

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

Filer's Information

Benaim, Daniel P

Deputy Assistant Secretary of State, Department of State

Report Year: 2023

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/ Benaim, Daniel P [electronically signed on 05/22/2023 by Benaim, Daniel P in Integrity.gov] - Filer received a 30 day filing extension.

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

/s/ Chabora, Paige E, Certifying Official [electronically signed on 07/10/2023 by Chabora, Paige E in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---------------------------|-----|--------------------------|-------------|------------------------------|
| 1 | New America Fellow | | \$100,001 - \$250,000 | Salary | |
| 2 | TIAA-CREF | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 2.1 | T. Rowe Price Ret 2050 Fd | | \$15,001 - \$50,000 | | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|----------------------|-------------|---------------|
| 3 | Vanguard Retirement Plan | Yes | \$50,001 - \$100,000 | | |
| 3.1 | Vanguard Institutional Target Retirement 2050 Fund | | \$50,001 - \$100,000 | | |
| 4 | Harvard Kennedy School | | \$1,001 - \$15,000 | Salary | |
| 5 | American Academy of Arts and Sciences | | \$15,001 - \$50,000 | Salary | |
| 6 | Rockefeller Philanthropy Advisors | | \$15,001 - \$50,000 | Salary | |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|-----|---------------------------|-------------------|---------------------------|
| 1 | U.S. Bank #1 (Cash) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2 | Brokerage Account #2 | No | \$50,001 - \$100,000 | | None (or less than \$201) |
| 3 | U.S. Bank #2 (Cash) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4 | U.S. Bank #4 (Cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5 | U.S. Bank #3 (Cash) | N/A | \$15,001 - \$50,000 | Capital Gains | None (or less than \$201) |
| 6 | Supreme Partnership interest 2.223% - residential rental real estate ny, ny | No | \$1,000,001 - \$5,000,000 | Rent or Royalties | \$50,001 - \$100,000 |
| 7 | Schenck Partnership interest 3.222% - residential rental real estate ny, ny | No | \$1,000,001 - \$5,000,000 | Rent or Royalties | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|-------------------------|-------------|---------------------------|
| 8 | Benaim Family Partners - 16.667%-marketable securities | No | \$500,001 - \$1,000,000 | | |
| 8.1 | CASH | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 8.2 | VANGUARD MUTUAL FUNDS | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.2.1 | vanguard intermediate term tax exempt (vwiux) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.2.2 | vanguard limited tax exempt fund (vmlux) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.2.3 | vanguard limited tax empt fund (vmlux) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.3 | ETFS- gentrust | Yes | \$250,001 - \$500,000 | | \$2,501 - \$5,000 |
| 8.3.1 | USGlobal Jets ETF (JETS) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.2 | Invesco Dynamic Leisure & Entertainment ETF (PEJ) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.3 | iShares MSCI Canada ETF (EWC) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.4 | iShares MSCI South Korea ETF (EWY) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.5 | iShares TIPS Bond ETF (TIP) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 8.3.6 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.3.7 | SPDR S&P Regional Banking ETF (KRE) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.8 | VanEck Vectors AMT-Free Intermediate Municipal Index ETF (ITM) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------|--|-----|----------------------|-------------|---------------------------|
| 8.3.9 | Vanguard Total Bond Market Index Fund ETF Shares (BND) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.10 | Vanguard Total Bond Market Index Fund ETF Shares (BND) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.3.11 | Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.3.12 | Vanguard Pacific Stock Index Fund Vanguard FTSE Pacific ETF Shares (VPL) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.3.13 | Vanguard European Stock Index Fund ETF Shares (VGK) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.3.14 | Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.3.15 | Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 8.3.16 | Vanguard 500 Index Fund ETF Shares (VOO) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.17 | vanguard index fds midcap (VO) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3.18 | Vanguard Small-Cap Index Fund ETF Shares (VB) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.4 | CASH | N/A | \$50,001 - \$100,000 | Interest | None (or less than \$201) |
