

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Runkel, Christopher M

Senior Counsel and DAEO, National Archives and Records Administration

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Runkel, Christopher M [electronically signed on 04/30/2021 by Runkel, Christopher M in Integrity.gov]

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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/ Klein, Jennifer A, Certifying Official [electronically signed on 06/14/2021 by Klein, Jennifer A in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/28/2021 by Granahan, Megan in Integrity.gov]

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Data Revised 06/14/2021

Data Revised 05/25/2021

Data Revised 05/24/2021

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## 1. Filer's Positions Held Outside United States Government

None

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

None

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## 3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Technology & Business Solutions, LLC, Dublin, OH (TBS) (Sells and maintains accounting/financial management software)	See Endnote	N/A		Salary, benefits, ownership draw (see endnote).	
2	Morgan Stanley IRA		No			
2.1	DXC Technology Company Stock DXC		N/A	\$1,001 - \$15,000		None (or less than \$201)

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#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	First Eagle Overseas Fund CI A SGOVX	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Perspecta Inc. Stock PRSP		N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Morgan Stanley Bank Deposit Program	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	First Eagle Overseas Fund CI A SGOVX	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	BAE Systems 401(k)		No			
3.1	Dodge & Cox Stock Fund DODGX		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.2	Westwood Mgmt Small/Mid Cap Institutional Fund WHGMX		Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.3	AMG TimesSquare Small Cap Growth Fund TSCIX		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
3.4	Fidelity Contrafund Commingled Pool		Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Technology & Business Solutions 401(k) Plan		No			
4.1	American Funds New World Fund Class R6 RNWGX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.2	Artisan International Value Fund Investor Class ARTKX		Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	ClearBridge Large Cap Growth Fund Class I SBLYX		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.4	Principal MidCap Fund Institutional Class PCBIX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.5	Dodge & Cox Income Fund DODIX		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	Principal Real Estate Securities Fund Inst Class PIREX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.7	Vanguard Small Cap Index Fund Adm Shares VSMAX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.8	Virtus Seix U.S. Government Securities Ultra-Short Bond Fund Class I SIGVX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.9	BlackRock Strategic Income Opportunities Portfolio Institutional Class BSIX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.10	Federated Hermes Instl High Yield Bond Instl Shares (IS) FIHBX	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.11	Goldman Sachs International Small Cap Insights Fund Class R6 GICUX	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.12	JPMorgan Equity Income Fund R5 OIERX		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.13	Vanguard International Growth Fund Admiral Shares VWILX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.14	PIMCO International Bond Fund (U.S. Dollar-Hedged) Inst (PFORX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	Vanguard GNMA Fund Admiral Shares (VFIJX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	Royce International Premier Fund Institutional Class RIPIX	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.17	DoubleLine Low Duration Bond Fund Cl I DBLSX	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Savings Bonds (Aggregate)	See Endnote	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2	Family Trust #1 (revocable)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
3	Pentagon Federal Credit Union (PFCU) Money Market Savings Account		N/A	\$15,001 - \$50,000		None (or less than \$201)
4	PFCU Checking Account		N/A	\$1,001 - \$15,000		None (or less than \$201)
5	PFCU Roth IRA Share Account	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	PFCU Roth IRA 7-Year CD		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7	Northwestern Mutual Life Insurance Company Whole Life Policies	See Endnote	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8	529 Plan Investments - Virginia College Savings Plan (Accounts Aggregated)	See Endnote	No			
8.1	American High-Income Trust-529A CITAX	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.2	Capital Income Builder Fund-529A CIRAX	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	Capital World Growth and Income Fund-529A CWIAX	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.4	Growth Fund of America-529A CGFAX	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9	Northwestern Mutual IRA		No			
9.1	Coca Cola Company Stock KO		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.2	Corning Inc Stock GLW		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.3	Intel Corp Stock INTC		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.4	Target Corp Stock TGT See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.5	AT&T Inc. Stock T	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.6	Charter Communications, Inc. Stock CHTR	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.7	Invesco Equity and Income A ACEIX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.8	Clipper Fund CFIMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.9	Columbia Contrarian Core Fund, Class Z SMGIX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.10	The Oakmark Fund, Class I OAKMX	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.11	Russell LifePoints Balanced Strategy Fund, Class A RBLAX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9.12	Schwab Market Track All Equity Fund SWE GX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	American Funds New World Fund Class R6 RNWX See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
