

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Telles, Cynthia

Ambassador to Costa Rica, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Telles, Cynthia [electronically signed on 04/05/2021 by Telles, Cynthia 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/ Huitema, David, Certifying Official [electronically signed on 06/28/2021 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/30/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of California Los Angeles	Los Angeles, California	University/College	Professor and Director	7/1978	Present
2	Kaiser Health Plan & Hospitals	Oakland, California	Corporation	Director	4/2003	Present
3	Los Angeles World Airports	Los Angeles, California	City Proprietary Agency	Commissioner	8/2013	Present
4	Los Angeles Olympics and Paralympics Committee	Los Angeles, California	Non-Profit	Director	6/2018	Present
5	Pacific Council on International Policy	Los Angeles, California	Non-Profit	Director	9/2010	Present
6	National Alliance for Hispanic Health	Washington, District of Columbia	Non-Profit	Director	5/2016	Present
7	Mexican American Legal Defense and Educational Fund--MALDEF	Los Angeles, California	Non-Profit	Director	4/2016	Present
8	Los Angeles Police Memorial Foundation	Los Angeles, California	Non-Profit	Director	5/2010	Present
9	Latino Victory Project	Washington, District of Columbia	Political	Director	6/2020	Present
10	Family Trust #1	Los Angeles, California	Trust	Trustee	2/2016	Present
11	Kaiser Foundation Health Plan of Georgia	Atlanta, Georgia	Corporation	Member, Executive Advisory Board	10/2009	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Mexico-Los Angeles Commission (MEXLA)	Los Angeles, California	Mexico/Los Angeles bilateral commission	Chair, Los Angeles/US Section (appointed by Mayor Eric Garcetti)	9/2019	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of California Los Angeles	N/A		Salary	\$242,260
2	University of California Retirement Plan, defined benefit plan	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
3	Kaiser Health Plan & Hospitals	N/A		Director Compensation	\$321,994
4	Kaiser Foundation Health Plan of Georgia	N/A		Executive advisory board fees	\$11,000
5	JPMorgan SEP IRA	No			
5.1	JPMorgan US Government Money Market Fund QCVEZ	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	JPMorgan BetaBuilders Canada ETF (BBCA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	JPMorgan BetaBuilders Japan ETF (BBJP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	Six Circles International Unconstrained Equity (CIUEX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	Six Circles US Unconstrained Equity (CUSUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.9	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.10	BlackRock High Yield Bond Portfolio Class K Shares (BRHYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Dodge & Cox Income Fund (DODIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	iShares MBS ETF (MBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.14	JPMorgan Core Bond Fund Class R6 Shares (JCBUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.15	PIMCO Investment Grade Credit Bond Fund Institutional Class Shares (PIGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.16	Six Circles Global Bond Fund (CGLBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.17	Six Circles Ultra Short Duration Fund (CUSDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.18	Six Circles Trust Credit Opportunities Fund (CRDOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.19	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.20	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.21	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.22	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	University of California Retirement Savings Program (Defined Contribution Plan)	No			
6.1	UC Pathway Income Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	University of California Retirement Savings Program (403(b) Plan)	No			
7.1	UC Bond Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.2	UC Savings Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
8	University of California Retirement Savings Program (457(b) Plan)	No			
8.1	UC Savings Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	University of California Los Angeles	Los Angeles, California	Health insurance. Pursuant to the terms of my university employment, I will receive health insurance for life from this employer.	7/1979

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	University of California Retirement Savings Program (403(b) Plan)	Oakland, California	I will continue to participate in this defined contribution/403(b) plan. The plan sponsor will not make further contributions after my separation.	7/1979
3	University of California Retirement Savings Program (Defined Contribution Plan)	Oakland, California	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	7/1979
4	University of California Retirement Savings Program (457(b) Plan)	Oakland, California	I will continue to participate in this defined contribution/457(b) plan. The plan sponsor will not make further contributions after my separation.	7/1979
5	University of California Retirement Plan	Oakland, California	I will continue to participate in this defined benefit plan and receive basic monthly income for life.	7/1979

