

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

## Filer's Information

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Wick, Tessa B

Deputy Director of Strategic Communications, U.S. Agency for International Development

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

Advance Associate, White House, Executive Office of the President (2/2021 - Present)

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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/ Wick, Tessa B [electronically signed on 05/15/2023 by Wick, Tessa B 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/ Mason-Gale, Treyer A, Certifying Official [electronically signed on 10/23/2023 by Mason-Gale, Treyer A in Integrity.gov]

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Other review conducted by

/s/ Taylor, Antionette, Ethics Official [electronically signed on 10/02/2023 by Taylor, Antionette in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 10/23/2023

Data Revised 10/02/2023

Data Revised 07/14/2023

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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	Sunshine Sachs 401K	No			
1.1	JPMorgan US Equity Fund Class R2 Shares (JUEZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Invesco Small Cap Equity Fund Class R Shares (SMERX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Eaton Vance Atlanta Capital SMID-Cap Fund Class R Shares (ERSMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	American Funds Fundamental Investors Class R1 Shares (RFNAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	EuroPacific Growth Fund Class R1 Shares (RERAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.6	Capital World Growth & Income Fund Class A Shares (CWGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	BlackRock Equity Dividend Fund Class R Shares (MRDVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Thornburg International Value Fund Class R3 Shares (TGVRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Invesco Real Estate Fund Class R Shs (IARRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Ivy Natural Resources Fund Class R Shares (IGNRX)	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	Sunshine Sachs	Los Angeles, California	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	12/2014