| 8.5 | Aerojet Rocketdyne Holdings, Inc. (AJRD) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.6 | American Express Co. (AXP) | No | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8.7 | Archer-Daniels-Midland Co. (ADM) | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.8 | Astec Industries, Inc. (ASTE) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-----------------------------|-----|-----------------------------|-------------|---------------------------|
| 8.9 | At&T | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.10 | Avangrid, Inc. (AGR) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.11 | AZZ, Inc. (AZZ) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.12 | BNY MELLON corp bk | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.13 | Bank of America Corp. (BAC) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.14 | CNH INDUSTRIAL cnhi | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.15 | comScore, Inc. (SCOR) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 8.16 | Crane Co. (CR) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.17 | Cutera, Inc. (CUTR) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.18 | DANONE SPONSORED ADR | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.19 | DAVIDE CAMPARI DVDCF | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.20 | DIEBOLD NIXDORF INCORP | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.21 | Discovery, Inc. (DISCK) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.22 | DISH Network Corp. (DISH) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.23 | Ducommun, Inc. (DCO) | No | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------|-------------|---------------------------|
| 8.24 | Ecolab, Inc. (ECL) | No | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 8.25 | Edgewell Personal Care Co. (EPC) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.26 | Energizer Holdings, Inc. (ENR) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.27 | EnPro Industries, Inc. (NPO) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.28 | ENERGY INC EVRG | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.29 | FLO SERVE CORP (FOE) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.30 | GATX Corp. (GATX) | No | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.31 | CASH | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.32 | GENUINE PARTS COMPANY (GPC) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.33 | Griffon Corp. (GFF) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.34 | GRUPO TELE | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.35 | IAC INTERACTIVE CORP | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.36 | International Flavors & Fragrances, Inc. (IFF) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.37 | KELLOGG COMPANY | No | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------|-------------|---------------------------|
| 8.38 | LENAR CORP (LEN/B) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.39 | Liberty Broadband Corp. (LBRDK) | No | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.40 | The Madison Square Garden Co. (MSG) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.41 | Modine Manufacturing Co. (MOD) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.42 | Mondelez International, Inc. (MDLZ) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.43 | MSG Networks, Inc. (MSGN) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.44 | MULELLER INDUSTRIES (MWA) | No | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.45 | MULLER WATER PRODUCTS (MWA) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.46 | NATIONAL FUEL GAS COMPANY | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.47 | Northern Trust Corp. (NTRS) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.48 | PATERSON COMPANIES (PDCO) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.49 | Primo Water Corp. (PRMW) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.50 | Ryman Hospitality Properties, Inc. (RHP) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.51 | Sensient Technologies Corp. (SXT) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.52 | Southwest Gas Holdings, Inc. (SWX) | No | \$1,001 - \$15,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------------|---------------|---------------------------|
