Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Emanuel, William

Board Member, National Labor Relations Board

Date of Termination: 08/27/2021

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/ Emanuel, William [electronically signed on 08/25/2021 by Emanuel, William 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/ Burow, Kathryn, Certifying Official [electronically signed on 08/26/2021 by Burow, Kathryn in Integrity.gov]

Other review conducted by
/s/ Dougherty, Matthew, Ethics Official [electronically signed on 08/26/2021 by Dougherty, Matthew in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/26/2021 by Granahan, Megan in Integrity.gov]

Data Revised 08/25/2021

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(08/25/2021, Emanuel, William): The filer agreed to update the reported information if it changes before or on the indicated termination date.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Emanuel Family Trust	Los Angeles, California	Trust	Trustee	9/2007	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Jones Day Qualified Defined Benefit Plan		N/A		Retirement Payment	$10,375
2	UBS Individual Retirement Account	See Endnote	No			
2.1	iShares S&P 500 Value ETF (IVE)		Yes	$250,001 - $500,000		$2,501 - $5,000
2.2	iShares Russell 1000 Value ETF (IWD)		Yes	$250,001 - $500,000		$2,501 - $5,000
2.3	iShares MSCI Eurozone ETF (EZU)		Yes	$1,001 - $15,000		None (or less than $201)
2.4	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)		Yes	$1,001 - $15,000		None (or less than $201)
2.5	Vanguard Growth Index Fund ETF Class Shares (VUG)		Yes	$250,001 - $500,000		$201 - $1,000
2.6	First Trust Low Duration Opportunities ETF (LMBS)		Yes	$100,001 - $250,000		$1,001 - $2,500
2.7	iShares TIPS Bond ETF (TIP)		Yes	$100,001 - $250,000		$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	iShares Short-Term Corporate Bond ETF (IGSB)	Yes	$100,001 - $250,000		$1,001 - $2,500
2.9	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	$100,001 - $250,000		$1,001 - $2,500
2.10	JPMorgan Ultra-Short Income ETF (JPST)	Yes	$250,001 - $500,000		$1,001 - $2,500
2.11	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Yes	$100,001 - $250,000		$201 - $1,000
2.12	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Yes	$100,001 - $250,000		$1,001 - $2,500
2.13	UBS Bank USA DEP ACCT	No	$15,001 - $50,000		None (or less than $201)
2.14	Vanguard Small-Cap ETF (VB)	Yes	$100,001 - $250,000		$201 - $1,000
2.15	Vanguard Mid-Cap ETF (VO)	Yes	$250,001 - $500,000		$1,001 - $2,500
2.16	Vanguard S&P 500 ETF (VOO)	Yes	$1,000,001 - $5,000,000		$5,001 - $15,000
2.17	iShares 1-3 YR Treasury Bond ETF (SHY)	Yes	$100,001 - $250,000		$201 - $1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Jones Day Qualified Defined Benefit Plan	Los Angeles, California	I will continue to participate in this defined benefit plan.	1/1998

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	SEP IRA	See Endnote	No			