2	Artisan International Value Fund Investor Class ARTKX See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
3	Dodge & Cox Income Fund DODIX See Endnote	Sale	03/20/2020	\$15,001 - \$50,000
4	Principal MidCap Fund Institutional Class PCBIX See Endnote	Sale	03/20/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
5	Principal Real Estate Securities Fund Inst Class PIREX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
6	ClearBridge Large Cap Growth Fund Class I SBLYX	See Endnote	Sale	03/20/2020	\$15,001 - \$50,000
7	Virtus Seix U.S. Government Securities Ultra-Short Bond Fund Class I SIGVX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
8	Vanguard Small Cap Index Fund Adm Shares VSMAX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
9	BlackRock Strategic Income Opportunities Fund Institutional Class BSIX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
10	DoubleLine Low Duration Bond Fund CI I DBLSX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
11	Federated Hermes Instl High Yield Bond Instl FIHBX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
12	Goldman Sachs International Small Cap Insights Fund Class R6 GICUX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
13	JPMorgan Equity Income Fund R5 OIERX	See Endnote	Sale	03/20/2020	\$15,001 - \$50,000
14	Vanguard International Growth Fund Admiral Shares VWILX	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
15	American High-Income Trust-529C CITCX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
16	Capital World Growth and Income Fund – 529-C	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
17	Capital World Growth and Income Fund-529A CWIAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
18	Capital Income Builder Fund-529C CIRCX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
19	American High-Income Trust-529A CITAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
20	Capital Income Builder Fund-529A CIRAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
21	Growth Fund of America-529C CGFCX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
22	American Funds New World Fund Class R6 RNWGX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
23	Growth Fund of America-529A CGFAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
24	BlackRock Strategic Income Opportunities Fund Inst Class BSIIIX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
25	ClearBridge Large Cap Growth Fund Class I SBLYX	See Endnote	Purchase	06/10/2020	\$15,001 - \$50,000
26	Artisan International Value Fund Investor Class ARTKX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
27	Dodge & Cox Income Fund DODIX	See Endnote	Purchase	06/10/2020	\$15,001 - \$50,000
28	Federated Hermes Instl High Yield Bond Instl Shares (IS) FIHBX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
29	JPMorgan Equity Income Fund R5 OIERX	See Endnote	Purchase	06/10/2020	\$15,001 - \$50,000
30	PIMCO International Bond Fund (U.S. Dollar-Hedged) Inst (PFORX)	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
31	Principal MidCap Fund Institutional Class PCBIX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
32	Goldman Sachs International Small Cap Insights Fund Class R6 GICUX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
33	Principal Real Estate Securities Fund Inst Class PIREX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
34	Vanguard GNMA Fund Admiral Shares (VFIJX)	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
35	Vanguard Small Cap Index Fund Adm Shares VSMAX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
36	Vanguard International Growth Fund Admiral Shares VWILX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
37	Virtus Seix U.S. Government Securities Ultra-Short Bond Fund Class I SIGVX	See Endnote	Purchase	06/10/2020	\$1,001 - \$15,000
38	DXC Technology Company Stock DXC	See Endnote	Sale	12/24/2020	\$1,001 - \$15,000
39	American High-Income Trust-529A CITAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
40	American High-Income Trust-529C CITCX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
41	Capital Income Builder Fund-529C CIRCX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
42	Capital Income Builder Fund-529A CIRAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
43	Capital World Growth and Income Fund-529A CWIAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
44	Capital World Growth and Income Fund-529A CWICX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
45	Growth Fund of America-529A CGFAX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
46	Growth Fund of America-529A CGFCX	See Endnote	Exchange	07/10/2020	\$1,001 - \$15,000
47	Goldman Sachs International Small Cap Insights Fund Class R6 GICUX	See Endnote	Sale	09/15/2020	\$1,001 - \$15,000
48	Royce International Premier Fund Institutional Class RIPIX	See Endnote	Purchase	09/15/2020	\$1,001 - \$15,000
49	American Funds New World Fund Class R6 RNWGX	See Endnote	Sale	12/22/2020	\$1,001 - \$15,000
50	ClearBridge Large Cap Growth Fund Class I SBLYX	See Endnote	Sale	12/22/2020	\$1,001 - \$15,000
51	Dodge & Cox Income Fund DODIX	See Endnote	Purchase	12/22/2020	\$1,001 - \$15,000
52	Vanguard Small Cap Index Fund Adm Shares VSMAX	See Endnote	Sale	12/22/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
53	Vanguard International Growth Fund Admiral Shares VWILX	See Endnote	Sale	12/22/2020	\$1,001 - \$15,000
54	Vanguard GNMA Fund Admiral Shares (VFIJX)	See Endnote	Purchase	12/22/2020	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
5.	1	Filer's spouse owns a 1.238% interest in the company. The value of that interest as of 12/31/2020 was not readily ascertainable. Ownership draw in 2020 > \$200.
5.	2.2	This fund was erroneously reported on 2020 OGE 278 as First Eagle Overseas Fund, CI C (FESOX). The plan administrator exchanged the Class C funds for Class A funds effective 3/26/2019. Filer missed this transaction when preparing 2020 annual OGE 278 and has requested a waiver of the late filing fee.
5.	2.4	Sweeps account for Morgan Stanley IRA account.
5.	2.5	Filer erroneously reported this asset as First Eagle Overseas Fund, CI C (FESOX) on 2020 annual OGE 278. The plan administrator exchanged Class C shares for Class A shares, effective 3/26/2019. Filer missed this transaction when preparing his 2020 annual form and did not report it then. Filer has requested a waiver of the late filing fee.
5.	4.10	Listed in prior year(s) as Federated Instl High Yield Bond Instl. Same fund, same ticker symbol.

