

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

## Filer's Information

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Vilsack, Thomas J

Secretary, Department of Agriculture, Department of Agriculture

Report Year: 2023

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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/ Vilsack, Thomas J [electronically signed on 03/27/2023 by Vilsack, Thomas J 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/ Bender, Stuart, Certifying Official [electronically signed on 04/02/2023 by Bender, Stuart 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 04/11/2023 by Granahan, Megan in Integrity.gov]

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Data Revised 04/02/2023

Data Revised 03/27/2023

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	United States Dairy Export Council	See Endnote	Arlington, Virginia	Non-Profit	CEO and President	2/2017	2/2021
2	Colorado State University	See Endnote	Ft. Collins, Colorado	University/College	Strategic Advisor to the Chancellor	7/2017	2/2021
3	Purdue Pharma	See Endnote	Stamford, Connecticut	Corporation	Court Appointed Monitor	2/2018	2/2021
4	Feeding America	See Endnote	Chicago, Illinois	Non-Profit	Member, Board of Directors	5/2017	2/2021
5	GenYOUth	See Endnote	New York, New York	Non-Profit	Member, Board of Directors	5/2017	2/2021
6	Ridge-Lane, LP (strategic advisory and venture development)	See Endnote	Washington, District of Columbia	Limited Partnership	Member, Board of Directors	1/2018	1/2021

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Iowa Public Employment System (Defined Benefit Plan. Value not readily ascertainable.)		N/A		Retirement Income (annual)	\$36,000
2	IRA #1		No			
2.1	U.S. Money Market Account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Invesco Corporate Bond Fund (ACCHX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Columbia Overseas Value Fund (COSSX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	DFA Global Real Estate (DFGEX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.5	Fidelity Real Estate Index Fund (FSRNX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.6	Fidelity Midcap Index (FSMDX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.7	John Hancock Disciplined Value (JVMIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Lord Abbett Short Duration (LDLFX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	Pimco International Bond Fund (PFUPX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.10	Pimco Long Term Real Return (PRTPX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.11	Principal Midcap (PCBIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	Columbia Mortgage Opportunities Fund Institutional 2 Class Shares (CLMVX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Delaware Small Cap Value Fund Institutional Class Shares (DEVIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Federated Kaufmann Small Cap Fund Institutional Class Shares (FKAIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	FT Cboe Vest US Equity Deep Buffer ETF - August (DAUG)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.17	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	Principal Global Real Estate Securities Fund Institutional Class Shares (POSIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	Invesco Conservative Income Fund Class Y Shares (ICIYX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	John Hancock Government Income Fund Class I Shares (JGIFX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	PIMCO International Bond Fund (US Dollar-Hedged) Class I-2 Shares (PFBPX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	Eaton Vance Short Duration Inflation-Protected Income Fund Class I Shs (EIRRX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	Eaton Vance Short Duration Government Income Fund Class I Shares (EILDY)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	JPMorgan Growth and Income Fund Class I Shares (VGIIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	Vanguard Long-Term Treasury Index Fund Admiral Class Shares (VLGSX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	Federated Short-Term Income Fund Institutional Shares (FSTYX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.27	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.28	MFS Growth Fund Class I Shares (MFEIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	UDIA Thrift and Savings Plan (401K)		No			
3.1	Dodge and Cox Income Fund		Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	Fidelity US Bond Index		Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Principal Div Real Asset		Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	Fidelity 500 Index Fund		Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	T. Rowe Price Large Cap Growth		Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	DFA US Large Cap Val		Yes	\$1,001 - \$15,000		None (or less than \$201)
4	AB Municipal Bond Int'l Strategies Ad Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Columbia Overseas Value Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Delaware Small Cap Value Insel OL Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
7	DFA US Large Cap Value Portfolio Institutional Class Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Eaton Vance Emerging Markets Local Income Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Fidelity 500 Index Fund (FXAIX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
10	Fidelity Advantage Small Cap Growth CL Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
11	Fidelity Mid Cap Index Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
12	Thornburg Limited Term Municipal Fund Class		Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	Trivalent International Small Cap CL Fund		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	Iowa Public Employment Retirement System	Des Moines, Iowa	I will continue to participate in this defined benefit plan.	1/1993
2	UDIA Thrift and Savings Plan (401K)	Arlington, Virginia	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	1/2017
3	United States Dairy Export Council	Arlington, Virginia	I received a housing reimbursement from January 1 to February 23, 2021 which ceased upon my resignation from this employer on February 23, 2021.	1/2017

