

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

Filer's Information

Seshamani, Meena

Director of Medicare, CMS, Department of Health & Human Services

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/ Seshamani, Meena [electronically signed on 05/02/2022 by Seshamani, Meena in Integrity.gov]

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

/s/ CardMina, Mary, Certifying Official [electronically signed on 06/30/2022 by CardMina, Mary in Integrity.gov]

Other review conducted by

/s/ Martin, Keiva N, Ethics Official [electronically signed on 05/16/2022 by Martin, Keiva N in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/16/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(05/16/2022, Martin, Keiva N): IR-KM-05/13/20222 No Apparent COI

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Association of Marshall Scholars	Washington, District of Columbia	Non-Profit	President	3/2019	7/2021
2	Health Care Transformation Task Force	Washington, District of Columbia	Non-Profit	Board member	1/2020	7/2021
3	Coalition to Transform Advanced Care	Washington, District of Columbia	Non-Profit	Board member	10/2020	7/2021
4	MedStar Health	Columbia, Maryland	Non-Profit	Vice President	9/2016	7/2021
5	Maryland Dept. of Disabilities	Baltimore, Maryland	State Government	Member, Advisory Council (Assistive Technologies Program)	9/2019	7/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity Freedom 2045 Class K	See Endnote	Yes	\$100,001 - \$250,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	MedStar Health, bonus See Endnote	N/A	\$100,001 - \$250,000	Bonus paid out for performance prior to joining the federal government per employment contract.	\$132,912
3	Retirement Account, Filer	No			
3.1	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.2	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.3	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.4	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.5	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.6	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.7	Cash	N/A	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

