

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

## Filer's Information

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Kaye, Janice A

Chief Counsel for Administrative Law, Chief FOIA Officer and DAEO, Office of the U.S. Trade Representative

Report Year: 2022

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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/ Kaye, Janice A [electronically signed on 01/06/2022 by Kaye, Janice A 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/ Ricker, Monique T, Certifying Official [electronically signed on 02/23/2022 by Ricker, Monique T 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 03/07/2022 by Granahan, Megan in Integrity.gov]

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Data Revised 02/23/2022

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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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA				
1.1	Adobe Inc stock (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Amazon.com Inc stock (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	American Tower Corp stock (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Baxter International Inc stock (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	H & R Block Inc stock (HRB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.6	Clorox Co stock (CLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.7	Honeywell International Inc stock (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Microsoft Corp stock (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.9	Paypal Holdings Inc stock (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	PNC Financial Services Group Inc stock (PNC)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	Progressive Corp stock (PGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Raytheon Technologies Corp stock (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	salesforce.com inc stock (CRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.14	Texas Instruments Inc stock (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	US Bancorp stock (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	Verizon Communications Inc stock (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	Visa Inc stock (V)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.18	Xcel Energy Inc stock (XEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	iShares iBonds Dec 2022 Term Corporate ETF (IBDN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.20	iShares iBonds Dec 2023 Term Corporate ETF (IBDO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.21	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.22	iShares TIPS Bond ETF (TIP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.23	iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.24	SPDR Bloomberg Convertible Securities ETF (CWB)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.25	SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.26	AbbVie Inc stock (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	Alphabet Inc stock (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.28	Apple Inc stock (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.29	Berkshire Hathaway Inc stock (BRK.B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	Broadridge Financial Solutions Inc stock (BR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	Chevron Corp stock (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	Estee Lauder Companies Inc stock (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	Linde PLC stock (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	Meta Platforms Inc (formerly Facebook Inc) stock (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	Nike Inc stock (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	Pepsico Inc stock (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.37	Sony Group Corp stock (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.38	Volkswagen Group stock (VLKPF)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.39	iShares Core U.S. Aggregate Bond ETF (AGG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.40	iShares US Preferred Stock ETF (PFF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.41	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.42	US bank (cash account)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA				
1.1	Adobe Inc stock (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Alphabet Inc stock (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	Amazon.com Inc stock (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	American Tower Corp stock (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Baxter International Inc stock (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	H & R Block Inc stock (HRB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.7	Clorox Co stock (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Honeywell International Inc stock (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.9	Microsoft Corp stock (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.10	NVIDIA Corp stock (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Paypal Holdings Inc stock (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	PNC Financial Services Group Inc stock (PNC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.13	Progressive Corp stock (PGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	Raytheon Technologies Corp stock (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	salesforce.com inc stock (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	Texas Instruments Inc stock (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	US Bancorp stock (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.18	Verizon Communications Inc stock (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Visa Inc stock (V)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.20	Xcel Energy Inc stock (XEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	iShares iBonds Dec 2022 Term Corporate ETF (IBDN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.22	iShares iBonds Dec 2023 Term Corporate ETF (IBDO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.23	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.24	iShares TIPS Bond ETF (TIP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.25	iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.26	SPDR Bloomberg Convertible Securities ETF (CWB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.27	SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.28	US bank (cash account)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

