclosure of CUI. (e.g., locked file cabinet, restricted access to CUI, etc.)

If you need additional information regarding the attached document containing CUI, please contact Elaine Newton, [enewton@oge.gov](mailto:enewton@oge.gov) or 202-482-9265.

ATTENTION

All individuals handling this information are required to protect it from unauthorized disclosure.

Handling, storage, reproduction, and disposition of the attached document(s) must be in accordance with 32 CFR Part 2002 and applicable agency policy.

Access to and dissemination of CUI shall be allowed as necessary and permissible to any individual(s), organization(s), or grouping(s) of users, provided such access or dissemination is consistent with or in furtherance of a Lawful Government Purpose and in a manner consistent with applicable law, regulations, and Government-wide policies.





**CERTIFICATE OF DIVESTITURE**

**CERTIFICATE NO:** OGE-2021-022

**DATE OF ISSUANCE:** March 8, 2021

**ELIGIBLE PERSON:** BNY Mellon, National Association [trustee of the Teresa F. Heinz Marital Trust][trust for the spouse of John F. Kerry], Department of State]

**[The divestiture property is identified in the attachment to this Certificate.]**

**[Please note: Upon the sale of this property, only the capital gain realized under Federal tax law is eligible for deferral under section 1043. This Certificate of Divestiture does not apply to ordinary compensation income.]**

This Certificate of Divestiture is issued in accordance with section 1043 of the Internal Revenue Code and 5 C.F.R. § 2634.1002 with respect to the specific property described in the attachment. I hereby determine that the divestiture of the described property is reasonably necessary to comply with 18 U.S.C. § 208, or other applicable Federal conflict of interest statutes, regulations, rules, or executive orders.

Section 1043 of the Internal Revenue Code and the rules of 5 C.F.R. part 2634, subpart J provide for nonrecognition of gain in the case of sales to comply with conflict of interest requirements. The substantive and procedural rules relating to the tax aspects of such sales and rollovers pursuant to the statutory scheme are subject to the jurisdiction of the Internal Revenue Service. Eligible persons should seek the advice of their personal tax advisors for guidance as to the tax aspects of divestiture transactions and whether proposed acquisitions meet the requirements for permitted property. Internal Revenue Service regulations and other guidance should also be consulted as to these matters. Eligible persons must follow Internal Revenue Service requirements for reporting dispositions of property and making an election not to recognize gain under section 1043 (IRS Form 8824).

A Certificate of Divestiture may only be used if the person identified above is an “eligible person” at the time of divestiture. The rules of 5 C.F.R. part 2634, subpart J relate to the issuance of Certificates of Divestiture and the permitted property into which reinvestment must be made during the 60-day period beginning on the date of such a sale in order for nonrecognition to be permitted. Such reinvestments are called rollovers, and are limited to obligations of the United States and diversified investment funds as defined in 5 C.F.R. § 2634.1003.

**DAVID  
APOL**

David J. Apol  
General Counsel

Digitally signed by  
DAVID APOL  
Date: 2021.03.08 15:38:59  
-05'00'

Attachment



ATTACHMENT  
 CERTIFICATE NO.: OGE-2021-022

<u>Description of the Property</u>	<u>Quantity or Percentage Owned</u>	<u>How Property was Acquired</u>	<u>Owner of the Property</u> <u>NOTE: Line 1, Teresa F. Heinz Marital Trust</u> <u>is the same trust reported as the H.J.</u> <u>Heinz III Marital Trust in Part 6, Line</u> <u>687 of the OGE Form 278. These are</u> <u>one in the same.</u>	<u>Relationship to the Employee</u>
3M CO	114	Purchase	Teresa F. Heinz Marital Trust	Spouse
ABBOTT LABORATORIES	419	Purchase	Teresa F. Heinz Marital Trust	Spouse
ABBVIE INC.	474	Purchase	Teresa F. Heinz Marital Trust	Spouse
ABIOMED INC	7	Purchase	Teresa F. Heinz Marital Trust	Spouse
ACADIA HEALTHCARE	97	Purchase	Teresa F. Heinz Marital Trust	Spouse
ACCENTURE PLC	117	Purchase	Teresa F. Heinz Marital Trust	Spouse
ACTIVISION BLIZZARD INC	139	Purchase	Teresa F. Heinz Marital Trust	Spouse
ADOBE SYSTEMS INC	86	Purchase	Teresa F. Heinz Marital Trust	Spouse
ADVANCED MICRO DEVICES INC	275	Purchase	Teresa F. Heinz Marital Trust	Spouse
ADVANSIX INC COM	4	Purchase	Teresa F. Heinz Marital Trust	Spouse
A E S CORP	117	Purchase	Teresa F. Heinz Marital Trust	Spouse
AFLAC INC	55	Purchase	Teresa F. Heinz Marital Trust	Spouse
AGILENT TECHNOLOGIES INC	146	Purchase	Teresa F. Heinz Marital Trust	Spouse