### 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	Iowa Public Employee Retirement System (Defined Benefit Plan. Value Not Readily Ascertainable)	N/A		Retirement Income	
2	IRA #2	No			
2.1	Columbia Overseas Value Fund (COSXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Eaton Vance Short Duration (EILDXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Fidelity MidCap Index Fund (FSMDX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	John Hancock Disciplined Value Mid Cap (JVMIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Principal Midcap Fund (PCBIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Principal Global Real Estate Securities Fund (POSIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	PIMCO Long Term Real Return Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.8	Invesco Corporate Bond Fund CI Y Shs (ACCHX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.9	Columbia Mortgage Opportunities Fund Institutional 2 Class Shares (CLMVX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	FT Cboe Vest US Equity Deep Buffer ETF - August (DAUG)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Delaware Small Cap Value Fund Institutional Class Shares (DEVIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	First Trust Cboe Vest US Equity Deep Buffer ETF (Exchange Traded Fund)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.15	Eaton Vance Short Duration Inflation-Protected Income Fund Class I Shs (EIRRX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.16	Fidelity Advisor Small Cap Growth Fund Class I Shares (FCIGX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.17	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	Fidelity Advisor Investment Grade Bond Fund Class I Shares (FGBPX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	Federated Institutional High Yield Bond Fund Institutional Shares (FIHBX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	Fidelity International Index Fund (FSPSX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	Federated Short-Term Income Fund Institutional Shares (FSTYX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	Fidelity 500 Index Fund (FXAIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	Invesco Conservative Income Fund Class Y Shares (ICIYX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	John Hancock Government Income Fund Class I Shares (JGIFX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	John Hancock Bond Fund Class I Shares (JHBIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	John Hancock Funds III Disciplined Value Mid Cap Fund Institutional Class Shares (JVMIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.27	Victory Trivalent International Small-Cap Fund Class I Shares (MISIX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.28	Victory Sophus Emerging Markets Fund Class Y Shares (RSENX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.29	JPMorgan Growth and Income Fund Class I Shares (VGIIIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.30	Vanguard Long-Term Treasury Index Fund Admiral Class Shares (VLGSX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.31	Federated Kaufmann Small Cap Fund Institutional Class Shares (FKAIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.32	MFS Growth Fund Class I Shares (MFEIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.33	PIMCO International Bond Fund (US Dollar-Hedged) Class I-2 Shares (PFBPX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Farmland (rented), Davis County, Iowa		N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
2	Brokerage Account #1		No			