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of California Los Angeles	Los Angeles, California	Clinical professor; Director of a psychiatric clinic; Director of the Hispanic Neuropsychiatric Center of Excellence, Department of Psychiatry, School of Medicine
2	Kaiser Health Plan & Hospitals	Oakland, California	Member, board of directors
3	Kaiser Foundation Health Plan of Georgia	Atlanta, Georgia	Member, Executive Advisory Board

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Comcast Corporation	N/A		Salary and bonus	
2	Residual Trust #1 for child	N/A		trustee fees	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Comcast Deferred Compensation Plan cash receivable	N/A	Over \$1,000,000		None (or less than \$201)
4	Comcast Stock Option Plan	No			
4.1	Comcast Corporation, Vested Non-Qualified Stock Options, 2017 Grant, 34,560 Vested Shares	N/A	Over \$1,000,000		None (or less than \$201)
4.2	Comcast Corporation, Unvested Non-Qualified Stock Options, 2017 Grant, 8,640 unvested shares, strike \$37.46, vest 3/22, expiration 03/27 (value not readily ascertainable)	N/A			None (or less than \$201)
4.3	Comcast Corporation, Vested Non-Qualified Stock Options, 2018 Grant, 25,140 shares	N/A	Over \$1,000,000		None (or less than \$201)
4.4	Comcast Corporation, Unvested Non-Qualified Stock Options, 2018 Grant, 16,760 unvested shares, strike price \$35.83, vest 3/22-3/23, expiration 3/28 (value not readily ascertainable)	N/A			None (or less than \$201)
4.5	Comcast Corporation, Vested Non-Qualified Stock Options, 2019 Grant, 15,200 Shares	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4.6	Comcast Corporation, Unvested Non-Qualified Stock Options, 2019 Grant, 22,800 Unvested Shares, strike price \$40.47, vest 3/22-24, expiration 3/29 (value not readily ascertainable)	N/A			None (or less than \$201)
4.7	Comcast Corporation, Unvested Non-Qualified Stock Options, 2020 Grant, 45,700 Unvested Shares, strike price \$42.52, vest 3/22-25, expiration 3/30 (value not readily ascertainable)	N/A			None (or less than \$201)
4.8	Comcast Corporation, Unvested Non-Qualified Stock Options, 2021 Grant, 31,200 Unvested Shares, strike price \$54.45, vest 3/23-26, expiration 2/31 (value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Comcast Restricted Stock Unit Plan	No			
5.1	Comcast Corporation, Vested Undistributed RSUs, 2017 Grant	N/A	\$250,001 - \$500,000		None (or less than \$201)
5.2	Comcast Corporation, Vested Undistributed RSUs, 2018 Grant	N/A	\$250,001 - \$500,000		None (or less than \$201)
5.3	Comcast Corporation, Vested Undistributed RSUs, 2019 Grant	N/A	\$250,001 - \$500,000		None (or less than \$201)
5.4	Comcast Corporation, Vested Undistributed RSUs, 2020 Grant	N/A	\$250,001 - \$500,000		None (or less than \$201)
5.5	Comcast Corporation, Vested Undistributed RSUs, 2021 Grant	N/A	\$250,001 - \$500,000		None (or less than \$201)
6	Comcast Retirement-Investment Fund Defined Contribution Plan	No			
6.1	Vanguard Institutional Target Retirement 2020 Fund Institutional Class Shares (VITWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.3	Fidelity Global Exchange US (FSGGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.4	Fidelity OODR Bond Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.5	Vanguard Small-Cap Index Fund Institutional Plus Shares (VSCPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	Raymond James IRA #1	No			
7.1	Apple Inc	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
7.2	Salesforce Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.3	First Trust Dow Target 10 April 2020 UIT	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	Raymond James IRA #2	No			
8.1	Abbott Labs	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.2	Accenture PLC Ireland Shs Class A	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
8.3	Adobe Systems Inc	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.4	Berkshire Hathaway Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.5	Alphabet Inc Class C	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.6	Home Depot Inc	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
8.7	Intuit	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.8	Mastercard Inc	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
8.9	Merck & Co.	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.10	Microsoft Corp	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
8.11	Nike Inc Class B	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.12	Paypal Holdings	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.13	Regeneron Pharma	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.14	Stryker Corp	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
8.15	Tractor Supply Co	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.16	Visa Inc Class A	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
8.17	Vmware Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Raymond James Roth IRA #3	No			
9.1	Amazon Inc	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.2	Facebook Inc	N/A	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account #2	No			
1.1	BYD Company Limited (BYDDL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Comcast Corp. (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3	Crispr Therapeutics (CRSP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Fulgent Genetics Inc. (FLGT)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	Fluor Corp. (FLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Farfetch Ltd (FTCH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	General Motors Co. (GM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.8	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
