

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

## Filer's Information

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Tirol, AnnaLou

Deputy Director, Department of the Treasury

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

Associate Director, FinCEN (9/2019 - 3/2021)

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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/ Tirol, AnnaLou [electronically signed on 08/15/2021 by Tirol, AnnaLou in Integrity.gov] - Filer received a 90 day filing extension.

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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/ Clark, Cynthia, Certifying Official [electronically signed on 01/04/2022 by Clark, Cynthia in Integrity.gov]

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Other review conducted by

/s/ Hattan, Justin, Ethics Official [electronically signed on 08/25/2021 by Hattan, Justin in Integrity.gov]

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U.S. Office of Government Ethics Certification

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Georgetown University Law Center	Washington, District of Columbia	University/College	Adjunct Professor	8/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgetown University Law Center	N/A		Salary	\$750

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Georgetown University Law Center	Washington, District of Columbia	Adjunct professor	8/2018

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	KPMG, LLP (Consulting)	N/A		salary	
2	KPMG, LLP 401(k)	No	\$100,001 - \$250,000	Interest Capital Gains Dividends	\$5,001 - \$15,000
2.1	American Funds EuroPacific Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	MFS Value Fund Class R5	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Vanguard Short-Term Bond Index Admiral Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	Blackrock Extended Equity Market Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	Blackrock MSCI ACWI X US Index NL Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Hotchkis & Wiley Small Cap Value Fund Class I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.7	Fidelity Real Estate Index Fund Institutional Class	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.8	Vanguard Institutional 500 Index Trust	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.9	DFA US Sustainability Core 1 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.10	Vanguard High-Yield Corporate Admiral Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Vanguard Institutional Total Bond Market Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	Dodge & Cox Income Fund (DODIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	State Street TIPS Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	American Funds Growth of America	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Artisan Mid Cap Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	Blackrock Fed Fund Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	Dodge & Cox International Stock Fund (DODFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	JP Morgan Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank #1 (Cash accounts) See Endnote	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2	US Bank #1 Savings Account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
3	US Bank #2 Joint Brokerage Account	No	\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$5,001 - \$15,000
3.1	American Tax Advantaged Inc F2 - TXIFX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.2	First eagle Gold I - FEGIX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Principal Blue Chip P - PBCKX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Alphabet Inc Cl A - GOOGL	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Alphabet Inc Cl C - GOOG	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.6	Amazon Com Inc - AMZN	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.7	Amgen Inc - AMGN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Apple Inc - AAPL	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.9	Berkshire Hathaway CL-B New - BRK'B	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.10	Facebook Inc Cl A - FB	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	IShares Russell 2000 ETF - IWM	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.12	Laboratory CP Amer Hldgs New - LH	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	Mastercard Inc Cl A - MA	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	Starbucks Corp Washington - SBUX	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	Techtronic Ind Ltd Spons Adr - TTNDY	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	TJX Cos Inc New - TJX	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.17	UnitedHealth Group Inc - UNH	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	Walt Disney Co Hldg Co - DIS	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.19	Charles Schwab New SCHW	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	Fortinet FTNT	