A G N C INVT CORP	121	Purchase	Teresa F. Heinz Marital Trust	Spouse
AIR PRODUCTS & CHEMICALS INC	85	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALAMO GROUP INC	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALEXANDRIA REAL ESTATE EQUITIES, INC	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALEXION PHARMACEUTICALS INC	78	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALIGN TECHNOLOGY INC	30	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALLEGHANY CORP DEL	4	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALLEGION PUBLIC LIMITED COMPANY	61	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALLETE INC	95	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALLIANCE DATA SYS CORP	86	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALLSTATE CORP	73	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALNYLAM PHARMACEUTICALS INC	24	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALPHABET, INC.	32	Purchase	Teresa F. Heinz Marital Trust	Spouse
ALPHABET, INC.	108	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMAZON.COM INC	93	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMDOCS LTD ORD	152	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMEDISYS INC	11	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMEREN CORPORATION	62	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMERICAN ELECTRIC POWER INC	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMERICAN EXPRESS COMPANY	123	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMERICAN FINL GROUP INC OHIO	178	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMERICAN TOWER CORPORATION	64	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMERIPRISE FINANCIAL INC	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMETEK INC NEW	128	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMGEN INC	96	Purchase	Teresa F. Heinz Marital Trust	Spouse
AMPHENOL CORP NEW CL A	183	Purchase	Teresa F. Heinz Marital Trust	Spouse
ANALOG DEVICES INC	201	Purchase	Teresa F. Heinz Marital Trust	Spouse
ANSYS INC	24	Purchase	Teresa F. Heinz Marital Trust	Spouse
ANTHEM INC.	91	Purchase	Teresa F. Heinz Marital Trust	Spouse
APPLE INC	3495	Purchase	Teresa F. Heinz Marital Trust	Spouse
APPLIED MATERIALS INC	380	Purchase	Teresa F. Heinz Marital Trust	Spouse
APTARGROUP INC	42	Purchase	Teresa F. Heinz Marital Trust	Spouse
APTIV PLC	136	Purchase	Teresa F. Heinz Marital Trust	Spouse
ARCH CAP GROUP LTD	295	Purchase	Teresa F. Heinz Marital Trust	Spouse
ARISTA NETWORKS INC.	39	Purchase	Teresa F. Heinz Marital Trust	Spouse
AT&T INC	1304	Purchase	Teresa F. Heinz Marital Trust	Spouse
AUTODESK INC	68	Purchase	Teresa F. Heinz Marital Trust	Spouse
AUTOMATIC DATA PROCESSING INC	160	Purchase	Teresa F. Heinz Marital Trust	Spouse
AUTOZONE INC	6	Purchase	Teresa F. Heinz Marital Trust	Spouse
AVALARA, INC.	57	Purchase	Teresa F. Heinz Marital Trust	Spouse
AVALONBAY CMNTYS INC	53	Purchase	Teresa F. Heinz Marital Trust	Spouse
AVANGRID, INC.	61	Purchase	Teresa F. Heinz Marital Trust	Spouse
AVERY DENNISON CORP	45	Purchase	Teresa F. Heinz Marital Trust	Spouse
BALL CORP	127	Purchase	Teresa F. Heinz Marital Trust	Spouse
BANK OF AMERICA CORPORATION	1265	Purchase	Teresa F. Heinz Marital Trust	Spouse
BANK OZK	75	Purchase	Teresa F. Heinz Marital Trust	Spouse
BAXTER INTERNATIONAL INC	103	Purchase	Teresa F. Heinz Marital Trust	Spouse
BECTON DICKINSON & CO	74	Purchase	Teresa F. Heinz Marital Trust	Spouse
BED BATH & BEYOND INC	323	Purchase	Teresa F. Heinz Marital Trust	Spouse
BERKSHIRE HATHAWAY INC DEL CL B	423	Purchase	Teresa F. Heinz Marital Trust	Spouse
BEYOND MEAT INC	19	Purchase	Teresa F. Heinz Marital Trust	Spouse
BIOGEN IDEC INC	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
B J'S WHOLESALE CLUB HOLDINGS INC	59	Purchase	Teresa F. Heinz Marital Trust	Spouse
BLACK HILLS CORP	136	Purchase	Teresa F. Heinz Marital Trust	Spouse
BLACKROCK INC	42	Purchase	Teresa F. Heinz Marital Trust	Spouse
BOK FINL CORP	102	Purchase	Teresa F. Heinz Marital Trust	Spouse
BOOKING HOLDINGS INC.	10	Purchase	Teresa F. Heinz Marital Trust	Spouse
BOSTON BEER INC CL A	25	Purchase	Teresa F. Heinz Marital Trust	Spouse
BOSTON SCIENTIFIC CORPORATION	167	Purchase	Teresa F. Heinz Marital Trust	Spouse
BRIGHTHOUSE FINANCIAL, INC.	62	Purchase	Teresa F. Heinz Marital Trust	Spouse
BRINKER INTL INC	117	Purchase	Teresa F. Heinz Marital Trust	Spouse
BRISTOL-MYERS SQUIBB COMPANY	591	Purchase	Teresa F. Heinz Marital Trust	Spouse
BROADCOM INC	79	Purchase	Teresa F. Heinz Marital Trust	Spouse
BROWN FORMAN CORP CL B	181	Purchase	Teresa F. Heinz Marital Trust	Spouse
CABOT OIL & GAS CORP CL A	170	Purchase	Teresa F. Heinz Marital Trust	Spouse
CADENCE DESIGN SYS INC	7	Purchase	Teresa F. Heinz Marital Trust	Spouse

