

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

Filer's Information

Wick, Tessa B

Senior Communications Advisor (LPA), U.S. Agency for International Development

Date of Appointment: 08/02/2021

Other Federal Government Positions Held During the Preceding 12 Months:

Advance Associate, White House (2/2021 - Present)

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 08/26/2021 by Wick, Tessa B 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/ Mason-Gale, Treyer A, Certifying Official [electronically signed on 08/31/2021 by Mason-Gale, Treyer A in Integrity.gov]

Other review conducted by

/s/ Mason-Gale, Treyer A, Ethics Official [electronically signed on 08/30/2021 by Mason-Gale, Treyer A in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 08/31/2021

Data Revised 08/30/2021

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|--|--|-------------------|------------------|---------|---------|
| 1 | Sunshine Sachs | Los Angeles, California | Corporation | Account Director | 12/2014 | 7/2021 |
| 2 | Presidential Inaugural Committee (PIC) | Washington, D.C., District of Columbia | Non-Profit | Deputy Director | 12/2020 | 3/2021 |
| 3 | Friends at Work Creative LLC | Los Angeles, California | Corporation | Consultant | 1/2020 | 5/2020 |
| 4 | Biden For President (BFPCC, Inc.) | Philadelphia, Pennsylvania | Corporation | Consultant | 5/2019 | 11/2020 |
| 5 | Own Our Own | Los Angeles, California | Corporation | Consultant | 4/2021 | 6/2021 |
| 6 | Tower Hill Productions | Los Angeles, California | Corporation | Consultant | 1/2020 | 4/2020 |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|-----|-------|-----------------|---------------|
| 1 | Friends at Work Creative LLC (Management, Entertainment, and Social Impact Company) | N/A | | Consulting Fees | \$18,000 |
| 2 | Sunshine Sachs (Communications Firm) | N/A | | Salary/Bonus | \$60,640 |
| 3 | Presidential Inaugural Committee (PIC) | N/A | | Salary/Bonus | \$19,119 |
| 4 | Biden For President (BFPCC, Inc.) (Political Campaign) | N/A | | Consulting Fees | \$7,600 |
| 5 | Own Our Own (Inner City Investment Fund) | N/A | | Consulting Fees | \$14,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-----------------|---------------------------|
| 6 | Tower Hill Productions (Communications Consulting) | N/A | | Consulting Fees | \$10,254 |
| 7 | Sunshine Sachs 401K | No | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |
| 7.1 | JPMorgan US Equity Fund Class R2 Shares (JUEZX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.2 | Invesco Small Cap Equity Fund Class R Shares (SMERX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.3 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R Shares (ERSMX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.4 | American Funds Fundamental Investors Class R1 Shares (RFNAX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.5 | EuroPacific Growth Fund Class R1 Shares (RERAX) | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 7.6 | Capital World Growth & Income Fund Class A Shares (CWGIX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.7 | BlackRock Equity Dividend Fund Class R Shares (MRDVX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.8 | Thornburg International Value Fund Class R3 Shares (TGVRX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.9 | Invesco Real Estate Fund Class R Shs (IARRX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.10 | 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

| # | SOURCE NAME | CITY, STATE | BRIEF DESCRIPTION OF DUTIES |
|---|--|--|--|
| 1 | Friends at Work Creative LLC | Los Angeles, California | Consultant |
| 2 | Sunshine Sachs | Los Angeles, California | Account Director |
| 3 | Presidential Inaugural Committee (PIC) | Washington, D.C., District of Columbia | Deputy Director |
| 4 | Own Our Own | Los Angeles, California | Consultant |
| 5 | Tower Hill Productions | Los Angeles, California | Consultant |
| 6 | Biden For President (BFPPCC, Inc.) | Philadelphia, Pennsylvania | Consultant |
| 7 | OMGWTF | Los Angeles, California | Provided PR consultation for "OMG WTF Does the Constitution Actually Say?!" and its author Ben Sheehan under Tower Hill Productions. |

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 | | \$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 |
| 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 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-------------------------------|-----|---------------------|-------------|---------------------------|
| 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 |
| 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 (AIQUY) | 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------|-------------|---------------------------|
| 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) |
| 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 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|--------------------|-------------|---------------------------|
| 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) |
| 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 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|--------------------|-------------|---------------------------|
| 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) |
| 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|--------------------|-------------|---------------------------|
| 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) |
| 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|--------------------|-------------|---------------------------|
| 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) |
| 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 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) |
| 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|---------------------|-------------|---------------------------|
| 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) |
| 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|-------------------------------------|-----|---------------------|-------------|---------------------------|
| 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) |
| 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 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) |
| 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 | Realogy Holdings Corp. (RLGY) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.155 | Recruit Holdings 5 Un-sponsored 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|--------------------|-------------|---------------------------|
| 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) |
| 1.165 | Schneider Electric SE Un-sponsored 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|------------------------------------|-----|--------------------|-------------|---------------------------|
| 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) |
| 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 | VWAPY | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 1.186 | WFC | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 1.187 | 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|----------------------|-------------|---------------------------|
| 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) |
| 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) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------|-------------|---------------------------|
| 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) |
| 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

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

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.

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