

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

Filer's Information

Teplitz, Alaina B

Ambassador - to Sri Lanka and to Maldives, Department of State

Report Year: 2021

Other Federal Government Positions Held During the Preceding 12 Months:

Chief of Mission - Nepal (10/2015 - 8/2018)

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/ Teplitz, Alaina B [electronically signed on 05/10/2021 by Teplitz, Alaina 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/ Murphy, Kathleen A, Certifying Official [electronically signed on 06/15/2021 by Murphy, Kathleen A in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/28/2021 by Granahan, Megan in Integrity.gov]

Data Revised 06/15/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Trust #1	Washington, District of Columbia	Trust	Trustee	4/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA	No			
1.1	Columbia Global Strategic Equity Fund Class A (NLGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	IRA	No			
2.1	Vanguard Life Strategy Growth Fund (VASGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

None

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	Corporate Flight Mgt dba Contour Aviation	N/A		Salary	
2	Renasant Retirement Account				
2.1	Renasant Retirement Plan Solutions	Yes			
2.1.1	Federated INSTL High Yield Bond (FIHLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.1.2	JP Morgan Equity Income (OIEJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential real estate, Washington, DC	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
2	U.S. bank accounts #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. Investment Account - U - A	No			
3.1	Artisan International Fund Class Advisor (APDIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Brandes Emerging Markets Value Fund Class I (BEMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Columbia Global Equity Value Fund Class Institutional (CEVZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	Columbia Large Cap Growth Fund III Class Institutional (NFEPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Eaton Vance Large Cap Value Fund Class I (EILVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Goldman Sachs Mid Cap Value Fund (GSMCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Wells Fargo Intrinsic Small Cap Value Fund Class Inst (WFSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Boston Trust Small Cap Fund (BOSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Blackrock High Yield Bond (BHYIX)		\$1,001 - \$15,000		None (or less than \$201)
4	Family Trust #1 - U - M1	No			
4.1	Columbia Capital Allocation Aggressive Portfolio Class A (AXBAX)	See Endnote	Yes	\$15,001 - \$50,000	\$201 - \$1,000
4.2	Columbia Large Cap Growth Fund III Class A (NFEAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.3	Alger Dynamic Opportunities Fund Class A (SPEDX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	Family Trust #2 - MS	No			
5.1	U.S. investment account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Abbvie Inc Com (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.5	American Express Co (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.6	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.7	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	BP PLC ADS (BP)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.9	Caterpillar Inc (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	Coca Cola Co (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.11	Deere & Co (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.12	Eli Lilly & Co (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.13	Emerson Electric Co (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.14	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	Honeywell International Inc (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.16	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	JPMorgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.19	McDonald's Corp (MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.20	Merck & Co Inc New Com (MRK)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.21	Microsoft Corp (MFST)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	Pepsico Inc NC (PEP)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	Procter & Gamble (PG)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.24	Raytheon Technologies Corp (RTX)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.25	United Technologies Corp (UTX)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
5.26	Verizon Communications (VZ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	WalMart Stores Inc (WMT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.28	Walt Disney Co HLDG Co (DIS)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.29	Baxter Intl Inc (BAX)		N/A	None (or less than \$1,001)		None (or less than \$201)
5.30	Cisco SYS Inc (CSCO)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.31	Unilever PLC (NEW) ADS (UL)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.32	iShares MSCI Frontier 100 ETF (FM)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.33	SPDR S&P 500 ETF TRUST (SPY)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.34	Vanguard FTSE Developed Mkts E (VEA)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.35	Vanguard FTSE Emerging Markets (VWO)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.36	MSIF Ultra-Short Income IR (MULSX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.37	Carrier Global Corporation (CARR)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
5.38	Otis Worldwide Corp (OTIS)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
6	Family Trust #3 - MS - M1		No			
6.1	U.S. investment account (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2	SPDR S&P Dividend (SDY)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
7	Family Trust #4 - MS - M2		No			
7.1	U.S. investment account (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
7.2	SPDR S&P Dividend (SDY)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
8	Family Trust #5 - MS - M1		No			
8.1	U.S investment account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.2	3M Company (MMM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.3	Abbott Laboratories (ABT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.4	Abbvie Inc COM (ABBV)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.5	AFLAC Incorporated (AFL)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.6	Allstate Corp (ALL)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.7	Ameren Corp (HLDG CO) (AEE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.8	American Express Co (AXP)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.9	Ameriprise Fincl Inc (AMP)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.10	Applied Materials Inc (AMAT)		N/A	None (or less than \$1,001)		None (or less than \$201)