## 6. Other Assets and Income



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	iShares Core U.S. Aggregate Bond ETF (AGG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	Accenture PLC stock (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Honeywell International Inc stock (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	PNC Financial Services Group Inc stock (PNC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5	Union Pacific Corp stock (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Charles Schwab Corp 5.95% perpetual preferred stock (SCHW.PRD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7	Church & Dwight Co stock (CHD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Danaher Corp stock (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Johnson & Johnson stock (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Microsoft Corp stock (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11	Nextera Energy Inc stock (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	Pfizer Inc stock (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Roper Technologies stock (ROP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	TJX Co Inc stock (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	UnitedHealth Group Inc stock (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Verizon Communications stock (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Visa Inc stock (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	iShares TIPS Bond ETF (TIP)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20	iShares 7-10 Year Treasury Bond ETF (IEF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	SPDR Bloomberg Barclays Short Term High Yield Bond ETF (SJNK)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
22	Amazon.com Inc stock (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	Xcel Energy Inc stock (XEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Berkshire Hathaway Inc stock (BRK.B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	Eli Lilly & Co stock (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	Progressive Corp stock (PGR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
28	Adobe Inc stock (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	Baxter International Inc stock (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	Mcdonald's Corp stock (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	Sony Corp stock (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	U.S. Bancorp stock (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	US bank (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	US bank (cash accounts)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
35	iShares US Preferred Stock ETF (PFF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
36	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
37	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
38	Lowes Co stock (LOW)	N/A	\$15,001 - \$50,000		None (or less than \$201)
39	Raytheon Technologies Corp stock (UTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	SPDR S&P 500 ETF (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	H & R Block Inc stock (HRB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
42	Texas Instruments Inc stock (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	Broadridge Financial Solutions Inc stock (BR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	Volkswagen Group stock (VLKPF)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45	iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
47	Brown Capital Management International Small Company Fund (BCSFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Intel Corp stock (INTC)	Sale	01/08/2021	\$1,001 - \$15,000
2	Leidos Holdings Inc stock (LDOS)	Purchase	02/05/2021	\$1,001 - \$15,000
