

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

Filer's Information

Tom, Christian L

Special Assistant to the President and Deputy Director of Digital Strategy, White House - Biden-Harris Administration

Date of Termination: 08/05/2022

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/ Tom, Christian [electronically signed on 11/14/2022 by Tom, Christian 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/ Phillips, Anjali, Certifying Official [electronically signed on 12/09/2022 by Phillips, Anjali in Integrity.gov]

Other review conducted by

/s/ Phillips, Anjali, Ethics Official [electronically signed on 12/09/2022 by Phillips, Anjali in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 11/17/2022

Data Revised 11/15/2022

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Group Nine Media (digital media company), vested stock options (value not readily ascertainable):	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2	IRA #1	No			
2.1	Principal Midcap Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Apple Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	INVESCO QQQ ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	MICROSOFT CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	SPDR S&P 500 ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	SPDR DOW JONES INDUSTRIAL AVERAGE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Healthcare Select Sector SPDR Fund (XLV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Corning Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	IRA #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Bank of Montreal Autocallable Reverse Convertible Note tied to Qualcomm	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Credit Suisse Autocallable Reverse Convertible Note tied to Walt Disney	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Credit Suisse Autocallable Reverse Convertible Note tied to Boeing	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	IRA #3	No			
6.1	U.S. brokerage #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	iShares MSCI USA Value Factor ETF (VLUE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.7	VanEck CM Commodity Index Fund (CMCYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.8	Vanguard FTSE Developed Markets Index Fund ETF (VEA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.9	Vanguard Real Estate Index Fund ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	Vanguard FTSE Emerging Markets Index Fund ETF (VWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	ROTH IRA #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1	U.S. brokerage #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.2	Baron Asset Fund (BARIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	BlackRock Systematic Multi-Strategy Fund (BIMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	John Hancock Funds Disciplined Value Mid Cap Fund (JVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	Dodge & Cox Income Fund (DODIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.6	DWS Enhanced Commodity Strategy Fund (SKIRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.7	American Funds EuroPacific Growth Fund (AEPFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.8	Fidelity Advisor New Insights Fund (FINSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.9	Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.10	Goldman Sachs Absolute Return Tracker Fund (GJRTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.11	Goldman Sachs International Small Cap Insights Fund (GICIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.12	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.13	iShares MSCI USA Value Factor ETF (VLUE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.14	MFS Value Fund (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.15	American Funds New World Fund (NFFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.16	Northern Small Cap Value Fund (NOSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.17	Oakmark International Fund (OAYIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.18	PIMCO Income Fund (PONPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.19	Principal Real Estate Securities Fund (PIREX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.20	American Century Short Duration Inflation Protection Bond Fund (APOHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.21	The Hartford World Bond Fund (HWDIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.22	TIAA-CREF Core Bond Fund (TIBHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.23	Western Asset Core Bond Fund (WATFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	iShares MSCI Eurozone ETF (EZU)	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Vox Media	New York, New York	I have vested options in Vox Media (from Group Nine Media which was acquired by Vox Media). Until a liquidity event, there is no cash value of them.	6/2015

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	McCourt Institute	Washington, District of Columbia	Employment agreement with the McCourt Institute. Starting work as Head of Americas in August 2022.	8/2022