<u>Description of the Property</u>	<u>Quantity or Percentage Owned</u>	<u>How Property was Acquired</u>	<u>Owner of the Property</u>	<u>Relationship to the Employee</u>
CAMDEN PROPERTY TRUST REIT	98	Purchase	Teresa F. Heinz Marital Trust	Spouse
CAPITAL ONE FINANCIAL CORPORATION	118	Purchase	Teresa F. Heinz Marital Trust	Spouse
CARDINAL HEALTH INC	23	Purchase	Teresa F. Heinz Marital Trust	Spouse
CARLISLE COS INC	62	Purchase	Teresa F. Heinz Marital Trust	Spouse
CARMAX INC	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
CARRIER GLOBAL CORPORATION	284	Purchase	Teresa F. Heinz Marital Trust	Spouse
CASEYS GENERAL STORES INC	22	Purchase	Teresa F. Heinz Marital Trust	Spouse
CATERPILLAR INC	147	Purchase	Teresa F. Heinz Marital Trust	Spouse
CATHAY GENERAL BANCORP INC	253	Purchase	Teresa F. Heinz Marital Trust	Spouse
C B R E GROUP, INC.	78	Purchase	Teresa F. Heinz Marital Trust	Spouse
C D K GLOBAL INC.	87	Purchase	Teresa F. Heinz Marital Trust	Spouse
CERNER CORP	137	Purchase	Teresa F. Heinz Marital Trust	Spouse
CHAMPIONX CORP	253	Purchase	Teresa F. Heinz Marital Trust	Spouse
CHARTER COMMUNICATIONS, INC.	42	Purchase	Teresa F. Heinz Marital Trust	Spouse
CHENIERE ENERGY INC	244	Purchase	Teresa F. Heinz Marital Trust	Spouse
CHIPOTLE MEXICAN GRILL INC CL A	1	Purchase	Teresa F. Heinz Marital Trust	Spouse
CHUBB LIMITED	187	Purchase	Teresa F. Heinz Marital Trust	Spouse
CHURCH & DWIGHT INC	28	Purchase	Teresa F. Heinz Marital Trust	Spouse
CIGNA CORPORATION	131	Purchase	Teresa F. Heinz Marital Trust	Spouse
CIMAREX ENERGY CO	528	Purchase	Teresa F. Heinz Marital Trust	Spouse
CINTAS CORP	24	Purchase	Teresa F. Heinz Marital Trust	Spouse
CISCO SYSTEMS INC	975	Purchase	Teresa F. Heinz Marital Trust	Spouse
CITIGROUP INC	349	Purchase	Teresa F. Heinz Marital Trust	Spouse
CLOROX CO	30	Purchase	Teresa F. Heinz Marital Trust	Spouse
CME GROUP INC	54	Purchase	Teresa F. Heinz Marital Trust	Spouse
COCA - COLA CO	859	Purchase	Teresa F. Heinz Marital Trust	Spouse
COGNIZANT TECHNOLOGY SOLUTIONS CORP CL A	190	Purchase	Teresa F. Heinz Marital Trust	Spouse
COLGATE-PALMOLIVE COMPANY	286	Purchase	Teresa F. Heinz Marital Trust	Spouse
COMCAST CORP CL A	1044	Purchase	Teresa F. Heinz Marital Trust	Spouse
COMERICA INC	259	Purchase	Teresa F. Heinz Marital Trust	Spouse
CONAGRA INC	275	Purchase	Teresa F. Heinz Marital Trust	Spouse
CONOCOPHILLIPS	337	Purchase	Teresa F. Heinz Marital Trust	Spouse
CONSTELLATION BRANDS INC-A	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
CORNING INC	238	Purchase	Teresa F. Heinz Marital Trust	Spouse
COSTAR GROUP INC	6	Purchase	Teresa F. Heinz Marital Trust	Spouse
COSTCO WHSL CORP NEW	160	Purchase	Teresa F. Heinz Marital Trust	Spouse
COUPA SOFTWARE INCORPORATED	32	Purchase	Teresa F. Heinz Marital Trust	Spouse
CROWDSTRIKE HOLDINGS INC	59	Purchase	Teresa F. Heinz Marital Trust	Spouse
CROWN CASTLE INTL CORP NEW	99	Purchase	Teresa F. Heinz Marital Trust	Spouse
CROWN HLDGS INC	47	Purchase	Teresa F. Heinz Marital Trust	Spouse
C S X CORP	255	Purchase	Teresa F. Heinz Marital Trust	Spouse
CULLEN FROST BANKERS INC	89	Purchase	Teresa F. Heinz Marital Trust	Spouse
CUMMINS INC	65	Purchase	Teresa F. Heinz Marital Trust	Spouse
CVS HEALTH CORPORATION	353	Purchase	Teresa F. Heinz Marital Trust	Spouse
DANAHER CORP	187	Purchase	Teresa F. Heinz Marital Trust	Spouse
DEERE & CO	96	Purchase	Teresa F. Heinz Marital Trust	Spouse
DELL TECHNOLOGIES INC.	71	Purchase	Teresa F. Heinz Marital Trust	Spouse
DELTA AIR LINES INC	105	Purchase	Teresa F. Heinz Marital Trust	Spouse
DIGITAL REALTY TRUST INC	67	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOCUSIGN, INC	58	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOLLAR GENERAL CORP	92	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOLLAR TREE INC	72	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOMINION RES INC VA NEW	91	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOMINOS PIZZA INC COM	6	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOUGLAS EMMETT INC	576	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOVER CORP	77	Purchase	Teresa F. Heinz Marital Trust	Spouse
DOW INC.	192	Purchase	Teresa F. Heinz Marital Trust	Spouse
D T E ENERGY CO	65	Purchase	Teresa F. Heinz Marital Trust	Spouse
DUKE ENERGY CORPORATION	234	Purchase	Teresa F. Heinz Marital Trust	Spouse
DUPONT DE NEMOURS INC	131	Purchase	Teresa F. Heinz Marital Trust	Spouse
DYCOM INDS INC	49	Purchase	Teresa F. Heinz Marital Trust	Spouse
EASTMAN CHEM CO	128	Purchase	Teresa F. Heinz Marital Trust	Spouse
EATON CORP PLC	127	Purchase	Teresa F. Heinz Marital Trust	Spouse
EBAY INC	149	Purchase	Teresa F. Heinz Marital Trust	Spouse
ECOLAB INC	42	Purchase	Teresa F. Heinz Marital Trust	Spouse
EDISON INTERNATIONAL	170	Purchase	Teresa F. Heinz Marital Trust	Spouse
EDWARDS LIFESCIENCES CORP	135	Purchase	Teresa F. Heinz Marital Trust	Spouse
ELANCO ANIMAL HEALTH	104	Purchase	Teresa F. Heinz Marital Trust	Spouse
ELECTRONIC ARTS INC	58	Purchase	Teresa F. Heinz Marital Trust	Spouse
EMERSON ELECTRIC CO	207	Purchase	Teresa F. Heinz Marital Trust	Spouse
ENTERGY CORP	36	Purchase	Teresa F. Heinz Marital Trust	Spouse
E O G RES INC	294	Purchase	Teresa F. Heinz Marital Trust	Spouse
E Q T CORPORATION	226	Purchase	Teresa F. Heinz Marital Trust	Spouse
EQUINIX, INC.	14	Purchase	Teresa F. Heinz Marital Trust	Spouse
EQUITY RESIDENTIAL	57	Purchase	Teresa F. Heinz Marital Trust	Spouse
ESSENTIAL UTILS INC USD 0.5	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
ESSEX PROPERTY TRUST INC REIT	11	Purchase	Teresa F. Heinz Marital Trust	Spouse
ESTEE LAUDER COMPANIES CLASS A	72	Purchase	Teresa F. Heinz Marital Trust	Spouse
ETSY, INC.	24	Purchase	Teresa F. Heinz Marital Trust	Spouse
EVERSOURCE ENERGY	124	Purchase	Teresa F. Heinz Marital Trust	Spouse
EXELON CORP	80	Purchase	Teresa F. Heinz Marital Trust	Spouse
EXPEDITORS INTL WASH INC	56	Purchase	Teresa F. Heinz Marital Trust	Spouse
FACEBOOK INC.	516	Purchase	Teresa F. Heinz Marital Trust	Spouse
FASTENAL CO	144	Purchase	Teresa F. Heinz Marital Trust	Spouse
FEDEX CORP	82	Purchase	Teresa F. Heinz Marital Trust	Spouse
FIDELITY NATIONAL INFORMATION SERVICES, INC	114	Purchase	Teresa F. Heinz Marital Trust	Spouse
FISERV INC	217	Purchase	Teresa F. Heinz Marital Trust	Spouse