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

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	EJ McCarthy Agency - Book Royalties for "The Unforgiving Minute"	N/A	None (or less than \$1,001)	Rent or Royalties	\$201 - \$1,000
2	EuroPacific Growth Fund Class 529-A Shares (CEUAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	American SMALLCAP World Fund, Inc Class 529-A Shares (CSPAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	American Funds Bond Fund of America 529-A (CFAAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	US bank #1, checking & savings account	N/A	\$50,001 - \$100,000		None (or less than \$201)
7	US bank #2, cash deposit accounts	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	Ibotta (privately-held coupon app company) See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
9	Trust Account, Dependent Child #1	No			
9.1	iShares Core S&P 500 ETF (IVV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.3	iShares US Energy ETF (IYE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.4	iShares Global Tech ETF (IXN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.5	iShares MSCI EAFE Value ETF (EFV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.6	iShares MSCI EAFE Growth ETF (EFG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.7	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.8	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.9	iShares ESG MSCI USA ETF (ESGU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.11	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.12	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.13	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.14	iShares Core Total USD Bond Market ETF (IUSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.15	SPDR Gold Shares (GLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.16	Ameriprise Financial, Inc. (AMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.17	Applied Materials, Inc. (AMAT)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.18	Dollar General Corp. (DG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.19	Fidelity National Information Services, Inc. (FIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.20	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.21	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.22	lowes companies inc (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.23	O'Reilly Automotive, Inc. (ORLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.24	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.25	The TJX Cos., Inc. (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.26	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.27	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Trust Account, Dependent Child #2	No			
10.1	iShares Core S&P 500 ETF (IVV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.3	iShares US Energy ETF (IYE)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.4	iShares Global Tech ETF (IXN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.5	iShares MSCI EAFE Value ETF (EFV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.6	iShares MSCI EAFE Growth ETF (EFG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.7	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.8	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.9	iShares ESG MSCI USA ETF (ESGU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.11	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.12	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.13	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.14	iShares Core Total USD Bond Market ETF (IUSB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.15	SPDR Gold Shares (GLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.16	Ameriprise Financial, Inc. (AMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.17	Applied Materials, Inc. (AMAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.18	Dollar General