1.1	iShares 7-10 Year Treasury Bond ETF (IEF)		Yes	$1,001 - $15,000		None (or less than $201)
1.2	iShares 1-3 Year Treasury Bond ETF (SHY)		Yes	$1,001 - $15,000		None (or less than $201)
1.3	iShares S&P 500 Value ETF (IVE)		Yes	$15,001 - $50,000		None (or less than $201)
1.4	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)		Yes	$1,001 - $15,000		None (or less than $201)
1.5	Vanguard Growth Index Fund ETF Class Shares (VUG)		Yes	$15,001 - $50,000		None (or less than $201)
1.6	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)		Yes	$1,001 - $15,000		None (or less than $201)
1.7	iShares Short-Term Corporate Bond ETF (IGSB)		Yes	$1,001 - $15,000		None (or less than $201)
1.8	iShares 0-5 Year TIPS Bond ETF (STIP)		Yes	$1,001 - $15,000		None (or less than $201)
1.9	iShares Russell 1000 Value ETF (IWD)		Yes	$1,001 - $15,000		None (or less than $201)
1.10	UBS Bank USA DEP Acct (Cash)		N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	iShares Russell Mid-Cap ETF (IWR)		Yes	$1,001 - $15,000		None (or less than $201)
1.12	Vanguard 500 Index Fund ETF Shares (VOO)		Yes	$15,001 - $50,000		None (or less than $201)
1.13	First Trust Enhanced Short Maturity ETF (FTSM)		No	$1,001 - $15,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	602 Santa Monica Partners LP	See Endnote	No	$1,001 - $15,000	Limited partnership distribution	$1,071
2	U. S. bank account (cash)		N/A	$100,001 - $250,000	Interest	None (or less than $201)
3	The Emanuel Family Trust DTD	See Endnote	No		Distributions	$60,800
3.1	UBS Money Market Deposit Account		N/A	$50,001 - $100,000		None (or less than $201)
3.2	Vanguard Mid-Cap ETF (VO)		Yes	$50,001 - $100,000		$201 - $1,000
3.3	iShares S&P 500 ETF (IVE)		Yes	$250,001 - $500,000		$2,501 - $5,000
3.4	iShares Russell 1000 Value ETF (IWD)		Yes	$100,001 - $250,000		$1,001 - $2,500
3.5	Vanguard Growth Index Fund ETF Class Shares (VUG)		Yes	$100,001 - $250,000		$201 - $1,000
3.6	iShares TIPS Bond ETF (TIP)		Yes	$50,001 - $100,000		$201 - $1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.7	iShares 0-5 Year TIPS Bond ETF (STIP)		Yes	$50,001 - $100,000		$201 - $1,000
3.8	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)		Yes	$50,001 - $100,000		$201 - $1,000
3.9	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)		Yes	$100,001 - $250,000		$201 - $1,000
3.10	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)		Yes	$15,001 - $50,000		$201 - $1,000
3.11	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)		Yes	$500,001 - $1,000,000		$5,001 - $15,000
3.12	IShares Trust 1-5 INVT Grade Corp Bond (IGSB)	See Endnote	N/A	$100,001 - $250,000		$1,001 - $2,500
3.13	JP Morgan Ultra-Short Income ETF		N/A	$100,001 - $250,000		$201 - $1,000
3.14	iShares MSCI Eurozone ETF (EZU)		Yes	$1,001 - $15,000		None (or less than $201)
3.15	Vanguard 500 Index Fund ETF Shares (VOO)		Yes	$500,001 - $1,000,000		$2,501 - $5,000