<u>Description of the Property</u>	<u>Quantity or Percentage Owned</u>	<u>How Property was Acquired</u>	<u>Owner of the Property</u>	<u>Relationship to the Employee</u>
FIVE9 INC	59	Purchase	Teresa F. Heinz Marital Trust	Spouse
FLEETCOR TECHNOLOGIES INC.	27	Purchase	Teresa F. Heinz Marital Trust	Spouse
FLUOR CORP NEW	322	Purchase	Teresa F. Heinz Marital Trust	Spouse
FORD MOTOR COMPANY	973	Purchase	Teresa F. Heinz Marital Trust	Spouse
FORTIVE CORP.	91	Purchase	Teresa F. Heinz Marital Trust	Spouse
G C P APPLIED TECHNOLOGIES	25	Purchase	Teresa F. Heinz Marital Trust	Spouse
GENERAL DYNAMICS CORPORATION	51	Purchase	Teresa F. Heinz Marital Trust	Spouse
GENERAL ELECTRIC COMPANY	1736	Purchase	Teresa F. Heinz Marital Trust	Spouse
GENERAL MILLS INC	124	Purchase	Teresa F. Heinz Marital Trust	Spouse
GENERAL MOTORS CO	402	Purchase	Teresa F. Heinz Marital Trust	Spouse
GILEAD SCIENCES INC	276	Purchase	Teresa F. Heinz Marital Trust	Spouse
GLOBAL PMTS INC	86	Purchase	Teresa F. Heinz Marital Trust	Spouse
GOLDMAN SACHS GROUP INC	83	Purchase	Teresa F. Heinz Marital Trust	Spouse
GRAMHAM HOLDINGS COMPANY	14	Purchase	Teresa F. Heinz Marital Trust	Spouse
GUARDANT HEALTH INC.	27	Purchase	Teresa F. Heinz Marital Trust	Spouse
HANCOCK HLDG CO	380	Purchase	Teresa F. Heinz Marital Trust	Spouse
HARLEY DAVIDSON INC	85	Purchase	Teresa F. Heinz Marital Trust	Spouse
HARRIS CORPORATION	84	Purchase	Teresa F. Heinz Marital Trust	Spouse
HARTFORD FINL SVCS GROUP INC	223	Purchase	Teresa F. Heinz Marital Trust	Spouse
H C A HOLDINGS INC	64	Purchase	Teresa F. Heinz Marital Trust	Spouse
HCP, INC.	308	Purchase	Teresa F. Heinz Marital Trust	Spouse
HENDERSON GROUP PLC	91	Purchase	Teresa F. Heinz Marital Trust	Spouse
HERSHEY CO	73	Purchase	Teresa F. Heinz Marital Trust	Spouse
HESS CORPORATION	163	Purchase	Teresa F. Heinz Marital Trust	Spouse
HEWLETT PACKARD ENTERPRISE COMPANY	744	Purchase	Teresa F. Heinz Marital Trust	Spouse
HILTON WORLDWIDE HOLDINGS INC.	157	Purchase	Teresa F. Heinz Marital Trust	Spouse
HOME DEPOT INC	191	Purchase	Teresa F. Heinz Marital Trust	Spouse
HONEYWELL INTL INC	230	Purchase	Teresa F. Heinz Marital Trust	Spouse
HORIZON THERAPEUTICS PUBLIC LIMITED COMP/	41	Purchase	Teresa F. Heinz Marital Trust	Spouse
HORMEL FOODS CORP	137	Purchase	Teresa F. Heinz Marital Trust	Spouse
H P INC.	284	Purchase	Teresa F. Heinz Marital Trust	Spouse
HUMANA INC	10	Purchase	Teresa F. Heinz Marital Trust	Spouse
IAC/INTERACTIVECORP	52	Purchase	Teresa F. Heinz Marital Trust	Spouse
IDACORP INC	67	Purchase	Teresa F. Heinz Marital Trust	Spouse
IDEXX LABS INC	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
IHS MARKIT LTD	192	Purchase	Teresa F. Heinz Marital Trust	Spouse
ILLINOIS TOOL WKS INC	77	Purchase	Teresa F. Heinz Marital Trust	Spouse
ILLUMINA INC	14	Purchase	Teresa F. Heinz Marital Trust	Spouse
INCYTE CORPORATION	1	Purchase	Teresa F. Heinz Marital Trust	Spouse
INGERSOLL RAND INC	164	Purchase	Teresa F. Heinz Marital Trust	Spouse
INTEL CORP	700	Purchase	Teresa F. Heinz Marital Trust	Spouse
INTERCONTINENTALEXCHANGE GROUP, INC.	92	Purchase	Teresa F. Heinz Marital Trust	Spouse
INTERNATIONAL BUSINESS MACHINES CORPORA	85	Purchase	Teresa F. Heinz Marital Trust	Spouse
INTERNATIONAL FLAVORS & FRAGRANCES	25	Purchase	Teresa F. Heinz Marital Trust	Spouse
INTUITIVE SURGICAL INC	22	Purchase	Teresa F. Heinz Marital Trust	Spouse
INTUIT	88	Purchase	Teresa F. Heinz Marital Trust	Spouse
IOVANCE BIOTHERAPEUTICS,INC.	87	Purchase	Teresa F. Heinz Marital Trust	Spouse
IQVIA HOLDINGS INC.	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
IRON MOUNTAIN INCORPORATED	69	Purchase	Teresa F. Heinz Marital Trust	Spouse
JACK IN THE BOX INC COM	38	Purchase	Teresa F. Heinz Marital Trust	Spouse
JOHNSON CTLS INTL PLC	120	Purchase	Teresa F. Heinz Marital Trust	Spouse
JOHNSON & JOHNSON	576	Purchase	Teresa F. Heinz Marital Trust	Spouse
JP MORGAN CHASE & CO	716	Purchase	Teresa F. Heinz Marital Trust	Spouse
KANSAS CITY SOUTHERN	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
KELLOGG CO	66	Purchase	Teresa F. Heinz Marital Trust	Spouse
KEURIG DR PEPPER INC	120	Purchase	Teresa F. Heinz Marital Trust	Spouse
KEYSIGHT TECHNOLOGIES, INC.	111	Purchase	Teresa F. Heinz Marital Trust	Spouse
KIMBERLY CLARK CORP	81	Purchase	Teresa F. Heinz Marital Trust	Spouse
KINDER MORGAN INC.	535	Purchase	Teresa F. Heinz Marital Trust	Spouse
KROGER CO	394	Purchase	Teresa F. Heinz Marital Trust	Spouse
LABORATORY CORP AMER HLDGS	20	Purchase	Teresa F. Heinz Marital Trust	Spouse
LAM RESH CORP	68	Purchase	Teresa F. Heinz Marital Trust	Spouse
LANCASTER COLONY CORP	15	Purchase	Teresa F. Heinz Marital Trust	Spouse
LEAR CORPORATION	44	Purchase	Teresa F. Heinz Marital Trust	Spouse
LIBERTY BROADBAND	69	Purchase	Teresa F. Heinz Marital Trust	Spouse
LIBERTY BROADBAND	26	Purchase	Teresa F. Heinz Marital Trust	Spouse
LIFE STORAGE, INC.	43.5	Purchase	Teresa F. Heinz Marital Trust	Spouse
LILLY ELI & CO	170	Purchase	Teresa F. Heinz Marital Trust	Spouse
LINDE PUBLIC LIMITED COMPANY	89	Purchase	Teresa F. Heinz Marital Trust	Spouse
LOCKHEED MARTIN CORP	48	Purchase	Teresa F. Heinz Marital Trust	Spouse
LOWE'S COMPANIES INC	147	Purchase	Teresa F. Heinz Marital Trust	Spouse
LULULEMON ATHLETICA INC	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
LYONDELBASELL INDUSTRIES NV	59	Purchase	Teresa F. Heinz Marital Trust	Spouse
MARATHON PETROLEUM CORP	405	Purchase	Teresa F. Heinz Marital Trust	Spouse
MARRIOTT INTERNATIONAL INC	77	Purchase	Teresa F. Heinz Marital Trust	Spouse
MARSH & MCLENNAN COS INC	92	Purchase	Teresa F. Heinz Marital Trust	Spouse
MASCO CORP	67	Purchase	Teresa F. Heinz Marital Trust	Spouse
MASTERCARD INC	173	Purchase	Teresa F. Heinz Marital Trust	Spouse
MATCH GROUP INC	73	Purchase	Teresa F. Heinz Marital Trust	Spouse
MCCORMICK & CO INC COM NON VTG COMMON	80	Purchase	Teresa F. Heinz Marital Trust	Spouse
MC DONALD'S CORPORATION	143	Purchase	Teresa F. Heinz Marital Trust	Spouse
MCKESSON CORPORATION	68	Purchase	Teresa F. Heinz Marital Trust	Spouse
MEDICAL PROPERTIES TRUST INC	180	Purchase	Teresa F. Heinz Marital Trust	Spouse
MEDNAX INC	218	Purchase	Teresa F. Heinz Marital Trust	Spouse
MEDTRONIC, PLC ADR	285	Purchase	Teresa F. Heinz Marital Trust	Spouse
MERCK & CO INC	442	Purchase	Teresa F. Heinz Marital Trust	Spouse
MERCURY GENERAL CORP	42	Purchase	Teresa F. Heinz Marital Trust	Spouse