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	Attentive Inc (Mobile Messaging company), vested stock options: 11,357 vested shares, strike price \$1.12, exp 6/12/21 (value not readily ascertainable)	N/A			None (or less than \$201)
2	Verisk (VRSK)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3	HyperScience (document processing software)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4	HyperScience (document processing software) stock	N/A	\$250,001 - \$500,000		None (or less than \$201)
5	HyperScience 401(k)	No			
5.1	Vanguard Institutional Target Retirement 2050 Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Palantir 401(k)	No			
6.1	American Century Retirement Date 2050 Trust I (02508D799)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	American Century Retirement Date 2045 Trust I (02508D815)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	American Century Retirement Date 2040 Trust I (02508D823)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	American Century Retirement Date 2035 Trust I (02508D831)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	American Century Retirement Date 2030 Trust I (02508D849)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	American Century Retirement Date 2025 Trust I (02508D856)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	DFA U.S. Targeted Value Portfolio Institutional Class (DFFVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.8	Fidelity Small Cap Index Fund (FSSNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	Fidelity 500 Index Fund (FXAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	Fidelity Government Money Market Fund - Premium Class (FZCXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	Janus Henderson Enterprise Fund Class N (JDMNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	Invesco Developing Markets Fund Class R6 (ODVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	Invesco Core Bond Fund Class R6 (OPBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	T. Rowe Price New Horizons Fund (PRNHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.15	Vanguard Equity-Income Fund Admiral Shares (VEIRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.16	Vanguard GNMA Fund Admiral Shares (VFIJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.18	Vanguard Developed Markets Index Fund Admiral Shares (VTMGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account #1	No			
1.1	SPDR S&P 500 ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2	SPDR DOW JONES INDUSTRIAL AVERAGE ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3	FIRST TRUST NASDAQ CYBERSECURITY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	ALPHABET INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	AMAZON.COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	APPLE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	BERKSHIRE HATHAWAY INC CL B	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	WALT DISNEY CO	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	INVESCO SOLAR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	INVESCO QQQ ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	JPMORGAN CHASE & CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	MCDONALDS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	MICROSOFT CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	PAYPAL HOLDINGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	RAYTHEON TECHNOLOGIES CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	STARBUCKS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	VMWARE INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.18	VISA INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Principal Mid Cap Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	VMWARE INC CLASS (VMW), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3	Brokerage Account #2	No			
3.1	BAUSCH HEALTH COS INC (BHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	SPDR GOLD TR (GLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	FACEBOOK INC (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Vanguard Real Estate Index Fund ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Sea Limited (SE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	VANGUARD S&P 500 ETF (VOO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.7	iShares National Muni Bond ETF (MUB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	VANGUARD TOTAL INTERNATIONAL BOND INDEX ETF (BNDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Vanguard Intermediate-Term Corporate Bond Index Fund ETF (VCIT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.11	HORIZON THERAPEUTICS PUBLIC LIMITED COMPANY (HZNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	TRANSDIGM GROUP INCORPORATED (TDG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	Vanguard Small-Cap Index Fund ETF (VB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.14	DISCOVERY INC (DISCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	Vanguard Mid-Cap Index Fund ETF (VO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	VANGUARD FTSE EMERGING MARKETS (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.17	Vanguard Total Bond Market Index Fund ETF (BND)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.18	Vanguard Total World Stock Index Fund ETF (VT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	MICROSOFT CORP (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	Vanguard Mortgage-Backed Securities Index Fund ETF (VMBS)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.21	JD.COM INC (JD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	Vanguard FTSE Developed Markets Index Fund ETF (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.23	VIACOMCBS INC (VIAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.24	AMAZON.COM INC (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.25	Vanguard Growth Index Fund ETF Shares (VUG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.26	iShares 7-10 Year Treasury Bond ETF (IEF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.27	WELLCARE HEALTH PLANS INC (WCG)	N/A	None (or less than \$1,001)		\$201 - \$1,000
3.28	ALLERGAN PLC (AGN)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4	Northwestern Mutual, Whole Life Insurance	N/A	\$50,001 - \$100,000		None (or less than \$201)
5	Brokerage Account #3	No			
5.1	Baron Asset Fund (BARIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2	U.S. brokerage #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	John Hancock Funds Disciplined Value Mid Cap Fund (JVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	Dodge & Cox International Stock Fund (DODFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	DWS Enhanced Commodity Strategy Fund (SKIRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	T. Rowe Price Emerging Markets Stock Fund (PRMSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	American Funds EuroPacific Growth Fund (AEPFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	Fidelity Advisor Intermediate Municipal Income Fund (FZIIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.9	Fidelity Advisor New Insights Fund (FINSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.10	Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	iShares MSCI USA Value Factor ETF (VLUE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	MFS Value Fund (MEIIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.14	American Funds New World Fund (NFFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.15	Northern Small Cap Value Fund (NOSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.16	Principal Real Estate Securities Fund (PIREX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.17	American Funds Tax-Exempt Bond Fund (TEAFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	Brokerage Account #4	No			
6.1	U.S. brokerage #4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Hyperloop Tech Inc. (transportation technology), preferred stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	Residential real estate (Southold, NY)	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$50,001 - \$100,000
9	Brokerage Account #5	No			