3.16	Vanguard Small-Cap Value ETF (VBR)		Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Exxon Mobil Corp. (XOM)	Sale	06/08/2021	$1,001 - $15,000
2	Exxon Mobil Corp. (XOM)	Purchase	05/12/2021	$1,001 - $15,000
3	VANGUARD S&P 500 ETF DE	Purchase	06/10/2021	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	VANGUARD GROWTH ETF DE	Purchase	06/10/2021	$15,001 - $50,000
5	VANGUARD ENERGY ETF DE	Sale	06/10/2021	$1,001 - $15,000
6	ISHARES S&P 500 VALUE ETF	Purchase	06/10/2021	$1,001 - $15,000
7	VANGUARD CONSUMER DISCRETIONARY ETF	Sale	06/10/2021	$1,001 - $15,000
8	ENERGY SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$1,001 - $15,000
9	FINANCIAL SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$1,001 - $15,000
10	MATERIALS SELECT SECTOR SPDR TRUST ETF	Sale	06/10/2021	$1,001 - $15,000
11	HEALTH CARE SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$1,001 - $15,000
12	INDUSTRIAL SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$1,001 - $15,000
13	SPDR S&P BIOTECH ETF DE	Sale	06/10/2021	$1,001 - $15,000
14	ISHARES TRANSN AVERAGE ETF	Sale	06/10/2021	$1,001 - $15,000
15	ISHARES US HOME CONSTR ETF	Sale	06/10/2021	$1,001 - $15,000
16	ISHARES MSCI EMERGING MARKETS ETF	Sale	06/10/2021	$1,001 - $15,000
17	ISHARES PHLX SEMICONDUCTOR ETF	Sale	06/10/2021	$1,001 - $15,000
18	ISHARES US REAL ESTATE ETF	Sale	06/10/2021	$1,001 - $15,000
19	ISHARES MSCI GLOBAL SELECT METALS & MINING	Sale	06/10/2021	$1,001 - $15,000
20	FINANCIAL SELECT SECTOR SPDR FUND ETF	Purchase	05/18/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
21	ISHARES MSCI GLOBAL SELECT METALS & MINING	Purchase	05/24/2021	$1,001 - $15,000
22	VANGUARD GROWTH ETF DE	Sale	05/13/2021	$1,001 - $15,000
23	ISHARES US REAL ESTATE ETF	Purchase	03/31/2021	$1,001 - $15,000
24	SPDR S&P BIOTECH ETF DE	Sale	05/12/2021	$1,001 - $15,000
25	VANGUARD GROWTH ETF DE	Sale	03/29/2021	$1,001 - $15,000
26	VANGUARD SMALL-CAP VALUE ETF	Purchase	03/11/2021	$1,001 - $15,000
27	ISHARES 0-5 YEAR TIPS BOND ETF	Purchase	02/10/2021	$1,001 - $15,000
28	SPDR S&P BIOTECH ETF DE	Purchase	01/21/2021	$1,001 - $15,000
29	VANGUARD ENERGY ETF DE	Purchase	01/07/2021	$1,001 - $15,000
30	ISHARES RUSSELL 1000 VALUE ETF	Purchase	01/07/2021	$1,001 - $15,000
31	ISHARES RUSSELL 2000 ETF DE	Sale	01/06/2021	$1,001 - $15,000
32	ISHARES RUSSELL 1000 VALUE ETF	Purchase	06/11/2021	$15,001 - $50,000
33	VANGUARD S&P 500 ETF DE	Purchase	06/10/2021	$1,000,001 - $5,000,000
34	ISHARES MSCI SOUTH KOREA ETF	Sale	06/11/2021	$1,001 - $15,000
35	VANGUARD GROWTH ETF DE	Purchase	06/10/2021	$100,001 - $250,000
36	JP MORGAN ULTRA-SHORT INCOME ETF	Purchase	06/10/2021	$100,001 - $250,000
37	ISHARES S&P 500 VALUE ETF	Purchase	06/10/2021	$250,001 - $500,000
38	VANGUARD SHORT-TERM BOND ETF	Sale	06/10/2021	$100,001 - $250,000
39	VANECK VECTORS SEMICONDUCTOR ETF	Sale	06/10/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
40	FIRST TRUST LOW DURATION MORTGAGE OPPORTUNITIES	Purchase	06/10/2021	$50,001 - $100,000