Corp. (DG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.19	Fidelity National Information Services, Inc. (FIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.20	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.21	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.22	lowes companies inc (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.23	O'Reilly Automotive, Inc. (ORLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.24	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.25	The TJX Cos., Inc. (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.26	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.27	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Trust Account, Filer	No			
11.1	iShares Core S&P 500 ETF (IVV)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.3	iShares US Energy ETF (IYE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.4	iShares Global Tech ETF (IXN)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.5	iShares MSCI EAFE Value ETF (EFV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.6	iShares MSCI EAFE Growth ETF (EFG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11.7	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.8	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.9	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11.10	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
11.11	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
11.12	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.13	iShares Short-Term Corporate Bond ETF (IGSB)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.14	iShares US Treasury Bond ETF (GOVT)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.15	iShares Core Total USD Bond Market ETF (IUSB)	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.16	iShares Fallen Angels USD Bond ETF (FALN)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.17	SPDR Gold Shares (GLD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.18	Advance Auto Parts, Inc. (AAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.19	AECOM (ACM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.20	Alexandria Real Estate Equities, Inc. (ARE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.21	Ameriprise Financial, Inc. (AMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.22	Burlington Stores, Inc. (BURL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.23	Citizens Financial Group, Inc. (Rhode Island) (CFG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.24	Curtiss-Wright Corp. (CW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.25	First Republic Bank (San Francisco, California) (FRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.26	Houlihan Lokey, Inc. (HLI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.27	Match Group, Inc. (MTCH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.28	Northern Trust Corp. (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.29	Ollie's Bargain Outlet Holdings, Inc. (OLLI)	N/A	None (or less than \$1,001)		None (or less than \$201)
11.30	Pioneer Natural Resources Co. (PXD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.31	RPM International, Inc. (RPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.32	Service Corp. International (SCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.33	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.34	The Timken Co. (TKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.35	Vail Resorts, Inc. (MTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.36	VONTIER CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.37	Voya Financial, Inc. (VOYA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.38	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.39	BLACKSTONE REAL ESTATE INCOME TRUST INC	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.40	UBS Cash Account	N/A	\$100,001 - \$250,000		None (or less than \$201)