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.21	Paypal Holdings Inc Com PYPL	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	Servicenow Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.23	Brown-Forman Corp B BF'B	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.24	Gateway Fund GTEYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.25	JP Morgan Hedged Equity JHEQX	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.26	Virtux Kar Small Cap PXSGX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.27	Hillrom Holdings HRC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.28	Stryker Corp - SYK	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.29	Vanguard Hi Yld Ex - VWAHX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.30	Cigna Corp. (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.31	DocuSign, Inc. (DOCU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.32	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.33	Lord Abbett Ultra Short WBFX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.34	Vanguard Financials ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.35	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.36	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3.37	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.38	Illumina, Inc. (ILMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.39	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.40	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.41	First Trust Health Care AlphaDEX Fund (FXH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.42	First Trust Rising Dividend Achievers ETF (RDVY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.43	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.44	Transamerica Intermediate Muni Class I Shares (TIMUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Real Property - house, San Diego, CA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
5	Real property - condominium, Alexandria, VA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
6	Real property - condominium, San Diego, CA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
7	US Bank #3 Checking Account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
8	US Bank #3 Savings Account	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
9	US Bank #4 Brokerage Account	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
9.1	Ford Motor Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	US Bank #3 Brokerage Account	No	\$100,001 - \$250,000	Interest Capital Gains	\$1,001 - \$2,500
10.1	AB High Income Fund CL C	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2	American FDS Portfolios Ser Balanced FD CI C	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11	US Bank #2 Roth IRA	No	\$50,001 - \$100,000	Interest Capital Gains	\$1,001 - \$2,500
11.1	American Cap Inc Builder F2 - CAIFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	American Inc FD of America F2 - AMEFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	American Europacific Grw F2 - AEPFX	Yes	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.4	American Small Cap World F2 - SMCFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.5	First Eagle Overseas - SGOIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.6	MFS Diversified Income I - DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.7	Parnassus Core Equity Investor - PRBLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.8	Parnassus Mid-Cap FD - PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.9	Pioneer Fundamental Growth Y - FUNYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.10	Principal Midcap Instl - PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.11	Amazon	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.12	Berkshire Hathaway	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.13	Principal Blue Chip - PBCKX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.14	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	US Bank #2 IRA	No	\$50,001 - \$100,000	Dividends Capital Gains Interest	\$1,001 - \$2,500
12.1	American Funds Mortgage F2 MFAFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	Alphabet Inc CL A - GOOGL	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.3	Alphabet Inc Cl C - GOOG	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.4	Principal Midcap P - PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.5	Principal Blue Chip P - PBCKX	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.6	Pioneer Fundamental Growth Y - FUNYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.7	MFS Diversified Income I DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.8	Columbia Cobntrarian Core Z - SMGIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.9	Berkshire Hathaway Cl B - BRK'B	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.10	American Inc FD of America F2 - AMEFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.11	American Europacific Grw F2 - AEPFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.12	American Small Cap World F2 SMCFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.13	First Eagle Overseas SGOIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.14	Amazon	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.15	American Balanced F2 - AMBFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.16	Parnassus Midcap - PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.17	First Eagle Gold	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.18	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.19	Gateway Fund Class Y Shares (GTEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	US Bank #3 Roth IRA	No	\$50,001 - \$100,000	Dividends Capital Gains Interest	\$201 - \$1,000