41	VANGUARD FINANCIALS ETF DE	Sale	06/10/2021	$1,001 - $15,000
42	VANGUARD ENERGY ETF DE	Sale	06/10/2021	$50,001 - $100,000
43	VANGUARD CONSUMER DISCRETIONARY ETF	Sale	06/10/2021	$100,001 - $250,000
44	MATERIALS SELECT SECTOR SPDR TRUST ETF	Sale	06/10/2021	$50,001 - $100,000
45	ENERGY SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$100,001 - $250,000
46	SPDR GOLD SHARES ETF DE	Sale	06/10/2021	$1,001 - $15,000
47	INDUSTRIAL SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$100,001 - $250,000
48	FINANCIAL SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$100,001 - $250,000
49	UTILITIES SECTOR SPDR FUND ETF	Sale	06/10/2021	$15,001 - $50,000
50	SPDR S&P REGL BANKING ETF	Sale	06/10/2021	$1,001 - $15,000
51	SPDR BLACKSTONE SENIOR LN ETF	Sale	06/10/2021	$1,001 - $15,000
52	HEALTH CARE SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$100,001 - $250,000
53	SPDR S&P BIOTECH ETF DE	Sale	06/10/2021	$15,001 - $50,000
54	ISHARES JP MORGAN USD EMERGING MARKETS BOND	Sale	06/10/2021	$50,001 - $100,000
55	ISHARES US HOME CONSTR ETF	Sale	06/10/2021	$100,001 - $250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
56	ISHARES PHLX SEMICONDUCTOR ETF	Sale	06/10/2021	$50,001 - $100,000
57	ISHARES TRANSN AVERAGE ETF	Sale	06/10/2021	$50,001 - $100,000
58	ISHARES US REAL ESTATE ETF	Sale	06/10/2021	$15,001 - $50,000
59	FIRST TR NYSE ARCA BIOTEC INDEX FD ETF	Sale	06/10/2021	$50,001 - $100,000
60	EXXON MOBIL CORP DE	Sale	06/10/2021	$1,001 - $15,000
61	FINANCIAL SELECT SECTOR SPDR FUND ETF	Purchase	05/18/2021	$100,001 - $250,000
62	VANGUARD FINANCIALS ETF DE	Purchase	05/24/2021	$1,001 - $15,000
63	ISHARES MSCI GLOBAL SELECT METALS & MINING	Sale	06/10/2021	$15,001 - $50,000
64	ISHARES MSCI GLOBAL SELECT METALS & MINING	Purchase	05/24/2021	$15,001 - $50,000
65	ISHARES RUSSELL 1000 VALUE ETF	Purchase	05/13/2021	$50,001 - $100,000
66	EXXON MOBIL CORP DE	Purchase	05/14/2021	$1,001 - $15,000
67	VANGUARD GROWTH ETF DE	Sale	05/13/2021	$100,001 - $250,000
68	SPDR S&P BIOTECH ETF DE	Sale	05/12/2021	$15,001 - $50,000
69	VANGUARD SMALL-CAP ETF DE	Sale	04/23/2021	$1,001 - $15,000
70	ISHARES MSCI GLOBAL SELECT METALS & MINING	Purchase	05/12/2021	$1,001 - $15,000
71	SPDR S&P BIOTECH ETF DE	Purchase	04/19/2021	$1,001 - $15,000
72	VANECK VECTORS SEMICONDUCTOR ETF	Purchase	04/08/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
73	VANGUARD GROWTH ETF DE	Purchase	04/16/2021	$1,001 - $15,000
74	VANGUARD GROWTH ETF DE	Sale	03/29/2021	$50,001 - $100,000
75	ISHARES MSCI EUROZONE ETF	Purchase	03/31/2021	$1,001 - $15,000
76	ISHARES US REAL ESTATE ETF	Purchase	03/31/2021	$15,001 - $50,000
77	ISHARES MSCI SOUTH KOREA ETF	Purchase	03/22/2021	$1,001 - $15,000
78	SPDR BLACKSTONE SENIOR LN ETF	Purchase	03/24/2021	$1,001 - $15,000
79	ISHARES MSCI GLOBAL SELECT METALS & MINING	Sale	03/18/2021	$15,001 - $50,000
80	INDUSTRIAL SELECT SECTOR SPDR FUND ETF	Purchase	03/01/2021	$15,001 - $50,000