9.1	JOHCM INTERNATIONAL SELECT FUND CLASS I (JOHIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.2	ALIBABA GROUP HLDG LTD SPONSORED ADR (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3	AMAZON COM INC (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.4	BIOGEN IDEC INC COM (BIIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.5	POLEN GROWTH FUND INSTITUTIONAL CLASS (POLIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.6	HARBOR LARGE CAP VALUE FUND INSTITUTIONAL CLASS (HAVLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.7	PAYPAL HLDGS INC COM (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.8	CHAMPLAIN SMALL COMPANY FUND INSTITUTIONAL SHARES (CIPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.9	EATON CORPORATION PLC (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.10	AT&T	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.11	ABBVIE INC COM (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.12	APPLE INC COM (APPL)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
9.13	AUTOMATIC DATA PROCESSING INC COM (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.14	BANK OF AMERICA CORPORATION COM (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.15	BOSTON PPTYS INC COM (BXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.16	BRISTOL MYERS SQUIBB CO COM (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.17	CHEVRON CORP NEW COM (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.18	CISCO SYSTEMS INC (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.19	CITIGROUP INC COM (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.20	COCA COLA COMPANY (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.21	CONSOLIDATED EDISON INC COM (ED)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.22	CONSTELLATION BRANDS INC CL A (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.23	CROWN CASTLE INTL CORP NEW COM (CCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.24	CUMMINS INC (CMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.25	DUKE ENERGY CORP (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.26	ECOLAB INC COM (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.27	EMERSON ELEC CO COM (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.28	EXXON MOBIL CORP COM (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.29	HOME DEPOT INC COM (HD)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
9.30	HONEYWELL INTL INC COM (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.31	ILLINOIS TOOL WORKS INC COM (ITW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.32	INTERNATIONAL BUSINESS MACHS CORP COM (IBM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.33	JP MORGAN CHASE & CO COM (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.34	JOHNSON & JOHNSON COM (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.35	LOCKHEED MARTIN CORP COM (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.36	MCDONALDS CORP (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.37	MERCK & CO INC NEW COM (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.38	MICROSOFT CORP COM (MSFT)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.39	Mondelez International, Inc. (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.40	MORGAN STANLEY COM (MS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.41	NEXTERA ENERGY INC COM (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.42	PNC FINL SVCS GROUP INC (PNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.43	PPG INDS INC COM (PPG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.44	PEOPLES UTD FINL INC COM (PCBT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.45	PEPSICO INC COM (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.46	PFIZER INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.47	PRICE T ROWE GROUP INC COM (TROW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.48	PROCTER & GAMBLE CO COM (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.49	PROLOGIS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.50	STARBUCKS CORP COM (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.51	SYSCO CORP COM (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.52	TARGET CORP COM (TGT)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
9.53	TEXAS INSTRUMENTS INC (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.54	US BANCORP DEL COM (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.55	UNION PAC CORP COM (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.56	UNION PAC CORP COM (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.57	V F CORP COM (VFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.58	WALMART INC COM (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.59	MEDTRONIC PLC SHS (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.60	BROADCOM INC COM (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.61	LINDE PLC SH (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.62	DOW INC COM (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.63	AMCOR PLC REGISTERED SHS (AMCR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.64	RAYTHEON TECHNOLOGIES CORP COM (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.65	COSTCO WHOLESALE CORP NEW COM	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
9.66	UnitedHealth Group, Inc. (UNH)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
9.67	WATSCO INC CL A	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
10	Brokerage Account #6	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1	ALPHABET INC CAP STK CL C (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	ALPHABET INC CAP STK CL A (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.3	AMAZON.COM INC (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.4	APPLE INC (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.5	GENERAL ELECTRIC CO (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.6	FIDELITY FREEDOM 2050 (FFFHX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.7	FIDELITY FREEDOM 2055 FUND (FDEEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.8	FIDELITY INT'L DISCOVERY (FIGRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.9	FIDELITY TOTAL MARKET INDEX FUND (FSKAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.10	FIDELITY 500 INDEX FUND (FXAIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.11	FIDELITY NASDAQ COMPOSITE INDEX (FNCMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.12	FIDELITY STRATEGIC REAL RETURN (FSRRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.13	FIDELITY FOCUSED STOCK FUND (FTQGX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10.14	FIDELITY NEW MILLENNIUM (FMILX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10.15	FIDELITY PURITAN (FPURX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.16	FIDELITY BALANCED (FBALX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.17	FIDELITY LOW PRICED STOCK (FLPSX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10.18	FIDELITY SELECT MED TECHNOLOGY & DEVICES (FSMEX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.19	FIDELITY SELECT MATERIALS PORTFOLIO (FSDPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.20	FIDELITY STRATEGIC INCOME FUND (FADMX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.21	FIDELITY NEW MARKETS INCOME (FNMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.22	FIDELITY GNMA FUND (FGMNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.23	AMG MANAGERS LOOMIS SAYLES BOND FUND N (MGFIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.24	FIDELITY MASS MUNI MONEY MARKET (FDMXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.25	FIDELITY GOVERNMENT CASH RESERVES (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.26	U.S. brokerage #5 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11	U.S. bank #1 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
12	U.S. bank #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Brokerage Account #7	No			
13.1	Northwestern Mutual, Whole Life Insurance	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	U.S. brokerage #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	US Treasury		\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	House rental	See Endnote	Exchange	01/01/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	First Republic	Mortgage on personal residence (rented during reporting period)	\$500,001 - \$1,000,000	2019	3.3%	30

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
7.	1	Rental of our house in New York State

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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