1.9	II-VI, Inc. (IIVI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	Pinterest, Inc. (PINS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Quantumscap Corp. (QS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Roblox Corp. (RBLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Shopify Inc (SHOP)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.14	Sonos, Inc. (SONO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Square, Inc. (SQ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.16	Zoom Video Communications, Inc. (ZM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	ARK Innovation ETF (ARKK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Fundrise	No			
2.1	Fundrise Real Estate Interval Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	Fundrise Balanced eREIT II, LLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Cerebras Systems (computer systems)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	MV (MicroVentures) Early Stage Fund I	No	\$1,001 - \$15,000		None (or less than \$201)
4.1	Mighty Buildings (developing new forms of affordable housing)	N/A			
5	Nextdoor (social media company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	SpaceX (space launch)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Waverly Labs Inc. (language translation software co)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	NowRX Series B Preferred (online pharmacy company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	NowRX Series A Preferred (online pharmacy company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Death & Co Series A Preferred (restaurants/bars)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	US Bank #1 (checking accounts)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
12	US bank #2 Savings Accounts	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
13	Fidelity Savings (cash account)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
14	Family Trust #1 (Brokerage Account #1)	No			
14.1	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.2	Vanguard Index Tr Vanguard 500 (VFIAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14.3	Six Circles Tr US Unconstrained (CUSUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.4	Six Circles Tr Global Bd Fd (CGLBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14.5	Vanguard Charlotte FDS Total Intl Bond (VTABX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.6	Six Circles Tr Intl Unconstrained Equity (CIUEX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14.7	Blackrock FDS V HGH YLD BND PORTFOLIO (BRHYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.8	iShares MSCI EAFE International Index Fund Class K Shares (BTMKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.9	JPMorgan BetaBuilders Japan ETF (BBJP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.10	JPMorgan BetaBuilders Canada ETF (BBCA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.11	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.12	JPMorgan BetaBuilders Europe ETF (BBEU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.13	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.14	JPMorgan BetaBuilders Developed Asia ex-Japan ETF (BBAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.15	Six Circles Trust Credit Opptys FD (CRDOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.16	JPMorgan Core Bond Fund Class R6 Shares (JCBUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.17	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.18	iShares MSCI Japan ETF (EWJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.19	iShares 7-10 Year Treasury Bond ETF (IEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.20	iShares MBS ETF (MBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.21	Dodge & Cox Income Fund (DODIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.22	Six Circles Tr Ultra Short Duration Fd (CUSDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	University Credit Union (checking account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
16	Residual Trust #1	N/A			
16.1	US bank (cash checking acct)	N/A	\$100,001 - \$250,000		None (or less than \$201)
16.2	US bank (Cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
16.3	Chubb Corp.	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
16.4	Comcast Corp.	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
16.5	Chevron Corp.	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
16.6	Eaton Corp.	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
16.7	First Trust Equity Closed End Fund UIT	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.8	First Trust Dow Target 10 June '20 UIT	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16.9	First Trust Target Global Dividend UIT	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
16.10	First Trust Dow Target 10 March '21 UIT	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
16.11	First Trust US Equity Closed End Fund UIT	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16.12	The Home Depot Inc. (HD)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
16.13	Cohen & Steers International Real Estate Mutual Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
16.14	Johnson & Johnson	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