81	ENERGY SELECT SECTOR SPDR FUND ETF	Purchase	02/24/2021	$1,001 - $15,000
82	VANGUARD SMALL-CAP VALUE ETF	Purchase	03/11/2021	$1,001 - $15,000
83	SPDR S&P BIOTECH ETF DE	Purchase	01/21/2021	$15,001 - $50,000
84	ISHARES 0-5 YEAR TIPS BOND ETF	Purchase	02/10/2021	$100,001 - $250,000
85	ISHARES RUSSELL 2000 VALUE ETF	Sale	01/28/2021	$15,001 - $50,000
86	VANGUARD ENERGY ETF DE	Purchase	01/07/2021	$50,001 - $100,000
87	ISHARES MSCI SOUTH KOREA ETF	Purchase	01/12/2021	$1,001 - $15,000
88	ISHARES MSCI GLOBAL SELECT METALS & MINING	Purchase	01/12/2021	$15,001 - $50,000
89	MATERIALS SELECT SECTOR SPDR TRUST ETF	Purchase	01/07/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
90	ISHARES RUSSELL 1000 VALUE ETF	Purchase	01/07/2021	$15,001 - $50,000
91	VANGUARD SMALL-CAP ETF DE	Sale	01/06/2021	$15,001 - $50,000
92	JP MORGAN ULTRA-SHORT INCOME ETF	Purchase	06/10/2021	$100,001 - $250,000
93	ISHARES RUSSELL 2000 ETF DE	Sale	01/06/2021	$50,001 - $100,000
94	VANGUARD S&P 500 ETF DE	Purchase	06/10/2021	$500,001 - $1,000,000
95	VANECK VECTORS SEMICONDUCTOR ETF	Sale	06/10/2021	$1,001 - $15,000
96	VANGUARD ENERGY ETF DE	Sale	06/10/2021	$50,001 - $100,000
97	ISHARES S&P 500 VALUE ETF	Purchase	06/10/2021	$100,001 - $250,000
98	VANGUARD CONSUMER DISCRETIONARY ETF	Sale	06/10/2021	$100,001 - $250,000
99	VANGUARD INFORMATION TECHNOLOGY ETF	Sale	06/10/2021	$15,001 - $50,000
100	VANGUARD FINANCIALS ETF DE	Sale	06/10/2021	$1,001 - $15,000
101	VANGUARD CONSUMER DISCRETIONARY ETF	Sale	06/10/2021	$1,001 - $15,000
102	SPDR GOLD SHARES ETF DE	Sale	06/10/2021	$1,001 - $15,000
103	MATERIALS SELECT SECTOR SPDR TRUST ETF	Sale	06/10/2021	$15,001 - $50,000
104	ENERGY SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$50,001 - $100,000
105	FINANCIAL SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$50,001 - $100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
106	INDUSTRIAL SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$50,001 - $100,000
107	UTILITIES SECTOR SPDR FUND ETF	Sale	06/10/2021	$1,001 - $15,000
108	HEALTH CARE SELECT SECTOR SPDR FUND ETF	Sale	06/10/2021	$100,001 - $250,000
109	SPDR BLACKSTONE SENIOR LN ETF	Sale	06/10/2021	$1,001 - $15,000
110	SPDR S&P REGL BANKING ETF	Sale	06/10/2021	$1,001 - $15,000
111	SPDR S&P BIOTECH ETF DE	Sale	06/10/2021	$50,001 - $100,000
112	ISHARES US HOME CONSTR ETF	Sale	06/10/2021	$50,001 - $100,000
113	ISHARES TRANSN AVERAGE ETF	Sale	06/10/2021	$15,001 - $50,000
114	ISHARES US REAL ESTATE ETF	Sale	06/10/2021	$15,001 - $50,000
115	ISHARES MSCI GLOBAL SELECT METALS & MINING	Sale	06/10/2021	$1,001 - $15,000
116	FIRST TR NYSE ARCA BIOTEC INDEX FD ETF	Sale	06/10/2021	$15,001 - $50,000
117	JP MORGAN ULTRA-SHORT INCOME ETF	Sale	06/03/2021	$1,001 - $15,000
118	ISHARES PHLX SEMICONDUCTOR ETF	Sale	06/10/2021	$100,001 - $250,000
119	ISHARES TRUST ISHARES 1-5 YEAR INVT GRADE	Sale	06/01/2021	$1,001 - $15,000
120	ISHARES MSCI GLOBAL SELECT METALS & MINING	Purchase	05/24/2021	$1,001 - $15,000