11.41	American Electric Power Co., Inc. (AEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.42	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.43	Discover Financial Services (DFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.44	EOG Resources, Inc. (EOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.45	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.46	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.47	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.48	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.49	Republic Services, Inc. (RSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.50	TRUIST FINL CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.51	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.52	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.53	VF Corp. (VFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.54	iShares Core High Dividend ETF (HDV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	UTMA, Dependent Child #1	No			
12.1	iShares Core S&P 500 ETF (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.3	iShares US Energy ETF (IYE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.4	iShares Global Tech ETF (IXN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.5	iShares MSCI EAFE Value ETF (EFV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.6	iShares MSCI EAFE Growth ETF (EFG)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.7	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.8	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.9	iShares ESG MSCI USA ETF (ESGU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.10	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.11	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.12	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.13	SPDR Gold Shares (GLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Lowes Companies Inc	Sale	09/01/2021	\$1,001 - \$15,000
2	Lowes Companies Inc	Sale	09/01/2021	\$1,001 - \$15,000
3	Microsoft Corp. (MSFT)	Sale	09/01/2021	\$50,001 - \$100,000
4	Microsoft Corp. (MSFT)	Sale	09/01/2021	\$50,001 - \$100,000
5	Abbott Laboratories (ABT)	Sale	09/01/2021	\$1,001 - \$15,000
6	Adobe, Inc. (ADBE)	Sale	09/01/2021	\$1,001 - \$15,000
7	Amazon.com, Inc. (AMZN)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	Boston Scientific Corp. (BSX)	Sale	09/01/2021	\$1,001 - \$15,000
9	Comcast Corp. (CMCSA)	Sale	09/01/2021	\$1,001 - \$15,000
10	Apple, Inc. (AAPL)	Sale	09/01/2021	\$1,001 - \$15,000
11	Honeywell International, Inc. (HON)	Sale	09/01/2021	\$1,001 - \$15,000
12	American Tower Corporation (REIT) (AMT)	Sale	09/01/2021	\$1,001 - \$15,000
13	Alphabet, Inc. (GOOGL)	Sale	09/01/2021	\$15,001 - \$50,000
14	Costco Wholesale Corp. (COST)	Sale	09/01/2021	\$1,001 - \$15,000
15	Danaher Corp. (DHR)	Sale	09/01/2021	\$1,001 - \$15,000
16	Facebook, Inc. (FB)	Sale	09/01/2021	\$15,001 - \$50,000
17	Estee Lauder Cos. (EL)	Sale	09/01/2021	\$1,001 - \$15,000
18	Microsoft Corp. (MSFT)	Sale	09/01/2021	\$15,001 - \$50,000
19	Parker-Hannifin Corp. (PH)	Sale	09/01/2021	\$1,001 - \$15,000
20	Medtronic Plc (MDT)	Sale	09/01/2021	\$1,001 - \$15,000
21	Rockwell Automation, Inc. (ROK)	Sale	09/01/2021	\$1,001 - \$15,000
22	salesforce.com, inc. (CRM)	Sale	09/01/2021	\$1,001 - \$15,000
23	Accenture Plc (ACN)	Sale	09/01/2021	\$1,001 - \$15,000
24	Texas Instruments Incorporated (TXN)	Sale	09/01/2021	\$1,001 - \$15,000
25	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/01/2021	\$1,001 - \$15,000
26	UnitedHealth Group, Inc. (UNH)	Sale	09/01/2021	\$1,001 - \$15,000
27	Abbott Laboratories (ABT)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
28	iShares US Medical Devices ETF (IHI)	Sale	09/01/2021	\$15,001 - \$50,000
29	Amazon.com, Inc. (AMZN)	Sale	09/01/2021	\$15,001 - \$50,000
30	Boston Scientific Corp. (BSX)	Sale	09/01/2021	\$1,001 - \$15,000
31	Adobe, Inc. (ADBE)	Sale	09/01/2021	\$1,001 - \$15,000
32	Applied Materials, Inc. (AMAT)	Sale	09/01/2021	\$1,001 - \$15,000
33	Ameriprise Financial, Inc. (AMP)	Sale	09/01/2021	\$1,001 - \$15,000
34	Apple, Inc. (AAPL)	Sale	09/01/2021	\$15,001 - \$50,000