PART	#	ENDNOTE
5.	4.11	All sold in 2020.
5.	4.14	New in 2020.
5.	4.15	New in 2020.
5.	4.16	New in 2020.
5.	4.17	All sold in 2020.
6.	1	Change in category is due to accumulation of interest.
6.	2	Distributions - \$0.00.
6.	5	Roth IRA consists of savings account.
6.	7	Spouse owns one policy, filer owns rest. Cash value increase: \$16,995.08.
6.	8	"Aggregated" means filer, spouse, dependent child accounts combined. Those for the benefit of only the Dependent Child are indicated as such.
6.	8.1	See transactions for exchange of 529-C shares (CITCX) to this fund.
6.	8.2	See transactions for exchange of 529-C shares (CIRCX) to this fund.
6.	8.3	See transactions for exchange of 529-C shares (CWICX) to this fund.
6.	8.4	See transactions for exchange of 529-C shares (CGFCX) to this fund.
6.	9.4	Increase in value from 2020 annual is due to market forces.
7.	1	TBS 401(k). All sold.
7.	2	TBS 401(k). All sold.
7.	3	TBS 401(k). All sold.
7.	4	TBS 401(k). All sold.
7.	5	TBS 401(k). Remaining value < \$1001. Reported on 278-T for filer's convenience.
7.	6	TBS 401(k). All sold.
7.	7	TBS 401(k). All sold.