16.15	JP Morgan Chase and Co.	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
16.16	Medtronic PLC Shares Ireland	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
16.17	Microsoft Corp.	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
16.18	Motorola Solutions Inc.	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
16.19	Pfizer Inc.	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16.20	iShares Preferred Shares ETF	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
16.21	AT&T Inc.	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.22	Union Pacific Corp.		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
16.23	Viatis Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
16.24	Verizon Communications Inc		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16.25	WalMart Inc.		N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
16.26	JL 99 Industrial Road, Elizabethtown, PA	See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.27	JL 5095 Ritter Road, Mechanicsburg, PA	See Endnote	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
17	Berkshire Hathaway		N/A	\$100,001 - \$250,000		None (or less than \$201)
18	General Motors Co. (GM)		N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
19	Apple Inc		N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
20	Amazon Inc		N/A	\$100,001 - \$250,000		None (or less than \$201)
21	Ceva Inc		N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Comcast Corp		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
23	Salesforce Inc		N/A	\$50,001 - \$100,000		None (or less than \$201)
24	Destra Flaherty & Crumrine Preff Mutual Fund Class I		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	Federated Hermes Emerging Market Debt Mutual Fund Class I	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	First Trust Dow Jones Internet Index ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Federated Hermes International Leaders Mutual Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	First Trust Dow Target 10 July 2020 UIT	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
29	Federated Hermes High Yield Bond Mutual Fund Class I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
30	First Trust Global Tactical Commodity ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	First Trust NASDAQ Transports ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
32	Fiverr International Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	First Trust Consumer Discretionary ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	First Trust Technology ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
35	First Trust Materials ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	GoDaddy Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	Alphabet Inc Class A	N/A	\$15,001 - \$50,000		None (or less than \$201)
38	Hartford Strategic Income Mutual Fund Class I	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39	iShares Expanded Tech ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
40	John Hancock Emerging Markets Equity Mutual Fund Class I	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	Carmax Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	Loomis Sayles Bond Mutual Fund Class I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
43	Netflix	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	Proctor & Gamble	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	Paypal Holdings	N/A	\$50,001 - \$100,000		None (or less than \$201)
46	First Trust NASDAQ 100 Tech ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	Victory Floating Rate Bond Mutual Fund Class N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
48	Invesco S&P 500 Eq Wt ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
49	SPDR S&P 500 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
50	AT&T Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
51	T-Mobile Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
52	Tesla Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
53	iShares MSCI US Min Vol ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
54	Visa Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
55	Vanguard Total World Stock ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
56	WCM International Growth Mutual Fund Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
57	Teton Convertible Securities Mutual Fund Class I	Yes	\$1,001 - \$15,000		None (or less than \$201)
58	SPDR Energy Sector ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
59	Blackstone BREDs II	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
60	Confyde Inc. (online healthcare apps)	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	iShares 20 Plus Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
62	Wells Fargo (savings accounts)	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Raymond James Mortgage	Mortgage on personal residence owned by family member	\$250,001 - \$500,000	2017	3.5%	15 years
2	Morgan Stanley Private Bank, National Association	Mortgage on Personal Residence	\$100,001 - \$250,000	2015	3.5%	30 years
3	Raymond James Securities Based Line of Credit	Exercised Line of Credit	\$100,001 - \$250,000	2011	2.11%	revolving
4	American Express	Credit Card	\$50,001 - \$100,000	2019	29.24%	revolving

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	16.26	commercial real estate investment
6.	16.27	commercial real estate investment

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.

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