<u>Description of the Property</u>	<u>Quantity or Percentage Owned</u>	<u>How Property was Acquired</u>	<u>Owner of the Property</u>	<u>Relationship to the Employee</u>
METTLER-TOLEDO INTL INC	13	Purchase	Teresa F. Heinz Marital Trust	Spouse
MICRON TECHNOLOGY INC	134	Purchase	Teresa F. Heinz Marital Trust	Spouse
MICROSOFT CORPORATION	1647	Purchase	Teresa F. Heinz Marital Trust	Spouse
MID-AMERICA APARTMENT COMMUNITYS INC	80	Purchase	Teresa F. Heinz Marital Trust	Spouse
MODERNA INC COM	101	Purchase	Teresa F. Heinz Marital Trust	Spouse
MONDELEZ INTERNATIONAL	278	Purchase	Teresa F. Heinz Marital Trust	Spouse
MONSTER BEVERAGE CORPORATION	78	Purchase	Teresa F. Heinz Marital Trust	Spouse
MOODYS CORP	38	Purchase	Teresa F. Heinz Marital Trust	Spouse
MORGAN STANLEY	311	Purchase	Teresa F. Heinz Marital Trust	Spouse
MORNINGSTAR INC	15	Purchase	Teresa F. Heinz Marital Trust	Spouse
MOTOROLA SOLUTIONS INC.	52	Purchase	Teresa F. Heinz Marital Trust	Spouse
MURPHY USA INC.	12	Purchase	Teresa F. Heinz Marital Trust	Spouse
NETFLIX COM INC	90	Purchase	Teresa F. Heinz Marital Trust	Spouse
NEUROCRINE BIOSCIENCES INC	23	Purchase	Teresa F. Heinz Marital Trust	Spouse
NEWMONT MINING CORP	162	Purchase	Teresa F. Heinz Marital Trust	Spouse
NEXTERA ENERGY INC	396	Purchase	Teresa F. Heinz Marital Trust	Spouse
NIKE INC CLASS B STOCK	341	Purchase	Teresa F. Heinz Marital Trust	Spouse
NISOURCE INC	271	Purchase	Teresa F. Heinz Marital Trust	Spouse
NORFOLK SOUTHERN CORPORATION	70	Purchase	Teresa F. Heinz Marital Trust	Spouse
NORTHERN TR CORP	96	Purchase	Teresa F. Heinz Marital Trust	Spouse
NORTHROP GRUMMAN CORP	36	Purchase	Teresa F. Heinz Marital Trust	Spouse
NRG ENERGY INC COM NEW	194	Purchase	Teresa F. Heinz Marital Trust	Spouse
NUCOR CORP	95	Purchase	Teresa F. Heinz Marital Trust	Spouse
NVENT ELECTRIC PLC	43	Purchase	Teresa F. Heinz Marital Trust	Spouse
NVIDIA CORP	118	Purchase	Teresa F. Heinz Marital Trust	Spouse
OGE ENERGY CORP	147	Purchase	Teresa F. Heinz Marital Trust	Spouse
OKTA, INC.	42	Purchase	Teresa F. Heinz Marital Trust	Spouse
OLD DOMINION FGHT LINE	41	Purchase	Teresa F. Heinz Marital Trust	Spouse
OLD REPUBLIC INTL CORP	391	Purchase	Teresa F. Heinz Marital Trust	Spouse
OLIN CORP	167	Purchase	Teresa F. Heinz Marital Trust	Spouse
OMNICOM GROUP INC	173	Purchase	Teresa F. Heinz Marital Trust	Spouse
ONE GAS INC.	71	Purchase	Teresa F. Heinz Marital Trust	Spouse
ONEMAIN HOLDINGS, INC	80	Purchase	Teresa F. Heinz Marital Trust	Spouse
ORACLE CORP	439	Purchase	Teresa F. Heinz Marital Trust	Spouse
O'REILLY AUTOMOTIVE INC	19	Purchase	Teresa F. Heinz Marital Trust	Spouse
OUTFRONT MEDIA INC.	116	Purchase	Teresa F. Heinz Marital Trust	Spouse
PACCAR INC	97	Purchase	Teresa F. Heinz Marital Trust	Spouse
PACWEST BANCORP	86	Purchase	Teresa F. Heinz Marital Trust	Spouse
PALO ALTO NETWORKS INC	52	Purchase	Teresa F. Heinz Marital Trust	Spouse
PARKER HANNIFIN CORP	46	Purchase	Teresa F. Heinz Marital Trust	Spouse
PARK HOTELS & RESORTS INC.	135	Purchase	Teresa F. Heinz Marital Trust	Spouse
PATTERSON COS INC	92	Purchase	Teresa F. Heinz Marital Trust	Spouse
PATTERSON-UTI ENERGY INC	1231	Purchase	Teresa F. Heinz Marital Trust	Spouse
PAYCHEX INC	186	Purchase	Teresa F. Heinz Marital Trust	Spouse
PAYPAL HOLDINGS, INC.	242	Purchase	Teresa F. Heinz Marital Trust	Spouse
PEPSICO INC	395	Purchase	Teresa F. Heinz Marital Trust	Spouse
PERKINELMER INC	77	Purchase	Teresa F. Heinz Marital Trust	Spouse
PERRIGO CO PLC	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
PERSPECTA INC.	65	Purchase	Teresa F. Heinz Marital Trust	Spouse
PFIZER INC	1602	Purchase	Teresa F. Heinz Marital Trust	Spouse
PINTEREST, INC.	76	Purchase	Teresa F. Heinz Marital Trust	Spouse
PIONEER NATURAL RESOURCES COMPANY	101	Purchase	Teresa F. Heinz Marital Trust	Spouse
PNC FINANCIAL SERVICES GROUP	113	Purchase	Teresa F. Heinz Marital Trust	Spouse
POOL CORPORATION	8	Purchase	Teresa F. Heinz Marital Trust	Spouse
POPULAR, INC.	72	Purchase	Teresa F. Heinz Marital Trust	Spouse
P P G INDUSTRIES INC	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
PPL CORP	196	Purchase	Teresa F. Heinz Marital Trust	Spouse
PREMIER INC.	47	Purchase	Teresa F. Heinz Marital Trust	Spouse
PRESTIGE BRANDS HOLDINGS INC	43	Purchase	Teresa F. Heinz Marital Trust	Spouse
PRINCIPAL FINL GROUP INC	136	Purchase	Teresa F. Heinz Marital Trust	Spouse
PROGRESSIVE CORP OHIO	113	Purchase	Teresa F. Heinz Marital Trust	Spouse
PROLOGIS, INC.	196	Purchase	Teresa F. Heinz Marital Trust	Spouse
PRUDENTIAL FINANCIAL INC	147	Purchase	Teresa F. Heinz Marital Trust	Spouse
PUBLIC STORAGE INC REIT	66	Purchase	Teresa F. Heinz Marital Trust	Spouse
PUBLIC SVC ENTERPRISE GROUP INC	193	Purchase	Teresa F. Heinz Marital Trust	Spouse
PULTE HOMES INC	180	Purchase	Teresa F. Heinz Marital Trust	Spouse
QUALCOMM INC	302	Purchase	Teresa F. Heinz Marital Trust	Spouse
QURATE RETAIL GROUP, INC. QVC GROUP	247	Purchase	Teresa F. Heinz Marital Trust	Spouse
RANGE RESOURCES CORP	700	Purchase	Teresa F. Heinz Marital Trust	Spouse
RAYTHEON TECHNOLOGIES CORP	379	Purchase	Teresa F. Heinz Marital Trust	Spouse
REGENCY CTRS CORP	26	Purchase	Teresa F. Heinz Marital Trust	Spouse
REGENERON PHARMACEUTICALS INC	10	Purchase	Teresa F. Heinz Marital Trust	Spouse
REPLIGEN CORP	18	Purchase	Teresa F. Heinz Marital Trust	Spouse
REPUBLIC SVCS INC CL A	123	Purchase	Teresa F. Heinz Marital Trust	Spouse
RESMED INC	63	Purchase	Teresa F. Heinz Marital Trust	Spouse
RINGCENTRAL, INC	32	Purchase	Teresa F. Heinz Marital Trust	Spouse
ROKU INC COM CL A	44	Purchase	Teresa F. Heinz Marital Trust	Spouse
ROPER INDUSTRIES INC	17	Purchase	Teresa F. Heinz Marital Trust	Spouse
ROSS STORES INC	154	Purchase	Teresa F. Heinz Marital Trust	Spouse
ROYAL CARIBBEAN CRUISES LTD	41	Purchase	Teresa F. Heinz Marital Trust	Spouse
ROYAL GOLD INC	51	Purchase	Teresa F. Heinz Marital Trust	Spouse
RPM INTERNATIONAL INC	58	Purchase	Teresa F. Heinz Marital Trust	Spouse
SABRA HEALTH CARE REIT INC	141	Purchase	Teresa F. Heinz Marital Trust	Spouse
SAGE THERAPEUTICS, INC.	39	Purchase	Teresa F. Heinz Marital Trust	Spouse
SALESFORCE.COM INC	207	Purchase	Teresa F. Heinz Marital Trust	Spouse
S B A COMMUNICATIONS CORPORATION	28	Purchase	Teresa F. Heinz Marital Trust	Spouse
SCHWAB CHARLES CORP NEW	427	Purchase	Teresa F. Heinz Marital Trust	Spouse