PART	#	ENDNOTE
7.	8	TBS 401(k). All sold.
7.	9	TBS 401(k).
7.	10	TBS 401(k). All sold.
7.	11	TBS 401(k). All sold.
7.	12	TBS 401(k). All sold.
7.	13	TBS 401(k).
7.	14	TBS 401(k). All sold.
7.	15	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A. Dividends earned in 2020 prior to exchange < \$201. This fund will not be listed in Part 6 of 2021 annual OGE 278.
7.	16	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A. Dividends earned in 2020 prior to exchange < \$201. This fund will not be listed in Part 6 of 2021 annual OGE 278.
7.	17	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A.
7.	18	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A. Dividends earned in 2020 prior to exchange < \$201. This fund will not be listed in Part 6 of 2021 annual OGE 278.
7.	19	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A.
7.	20	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A.
7.	21	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A. Dividends earned in 2020 prior to exchange < \$201. This fund will not be listed in Part 6 of 2021 annual OGE 278.
7.	22	TBS 401(k). This fund was all sold on March 20, 2020, now repurchased.
7.	23	529 Plan Investments - Virginia College Savings Plan. Share class exchange from CI C to CI A.
7.	24	TBS 401(k). All sold in March 2020 and now repurchased.
7.	25	TBS 401(k). This fund was all sold on March 20, 2020, now repurchased.
7.	26	TBS 401(k). This fund was all sold on March 20, 2020, now repurchased.
7.	27	TBS 401(k). This fund was all sold on March 20, 2020, now repurchased.

PART	#	ENDNOTE
7.	28	TBS 401(k). Sold in March 2020 and now repurchased. This is the same fund previously listed as "Federated Instl High Yield Bond Instl" on annual 278s.
7.	29	TBS 401(k). All sold in March 2020 and now repurchased.
7.	30	TBS 401(k). New.
7.	31	TBS 401(k). This fund was all sold on March 20, 2020, now repurchased.
7.	32	TBS 401(k). This fund was all sold on March 20, 2020, now repurchased.
7.	33	TBS 401(k). Accretion.
7.	34	TBS 401(k). New.
7.	35	TBS 401(k). All sold in March 2020 and now repurchased.
7.	36	TBS 401(k). This fund was all sold on March 20, 2020, now repurchased.
7.	37	TBS 401(k). All sold in March 2020 and now repurchased.
7.	38	Morgan Stanley IRA. Filer's spouse received 98 shares of DXC Technology stock in 2017 from merger of CSC and the Enterprise Services business of Hewlett Packard Enterprise to create DXC. Effective 12/24/2020, spouse received cash for the sale of 99 shares of DXC Technology stock resulting from a "post merger program." Filer has been unable to determine what this means precisely, but DXC did prevail in an arbitration with HPE that involved a monetary dispute relating to the 2017 merger. Spouse retains 98 shares of DXC Technology stock as of 12/31/2020 and Morgan Stanley IRA statements have never shown more than that amount being owned. This transaction originally showed an effective date in November 2020, but corrected per subsequent documents from DXC Technology.
7.	39	VCSP Administrator transferred dependent child's 529-C shares (CITCX) to this fund in total.
7.	40	VCSP Administrator transferred dependent child's shares from this fund to the 529-A account (CITAX) in total. Income earned in 2020 prior to exchange < \$201.
7.	41	VCSP Administrator transferred dependent child's shares from this fund to the 529-A account (CIRAX) in total. Income earned in 2020 prior to exchange < \$201.
7.	42	VCSP Administrator transferred dependent child's 529-C shares (CIRCX) to this fund in total.
7.	43	VCSP Administrator transferred dependent child's 529-C shares (CWICX) to this fund in total.
7.	44	VCSP Administrator transferred dependent child's shares from this fund to the 529-A account (CWIAX) in total. Income earned in 2020 prior to exchange < \$201.

PART	#	ENDNOTE
7.	45	VCSP Administrator transferred dependent child's 529-C shares (CGFCX) to this fund in total.
7.	46	VCSP Administrator transferred dependent child's shares from this fund to the 529-A account (CGFAX) in total. No income earned in 2020 prior to exchange.
7.	47	TBS 401K. All sold.
7.	48	New. TBS 401(k).
7.	49	TBS 401K. Partial sale.
7.	50	TBS 401(k). Partial sale.
7.	51	TBS 401(k). Accretion.
7.	52	TBS 401(k). Partial sale.
7.	53	Partial sale.
7.	54	Accretion.

# 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).

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