3	SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Purchase	03/05/2021	\$1,001 - \$15,000
4	Sony Corp stock (SNE)	Purchase	03/08/2021	\$1,001 - \$15,000
5	Volkswagen Group stock (VLKPF)	Purchase	03/22/2021	\$1,001 - \$15,000
6	IRA: SPDR S&P 500 ETF (SPY)	Sale	04/05/2021	\$1,001 - \$15,000
7	iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Purchase	04/05/2021	\$1,001 - \$15,000
8	IRA: Broadridge Financial Solutions Inc stock (BR)	Purchase	05/10/2021	\$1,001 - \$15,000
9	UnitedHealth Group Inc stock (UNH)	Sale	05/28/2021	\$1,001 - \$15,000
10	Pfizer Inc stock (PFE)	Sale	06/10/2021	\$1,001 - \$15,000
11	IRA: Linde PLC stock (LIN)	Sale	06/15/2021	\$1,001 - \$15,000
12	Eli Lilly And Co stock (LLY)	Sale	06/21/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
13	Lowe`s Companies Inc stock (LOW)	Sale	06/15/2021	\$1,001 - \$15,000
14	Danaher Corp stock (DHR)	Sale	09/24/2021	\$1,001 - \$15,000
15	Accenture plc stock (ACN)	Sale	10/01/2021	\$1,001 - \$15,000
16	Amazon.com Inc stock (AMZN)	Purchase	10/15/2021	\$1,001 - \$15,000
17	Leidos Holdings Inc stock (LDOS)	Sale	11/05/2021	\$1,001 - \$15,000
18	iShares Select Dividend ETF (DVY)	Sale	11/19/2021	\$1,001 - \$15,000
19	Iberdrola SA stock (IBDSF)	Sale	12/03/2021	\$1,001 - \$15,000
20	IRA: Adobe Inc stock (ADBE)	Purchase	12/16/2021	\$1,001 - \$15,000
21	IRA: Amazon.com Inc stock (AMZN)	Purchase	12/16/2021	\$1,001 - \$15,000
22	IRA: Clorox Co stock (CLX)	Purchase	12/16/2021	\$1,001 - \$15,000
23	IRA: American Tower Corp stock (AMT)	Purchase	12/16/2021	\$1,001 - \$15,000
24	IRA: H & R Block Inc stock (HRB)	Purchase	12/16/2021	\$1,001 - \$15,000
25	IRA: Baxter International Inc stock (BAX)	Purchase	12/16/2021	\$1,001 - \$15,000
26	IRA: Honeywell International Inc stock (HON)	Purchase	12/16/2021	\$1,001 - \$15,000
27	IRA: Microsoft Corp stock (MSFT)	Purchase	12/16/2021	\$15,001 - \$50,000
28	IRA: PNC Financial Services Group Inc stock (PNC)	Purchase	12/16/2021	\$1,001 - \$15,000
29	IRA: Paypal Holdings Inc stock (PYPL)	Purchase	12/16/2021	\$1,001 - \$15,000
30	IRA: Progressive Corp stock (PGR)	Purchase	12/16/2021	\$1,001 - \$15,000
31	IRA: Raytheon Technologies Corp stock (RTX)	Purchase	12/16/2021	\$1,001 - \$15,000
32	IRA: salesforce.com inc stock (CRM)	Purchase	12/16/2021	\$1,001 - \$15,000
33	IRA: Texas Instruments Inc stock (TXN)	Purchase	12/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
34	IRA: Verizon Communications Inc stock (VZ)	Purchase	12/16/2021	\$1,001 - \$15,000
35	IRA: US Bancorp stock (USB)	Purchase	12/16/2021	\$1,001 - \$15,000
36	IRA: Visa Inc stock (V)	Purchase	12/16/2021	\$15,001 - \$50,000
37	IRA: Xcel Energy Inc stock (XEL)	Purchase	12/16/2021	\$1,001 - \$15,000
38	IRA: iShares TIPS Bond ETF (TIP)	Purchase	12/16/2021	\$15,001 - \$50,000
39	IRA: iShares iBonds Dec 2023 Term Corporate ETF (IBDO)	Purchase	12/16/2021	\$15,001 - \$50,000
40	IRA: iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Purchase	12/16/2021	\$15,001 - \$50,000
41	IRA: iShares iBonds Dec 2022 Term Corporate ETF (IBDN)	Purchase	12/16/2021	\$15,001 - \$50,000
42	IRA: iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Purchase	12/16/2021	\$15,001 - \$50,000
43	IRA: SPDR Bloomberg Convertible Securities ETF (CWB)	Purchase	12/16/2021	\$1,001 - \$15,000
44	IRA: SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Purchase	12/16/2021	\$1,001 - \$15,000
45	S-IRA: Alphabet Inc stock (GOOGL)	Purchase	12/16/2021	\$1,001 - \$15,000
46	S-IRA: Adobe Inc stock (ADBE)	Purchase	12/16/2021	\$1,001 - \$15,000
47	S-IRA: American Tower Corp stock (AMT)	Purchase	12/16/2021	\$1,001 - \$15,000
48	S-IRA: Amazon.com Inc stock (AMZN)	Purchase	12/16/2021	\$1,001 - \$15,000
49	S-IRA: Baxter International Inc stock (BAX)	Purchase	12/16/2021	\$1,001 - \$15,000
50	S-IRA: H & R Block Inc stock (HRB)	Purchase	12/16/2021	\$1,001 - \$15,000