2.1	Touchstone Mid Cap Value Fund (TCVYX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Lazard US Equity Concentrated Portfolio Fund (LEVIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Metropolitan West Total Return Bond Fund (MWTIX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.4	Champlain Small Company Fund (CIPNX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.5	JP Morgan Small Cap Equity Fund (VSEIX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.6	PIMCO Emerging Markets Bond Fund (PEBIX)	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.7	Aberdeen Emerging Markets Fund (ABEMX)		Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	Credit Suisse Commodity Return Strategy Fund (CRSOX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Eaton Vance Income Fund of Boston Fund (EIBIX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.10	Edgewood Growth Fund (EGFIX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.11	Goldman Sachs Financial Square Treasury Instruments Fund (FTIXX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.12	Hartford Mid Cap Fund (HFMIIX)		Yes	None (or less than \$1,001)		\$201 - \$1,000
2.13	American Funds Washington Mutual Investors Fund (WMFFX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.14	Lazard International Equity Portfolio Fund (LZIEIX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.15	T. Rowe Price International Overseas Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.16	Baron Emerging Markets Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.17	PIMCO Total Return Fund	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.18	Hancock Classic Value Fund		Yes	None (or less than \$1,001)		None (or less than \$201)
2.19	American S/C Value Fund CL	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2.20	AB Municipal Bond Inflation Strategy Advisor Class Shs (AUNYX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.22	Fidelity Advisor Small Cap Growth Fund Class I Shares (FCIGX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	Fidelity Mid Cap Index Fund (FSMDX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Brokerage Account #2		No			
3.1	U.S. Brokerage Money Market Account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Columbia Mortgage Opportunities Fund Institutional 2 Class (CLMVX)		Yes	None (or less than \$1,001)		None (or less than \$201)
3.3	Columbia Overseas Value Fund (COSSX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
3.4	DFA Global Real Estate (DFGEX)		Yes	None (or less than \$1,001)		None (or less than \$201)
3.5	Invesco Corporate Bond Fund Class Y (ACCHX)	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.6	FT Cboe Vest US Equity Deep Buffer ETF - August (DAUG)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	US Small Cap Value Portfolio Institutional Class Shares (DFSVX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	BNY Mellon International Core Equity Fund Class I Shares (DIERX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	First Trust Exchange-Traded Fund VIII FT CBOE VEST U S Equity Deep Buffer ETF	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	Eaton Vance Short Duration Government Income Fund Class I Shares (EILDY)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	Fidelity Advisor International Small Cap Fund Class I Shares (FIXIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	Federated Kaufmann Small Cap Fund Institutional Class Shares (FKAIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	Nuveen Limited Term Municipal Bond Fund Class I Shares (FLTRX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	Fidelity International Index Fund (FSPSX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
3.17	John Hancock Funds III International Growth Fund Class I Shares (GOGIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	John Hancock Funds III Disciplined Value Mid Cap Fund Institutional Class Shares (JVMIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	Thornburg Limited Term Municipal Fund Class I Shares (LTMIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	BlackRock Strategic Municipal Opportunities Fund Institutional Shares (MAMTX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
3.21	MFS Growth Fund Class I Shares (MFEIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	Nuveen High Yield Municipal Bond Fund Class I Shares (NHMRX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