| 8.53 | SWEEDISH MATCH (SWMAF) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.54 | Telephone & Data Systems, Inc. (TDS) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.55 | TREDEGEAR CORPORATION (TG) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 8.56 | United States Cellular Corp. (USM) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.57 | Verizon Communications, Inc. (VZ) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.58 | ViacomCBS, Inc. (CBS) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 8.59 | WASTEMANAGEMENT INC | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.60 | WELLS FARGO (WFC) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.61 | Zimmer Biomet Holdings, Inc. (ZBH) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 8.62 | Hyster-Yale Materials Handling, Inc. (HY) | No | None (or less than \$1,001) | Capital Gains | None (or less than \$201) |
| 8.63 | Sinclair Broadcast Group, Inc. (SBGI) | No | None (or less than \$1,001) | | None (or less than \$201) |
| 8.64 | Ardagh Group | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.65 | Freeport-McMoRan, Inc. (FCX) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.66 | Duetsche Telekom | No | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--------------------------------------|-----|-----------------------------|---------------|---------------------------|
| 8.67 | GCP Applied Technologies, Inc. (GCP) | No | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 8.68 | Ferro Corp. (FOE) | No | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 8.69 | Liberty Global Plc (LBTYA) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.70 | Millicom Intl Cellular | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.71 | Navistar International Corp. (NAV) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.72 | CNH Industrial | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.73 | Corning, Inc. (GLW) | No | None (or less than \$1,001) | Capital Gains | None (or less than \$201) |
| 8.74 | Corteva, Inc. (CTVA) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.75 | Grupo Televisa | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.76 | Traton Se | No | None (or less than \$1,001) | Capital Gains | None (or less than \$201) |
| 8.77 | The Madison Square Garden Co. (MSG) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.78 | Mueller Industries, Inc. (MLI) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.79 | Tredegar Corp. (TG) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.80 | Valmont Industries, Inc. (VMI) | No | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-------------------|---------------------------|
| 8.81 | Vivdeni | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.82 | Zimmer Biomet Holdings, Inc. (ZBH) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.83 | Wynn Resorts Ltd. (WYNN) | No | None (or less than \$1,001) | Capital Gains | None (or less than \$201) |
| 8.84 | Bollore Investissement | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.85 | Dril-Quip, Inc. (DRQ) | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.86 | Mathews Intl Corp | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.87 | Bellore Investissement | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9 | aria investment partners l.p. llc - .3416% RESIDENTAL rental real estate multiple states (NY, MA, DC, KS)) | No | \$100,001 - \$250,000 | Rent or Royalties | None (or less than \$201) |
| 10 | Daniel Benaim trust (revocable) owns 25% bedford re partners- residential rental real estate ny ny | No | \$1,000,001 - \$5,000,000 | Rent or Royalties | \$100,001 - \$1,000,000 |
| 11 | Segnaim LLC - bio technology startup partnership interest owns 83.33 % | No | \$50,001 - \$100,000 | | |
| 12 | 22 P STREET HOLDING LLC - owns .892260% residential rental real estate DC | No | \$50,001 - \$100,000 | Rent or Royalties | \$15,001 - \$50,000 |
| 13 | BNY MELLON PERSONAL CHECKING ACCOUNT [REDACTED] | No | \$15,001 - \$50,000 | | None (or less than \$201) |
| 14 | Brokerage Account #1 | N/A | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 14.1 | CASH | N/A | \$1,001 - \$15,000 | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|-------------------------|-------------|---------------------------|
| 14.2 | BNY Mellon High Yield Fund - Class I | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 14.3 | ISHARES Kld 400 Social Index Fund (DSI) | Yes | \$250,001 - \$500,000 | | \$2,501 - \$5,000 |