13.1	Vanguard Target Retirement 2035	Yes	\$50,001 - \$100,000		\$201 - \$1,000
14	US Bank #3 IRA	No	\$100,001 - \$250,000		None (or less than \$201)
14.1	Vanguard 500 Index Admiral Shares	Yes	\$50,001 - \$100,000		\$201 - \$1,000
14.2	Vanguard Target Retirement 2035	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14.3	Vanguard Target Retirement 2045	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15	US Bank #3 Rollover IRA	No	\$100,001 - \$250,000	Dividends Capital Gains Interest	\$2,501 - \$5,000
15.1	JPMorgan Equity Income Fund Class A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.2	JP Morgan Intrepid European Fund Class A	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.3	JPMorgan US Equity Fund Class A	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
16	US Bank #2 Roth IRA	No	\$50,001 - \$100,000	Dividends Capital Gains Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.1	Berkshire Hathaway CL-B NEW BRK'B	No	\$1,001 - \$15,000		None (or less than \$201)
16.2	American Funds Mortgage F2 MFAFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.3	First Eagle Overseas I SGOIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.4	MFS Diversified Income DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.5	Parnassus Core Equity Investor PRBLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.6	Pioneer Fundamental Growth Y FUNYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.7	Principal Blue Chip P PBCKX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.8	Principal Midcap P PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.9	American Europacific Grw F2 AEPFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.10	Parnassus Mid Cap FD PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.11	Amazon	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.12	American Balanced F2 - AMBFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.13	Columbia Contrarian Core - SMGIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.14	American Small Cap World F2	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.15	First Eagle Gold	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	US Bank #2 IRA	No	\$250,001 - \$500,000	Dividends Interest Capital Gains	\$5,001 - \$15,000
17.1	Alphabet Inc Cl C GOOG	No	\$15,001 - \$50,000	Rent or Royalties	None (or less than \$201)
17.2	Amazon Com Inc AMZN	No	\$50,001 - \$100,000		None (or less than \$201)
17.3	Amgen Inc AMGN	No	\$1,001 - \$15,000		None (or less than \$201)
17.4	Apple Inc AAPL	No	\$15,001 - \$50,000		None (or less than \$201)
17.5	Berkshire Hathaway CL-B New BRK'B	No	\$15,001 - \$50,000		None (or less than \$201)
17.6	Charles Schwab New SCHW	No	\$1,001 - \$15,000		None (or less than \$201)
17.7	Crown Castle Intl Corp CCI	No	\$1,001 - \$15,000		None (or less than \$201)
17.8	Facebook Inc Cl A FB	No	\$1,001 - \$15,000		None (or less than \$201)
17.9	Laboratory CP Amer Hldgs New LH	No	\$1,001 - \$15,000		None (or less than \$201)
17.10	Mastercard Inc Cl A MA	No	\$1,001 - \$15,000		None (or less than \$201)
17.11	Microsoft Corp MSFT	No	\$1,001 - \$15,000		None (or less than \$201)
17.12	Paypal Hldgs Inc Com PYPL	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.13	Starbucks Corp SBUX	No	\$1,001 - \$15,000		None (or less than \$201)
17.14	Techtronic Ind Ltd Spons Adr TTNDY	No	\$1,001 - \$15,000		None (or less than \$201)
17.15	First Eagle Overseas I SGOIX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.16	MFS Diversified Income DIFIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.17	Parnassus Core Equity Investor PRBLX	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.18	Pioneer Fundamental Growth Y FUNYX	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.19	Principal Blue Chip P PBCKX	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.20	Principal Midcap P PCBIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.21	Goldman Sachs Grp Inc GS	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.22	American Europacific Grw AEPFX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.23	American Small Cap World SMCFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.24	Gateway fund GTEYX	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.25	JP Morgan Hedged Equity JHEQX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.26	Parnassus MidCap FD