3.23	Nuveen Intermediate Duration Municipal Bond Fund Class I Shares (NUVBX)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.24	MFS Mid Cap Growth Fund Class I Shares (OTCIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.25	Principal Global Real Estate Securities Fund Institutional Class Shares (POSIX)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
3.26	BNY MellonGlobal Fixed Income Fund Class I Shares (SDGIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.27	JPMorgan Large Cap Growth Fund Class I Shares (SEEGX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.28	Thornburg Intermediate Municipal Fund Class I Shares (THMIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.29	JPMorgan Growth and Income Fund Class I Shares (VGIIIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.30	First Trust Exchange Traded Fund VIII CBOE VEST International Equity Buffer ETF	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Baird Brokerage Fund		No			
4.1	U.S. Bancorp (USB)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.2	Marion IA Urban RENEW SER D B/E Bond	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
4.3	State Univ IA Rev RFDG Bond		N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	State Univ IA Univ Rev Bond		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.5	University NORTH IA Bond		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.6	State Univ IA Rev Bond	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
4.7	State Univ IA Rev Bond	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
4.8	Iowa High Ed Ln Auth Bond		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.9	Coralville IA Bond		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.10	University North IA Rev Bond	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
4.11	State Univ IA Athletic Rev Bond		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.12	Invesco QQQ		Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	Vanguard Growth VUG		Yes	\$15,001 - \$50,000		None (or less than \$201)
5	U.S. bank (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
6	U.S. bank (Certificates of Deposit)		N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
7	New York Life (whole life insurance policy)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8	USDA Conservation Reserve Program (CRP)	See Endnote	N/A		CRP rental payments	\$14,726
9	Iowa Advisor 529 (College Savings Plan) Account #1		No			
9.1	IA Advisor 529 Account - Age 11-15 Option Class A Voya International Index Option	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Iowa Advisor 529 (College Savings Plan) Account #2		No			
10.1	IA Advisor 529 Account - Age 6-10 Option Class A Voya Intermediate Bond Option	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
11	Iowa Advisor 529 (College Savings Plan) Account #3		No			
11.1	IA Advisor 529 Account - Age 6-10 Option Class A Voya Intermediate Bond Option	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
12	Iowa Advisor 529 (College Savings Plan) Account #4		No			
12.1	IA Advisor 529 Account - Age 0-5 Option Class A Voya Government Money Market Option	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Iowa Advisor 529 (College Savings Plan) Account #5	No			
13.1	IA Advisor 529 Account - Age 11-15 Option Class A Voya International Index Option	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fidelity Midcap Index (FSMDX)	Sale	12/23/2022	\$1,001 - \$15,000
2	Fidelity 500 Index Fund (FXAIX)	Sale	03/21/2022	\$1,001 - \$15,000
3	Fidelity Advantage Small Cap Growth CL Fund	Sale	10/20/2022	\$1,001 - \$15,000
4	Fidelity Mid Cap Index Fund	Sale	12/23/2022	\$1,001 - \$15,000
5	PIMCO Long Term Real Return Fund	Sale	01/03/2022	\$1,001 - \$15,000
6	Metropolitan West Total Return Bond Fund (MWTIX)	Sale	12/23/2022	\$1,001 - \$15,000
7	Champlain Small Company Fund (CIPNX)	Sale	12/23/2022	\$1,001 - \$15,000
8	PIMCO Emerging Markets Bond Fund (PEBIX)	Sale	12/23/2022	\$1,001 - \$15,000
9	Goldman Sachs Financial Square Treasury Investments Fund (FTIXX)	Sale	12/27/2022	\$1,001 - \$15,000