<u>Description of the Property</u>	<u>Quantity or Percentage Owned</u>	<u>How Property was Acquired</u>	<u>Owner of the Property</u>	<u>Relationship to the Employee</u>
SEALED AIR CORP NEW	55	Purchase	Teresa F. Heinz Marital Trust	Spouse
S E I INVESTMENTS COMPANY	75	Purchase	Teresa F. Heinz Marital Trust	Spouse
SEMPRA ENERGY	33	Purchase	Teresa F. Heinz Marital Trust	Spouse
SERVICENOW, INC.	59	Purchase	Teresa F. Heinz Marital Trust	Spouse
SHERWIN WILLIAMS CO	20	Purchase	Teresa F. Heinz Marital Trust	Spouse
SIMON PROPERTY GROUP INC REIT	88	Purchase	Teresa F. Heinz Marital Trust	Spouse
SIRIUS XM HOLDINGS INC.	1325	Purchase	Teresa F. Heinz Marital Trust	Spouse
SIX FLAGS ENTERTAINMENT CORP	214	Purchase	Teresa F. Heinz Marital Trust	Spouse
SKYWORKS SOLUTIONS INC	56	Purchase	Teresa F. Heinz Marital Trust	Spouse
SLACK TECHNOLOGIES, INC.	80	Purchase	Teresa F. Heinz Marital Trust	Spouse
SMUCKER J M CO	70	Purchase	Teresa F. Heinz Marital Trust	Spouse
SONOCO PRODUCTS CO	75	Purchase	Teresa F. Heinz Marital Trust	Spouse
SOUTHERN CO	320	Purchase	Teresa F. Heinz Marital Trust	Spouse
SOUTHWEST AIRLIS CO	183	Purchase	Teresa F. Heinz Marital Trust	Spouse
S & P GLOBAL INC.	54	Purchase	Teresa F. Heinz Marital Trust	Spouse
SPLUNK INC.	44	Purchase	Teresa F. Heinz Marital Trust	Spouse
SPROUTS FARMERS MARKET, INC.	113	Purchase	Teresa F. Heinz Marital Trust	Spouse
SQUARE, INC.	108	Purchase	Teresa F. Heinz Marital Trust	Spouse
STANLEY BLACK & DECKER INC	49	Purchase	Teresa F. Heinz Marital Trust	Spouse
STARBUCKS CORP	323	Purchase	Teresa F. Heinz Marital Trust	Spouse
STARWOOD PROPERTY TRUST INC	115	Purchase	Teresa F. Heinz Marital Trust	Spouse
STATE STREET CORP	52	Purchase	Teresa F. Heinz Marital Trust	Spouse
STRYKER CORP	125	Purchase	Teresa F. Heinz Marital Trust	Spouse
SUN COMMUNITIES INC	40	Purchase	Teresa F. Heinz Marital Trust	Spouse
SYNCHRONY FINANCIAL	107	Purchase	Teresa F. Heinz Marital Trust	Spouse
SYNOVUS INC	51	Purchase	Teresa F. Heinz Marital Trust	Spouse
SYNOVUS FINANCIAL CORP.	235	Purchase	Teresa F. Heinz Marital Trust	Spouse
SYSCO CORP	126	Purchase	Teresa F. Heinz Marital Trust	Spouse
TAKE-TWO INTERACTIVE SOFTWARE INC	47	Purchase	Teresa F. Heinz Marital Trust	Spouse
TARGA RESOURCES CORP	416	Purchase	Teresa F. Heinz Marital Trust	Spouse
TARGET CORP	149	Purchase	Teresa F. Heinz Marital Trust	Spouse
T C F FINL CORP NEW	170	Purchase	Teresa F. Heinz Marital Trust	Spouse
TELADOC INC	15	Purchase	Teresa F. Heinz Marital Trust	Spouse
TELEPHONE AND DATA SYSTEMS, INC.	149	Purchase	Teresa F. Heinz Marital Trust	Spouse
TESLA MOTORS INC	158	Purchase	Teresa F. Heinz Marital Trust	Spouse
TEXAS CAPITAL BANCSHARES INC	61	Purchase	Teresa F. Heinz Marital Trust	Spouse
TEXAS INSTRUMENTS INC	287	Purchase	Teresa F. Heinz Marital Trust	Spouse
THE BANK OF NEW YORK MELLON CORPORATION	302	Purchase	Teresa F. Heinz Marital Trust	Spouse
THE BOEING COMPANY	126	Purchase	Teresa F. Heinz Marital Trust	Spouse
THE KRAFT HEINZ COMPANY	113	Purchase	Teresa F. Heinz Marital Trust	Spouse
THE PROCTER & GAMBLE COMPANY	526	Purchase	Teresa F. Heinz Marital Trust	Spouse
THERMO FISHER SCIENTIFIC INC.	92	Purchase	Teresa F. Heinz Marital Trust	Spouse
THE TRAVELERS COMPANIES INC	122	Purchase	Teresa F. Heinz Marital Trust	Spouse
THE WALT DISNEY COMPANY	417	Purchase	Teresa F. Heinz Marital Trust	Spouse
T J X COMPANIES INC	292	Purchase	Teresa F. Heinz Marital Trust	Spouse
T -MOBILE US, INC.	160	Purchase	Teresa F. Heinz Marital Trust	Spouse
TOLL BROS INC	104	Purchase	Teresa F. Heinz Marital Trust	Spouse
TOPBUILD CORP.	7	Purchase	Teresa F. Heinz Marital Trust	Spouse
TRACTOR SUPPLY COMPANY	8	Purchase	Teresa F. Heinz Marital Trust	Spouse
TRANE TECHNOLOGIES PUBLIC LIMITED CO	113	Purchase	Teresa F. Heinz Marital Trust	Spouse
TRANSDIGM GROUP INC	23	Purchase	Teresa F. Heinz Marital Trust	Spouse
TRAVEL + LEISURE CO	59	Purchase	Teresa F. Heinz Marital Trust	Spouse
TRI POINTE HOMES, INC.	174	Purchase	Teresa F. Heinz Marital Trust	Spouse
T ROWE PRICE GROUP INC	61	Purchase	Teresa F. Heinz Marital Trust	Spouse
TRUIST FINL CORP	319	Purchase	Teresa F. Heinz Marital Trust	Spouse
TWILIO INC.	42	Purchase	Teresa F. Heinz Marital Trust	Spouse
TWITTER, INC.	248	Purchase	Teresa F. Heinz Marital Trust	Spouse
TYSON FOODS INC CLASS A	30	Purchase	Teresa F. Heinz Marital Trust	Spouse
UBER TECHNOLOGIES, INC.	285	Purchase	Teresa F. Heinz Marital Trust	Spouse
UDR INC	279	Purchase	Teresa F. Heinz Marital Trust	Spouse
U G I CORP NEW	201	Purchase	Teresa F. Heinz Marital Trust	Spouse
UNION PAC CORP	122	Purchase	Teresa F. Heinz Marital Trust	Spouse
UNITED CONTINENTAL HOLDINGS INC	141	Purchase	Teresa F. Heinz Marital Trust	Spouse
UNITEDHEALTH GROUP INC	209	Purchase	Teresa F. Heinz Marital Trust	Spouse
UNITED PARCEL SERVICE CL B	130	Purchase	Teresa F. Heinz Marital Trust	Spouse
UNITED STATES CELLULAR CORP	60	Purchase	Teresa F. Heinz Marital Trust	Spouse
UNUM GROUP	102	Purchase	Teresa F. Heinz Marital Trust	Spouse
US BANCORP	216	Purchase	Teresa F. Heinz Marital Trust	Spouse
VALERO ENERGY CORP NEW	291	Purchase	Teresa F. Heinz Marital Trust	Spouse
VARIAN MEDICAL SYSTEMS INC N/C FROM VARIA	36	Purchase	Teresa F. Heinz Marital Trust	Spouse
VEEVA SYSTEMS INC.	26	Purchase	Teresa F. Heinz Marital Trust	Spouse
VENTAS INC	119	Purchase	Teresa F. Heinz Marital Trust	Spouse
VERISIGN INC	29	Purchase	Teresa F. Heinz Marital Trust	Spouse
VERISK ANALYTICS INC	77	Purchase	Teresa F. Heinz Marital Trust	Spouse
VERIZON COMMUNICATIONS INC	1011	Purchase	Teresa F. Heinz Marital Trust	Spouse
VERTEX PHARMACEUTICALS INC	48	Purchase	Teresa F. Heinz Marital Trust	Spouse
V F CORP	126	Purchase	Teresa F. Heinz Marital Trust	Spouse
VIATRIS INC	359	Purchase	Teresa F. Heinz Marital Trust	Spouse
VICI PROPERTIES INC	206	Purchase	Teresa F. Heinz Marital Trust	Spouse
VISA INC-CLASS A SHRS	327	Purchase	Teresa F. Heinz Marital Trust	Spouse
VONTIER CORPORATION COM	61	Purchase	Teresa F. Heinz Marital Trust	Spouse
VULCAN MATERIALS CO	54	Purchase	Teresa F. Heinz Marital Trust	Spouse
WALGREENS BOOTS ALLIANCE INC	276	Purchase	Teresa F. Heinz Marital Trust	Spouse
WASTE MANAGEMENT INC	110	Purchase	Teresa F. Heinz Marital Trust	Spouse
WATERS CORP	50	Purchase	Teresa F. Heinz Marital Trust	Spouse
WATSCO INC CLASS A	11	Purchase	Teresa F. Heinz Marital Trust	Spouse
WAYFAIR INC.	11	Purchase	Teresa F. Heinz Marital Trust	Spouse