35	American Tower Corporation (REIT) (AMT)	Sale	09/01/2021	\$1,001 - \$15,000
36	Costco Wholesale Corp. (COST)	Sale	09/01/2021	\$1,001 - \$15,000
37	Dollar General Corp. (DG)	Sale	09/01/2021	\$1,001 - \$15,000
38	Alphabet, Inc. (GOOGL)	Sale	09/01/2021	\$15,001 - \$50,000
39	Danaher Corp. (DHR)	Sale	09/01/2021	\$1,001 - \$15,000
40	Fidelity National Information Services, Inc. (FIS)	Sale	09/01/2021	\$1,001 - \$15,000
41	Honeywell International, Inc. (HON)	Sale	09/01/2021	\$1,001 - \$15,000
42	Estee Lauder Cos. (EL)	Sale	09/01/2021	\$1,001 - \$15,000
43	The Home Depot, Inc. (HD)	Sale	09/01/2021	\$1,001 - \$15,000
44	Facebook, Inc. (FB)	Sale	09/01/2021	\$15,001 - \$50,000
45	Intercontinental Exchange, Inc. (ICE)	Sale	09/01/2021	\$1,001 - \$15,000
46	O'Reilly Automotive, Inc. (ORLY)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
47	Parker-Hannifin Corp. (PH)	Sale	09/01/2021	\$1,001 - \$15,000
48	salesforce.com, inc. (CRM)	Sale	09/01/2021	\$1,001 - \$15,000
49	The Sherwin-Williams Co. (SHW)	Sale	09/01/2021	\$1,001 - \$15,000
50	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/01/2021	\$1,001 - \$15,000
51	The TJX Cos., Inc. (TJX)	Sale	09/01/2021	\$1,001 - \$15,000
52	UnitedHealth Group, Inc. (UNH)	Sale	09/01/2021	\$1,001 - \$15,000
53	Union Pacific Corp. (UNP)	Sale	09/01/2021	\$1,001 - \$15,000
54	Visa, Inc. (V)	Sale	09/01/2021	\$1,001 - \$15,000
55	Alexandria Real Estate Equities, Inc. (ARE)	Sale	09/01/2021	\$1,001 - \$15,000
56	Advance Auto Parts, Inc. (AAP)	Sale	09/01/2021	\$1,001 - \$15,000
57	Ameriprise Financial, Inc. (AMP)	Sale	09/01/2021	\$1,001 - \$15,000
58	Burlington Stores, Inc. (BURL)	Sale	09/01/2021	\$1,001 - \$15,000
59	Citizens Financial Group, Inc. (Rhode Island) (CFG)	Sale	09/01/2021	\$1,001 - \$15,000
60	Curtiss-Wright Corp. (CW)	Sale	09/01/2021	\$1,001 - \$15,000
61	First Republic Bank (San Francisco, California) (FRC)	Sale	09/01/2021	\$1,001 - \$15,000
62	AECOM (ACM)	Sale	09/01/2021	\$1,001 - \$15,000
63	Houlihan Lokey, Inc. (HLI)	Sale	09/01/2021	\$1,001 - \$15,000
64	Match Group, Inc. (MTCH)	Sale	09/01/2021	\$1,001 - \$15,000
65	Northern Trust Corp. (NTRS)	Sale	09/01/2021	\$1,001 - \$15,000
66	Ollie's Bargain Outlet Holdings, Inc. (OLLI)	See Endnote	09/01/2021	\$1,001 - \$15,000
67	Pioneer Natural Resources Co. (PXD)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	RPM International, Inc. (RPM)	Sale	09/01/2021	\$1,001 - \$15,000
69	Service Corp. International (SCI)	Sale	09/01/2021	\$1,001 - \$15,000
70	Take-Two Interactive Software, Inc. (TTWO)	Sale	09/01/2021	\$1,001 - \$15,000
71	The Timken Co. (TKR)	Sale	09/01/2021	\$1,001 - \$15,000
72	Vail Resorts, Inc. (MTN)	Sale	09/01/2021	\$1,001 - \$15,000
73	Voya Financial, Inc. (VOYA)	Sale	09/01/2021	\$1,001 - \$15,000
74	vontier corp com	Sale	09/01/2021	\$1,001 - \$15,000
75	Amgen Inc. (AMGN)	Sale	09/01/2021	\$1,001 - \$15,000
76	Comcast Corp. (CMCSA)	Sale	09/01/2021	\$1,001 - \$15,000
77	Analog Devices, Inc. (ADI)	Sale	09/01/2021	\$1,001 - \$15,000
78	Cisco Systems, Inc. (CSCO)	Sale	09/01/2021	\$1,001 - \$15,000
79	Automatic Data Processing, Inc. (ADP)	Sale	09/01/2021	\$1,001 - \$15,000
80	The Coca-Cola Co. (KO)	Sale	09/01/2021	\$1,001 - \$15,000
81	Chubb Ltd. (CB)	Sale	09/01/2021	\$1,001 - \$15,000
82	diageo	Sale	09/01/2021	\$1,001 - \$15,000
83	Intel Corp. (INTC)	Sale	09/01/2021	\$1,001 - \$15,000
84	Johnson & Johnson (JNJ)	Sale	09/01/2021	\$1,001 - \$15,000
85	Linde Plc (LIN)	Sale	09/01/2021	\$1,001 - \$15,000
86	Lockheed Martin Corp. (LMT)	Sale	09/01/2021	\$1,001 - \$15,000
87	Marsh & McLennan Cos., Inc. (MMC)	Sale	09/01/2021	\$1,001 - \$15,000
88	McDonald's Corp. (MCD)	Sale	09/01/2021	\$1,001 - \$15,000
89	Medtronic Plc (MDT)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
90	novartis	Sale	09/01/2021	\$1,001 - \$15,000
91	Raytheon Co. (RTN)	Sale	09/01/2021	\$1,001 - \$15,000
92	Procter & Gamble Co. (PG)	Sale	09/01/2021	\$1,001 - \$15,000
93	Rockwell Automation, Inc. (ROK)	Sale	09/01/2021	\$1,001 - \$15,000