10	American Funds Washington Mutual Investors Fund (WMFFX)	Sale	12/23/2022	\$1,001 - \$15,000
11	T. Rowe Price International Overseas Fund	Sale	12/23/2022	\$1,001 - \$15,000
12	Baron Emerging Markets Fund	Sale	12/23/2022	\$1,001 - \$15,000
13	PIMCO Total Return Fund	Sale	12/23/2022	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
14	American S/C Value Fund CL	Sale	12/23/2022	\$1,001 - \$15,000
15	Invesco Corporate Bond Fund Class Y (ACCHX)	Sale	09/22/2022	\$1,001 - \$15,000
16	Columbia Mortgage Opportunities Fund Institutional 2 Class Shares (CLMVX)	Purchase	06/10/2022	\$1,001 - \$15,000
17	Delaware Small Cap Value Fund Institutional Class Shares (DEVIX)	Purchase	06/10/2022	\$1,001 - \$15,000
18	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Purchase	10/21/2022	\$1,001 - \$15,000
19	Federated Kaufmann Small Cap Fund Institutional Class Shares (FKAIIX)	Purchase	10/21/2022	\$1,001 - \$15,000
20	FT Cboe Vest US Equity Deep Buffer ETF - August (DAUG)	Purchase	12/23/2022	\$1,001 - \$15,000
21	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	10/21/2022	\$1,001 - \$15,000
22	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Purchase	12/23/2022	\$1,001 - \$15,000
23	Invesco Conservative Income Fund Class Y Shares (ICIYX)	Purchase	09/22/2022	\$1,001 - \$15,000
24	International Growth & Income Fund Class F1 Shares (IGIFX)	Purchase	09/22/2022	\$1,001 - \$15,000
25	PIMCO International Bond Fund (US Dollar-Hedged) Class I-2 Shares (PFBPX)	Purchase	10/21/2022	\$1,001 - \$15,000
26	Eaton Vance Short Duration Inflation-Protected Income Fund Class I Shs (EIRRX)	Purchase	10/21/2022	\$1,001 - \$15,000
27	Eaton Vance Short Duration Government Income Fund Class I Shares (EILDIX)	Purchase	10/27/2022	\$1,001 - \$15,000
28	JPMorgan Growth and Income Fund Class I Shares (VGIIX)	Purchase	12/23/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
29	Vanguard Long-Term Treasury Index Fund Admiral Class Shares (VLGSX)	Purchase	10/21/2022	\$1,001 - \$15,000
30	Invesco Corporate Bond Fund CI Y Shs (ACCHX)	Purchase	01/03/2022	\$1,001 - \$15,000
31	Columbia Mortgage Opportunities Fund Institutional 2 Class Shares (CLMVX)	Purchase	01/03/2022	\$1,001 - \$15,000
32	FT Cboe Vest US Equity Deep Buffer ETF - August (DAUG)	Purchase	12/23/2022	\$1,001 - \$15,000
33	Delaware Small Cap Value Fund Institutional Class Shares (DEVIX)	Purchase	01/03/2022	\$1,001 - \$15,000
34	FT Cboe Vest US Equity Deep Buffer ETF (DMAR)	Purchase	03/22/2022	\$1,001 - \$15,000
35	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Purchase	01/03/2022	\$1,001 - \$15,000
36	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Purchase	01/03/2022	\$1,001 - \$15,000
37	Eaton Vance Short Duration Inflation-Protected Income Fund Class I Shs (EIRRX)	Purchase	01/03/2022	\$1,001 - \$15,000
38	Fidelity Advisor Small Cap Growth Fund Class I Shares (FCIGX)	Purchase	01/03/2022	\$1,001 - \$15,000
39	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	Purchase	01/03/2022	\$1,001 - \$15,000
40	Fidelity Advisor Investment Grade Bond Fund Class I Shares (FGBPX)	Purchase	01/03/2022	\$1,001 - \$15,000
41	Federated Institutional High Yield Bond Fund Institutional Shares (FIHBX)	Purchase	01/03/2022	\$1,001 - \$15,000
42	Fidelity International Index Fund (FSPSX)	Purchase	01/03/2022	\$1,001 - \$15,000
43	Federated Short-Term Income Fund Institutional Shares (FSTYX)	Purchase	01/03/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
44	Fidelity 500 Index Fund (FXAIX)	Purchase	01/03/2022	\$1,001 - \$15,000
45	Invesco Conservative Income Fund Class Y Shares (ICIYX)	Purchase	09/22/2022	\$1,001 - \$15,000
46	John Hancock Government Income Fund Class I Shares (JGIFX)	Purchase	09/22/2022	\$1,001 - \$15,000
47	John Hancock Bond Fund Class I Shares (JHBIX)	Purchase	01/11/2022	\$1,001 - \$15,000
48	John Hancock Funds III Disciplined Value Mid Cap Fund Institutional Class Shares (JVMIX)	Purchase	01/14/2022	\$1,001 - \$15,000
49	Victory Trivalent International Small-Cap Fund Class I Shares (MISIX)	Purchase	01/03/2022	\$1,001 - \$15,000