<u>Description of the Property</u>	<u>Quantity or Percentage Owned</u>	<u>How Property was Acquired</u>	<u>Owner of the Property</u>	<u>Relationship to the Employee</u>
WEBSTER FINL CORP WATERBURY CONN	227	Purchase	Teresa F. Heinz Marital Trust	Spouse
W E C ENERGY GROUP INC	43	Purchase	Teresa F. Heinz Marital Trust	Spouse
WEINGARTEN REALTY INVESTMENT	58	Purchase	Teresa F. Heinz Marital Trust	Spouse
WELLS FARGO & COMPANY	814	Purchase	Teresa F. Heinz Marital Trust	Spouse
WELLTOWER INC.	123	Purchase	Teresa F. Heinz Marital Trust	Spouse
WESTERN UNION CO	106	Purchase	Teresa F. Heinz Marital Trust	Spouse
WEST PHARMACEUTICAL SERVICES INC N/C FROM	9	Purchase	Teresa F. Heinz Marital Trust	Spouse
WILLIAMS COS INC	176	Purchase	Teresa F. Heinz Marital Trust	Spouse
WORKDAY, INC.	68	Purchase	Teresa F. Heinz Marital Trust	Spouse
XCEL ENERGY INC	93	Purchase	Teresa F. Heinz Marital Trust	Spouse
XILINX INC	135	Purchase	Teresa F. Heinz Marital Trust	Spouse
YUM! BRANDS INC	173	Purchase	Teresa F. Heinz Marital Trust	Spouse
ZILLOW GROUP, INC.	50	Purchase	Teresa F. Heinz Marital Trust	Spouse
ZIMMER HOLDINGS INC	52	Purchase	Teresa F. Heinz Marital Trust	Spouse
ZIONS BANCORPORATION	312	Purchase	Teresa F. Heinz Marital Trust	Spouse
ZOETIS INC	108	Purchase	Teresa F. Heinz Marital Trust	Spouse
ZOOM VIDEO COMMUNICATIONS, INC.	39	Purchase	Teresa F. Heinz Marital Trust	Spouse
ZSCALER, INC.	20	Purchase	Teresa F. Heinz Marital Trust	Spouse