94	Accenture Plc (ACN)	Sale	09/01/2021	\$1,001 - \$15,000
95	Texas Instruments Incorporated (TXN)	Sale	09/01/2021	\$1,001 - \$15,000
96	AMETEK, Inc. (AME)	Sale	09/01/2021	\$1,001 - \$15,000
97	American Water Works Co., Inc. (AWK)	Sale	09/01/2021	\$1,001 - \$15,000
98	Booz Allen Hamilton Holding Corp. (BAH)	Sale	09/01/2021	\$1,001 - \$15,000
99	Bright Horizons Family Solutions Inc. (BFAM)	Sale	09/01/2021	\$1,001 - \$15,000
100	Darden Restaurants, Inc. (DRI)	Sale	09/01/2021	\$1,001 - \$15,000
101	Entegris, Inc. (ENTG)	Sale	09/01/2021	\$1,001 - \$15,000
102	Eastman Chemical Co. (EMN)	Sale	09/01/2021	\$1,001 - \$15,000
103	FMC Corp. (FMC)	Sale	09/01/2021	\$1,001 - \$15,000
104	Fortinet, Inc. (FTNT)	Sale	09/01/2021	\$1,001 - \$15,000
105	Fortive Corp. (FTV)	Sale	09/01/2021	\$1,001 - \$15,000
106	Ingersoll Rand, Inc. (IR)	Sale	09/01/2021	\$1,001 - \$15,000
107	EPAM Systems, Inc. (EPAM)	Sale	09/01/2021	\$1,001 - \$15,000
108	Jazz Pharmaceuticals Plc (JAZZ)	Sale	09/01/2021	\$1,001 - \$15,000
109	Laboratory Corp. of America Holdings (LH)	Sale	09/01/2021	\$1,001 - \$15,000
110	logitech	Sale	09/01/2021	\$1,001 - \$15,000
111	Mercury Systems, Inc. (MRCY)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
112	Masimo Corp. (MASI)	Sale	09/01/2021	\$1,001 - \$15,000
113	Palo Alto Networks, Inc. (PANW)	Sale	09/01/2021	\$1,001 - \$15,000
114	Teleflex, Inc. (TFX)	Sale	09/01/2021	\$1,001 - \$15,000
115	iShares US Medical Devices ETF (IHI)	Sale	09/01/2021	\$1,001 - \$15,000
116	iShares US Medical Devices ETF (IHI)	Sale	09/01/2021	\$1,001 - \$15,000
117	Amazon.com, Inc. (AMZN)	Sale	09/01/2021	\$1,001 - \$15,000
118	Abbott Laboratories (ABT)	Sale	09/01/2021	\$1,001 - \$15,000
119	Adobe, Inc. (ADBE)	Sale	09/01/2021	\$1,001 - \$15,000
120	Comcast Corp. (CMCSA)	Sale	09/01/2021	\$1,001 - \$15,000
121	Apple, Inc. (AAPL)	Sale	09/01/2021	\$1,001 - \$15,000
122	Boston Scientific Corp. (BSX)	Sale	09/01/2021	\$1,001 - \$15,000
123	American Tower Corporation (REIT) (AMT)	Sale	09/01/2021	\$1,001 - \$15,000
124	Costco Wholesale Corp. (COST)	Sale	09/01/2021	\$1,001 - \$15,000
125	Alphabet, Inc. (GOOGL)	Sale	09/01/2021	\$15,001 - \$50,000
126	Honeywell International, Inc. (HON)	Sale	09/01/2021	\$1,001 - \$15,000
127	Facebook, Inc. (FB)	Sale	09/01/2021	\$15,001 - \$50,000
128	Danaher Corp. (DHR)	Sale	09/01/2021	\$1,001 - \$15,000
129	Estee Lauder Cos. (EL)	Sale	09/01/2021	\$1,001 - \$15,000
130	Microsoft Corp. (MSFT)	Sale	09/01/2021	\$15,001 - \$50,000
131	Medtronic Plc (MDT)	Sale	09/01/2021	\$1,001 - \$15,000
132	Parker-Hannifin Corp. (PH)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
133	Rockwell Automation, Inc. (ROK)	Sale	09/01/2021	\$1,001 - \$15,000
134	salesforce.com, inc. (CRM)	Sale	09/01/2021	\$1,001 - \$15,000
135	Accenture Plc (ACN)	Sale	09/01/2021	\$1,001 - \$15,000
136	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/01/2021	\$1,001 - \$15,000
137	UnitedHealth Group, Inc. (UNH)	Sale	09/01/2021	\$1,001 - \$15,000
138	Texas Instruments Incorporated (TXN)	Sale	09/01/2021	\$1,001 - \$15,000
139	iShares US Medical Devices ETF (IHI)	Sale	09/01/2021	\$15,001 - \$50,000
140	Abbott Laboratories (ABT)	Sale	09/01/2021	\$1,001 - \$15,000
141	Amazon.com, Inc. (AMZN)	Sale	09/01/2021	\$15,001 - \$50,000
142	Ameriprise Financial, Inc. (AMP)	Sale	09/01/2021	\$1,001 - \$15,000
143	Adobe, Inc. (ADBE)	Sale	09/01/2021	\$1,001 - \$15,000
144	Apple, Inc. (AAPL)	Sale	09/01/2021	\$15,001 - \$50,000
145	Boston Scientific Corp. (BSX)	Sale	09/01/2021	\$1,001 - \$15,000
146	Applied Materials, Inc. (AMAT)	Sale	09/01/2021	\$1,001 - \$15,000
147	American Tower Corporation (REIT) (AMT)	Sale	09/01/2021	\$1,001 - \$15,000
148	Costco Wholesale Corp. (COST)	Sale	09/01/2021	\$1,001 - \$15,000
149	Alphabet, Inc. (GOOGL)	Sale	09/01/2021	\$15,001 - \$50,000
150	Danaher Corp. (DHR)	Sale	09/01/2021	\$1,001 - \$15,000
151	Dollar General Corp. (DG)	Sale	09/01/2021	\$1,001 - \$15,000
152	Fidelity National Information Services, Inc. (FIS)	Sale	09/01/2021	\$1,001 - \$15,000