| 14.4 | The BNY Mellon Mid Cap (MPMCX) | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 14.5 | The BNY Mellon Small Cap (MPSSX) | Yes | \$50,001 - \$100,000 | | |
| 14.6 | BNY Mellon International Equity (MLIMX) | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 14.7 | BNY Mellon Emerging Markets Fund (MEMKX) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 14.8 | BNY Mellon Global Real Estate (DRLYX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 14.9 | BNY Mellon Global Real Return Fund | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 14.10 | BNY Mellon Dynamic Total Return Fund Class Y Shares (AVGYX) | Yes | \$1,001 - \$15,000 | | |
| 14.11 | BNY Mellon High Yield Fund - Class I | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 15 | Brokerage Account #3 | N/A | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 15.1 | CASH | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 15.2 | BNY Mellon High Yield Fund - Class I | Yes | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 15.3 | ISHARES Kld 400 Social Index Fund | Yes | \$250,001 - \$500,000 | | \$2,501 - \$5,000 |
| 15.4 | The BNY Mellon Mid Cap (MPMCX) | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-------------------|---------------------------|
| 15.5 | The BNY Mellon Small Cap (MPSSX) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 15.6 | BNY Mellon International Equity (MLIMX) | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 15.7 | BNY Mellon Emerging Markets Fund (MEMKX) | Yes | \$15,001 - \$50,000 | | |
| 15.8 | BNY Mellon Global Real Return Fund | Yes | \$1,001 - \$15,000 | | |
| 16 | THE 2012 cpw trust (IRREVOCABLE) - owns partnership interest in RESIDENTAL rental real estate NY NY - (No Control) | No | \$1,000,001 - \$5,000,000 | Rent or Royalties | None (or less than \$201) |
| 17 | The manocherian benaim 1995 trust (irrevocable) - owns residential rental real estate ny ny (no control) | No | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 18 | U.S. Bank #5 (Cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 19 | Brokerage Account #4 | N/A | \$250,001 - \$500,000 | | |
| 19.1 | CASH | N/A | \$1,001 - \$15,000 | | |
| 19.2 | BNY Mellon Floating Rate Income Fund Class Y Shares (DFLYX) | Yes | \$15,001 - \$50,000 | | |
| 19.3 | BNY Mellon Mid Cap Multi-Strategy Fund Class M Shares (MPMCX) | Yes | \$15,001 - \$50,000 | | |
| 19.4 | BNY Mellon Small Cap Multi-Strategy Fund Class M Shares (MPSSX) | Yes | \$15,001 - \$50,000 | | \$15,001 - \$50,000 |
| 19.5 | BNY Mellon Global Return Fund Class Y | Yes | None (or less than \$1,001) | | |
| 19.6 | ASG Global Alternatives Fund-7 | Yes | None (or less than \$1,001) | | |
| 19.7 | BNY Mellon Dynamic Total Return Fund Y | Yes | \$1,001 - \$15,000 | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------|-------------|---------------------------|
| 20 | BNY Mellon National Intermediate Municipal Bond Fund Class M Shares (MPNIX) | Yes | \$15,001 - \$50,000 | | |
| 21 | BNY Mellon High Yield Fund Class I Shares (DLHRX) | Yes | \$1,001 - \$15,000 | | |
| 22 | Child A Trust | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 23 | Child B Trust | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|--------------------|
| 1 | Ferro Corp. (FOE) | Sale | 03/08/2022 | \$1,001 - \$15,000 |
| 2 | Hyster-Yale Materials Handling, Inc. (HY) | Sale | 04/05/2022 | \$1,001 - \$15,000 |
| 3 | Hyster-Yale Materials Handling, Inc. (HY) | Purchase | 03/02/2022 | \$1,001 - \$15,000 |
| 4 | MILLICOM | Purchase | 06/13/2022 | \$1,001 - \$15,000 |
| 5 | Corning, Inc. (GLW) | Purchase | 06/21/2022 | \$1,001 - \$15,000 |
| 6 | Sinclair Broadcast Group, Inc. (SBGI) | Purchase | 06/21/2022 | \$1,001 - \$15,000 |
| 7 | Zimmer Biomet Holdings, Inc. (ZBH) | Purchase | 06/21/2022 | \$1,001 - \$15,000 |
| 8 | Swedish Match AB | Sale | 08/04/2022 | \$1,001 - \$15,000 |
| 9 | Wynn Resorts Ltd. (WYNN) | Sale | 08/19/2022 | \$1,001 - \$15,000 |
| 10 | Zimmer Biomet Holdings, Inc. (ZBH) | Sale | 08/19/2022 | \$1,001 - \$15,000 |
| 11 | Crown Holdings, Inc. (CCK) | Purchase | 10/25/2022 | \$1,001 - \$15,000 |
| 12 | Warner Music Group | Purchase | 10/25/2022 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|-------------------|----------|------------|--------------------|
| 13 | Traton SE SHS | Purchase | 10/26/2022 | \$1,001 - \$15,000 |
| 14 | Traton SE SHS | Sale | 11/30/2022 | \$1,001 - \$15,000 |
| 15 | Team, Inc. (TISI) | Sale | 10/25/2022 | \$1,001 - \$15,000 |

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

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).