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## Resolved Interaction

Interaction Number: 21182

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<b>Initiation Date*:</b>	2021-02-10
<b>Title*:</b>	Question about individual's financial disclosure (Fox News)
<b>Question*:</b>	Hi Elizabeth, I have a couple quick questions that I was hoping you could help me out with: is John Kerry required to file a financial disclosure for his position as special presidential envoy? If yes, how soon does he have to file one? If not, does he have an exemption from filing requirements?  Thanks so much for any insights you can offer!  Peter Hasson
<b>Update:</b>	
<b>Categories*:</b>	278s
<b>Origin Of Interaction*:</b>	Email
<b>Source*:</b>	Non-Agency Press
<b>First Name:</b>	Peter
<b>Last Name:</b>	Hasson
<b>Title:</b>	Reporter, Fox News
<b>Position:</b>	
<b>Email:</b>	(b) (6)
<b>Phone:</b>	(b) (6)
<b>Other Contact Notes:</b>	
<b>Assignment:</b>	Elizabeth D. Horton
<b>Watching:</b>	
<b>Temporary Notes:</b>	
<i>created by:</i>	Elizabeth D. Horton

### Resolution Information

<b>Resolution Date*:</b>	2021-02-10
<b>Resolution Category*:</b>	Resolved
<b>Response*:</b>	I told the reporter that I do not discuss specific individuals but helped the reporter navigate to the Officials' Individual Disclosures Search Collection and told him that he could filter by agency. I also told him that he could contact the employing agency and referred him to the Agency Ethics Program Contact Information page. (Assigned to: Elizabeth D. Horton)
<b>Complexity (level):</b>	1 <a href="#">[Click to view/hide complexity guidelines]</a>
<b>Time Spent (hours):</b>	0-1 hour
<b>Contributor:</b>	
<input type="button" value="reopen"/>	

Interaction History Log	
Closed	02/10/2021 06:51:17 PM by Elizabeth D. Horton
Create	02/10/2021 02:11:36 PM by Elizabeth D. Horton
Now Assigned: Elizabeth D. Horton	02/10/2021 02:11:36 PM by Elizabeth D. Horton

Division(s) assigned: PCD



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## Resolved Interaction

Interaction Number: 21449

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<b>Initiation Date*:</b>	2021-03-30
<b>Title*:</b>	Question about individual's financial disclosure report (CNBC)
<b>Question*:</b>	The reporter had questions about obtaining the financial disclosure report for John Kerry.
<b>Update:</b>	
<b>Categories*:</b>	278s
<b>Origin Of Interaction*:</b>	Phone
<b>Source*:</b>	Non-Agency Press
<b>First Name:</b>	Brian
<b>Last Name:</b>	Schwartz
<b>Title:</b>	Reporter, CNBC
<b>Position:</b>	
<b>Email:</b>	(b) (6)
<b>Phone:</b>	(b) (6) (c); (b) (6)
<b>Other Contact Notes:</b>	
<b>Assignment:</b>	Elizabeth D. Horton
<b>Watching:</b>	
<b>Temporary Notes:</b>	
<b>created by:</b>	Elizabeth D. Horton

### Resolution Information

<b>Resolution Date*:</b>	2021-03-31
<b>Resolution Category*:</b>	Resolved
<b>Response*:</b>	After re-processing the request via the 201 system, the reporter indicated that he still had not received the report so Lori resent it via email. (Assigned to: Elizabeth D. Horton)
<b>Complexity (level):</b>	1 <a href="#">[Click to view/hide complexity guidelines]</a>
<b>Time Spent (hours):</b>	1-4 hours
<b>Contributor:</b>	Lori Kelly
<input type="button" value="reopen"/>	

### Interaction History Log

Closed	04/02/2021 10:54:44 AM by Elizabeth D. Horton
Create	03/30/2021 12:54:42 PM by Elizabeth D. Horton

5/3/2021

Now Assigned:  
Elizabeth D. Horton

03/30/2021 12:54:42 PM by Elizabeth D. Horton

Division(s) assigned: PCD



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## Resolved Interaction

Interaction Number: 21520

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<b>Initiation Date*:</b>	2021-04-12
<b>Title*:</b>	Question about individual's financial disclosure reports (ABC News)
<b>Question*:</b>	<p>Hi Elizabeth,</p> <p>Soorin with ABC News. I'm reaching out to see if and when John Kerry's financial disclosure form will be released through the OGE. I've reached out to the State Department in the hopes of the department releasing them but I was told that the OGE will release the filing.</p> <p>Any guidance on when it will come out? And what is causing the delay in the release?</p> <p>I always appreciate your help.</p>
<b>Update:</b>	
<b>Categories*:</b>	278s
<b>Origin Of Interaction*:</b>	Email
<b>Source*:</b>	Non-Agency Press
<b>First Name:</b>	Soorin
<b>Last Name:</b>	Kim
<b>Title:</b>	Reporter, ABC News
<b>Position:</b>	
<b>Email:</b>	(b) (6)
<b>Phone:</b>	(b) (6) ; c: (b) (6)
<b>Other Contact Notes:</b>	
<b>Assignment:</b>	Elizabeth D. Horton
<b>Watching:</b>	
<b>Temporary Notes:</b>	
<i>created by:</i>	Elizabeth D. Horton

### Resolution Information

<b>Resolution Date*:</b>	2021-04-15
<b>Resolution Category*:</b>	Resolved
<b>Response*:</b>	<p>I left a voicemail message on 4/12 asking her to call me back if she still had questions. On 4/15, I told the reporter that I do not discuss specific individuals and explained on background that OGE reviews a very small fraction of public financial disclosure reports (highest level officials like heads of agencies and some WH officials). I also explained that even for reports that do come to OGE, employing agencies must provide public financial disclosure reports if they've had them more than 30 days. I told her off the record that this report will not come to OGE.</p> <p>When she asked about obtaining the official's ethics agreement, I explained that OGE only has ethics agreements for presidentially-appointed, Senate-confirmed positions and that non-PAS officials commonly don't have ethics agreements. (Assigned to: Elizabeth D. Horton)</p>
<b>Complexity (level):</b>	2 <a href="#">[Click to view/hide complexity guidelines]</a>
<b>Time Spent (hours):</b>	0-1 hour
<b>Contributor:</b>	

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<b>Interaction History Log</b>	
Closed	04/15/2021 03:31:57 PM by Elizabeth D. Horton
Create	04/12/2021 02:52:10 PM by Elizabeth D. Horton
Now Assigned: Elizabeth D. Horton	04/12/2021 02:52:10 PM by Elizabeth D. Horton

Division(s) assigned: PCD



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## Resolved Interaction

Interaction Number: 21067

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<b>Initiation Date*:</b>	2021-01-27
<b>Title*:</b>	Question about individual's financial disclosure reports (CBS)
<b>Question*:</b>	<p>Hello!</p> <p>I'm wondering if OGE has any 2020 or 2021 filings for John Kerry -- I am unsure given his position as a special envoy if his filings would be public.</p> <p>Thank you!</p>
<b>Update:</b>	
<b>Categories*:</b>	278s
<b>Origin Of Interaction*:</b>	Email
<b>Source*:</b>	Non-Agency Press
<b>First Name:</b>	Katie
<b>Last Name:</b>	Watson
<b>Title:</b>	White House Reporter, CBS News
<b>Position:</b>	
<b>Email:</b>	(b) (6)
<b>Phone:</b>	(b) (6) (c); (b) (6) (w)
<b>Other Contact Notes:</b>	
<b>Assignment:</b>	Elizabeth D. Horton
<b>Watching:</b>	
<b>Temporary Notes:</b>	
<i>created by:</i>	Elizabeth D. Horton

### Resolution Information

<b>Resolution Date*:</b>	2021-01-27
<b>Resolution Category*:</b>	Resolved
<b>Response*:</b>	<p>I told the reporter that I do not discuss specific individuals but told her that OGE only reviews a fraction of public financial disclosure reports while the majority of reports can be obtained from employing agencies. I referred her to the workbook with a list of PAS positions subject to OGE's review and the Agency Ethics Program Contact List on OGE's website.</p> <p>(Assigned to: Elizabeth D. Horton)</p>
<b>Complexity (level):</b>	<p>1</p> <p><a href="#">[Click to view/hide complexity guidelines]</a></p>
<b>Time Spent (hours):</b>	0-1 hour
<b>Contributor:</b>	
<input type="button" value="reopen"/>	

Interaction History Log

Closed	01/27/2021 05:42:02 PM by Elizabeth D. Horton
Now Assigned: Elizabeth D. Horton	01/27/2021 05:42:02 PM by Elizabeth D. Horton

Division(s) assigned: PCD