50	Victory Sophus Emerging Markets Fund Class Y Shares (RSENX)	Purchase	01/03/2022	\$1,001 - \$15,000
51	JPMorgan Growth and Income Fund Class I Shares (VGIIIX)	Purchase	01/03/2022	\$1,001 - \$15,000
52	Vanguard Long-Term Treasury Index Fund Admiral Class Shares (VLGSX)	Purchase	01/03/2022	\$1,001 - \$15,000
53	FT Cboe Vest US Equity Deep Buffer ETF - August (DAUG)	Purchase	12/23/2022	\$1,001 - \$15,000
54	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Purchase	10/20/2022	\$1,001 - \$15,000
55	US Small Cap Value Portfolio Institutional Class Shares (DFSVX)	Purchase	10/20/2022	\$1,001 - \$15,000
56	BNY Mellon International Core Equity Fund Class I Shares (DIERX)	Purchase	10/20/2022	\$1,001 - \$15,000
57	First Trust Exchange-Traded Fund VIII FT CBOE VEST U S Equity Deep Buffer ETF	Purchase	03/22/2022	\$1,001 - \$15,000
58	Eaton Vance Short Duration Government Income Fund Class I Shares (EILDY)	Purchase	10/27/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
59	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	Purchase	01/04/2022	\$1,001 - \$15,000
60	Fidelity Advisor International Small Cap Fund Class I Shares (FIXIX)	Purchase	10/22/2022	\$1,001 - \$15,000
61	Federated Kaufmann Small Cap Fund Institutional Class Shares (FKAIX)	Purchase	04/27/2022	\$1,001 - \$15,000
62	Nuveen Limited Term Municipal Bond Fund Class I Shares (FLTRX)	Purchase	10/22/2022	\$1,001 - \$15,000
63	Fidelity International Index Fund (FSPSX)	Purchase	01/04/2022	\$1,001 - \$15,000
64	John Hancock Funds III International Growth Fund Class I Shares (GOGIX)	Purchase	10/20/2022	\$1,001 - \$15,000
65	John Hancock Funds III Disciplined Value Mid Cap Fund Institutional Class Shares (JVMIX)	Purchase	04/21/2022	\$1,001 - \$15,000
66	Thornburg Limited Term Municipal Fund Class I Shares (LTMIX)	Purchase	01/10/2022	\$1,001 - \$15,000
67	BlackRock Strategic Municipal Opportunities Fund Institutional Shares (MAMTX)	Purchase	01/04/2022	\$1,001 - \$15,000
68	MFS Growth Fund Class I Shares (MFEIX)	Purchase	01/04/2022	\$1,001 - \$15,000
69	Nuveen High Yield Municipal Bond Fund Class I Shares (NHMRX)	Purchase	01/04/2022	\$1,001 - \$15,000
70	Nuveen Intermediate Duration Municipal Bond Fund Class I Shares (NUVBX)	Purchase	02/02/2022	\$15,001 - \$50,000
71	MFS Mid Cap Growth Fund Class I Shares (OTCIX)	Purchase	10/20/2022	\$1,001 - \$15,000
72	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Purchase	01/04/2022	\$1,001 - \$15,000
73	BNY MellonGlobal Fixed Income Fund Class I Shares (SDGIX)	Purchase	10/20/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
74	JPMorgan Large Cap Growth Fund Class I Shares (SEEGX)	Purchase	10/20/2022	\$1,001 - \$15,000
75	Thornburg Intermediate Municipal Fund Class I Shares (THMIX)	Purchase	10/20/2022	\$1,001 - \$15,000
76	JPMorgan Growth and Income Fund Class I Shares (VGIIIX)	Purchase	04/21/2022	\$1,001 - \$15,000
77	First Trust Exchange Traded Fund VIII CBOE VEST International Equity Buffer ETF	Purchase	12/23/2022	\$1,001 - \$15,000
78	Invesco Corporate Bond Fund (ACCHX)	Sale	09/22/2022	\$1,001 - \$15,000
79	Invesco Corporate Bond Fund CI Y Shs (ACCHX)	Sale	09/22/2022	\$1,001 - \$15,000
80	Eaton Vance Floating-Rate Advantage Fund Class I Shares (EIFAX)	Sale	06/10/2022	\$1,001 - \$15,000
81	Eaton Vance Short Duration Inflation-Protected Income Fund Class I Shs (EIRRX)	Sale	05/13/2022	\$1,001 - \$15,000
82	Columbia Overseas Value Fund (COSSX)	Sale	10/20/2022	\$1,001 - \$15,000
83	Fidelity Advisor International Capital Appreciation Fund Class I Shares (FCPIX)	Sale	10/20/2022	\$1,001 - \$15,000
84	Fidelity International Index Fund (FSPSX)	Sale	12/23/2022	\$1,001 - \$15,000
85	BlackRock Strategic Municipal Opportunities Fund Institutional Shares (MAMTX)	Sale	02/02/2022	\$1,001 - \$15,000
86	Nuveen High Yield Municipal Bond Fund Class I Shares (NHMRX)	Sale	08/22/2022	\$1,001 - \$15,000
87	Principal Global Real Estate Securities Fund Institutional Class Shares (POSIX)	Sale	10/20/2022	\$1,001 - \$15,000
88	MFS Growth Fund Class I Shares (MFEIX)	Purchase	01/03/2022	\$1,001 - \$15,000

## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

None

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## Endnotes

PART	#	ENDNOTE
1.	1	I resigned from this position immediately after I was confirmed by the Senate to become Secretary of Agriculture in the Biden-Harris Administration.
1.	2	I resigned from this position immediately after I was confirmed by the Senate to become Secretary of Agriculture in the Biden-Harris Administration.
1.	3	I resigned from this position immediately after I was confirmed by the Senate to become Secretary of Agriculture in the Biden-Harris Administration.
1.	4	I resigned from this uncompensated Board position immediately after I was confirmed by the Senate to become Secretary of Agriculture in the Biden-Harris Administration.
1.	5	I resigned from this uncompensated Board position immediately after I was confirmed by the Senate to become Secretary of Agriculture in the Biden-Harris Administration.
1.	6	I resigned from this uncompensated Board position on January 14, 2021.
2.	2.2	This mutual fund was sold on September 22, 2022.
2.	2.6	This mutual fund was sold on December 23, 2022.
2.	2.12	This mutual fund was purchased on June 10, 2022.
2.	2.13	This mutual fund was purchased on June 10, 2022.

PART	#	ENDNOTE
2.	2.14	This mutual fund was purchased on October 21, 2022.
2.	2.15	This mutual fund was purchased on October 21, 2022.
2.	2.16	This mutual fund was purchased on December 23, 2022.
2.	2.17	This mutual fund was purchased on October 21, 2022.
2.	2.18	This mutual fund was purchased on December 23, 2022.
2.	2.19	This mutual fund was purchased on September 22, 2022.
2.	2.20	This mutual fund was purchased on September 22, 2022.
2.	2.21	This mutual fund was purchased on October 21, 2022.
2.	2.22	This mutual fund was purchased on October 21, 2022.
2.	2.23	This mutual fund was purchased on October 27, 2022.
2.	2.24	This mutual fund was purchased on December 23, 2022.
2.	2.25	This mutual fund was purchased on October 21, 2022.
2.	2.26	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
2.	2.27	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
2.	2.28	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
2.	9	This mutual fund was sold on March 21, 2022.
2.	10	This mutual fund was sold on October 20, 2022.
2.	11	This mutual fund was sold on December 23, 2022.
5.	2.7	This mutual fund was sold on January 3, 2022.
5.	2.8	This mutual fund was purchased on January 3, 2022, and was sold on September 22, 2022.
5.	2.9	This mutual fund was purchased on January 3, 2022.
5.	2.10	This mutual fund was purchased on December 23, 2022.

PART	#	ENDNOTE
5.	2.11	This mutual fund was purchased on January 3, 2022.
5.	2.12	This exchange traded fund was purchased on March 22, 2022.
5.	2.13	This mutual fund was purchased on January 3, 2022.
5.	2.14	This mutual fund was purchased on January 3, 2022, and partially sold on June 10, 2022. The remaining value is below \$1,000.
5.	2.15	This mutual fund was purchased on January 3, 2022, and partially sold on May 13, 2022. The remaining value is below \$1,000.
5.	2.16	This mutual fund was purchased on January 3, 2022.
5.	2.17	This mutual fund was purchased on January 3, 2022.
5.	2.18	This mutual fund was purchased on January 3, 2022.
5.	2.19	This mutual fund was purchased on January 3, 2022.
5.	2.20	This mutual fund was purchased on January 3, 2022.
5.	2.21	This mutual fund was purchased on January 3, 2022.
5.	2.22	This mutual fund was purchased on January 3, 2022.
5.	2.23	This mutual fund was purchased on September 22, 2022.
5.	2.24	This mutual fund was purchased on September 22, 2022.
5.	2.25	This mutual fund was purchased on January 11, 2022.
5.	2.26	This mutual fund was purchased on January 14, 2022.
5.	2.27	This mutual fund was purchased on January 3, 2022.
5.	2.28	This mutual fund was purchased on January 3, 2022.
5.	2.29	This mutual fund was purchased on January 3, 2022.
5.	2.30	This mutual fund was purchased on January 3, 2022.
5.	2.31	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.