PARMX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.27	Virtus Kar Small Cap Growth PXSGX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.28	Stryker Corp - SYK	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.29	First Trst Hlth Care Alpha ETF - FXH	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.30	Virtus Kar Small Cap VIISX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.31	Anheuser Busch Inbev	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.32	Delaware Dividend Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.33	DocuSign, Inc. (DOCU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.34	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.35	iShares MSCI ACWI ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.36	Lord Abbett Ultra Short	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.37	Vanguard Financials ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.38	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.39	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.40	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.41	Hillrom	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.42	Illumina, Inc. (ILMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.43	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.44	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
17.45	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.46	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.47	United Health Group UNH	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.48	First Trust Rising Dividend Achievers ETF (RDVY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.49	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	US Bank #1 Checking Account	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
19	US Bank #1 Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Lord Abbett Ultra Short BD	Sale	01/06/2020	\$15,001 - \$50,000
2	Anheuser Busch Inbev	Sale	03/05/2020	\$1,001 - \$15,000
3	iShares MSCI ACWI Index (ACWI)	Sale	03/10/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
4	United HealthGrp	Purchase	03/17/2020	\$1,001 - \$15,000
5	Illumina, Inc. - Common Stock (ILMN)	Purchase	03/17/2020	\$1,001 - \$15,000
6	Vail Resorts	Purchase	03/17/2020	\$1,001 - \$15,000
7	Illumina, Inc. - Common Stock (ILMN)	Purchase	03/17/2020	\$1,001 - \$15,000
8	Vanguard Financials ETF	Purchase	03/17/2020	\$1,001 - \$15,000
9	Vanguard Financials ETF	Purchase	03/17/2020	\$1,001 - \$15,000
10	Delta Air Lines (DAL)	Purchase	03/17/2020	\$1,001 - \$15,000
11	Hillrom Holdings	Purchase	03/17/2020	\$1,001 - \$15,000
12	CVS Caremark Corp. (CVS)	Purchase	03/17/2020	\$1,001 - \$15,000
13	Sempra Energy (SRE)	Purchase	03/17/2020	\$1,001 - \$15,000
14	Intuitive Surgical Inc (ISRG)	Purchase	03/17/2020	\$1,001 - \$15,000
15	Intuitive Surgical Inc (ISRG)	Purchase	03/17/2020	\$1,001 - \$15,000
16	AF TX Aware CNSRV GRW	Purchase	03/17/2020	\$15,001 - \$50,000
17	Medtronic Inc (MDT)	Purchase	03/17/2020	\$1,001 - \$15,000
18	Anthem Inc	Purchase	03/17/2020	\$1,001 - \$15,000
19	Anthem Inc	Purchase	03/17/2020	\$1,001 - \$15,000
20	Alphabet Inc	Purchase	03/17/2020	\$1,001 - \$15,000
21	Alphabet Inc	Purchase	03/17/2020	\$1,001 - \$15,000
22	Principal Blue Chip I	Purchase	03/17/2020	\$1,001 - \$15,000
23	Principal Blue Chip I	Purchase	03/17/2020	\$1,001 - \$15,000
24	First Eagle Gold	Sale	03/17/2020	\$1,001 - \$15,000
25	Gateway Fund Y	Sale	03/17/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	First Eagle Overseas	Sale	03/17/2020	\$1,001 - \$15,000
27	Thermo Fisher Scientific (TMO)	Purchase	03/17/2020	\$1,001 - \$15,000
28	Virtus Kar Intl	Sale	03/18/2020	\$1,001 - \$15,000
29	Thermo Fisher Scientific (TMO)	Purchase	03/17/2020	\$1,001 - \$15,000
30	Virtus Kar Small Cap	Sale	03/18/2020	\$1,001 - \$15,000
31	Virtus Kar Small Cap	Sale	03/18/2020	\$1,001 - \$15,000
32	Virtus Kar Small Cap	Sale	03/18/2020	\$1,001 - \$15,000
33	Virtus Kar Small Cap	Sale	03/18/2020	\$1,001 - \$15,000
34	Delta Air Lines (DAL)	Sale	03/20/2020	\$1,001 - \$15,000
35	AFTX Aware CNSRV GRW	Sale	03/20/2020	\$15,001 - \$50,000
36	Booking Holdings	Sale	03/20/2020	\$1,001 - \$15,000
37	Booking Holdings	Sale	03/20/2020	\$1,001 - \$15,000
38	Walt Disney Co (DIS)	Sale	03/20/2020	\$1,001 - \$15,000
39	Hillrom Holdings	Sale	03/24/2020	\$1,001 - \$15,000
40	Hillrom Holdings	Sale	03/24/2020	\$1,001 - \$15,000
41	Thermo Fisher Scientific (TMO)	Sale	03/24/2020	\$1,001 - \$15,000
42	Thermo Fisher Scientific (TMO)	Sale	03/24/2020	\$1,001 - \$15,000
43	Anthem Inc Com	Sale	04/09/2020	\$1,001 - \$15,000
44	Anthem Inc Com	Sale	04/09/2020	\$1,001 - \$15,000
45	First Trust Health Care Alpha ETF	Purchase	10/28/2020	\$1,001 - \$15,000
46	Lockheed Martin Corp. (LMT)	Purchase	10/28/2020	\$1,001 - \$15,000
47	CVS Health Corp. (CVS)	Purchase	10/28/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	Lockheed Martin Corp. (LMT)	Purchase	10/28/2020	\$1,001 - \$15,000
49	Comcast Corp. (CMCSA)	Purchase	10/28/2020	\$1,001 - \$15,000
50	Comcast Corp. (CMCSA)	Purchase	10/28/2020	\$1,001 - \$15,000
