

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

Filer's Information

Chu, Ming Qi

Senior Counsel, Department of Labor

Date of Termination: 10/04/2021

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/ Chu, Ming Q [electronically signed on 01/26/2022 by Chu, Ming Q 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/ Gray, Sabrina A, Certifying Official [electronically signed on 03/02/2022 by Gray, Sabrina A in Integrity.gov]

Other review conducted by

/s/ Whaley, LaShanda R, Ethics Official [electronically signed on 02/18/2022 by Whaley, LaShanda R in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 02/18/2022

Data Revised 02/15/2022

Data Revised 02/14/2022

Data Revised 02/04/2022

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	State University of New York, 401 (a) plan	No			
1.1	Fidelity Freedom 2050 Fund (FFFHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	Vladeck, Raskin, and Clark P.C., 401 (k) plan	No			
2.1	Fidelity Freedom Index 2050 Fund Institutional Premium Class Shares (FFOPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	DLA Piper LLP, 401 (k) plan	No			
3.1	Vanguard Target Retirement 2050 Trust II	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Roth IRA	No			
4.1	Vanguard Target Retirement 2045 Fund Investor Class Shares (VTIVX)	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	Vladeck, Raskin, and Clark P.C.	New York, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	5/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	State University of New York	New York, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	1/2021
3	DLA Piper LLP	New York, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	9/2013
4	New York Attorney General's Office	New York, New York	Employment agreement with New York Attorney General's Office. Starting work as an attorney in November 2021.	11/2021

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	Roth IRA	No			
1.1	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Colony Capital, Inc. (CLNY)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.3	Granite Point Mortgage Trust, Inc. (GPMT)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.4	New Residential Investment Corp. (NRZ)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.5	Two Harbors Investment Corp. (TWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	SPDR S&P China ETF (GXC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	DigitalBridge Group, Inc. (DBRG)	N/A	None (or less than \$1,001)		None (or less than \$201)
2	New York University, 401 (k) plan	No			
2.1	Vanguard Total Stock Market Index Fund Institutional Plus Class Shares (VSMPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	Columbia University, 401 (k) plan	No			
3.1	Vanguard® Inst Target Ret 2045 Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Columbia University	N/A		Consultant fee	
5	Code for America Salary	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. bank #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Schwab Brokerage	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
3.1	Alibaba Group Holding Limited (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Ambarella, Inc. (AMBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	American International Group, Inc. (AIG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.4	Apple, Inc. (AAPL)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
3.5	Palo Alto Networks, Inc. (PANW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Synaptics, Inc. (SYNA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Twitter, Inc. (TWTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	Vodafone Group Public Limited Company (VOD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.10	Goldman Sachs JUST U.S. Large Cap Equity ETF (JUST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	Schwab US Broad Market ETF (SCHB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.12	SPDR Portfolio Europe ETF (SPEU)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.13	iShares Trust - iShares ESG Advanced MSCI USA ETF (USXF)	Yes	\$15,001 - \$50,000		
3.14	iShares ESG MSCI USA ETF (ESGU)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Residential real estate, San Mateo, CA	N/A	\$250,001 - \$500,000	Rent or Royalties	\$1,001 - \$2,500
5	New York Life Whole Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	U.S. bank #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	U.S. bank #4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	U.S. bank #5 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	iShares ESG MSCI USA ETF (ESGU)	See Endnote	Purchase	05/17/2021	\$100,001 - \$250,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Anthony Dorie	See Endnote	Personal Loan	\$50,001 - \$100,000	2020	3.125	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
7.	1	Multiple purchases during 2021
8.	1	Mortgage on San Mateo, CA. Property is shared, but bank debt is not.

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

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