PART	#	ENDNOTE
5.	2.32	This mutual fund was purchased on January 3, 2022.
5.	2.33	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
6.	2.3	This mutual fund was sold on December 23, 2022.
6.	2.4	This mutual fund was sold on December 23, 2022.
6.	2.6	This mutual fund was sold on December 23, 2022.
6.	2.11	This mutual fund was sold on December 27, 2022.
6.	2.13	This mutual fund was sold on December 23, 2022.
6.	2.15	This mutual fund was sold on December 23, 2022.
6.	2.16	This mutual fund was sold on December 23, 2022.
6.	2.17	This mutual fund was sold on December 23, 2022.
6.	2.19	This mutual fund was sold on December 23, 2022.
6.	2.20	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
6.	2.21	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
6.	2.22	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
6.	2.23	This mutual fund was inadvertently omitted from the 2021 OGE-278 report.
6.	3.3	This mutual fund was sold on October 20, 2022.
6.	3.5	This mutual fund was sold on September 22, 2022.
6.	3.6	This mutual fund was purchased on December 23, 2022.
6.	3.7	This mutual fund was purchased on October 20, 2022.
6.	3.8	This mutual fund was purchased on October 20, 2022.
6.	3.9	This mutual fund was purchased on October 20, 2022.
6.	3.10	This exchange traded fund was purchased on March 22, 2022.

PART	#	ENDNOTE
6.	3.11	This mutual fund was purchased on October 27, 2022.
6.	3.12	This mutual fund was purchased on January 4, 2022, and sold on October 20, 2022.
6.	3.13	This mutual fund was purchased on October 22, 2022.
6.	3.14	This mutual fund was purchased on April 27, 2022.
6.	3.15	This mutual fund was purchased on October 22, 2022.
6.	3.16	This mutual fund was purchased on January 4, 2022, and sold on December 23, 2022.
6.	3.17	This mutual fund was purchased on October 20, 2022.
6.	3.18	This mutual fund was purchased on Aril 21, 2022.
6.	3.19	This mutual fund was purchased on January 10, 2022.
6.	3.20	This mutual fund was purchased on January 4, 2022, and sold on February 2, 2022.
6.	3.21	This mutual fund was purchased on January 4, 2022.
6.	3.22	This mutual fund was purchased on January 4, 2022, and sold on August 22, 2022.
6.	3.23	This mutual fund was purchased on February 2, 2022.
6.	3.24	This mutual fund was purchased on October 20, 2022.
6.	3.25	This mutual fund was purchased on January 4, 2022, and sold on October 20, 2022.
6.	3.26	This mutual fund was purchased on October 20, 2022.
6.	3.27	This mutual fund was purchased on October 20, 2022.
6.	3.28	This mutual fund was purchased on October 20, 2022.
6.	3.29	This mutual fund was purchased on April 21, 2022.
6.	3.30	This exchange traded fund was purchased on December 23, 2022.
6.	4.2	Bond Matured.
6.	4.6	Bond Matured.

PART	#	ENDNOTE
6.	4.7	Bond Matured.
6.	4.10	Bond Matured.
6.	8	USDA's Conservation Reserve Program pays a yearly rental in exchange for farmland owners removing environmentally sensitive land from agricultural production or planting species that will improve environmental quality. This payment concerns the farmland property identified in Part 6, Item 1.
6.	9.1	Established for family member.
6.	10.1	Established for family member.
6.	11.1	Established for family member.
6.	12.1	Established for family member.
6.	13.1	Established for family member.

# Summary of Contents

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

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### 6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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