51	3M Co. (MMM)	Sale	10/28/2020	\$1,001 - \$15,000
52	Transamerica Intermediate Muni Class I Shares (TIMUX)	Purchase	10/28/2020	\$15,001 - \$50,000
53	3M Co. (MMM)	Sale	10/28/2020	\$1,001 - \$15,000
54	Anthem, Inc. (ANTM)	Purchase	10/28/2020	\$1,001 - \$15,000
55	First Trust Rising Dividend Achievers ETF (RDVY)	Purchase	10/28/2020	\$1,001 - \$15,000
56	First Trust Rising Dividend Achievers ETF (RDVY)	Purchase	10/28/2020	\$1,001 - \$15,000
57	Anthem, Inc. (ANTM)	Purchase	10/28/2020	\$1,001 - \$15,000
58	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	10/28/2020	\$1,001 - \$15,000
59	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	10/28/2020	\$1,001 - \$15,000
60	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	10/28/2020	\$1,001 - \$15,000
61	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	10/28/2020	\$1,001 - \$15,000
62	Gateway Fund Class Y Shares (GTEYX)	Purchase	10/28/2020	\$1,001 - \$15,000
63	Gateway Fund Class Y Shares (GTEYX)	Purchase	10/28/2020	\$1,001 - \$15,000
64	Becton, Dickinson and Company (BDX)	Sale	10/28/2020	\$1,001 - \$15,000
65	Becton, Dickinson and Company (BDX)	Sale	10/28/2020	\$1,001 - \$15,000
66	JP Morgan Emerging Mkts	Purchase	01/10/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
67	Blackrock MSCI ACWI X US Index	Purchase	02/11/2020	\$1,001 - \$15,000
68	Vanguard 500 Index Fund Institutional Select Shares (VFFSX)	Purchase	02/11/2020	\$1,001 - \$15,000
69	American Funds EuroPacific Growth	Purchase	02/13/2020	\$1,001 - \$15,000
70	Blackrock Extended Equity Market Fund	Purchase	02/13/2020	\$1,001 - \$15,000
71	Vanguard Short-Term Bond Index Fund Admiral Shares (VBIRX)	Purchase	02/13/2020	\$1,001 - \$15,000
72	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	Purchase	02/13/2020	\$1,001 - \$15,000
73	DFA US Sustainability Core 1 Portfolio	Purchase	02/13/2020	\$1,001 - \$15,000
74	MFS Value Fund	Sale	02/13/2020	\$1,001 - \$15,000
75	Hotchkis & Wiley Small Cap Value Fund Class I	Sale	02/13/2020	\$1,001 - \$15,000
76	Vanguard Explorer Fund Admiral	Sale	02/13/2020	\$1,001 - \$15,000
77	Blackrock MSCI ACWI X US Index	Sale	02/13/2020	\$1,001 - \$15,000
78	Blackrock MSCI ACWI X US Index	Purchase	05/13/2020	\$1,001 - \$15,000
79	Dodge & Cox Income	Purchase	05/13/2020	\$1,001 - \$15,000
80	DFA US Sustainability Core	Purchase	05/13/2020	\$1,001 - \$15,000
81	Vanguard Institutional 500 Index	Sale	05/13/2020	\$1,001 - \$15,000
82	Vanguard Institutional Total Bond	Sale	05/13/2020	\$1,001 - \$15,000
83	Vanguard Explorer Fund	Sale	05/13/2020	\$1,001 - \$15,000
84	Vanguard Short Term Bond Index	Sale	05/13/2020	\$1,001 - \$15,000
85	American Funds EuroPacific Growth Fund	Purchase	08/13/2020	\$1,001 - \$15,000
86	Vanguard Short Term Bond Total Index Fund	Purchase	08/13/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
87	DFA US Sustainability Core I	Purchase	08/13/2020	\$1,001 - \$15,000
88	MFS Value Fund	Purchase	08/13/2020	\$1,001 - \$15,000
89	Dodge & Cox International	Purchase	08/13/2020	\$1,001 - \$15,000
90	Vanguard Explorer Fund	Purchase	08/13/2020	\$1,001 - \$15,000
91	Blackrock MSCI ACWI X US Index	Sale	08/13/2020	\$1,001 - \$15,000
92	Vanguard Institutional 500 Index	Sale	08/13/2020	\$1,001 - \$15,000
93	Dodge & Cox Income	Sale	08/13/2020	\$1,001 - \$15,000
94	Blackrock Extended Equity Market Fund	Sale	08/13/2020	\$1,001 - \$15,000
95	American Funds Growth of America	Purchase	11/13/2020	\$1,001 - \$15,000
96	American Funds EuroPacific Growth	Purchase	11/13/2020	\$1,001 - \$15,000
97	Artisan Mid Cap Fund Investor Shares (ARTMX)	Purchase	11/13/2020	\$1,001 - \$15,000
98	Vanguard Short Term Bond Index Fund	Purchase	11/13/2020	\$1,001 - \$15,000
99	Fidelity Real Estate Index Fund (FSRNX)	Purchase	11/13/2020	\$1,001 - \$15,000
100	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	Purchase	11/13/2020	\$1,001 - \$15,000
101	Blackrock Fed Fund Institutional	Purchase	11/13/2020	\$1,001 - \$15,000
102	MFS Value Fund	Purchase	11/13/2020	\$1,001 - \$15,000
103	Hotchkis & Wiley Small Cap Value Fund	Purchase	11/13/2020	\$1,001 - \$15,000
104	Blackrock Extended Equity Market Fund	Sale	11/13/2020	\$1,001 - \$15,000
105	Blackrock MSCI ACWI X US Index	Sale	11/13/2020	\$1,001 - \$15,000
106	Vanguard Institutional 500 Index	Sale	11/13/2020	\$1,001 - \$15,000
107	DFA US Sustainability Core	Sale	11/13/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
108	Dodge & Cox Income	Sale	11/13/2020	\$1,001 - \$15,000
109	Vanguard Explorer Fund	Sale	11/13/2020	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	US Bank #2	Mortgage (investment/rental property)	\$50,001 - \$100,000	2015	4.10%	30 years
2	US Bank #5	Mortgage (investment/rental property)	\$250,001 - \$500,000	2020	4.25%	30 years
3	US Bank #5	Mortgage (investment/rental property)	\$100,001 - \$250,000	2013	3.75%	30 years
4	US Bank #2	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2020	3.5%	30 Years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	1	test

# 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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