51	S-IRA: Clorox Co stock (CLX)	Purchase	12/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	S-IRA: Honeywell International Inc stock (HON)	Purchase	12/16/2021	\$1,001 - \$15,000
53	S-IRA: Microsoft Corp stock (MSFT)	Purchase	12/16/2021	\$15,001 - \$50,000
54	S-IRA: Progressive Corp stock (PGR)	Purchase	12/16/2021	\$1,001 - \$15,000
55	S-IRA: PNC Financial Services Group Inc stock (PNC)	Purchase	12/16/2021	\$1,001 - \$15,000
56	S-IRA: Raytheon Technologies Corp stock (RTX)	Purchase	12/16/2021	\$1,001 - \$15,000
57	S-IRA: Texas Instruments Inc stock (TXN)	Purchase	12/16/2021	\$1,001 - \$15,000
58	S-IRA: salesforce.com inc stock (CRM)	Purchase	12/16/2021	\$1,001 - \$15,000
59	S-IRA: US Bancorp stock (USB)	Purchase	12/16/2021	\$1,001 - \$15,000
60	S-IRA: Verizon Communications Inc stock (VZ)	Purchase	12/16/2021	\$1,001 - \$15,000
61	S-IRA: Visa Inc stock (V)	Purchase	12/16/2021	\$15,001 - \$50,000
62	S-IRA: Xcel Energy Inc stock (XEL)	Purchase	12/16/2021	\$1,001 - \$15,000
63	S-IRA: iShares TIPS Bond ETF (TIP)	Purchase	12/16/2021	\$15,001 - \$50,000
64	S-IRA: iShares iBonds Dec 2023 Term Corporate ETF (IBDO)	Purchase	12/16/2021	\$15,001 - \$50,000
65	S-IRA: iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Purchase	12/16/2021	\$15,001 - \$50,000
66	S-IRA: iShares iBonds Dec 2022 Term Corporate ETF (IBDN)	Purchase	12/16/2021	\$15,001 - \$50,000
67	S-IRA: iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Purchase	12/16/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	S-IRA: SPDR Bloomberg Convertible Securities ETF (CWB)	Purchase	12/16/2021	\$15,001 - \$50,000
69	IRA: Adobe Inc stock (ADBE)	Purchase	12/22/2021	\$1,001 - \$15,000
70	S-IRA: SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Purchase	12/16/2021	\$1,001 - \$15,000
71	IRA: Amazon.com Inc stock (AMZN)	Purchase	12/22/2021	\$1,001 - \$15,000
72	IRA: H & R Block Inc stock (HRB)	Purchase	12/22/2021	\$1,001 - \$15,000
73	IRA: salesforce.com inc stock (CRM)	Purchase	12/22/2021	\$1,001 - \$15,000
74	IRA: US Bancorp stock (USB)	Purchase	12/22/2021	\$1,001 - \$15,000
75	IRA: SPDR Bloomberg Convertible Securities ETF (CWB)	Purchase	12/22/2021	\$1,001 - \$15,000
76	IRA: SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Purchase	12/22/2021	\$1,001 - \$15,000
77	S-IRA: Adobe Inc stock (ADBE)	Purchase	12/22/2021	\$1,001 - \$15,000
78	S-IRA: Amazon.com Inc stock (AMZN)	Purchase	12/22/2021	\$1,001 - \$15,000
79	S-IRA: H & R Block Inc stock (HRB)	Purchase	12/22/2021	\$1,001 - \$15,000
80	S-IRA: salesforce.com inc stock (CRM)	Purchase	12/22/2021	\$1,001 - \$15,000
81	S-IRA: US Bancorp stock (USB)	Purchase	12/22/2021	\$1,001 - \$15,000
82	S-IRA: SPDR Bloomberg Convertible Securities ETF (CWB)	Purchase	12/22/2021	\$1,001 - \$15,000
83	S-IRA: SPDR Portfolio S&P 500 High Dividend ETF (SPYD)	Purchase	12/22/2021	\$1,001 - \$15,000
84	S-IRA: NVIDIA Corp stock (NVDA)	Purchase	12/13/2021	\$1,001 - \$15,000
85	S-IRA: Paypal Holdings Inc stock (PYPL)	Purchase	12/13/2021	\$1,001 - \$15,000
86	Brown Capital Management International Small Company Fund (BCSFX)	Purchase	05/27/2021	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
87	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)		Purchase	06/15/2021	\$1,001 - \$15,000
88	Broadridge Financial Solutions Inc stock (BR)		Purchase	10/01/2021	\$1,001 - \$15,000
89	Texas Instruments Inc stock (TXN)		Purchase	11/05/2021	\$1,001 - \$15,000
90	IRA: Volkswagen Group stock (VLKPF)		Purchase	12/03/2021	\$1,001 - \$15,000
91	Wells Fargo & Co perpetual preferred stock (WFC.PRW)	See Endnote	Sale	03/15/2021	\$1,001 - \$15,000
92	iShares iBonds Dec 2021 Term Corporate ETF (IBDM)	See Endnote	Sale	12/15/2021	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
7.	91	stock was redeemed
7.	92	fund closed on 12/15/2021

# 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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