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153	The Home Depot, Inc. (HD)	Sale	09/01/2021	\$1,001 - \$15,000
154	Honeywell International, Inc. (HON)	Sale	09/01/2021	\$1,001 - \$15,000
155	Facebook, Inc. (FB)	Sale	09/01/2021	\$15,001 - \$50,000
156	Estee Lauder Cos. (EL)	Sale	09/01/2021	\$1,001 - \$15,000
157	Intercontinental Exchange, Inc. (ICE)	Sale	09/01/2021	\$1,001 - \$15,000
158	O'Reilly Automotive, Inc. (ORLY)	Sale	09/01/2021	\$1,001 - \$15,000
159	Parker-Hannifin Corp. (PH)	Sale	09/01/2021	\$1,001 - \$15,000
160	salesforce.com, inc. (CRM)	Sale	09/01/2021	\$1,001 - \$15,000
161	The Sherwin-Williams Co. (SHW)	Sale	09/01/2021	\$1,001 - \$15,000
162	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/01/2021	\$1,001 - \$15,000
163	The TJX Cos., Inc. (TJX)	Sale	09/01/2021	\$1,001 - \$15,000
164	UnitedHealth Group, Inc. (UNH)	Sale	09/01/2021	\$1,001 - \$15,000
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166	Visa, Inc. (V)	Sale	09/01/2021	\$1,001 - \$15,000
167	Alexandria Real Estate Equities, Inc. (ARE)	Sale	09/01/2021	\$1,001 - \$15,000
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169	Advance Auto Parts, Inc. (AAP)	Sale	09/01/2021	\$1,001 - \$15,000
170	Burlington Stores, Inc. (BURL)	Sale	09/01/2021	\$1,001 - \$15,000
171	Houlihan Lokey, Inc. (HLI)	Sale	09/01/2021	\$1,001 - \$15,000
172	Citizens Financial Group, Inc. (Rhode Island) (CFG)	Sale	09/01/2021	\$1,001 - \$15,000
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175	First Republic Bank (San Francisco, California) (FRC)		Sale	09/01/2021	\$1,001 - \$15,000
176	Match Group, Inc. (MTCH)		Sale	09/01/2021	\$1,001 - \$15,000
177	Northern Trust Corp. (NTRS)		Sale	09/01/2021	\$1,001 - \$15,000
178	Ollie's Bargain Outlet Holdings, Inc. (OLLI)	See Endnote	Sale	09/01/2021	\$1,001 - \$15,000
179	Pioneer Natural Resources Co. (PXD)		Sale	09/01/2021	\$1,001 - \$15,000
180	RPM International, Inc. (RPM)		Sale	09/01/2021	\$1,001 - \$15,000
181	Service Corp. International (SCI)		Sale	09/01/2021	\$1,001 - \$15,000
182	The Timken Co. (TKR)		Sale	09/01/2021	\$1,001 - \$15,000
183	Take-Two Interactive Software, Inc. (TTWO)		Sale	09/01/2021	\$1,001 - \$15,000
184	Vail Resorts, Inc. (MTN)		Sale	09/01/2021	\$1,001 - \$15,000
185	Amgen Inc. (AMGN)		Sale	09/01/2021	\$1,001 - \$15,000
186	Voya Financial, Inc. (VOYA)		Sale	09/01/2021	\$1,001 - \$15,000
187	vontier corp com		Sale	09/01/2021	\$1,001 - \$15,000
188	Comcast Corp. (CMCSA)		Sale	09/01/2021	\$1,001 - \$15,000
189	Analog Devices, Inc. (ADI)		Sale	09/01/2021	\$1,001 - \$15,000
190	Automatic Data Processing, Inc. (ADP)		Sale	09/01/2021	\$1,001 - \$15,000
191	Cisco Systems, Inc. (CSCO)		Sale	09/01/2021	\$1,001 - \$15,000
192	The Coca-Cola Co. (KO)		Sale	09/01/2021	\$1,001 - \$15,000
193	Chubb Ltd. (CB)		Sale	09/01/2021	\$1,001 - \$15,000
194	diageo		Sale	09/01/2021	\$1,001 - \$15,000
195	Intel Corp. (INTC)		Sale	09/01/2021	\$1,001 - \$15,000