121	ISHARES RUSSELL 1000 VALUE ETF	Purchase	05/13/2021	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
122	FINANCIAL SELECT SECTOR SPDR FUND ETF	Purchase	05/18/2021	$15,001 - $50,000
123	VANGUARD FINANCIALS ETF DE	Purchase	05/24/2021	$1,001 - $15,000
124	VANGUARD GROWTH ETF DE	Sale	05/13/2021	$50,001 - $100,000
125	ISHARES MSCI GLOBAL SELECT METALS & MINING	Purchase	05/12/2021	$1,001 - $15,000
126	VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND	Sale	04/22/2021	$1,001 - $15,000
127	ISHARES MSCI SOUTH KOREA ETF	Sale	04/15/2021	$1,001 - $15,000
128	VANECK VECTORS SEMICONDUCTOR ETF	Purchase	04/08/2021	$1,001 - $15,000
129	VANGUARD GROWTH ETF DE	Purchase	04/16/2021	$1,001 - $15,000
130	SPDR S&P BIOTECH ETF DE	Purchase	04/19/2021	$1,001 - $15,000
131	ISHARES MSCI EUROZONE ETF	Purchase	03/31/2021	$1,001 - $15,000
132	ISHARES US REAL ESTATE ETF	Purchase	03/31/2021	$1,001 - $15,000
133	VANGUARD GROWTH ETF DE	Sale	03/29/2021	$15,001 - $50,000
134	SPDR BLACKSTONE SENIOR LN ETF	Purchase	03/24/2021	$1,001 - $15,000
135	ISHARES MSCI SOUTH KOREA ETF	Purchase	03/22/2021	$1,001 - $15,000
136	ISHARES MSCI GLOBAL SELECT METALS & MINING	Sale	03/18/2021	$1,001 - $15,000
137	VANGUARD SMALL-CAP VALUE ETF	Purchase	03/11/2021	$1,001 - $15,000
138	VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND	Sale	03/03/2021	$1,001 - $15,000
139	ENERGY SELECT SECTOR SPDR FUND ETF	Purchase	02/24/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
140	ISHARES RUSSELL 2000 VALUE ETF	Sale	01/28/2021	$15,001 - $50,000
141	INDUSTRIAL SELECT SECTOR SPDR FUND ETF	Purchase	03/01/2021	$15,001 - $50,000
142	ISHARES 0-5 YEAR TIPS BOND ETF	Purchase	02/10/2021	$15,001 - $50,000
143	SPDR S&P BIOTECH ETF DE	Purchase	01/21/2021	$1,001 - $15,000
144	ENERGY SELECT SECTOR SPDR FUND ETF	Purchase	01/21/2021	$50,001 - $100,000
145	VANGUARD ENERGY ETF DE	Purchase	01/07/2021	$15,001 - $50,000
146	ISHARES MSCI GLOBAL SELECT METALS & MINING	Purchase	01/12/2021	$1,001 - $15,000
147	MATERIALS SELECT SECTOR SPDR TRUST ETF	Purchase	01/07/2021	$1,001 - $15,000
148	ISHARES MSCI SOUTH KOREA ETF	Purchase	01/12/2021	$1,001 - $15,000
149	ISHARES RUSSELL 2000 ETF DE	Sale	01/06/2021	$50,001 - $100,000
150	ISHARES RUSSELL 1000 VALUE ETF	Purchase	01/07/2021	$15,001 - $50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	2	Income amounts on the underlying assets are estimates based on the estimated annual income for each asset as of July 30, 2021.
5.	1	Income amounts on the underlying assets are estimates based on the estimated annual income for each asset as of July 30, 2021.
6.	1	This represents the filer's ownership interest in a small restaurant.
6.	3	Income amounts on the underlying assets are estimates based on the estimated annual income for each asset as of July 30, 2021.
6.	3.12	Asset name changed from IShares Short-Term Corporate Bond ETF.

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).