### 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

None

### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Trust Account 1	No			
1.1	Cash	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2	Connecticut, Bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.3	New Hampshire, Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Wisconsin, Bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.5	Seattle, Washington Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.6	Baltimore, Maryland, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.7	Rhode Island Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.8	Virginia, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.9	District of Columbia, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.10	Los Angeles, Ca Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.11	Montgomery, Al Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.12	Ames, Iowa Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.13	Honolulu, Hawaii Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.14	Lexington, SC Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.15	Douglas, NE Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.16	Ohio, Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.17	Jefferson, Co Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.18	New Mexico Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.19	Mississippi, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.20	Phoenix, Az, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.21	Maine, Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.22	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	L Air Liquide Ord ADR (AIQY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.24	Airbnb Inc (ABNB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	ALCON SA	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	Allstate Corp (ALL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	Alphabet, Inc. (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.28	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.29	American Express Co. (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	Ameren Corp. (AEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	American International Group, Inc. (AIG)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.32	American Electric Power Co., Inc. (AEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.33	Analog Devices, Inc. (ADI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	APOLLO GLOBAL MGMT	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.37	ASML HLDG	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.38	Assurant, Inc. (AIZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.39	AstraZeneca plc (AZN)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.40	Autodesk, Inc. (ADSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.41	Avnet, Inc. (AVT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	BAE Systems plc (BAESY)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.43	Baker Hughes Co (BKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.44	Ball Corporation (BLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.45	Barclays plc (BCS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	BP plc (BP)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.47	British American Tobacco PLC (BTI)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.48	Cadence Design Systems, Inc. (CDNS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.49	Canadian National Railway (CNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.50	Capital One Financial Corp. (COF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.51	Catalent, Inc. (CTLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.52	Caterpillar, Inc. (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.53	CD Projekt 4 ADR Representing Ordinary Shared (OTGLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.54	CDK Global, Inc. (CDK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.55	Cellnex Telecom ADR (CLLNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.56	Cigna Corp. (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.57	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.58	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.59	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.60	Cognizant Technology Solutions Corp. (CTSH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.61	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.62	Comerica, Inc. (CMA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.63	Constellation Brands, Inc. (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.64	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.65	Covestro ADR (COVTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.66	Credit Suisse Group AG (CS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.67	CrowdStrike Holdings Inc (CRWD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.68	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.69	CyrusOne, Inc. (CONE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.70	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.71	Danone Sponsored ADR (DANOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.72	Dentsply Sirona, Inc. (XRAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.73	Dollar General Corp. (DG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.74	Dollar Tree, Inc. (DLTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.75	Domino's Pizza, Inc. (DPZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.76	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.77	Elanco Animal Health, Inc. (ELAN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.78	Eli Lilly & Co. (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.79	EQT Corp. (EQT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.80	EQNE	N/A	\$1,001 - \$15,000		
1.81	Equitable Holdings, Inc. (EQH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.82	Etsy, Inc. (ETSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.83	Edison International (EIX)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.84	Exelon Corporation (EXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.85	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.86	Fanuc ADR (FANUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.87	Farfetch Ltd (FTCH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.88	Fidelity National Financial, Inc. (FNF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.89	Fidelity National Information Services, Inc. (FIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.90	First American Financial Corp. (FAF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.91	FirstEnergy Corp. (FE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.92	FleetCor Technologies, Inc. (FLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.93	Fortive Corp. (FTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.94	Fox Corp. (FOXA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.95	Freeport-McMoRan, Inc. (FCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.96	Arthur J. Gallagher & Co. (AJG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.97	General Electric Co. (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.98	General Motors Co. (GM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.99	Gildan Activewear, Inc. (GIL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.100	GBODY	N/A	\$1,001 - \$15,000		
1.101	The Hartford Financial Services Group, Inc. (HIG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.102	Hexagon ADR (HXGBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.103	Humana, Inc. (HUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.104	Huntington Ingalls Industries, Inc. (HII)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.105	iHeartMedia, Inc. (HRT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.106	Infineon Technologies AG (IFNNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.107	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.108	Intesa Sanpaolo S.P.A. (ISNPY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.109	Intuit, Inc. (INTU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.110	Invesco Ltd. (IVZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.111	Jones Lang LaSalle, Inc. (JLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.112	JMP Group LLC (JMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.113	KeyCorp (KEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.114	Komatsu Ltd (KMTUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.115	Koninklijke Philips NV (PHG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.116	L'Oreal ADR (LRLCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.117	Laboratory Corp. of America Holdings (LH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.118	Lamar Advertising Co. (LAMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.119	Lear Corp. (LEA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.120	Leidos Holdings, Inc. (LDOS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.121	Lowe's Cos., Inc. (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.122	LVMH Moet Hennessy Louis Vuitton SA (LVMUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.123	Magna International Inc. (MGA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.124	Marathon Petroleum Corp. (MPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.125	Marvell Technology Group Ltd. (MRVL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.126	Mastercard, Inc. (MA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.127	Match Group, Inc. (MTCH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.128	McKesson Corp. (MCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.129	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.130	Mercadolibre Inc. (MELI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.131	Microsoft Corp. (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.132	Mondelez International, Inc. (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.133	Morgan Stanley (MS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.134	Motorola Solutions, Inc. (MSI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.135	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.136	Newell Brands, Inc. (NWL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.137	nVent Electric Plc (NVT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.138	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.139	NXP Semiconductors NV (NXPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.140	Omnicom Group, Inc. (OMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.141	Open Text Corp (OTEX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.142	Otis Worldwide Corp (OTIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.143	Panasonic Corporation (PCRFY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.144	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.145	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.146	PPG Industries, Inc. (PPG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.147	Prudential PLC (PUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.148	Public Service Enterprise Group, Inc. (PEG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.149	Publicis Groupe SA (PUBGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.150	Ralph Lauren Corp. (RL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.151	Raymond James Financial, Inc. (RJF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.152	RingCentral, Inc. (RNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.153	Raytheon Technologies Corp (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.154	Realty Holdings Corp. (RLGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.155	Recruit Holdings 5 Unsponsored ADR (RCRUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.156	Roche Holdings AG Basel ADR (RHHBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.157	Rogers Communications Inc. Class B (RCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.158	Roper Technologies, Inc. (ROP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.159	Ross Stores, Inc. (ROST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.160	Koninklijke DSM N.V. (RDSMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.161	Ryanair Holdings Inc. (RYAAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.162	S&P Global, Inc. (SPGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.163	Sanofi SA (SNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.164	Sberbank Russia Sponsored ADR (SBRCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.165	Schneider Electric SE Unsponsored France ADR (SBGSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.166	Sea Ltd (SE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.167	Sealed Air Corp. (SEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.168	ServiceNow, Inc. (NOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.169	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.170	Shopify Inc (SHOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.171	Snap, Inc. (SNAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.172	Sony Group Corp (SONY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.173	SS&C Technologies Holdings, Inc. (SSNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.174	Stanley Black & Decker, Inc. (SWK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.175	Steel Dynamics, Inc. (STLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.176	T-Mobile US, Inc. (TMUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.177	Tencent Holdings ADR (TCEHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.178	The Howard Hughes Corp. (HHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.179	The TJX Cos., Inc. (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.180	T-Mobile US, Inc. (TMUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.181	TransDigm Group, Inc. (TDG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.182	TransUnion (TRU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.183	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.184	UNILEVER N.V. (UL)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.185	Volkswagen AG (VWAGY)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.186	Wells Fargo & Company (WFC)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.187	The Williams Cos., Inc. (WMB)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.188	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.189	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.190	Vestas Wind Systems AS ADR (VWDRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.191	CBS Corporation Common Stock (VIAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.192	Viatis Inc (VTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.193	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.194	Vodafone Group Plc (VOD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.195	Willis Towers Watson Plc (WLTW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.196	Wix.Com Ltd (WIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.197	Wuxi Biologics Cayman ADR (WXXWY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.198	Zimmer Biomet Holdings, Inc. (ZBH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.199	Zoetis, Inc. (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.200	First Citizens BancShares, Inc. (North Carolina) (FCNCA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.201	BlackRock Strategic Municipal Opportunities Fund Institutional Shares (MAMTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.202	BlackRock National Municipal Fund Institutional Shares (MANLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	Trust Account 2	No			
2.1	CASH	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	RHODE ISLAND, BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.3	PENNSYLVANIA, BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.4	GRUNDY KENDALL-WILL BOND	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	METROPOLITAN TRANSN AUTH, BOND	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.6	HEALDSBURG, CA BOND	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	SOUTHERN KERN CA UNI, BOND	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	New Economy Fund Class A Shares (ANEFX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.9	Franklin Rising Dividends Fund Advisor Class Shares (FRDAX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.10	MainStay MacKay High Yield Municipal Bond Fund Class C Shares (MMHDX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.11	MainStay MacKay California Tax Free Opportunities Fund Class I Shares (MCOIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	Money Market Account	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000

## 7. Transactions

None

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

Endnotes

# 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

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