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196	Johnson & Johnson (JNJ)	Sale	09/01/2021	\$1,001 - \$15,000
197	Linde Plc (LIN)	Sale	09/01/2021	\$1,001 - \$15,000
198	Lockheed Martin Corp. (LMT)	Sale	09/01/2021	\$1,001 - \$15,000
199	Marsh & McLennan Cos., Inc. (MMC)	Sale	09/01/2021	\$1,001 - \$15,000
200	McDonald's Corp. (MCD)	Sale	09/01/2021	\$1,001 - \$15,000
201	Medtronic Plc (MDT)	Sale	09/01/2021	\$1,001 - \$15,000
202	novartis	Sale	09/01/2021	\$1,001 - \$15,000
203	Procter & Gamble Co. (PG)	Sale	09/01/2021	\$1,001 - \$15,000
204	Raytheon Co. (RTN)	Sale	09/01/2021	\$1,001 - \$15,000
205	Rockwell Automation, Inc. (ROK)	Sale	09/01/2021	\$1,001 - \$15,000
206	Accenture Plc (ACN)	Sale	09/01/2021	\$1,001 - \$15,000
207	Texas Instruments Incorporated (TXN)	Sale	09/01/2021	\$1,001 - \$15,000
208	AMETEK, Inc. (AME)	Sale	09/01/2021	\$1,001 - \$15,000
209	American Water Works Co., Inc. (AWK)	Sale	09/01/2021	\$1,001 - \$15,000
210	Booz Allen Hamilton Holding Corp. (BAH)	Sale	09/01/2021	\$1,001 - \$15,000
211	Bright Horizons Family Solutions Inc. (BFAM)	Sale	09/01/2021	\$1,001 - \$15,000
212	Darden Restaurants, Inc. (DRI)	Sale	09/01/2021	\$1,001 - \$15,000
213	Entegris, Inc. (ENTG)	Sale	09/01/2021	\$1,001 - \$15,000
214	Eastman Chemical Co. (EMN)	Sale	09/01/2021	\$1,001 - \$15,000
215	FMC Corp. (FMC)	Sale	09/01/2021	\$1,001 - \$15,000
216	Fortinet, Inc. (FTNT)	Sale	09/01/2021	\$1,001 - \$15,000
217	Fortive Corp. (FTV)	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
218	Ingersoll Rand, Inc. (IR)	Sale	09/01/2021	\$1,001 - \$15,000
219	EPAM Systems, Inc. (EPAM)	Sale	09/01/2021	\$1,001 - \$15,000
220	Jazz Pharmaceuticals Plc (JAZZ)	Sale	09/01/2021	\$1,001 - \$15,000
221	Laboratory Corp. of America Holdings (LH)	Sale	09/01/2021	\$1,001 - \$15,000
222	logitech	Sale	09/01/2021	\$1,001 - \$15,000
223	Mercury Systems, Inc. (MRCY)	Sale	09/01/2021	\$1,001 - \$15,000
224	iShares US Medical Devices ETF (IHI)	Sale	09/01/2021	\$1,001 - \$15,000
225	Masimo Corp. (MASI)	Sale	09/01/2021	\$1,001 - \$15,000
226	Palo Alto Networks, Inc. (PANW)	Sale	09/01/2021	\$1,001 - \$15,000
227	Teleflex, Inc. (TFX)	Sale	09/01/2021	\$1,001 - \$15,000
228	iShares US Medical Devices ETF (IHI)	Sale	09/01/2021	\$1,001 - \$15,000
229	iShares Core S&P 500 ETF (IVV)	Purchase	10/29/2021	\$15,001 - \$50,000
230	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Purchase	10/29/2021	\$15,001 - \$50,000
231	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Purchase	10/29/2021	\$15,001 - \$50,000
232	iShares Core S&P 500 ETF (IVV)	Purchase	10/29/2021	\$15,001 - \$50,000
233	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Purchase	10/29/2021	\$15,001 - \$50,000
234	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Purchase	10/29/2021	\$15,001 - \$50,000
235	iShares Core S&P 500 ETF (IVV)	Purchase	10/29/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
236	iShares Core S&P 500 ETF (IVV)	Purchase	10/29/2021	\$100,001 - \$250,000
237	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Purchase	10/29/2021	\$50,001 - \$100,000
238	Vanguard Mega Cap Growth Index Fund ETF Shares (MGK)	Purchase	10/29/2021	\$50,001 - \$100,000
239	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	10/29/2021	\$15,001 - \$50,000
240	iShares Core S&P Small-Cap ETF (IJR)	Purchase	10/29/2021	\$15,001 - \$50,000
241	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Purchase	10/29/2021	\$15,001 - \$50,000
242	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	10/29/2021	\$15,001 - \$50,000
243	iShares Core S&P Small-Cap ETF (IJR)	Purchase	10/29/2021	\$1,001 - \$15,000
244	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Purchase	10/29/2021	\$1,001 - \$15,000
245	iShares Core S&P 500 ETF (IVV)	Purchase	10/29/2021	\$15,001 - \$50,000
246	iShares Core High Dividend ETF (HDV)	Purchase	10/29/2021	\$15,001 - \$50,000
247	Vanguard Mega Cap Value Index Fund ETF Shares (MGV)	Purchase	10/29/2021	\$50,001 - \$100,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	MedStar Health defined contribution retirement plan
2.	2	Formula used in calculating amount of bonus will not use any element of the company's performance after filer's resignation date -- SO
6.	8	Infrequently valued; latest valuation as of August 2019
7.	66	less than \$1000
7.	178	less than \$1000

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).