8.11	Bank of America Corp (BAC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.12	Boeing Co (BA)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.13	BP PLC ADS (BP)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
8.14	Bristol Myers Squibb Co (BMY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.15	Caterpillar Inc (CAT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.16	Coca Cola (KO)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.17	Conagra Brands Inc (CAG)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.18	Cummins Inc (CMI)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.19	CVS Health Corp COM (CVS)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.20	Deere & Co (DE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.21	Dow Inc	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.22	Eli Lilly & Co (LLY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.23	Emerson Electric Co (EMR)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.24	Exxon Mobil Corp (XOM)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.25	Home Depot Inc (HD)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.26	Honeywell International Inc (HON)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.27	Intel Corp (INTC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.28	International Paper Co (IP)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.29	Johnson & Johnson (JNJ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.30	JPMorgan Chase & Co (JPM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.31	McDonalds Corp (MCD)		N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
8.32	Merck & Co New COM (MRK)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.33	Microsoft Corp (MSFT)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.34	Mondelez Int'l Inc COM (MDLZ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.35	Pepsico Inc NC (PEP)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.36	Philip Morris Int'l Inc (PM)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.37	Procter & Gamble (PG)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.38	Raytheon Technologies (RTX)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.39	Sysco Corp (SYY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.40	Texas Instruments (TXN)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.41	TJX COS Inc New (TJX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.42	Travelers Companies Inc COM (TRV)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8.43	United Technologies Corp (UTX)	See Endnote	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
8.44	Verizon Communications (VZ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.45	Walmart Stores Inc (WMT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.46	Walgreens Boots Alliance Inc (WBA)	See Endnote	N/A			None (or less than \$201)
8.47	Walt Disney Co HLDG CO (DIS)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.48	Waste Mgmt Inc (DELA) (WM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.49	Pimco 1-5 Yar U.S. TIPX IDX FD (STPZ)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.50	Vanguard Short Term BND (BSV)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.51	Invesco QQQ Trust, Series 1		Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.52	SPDR S&P 500 ETF Trust (SPY)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.53	Cisco SYS INC (CSCO)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.54	American Electric Power CO (AEP)		N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
8.55	Baxter Intl		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.56	Comcast Corp (NEW) Class A (CMCSA)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.57	DuPont de Nemours Inc (DD)	See Endnote	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
8.58	Entergy Corp New (ETR)		N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
8.59	Raytheon Technologies Corporation (RTX)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.60	Republic Services Inc (RSG)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.61	Unilever PLC (NEW) ADS (UL)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.62	Amazon.com, Inc. (AMZN)		No	\$1,001 - \$15,000		None (or less than \$201)
8.63	Berkshire Hathaway Inc. (BRKB)		No	\$1,001 - \$15,000		None (or less than \$201)
8.64	Chevron Corp. (CVX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.65	Corning, Inc. (GLW)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.66	Eaton Corp. Plc SHS (ETN)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.67	Carrier Global Corporation (CARR)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.68	Otis Worldwide Corp (OTIS)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.69	Pzier Inc (PFE)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.70	Sanofi ADR (SNY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.71	Uber Technologies, Inc. (UBER)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Family Trust #6 - MS - M2		No			
9.1	U.S. investment account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	3M Company (MMM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3	Abbott Laboratories (ABT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.4	Abbvie Inc COM (ABBV)		N/A	\$1,001 - \$15,000		None (or less than \$201)

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9.5	AFLAC Incorporated (AFL)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.6	Allstate Corp (ALL)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.7	Ameren Corp (HLDG CO) (AEE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.8	American Express Co (AXP)		N/A	None (or less than \$1,001)		None (or less than \$201)
9.9	Ameriprise Fincl Inc (AMP)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.10	Applied Materials Inc (AMAT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.11	Bank of America Corp (BAC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.12	Boeing Co (BA)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.13	BP PLC ADS (BP)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.14	Bristol Myers Squibb Co (BMV)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.15	Caterpillar Inc (CAT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.16	Coca Cola Co (KO)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.17	Conagra Brands Inc (CAG)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.18	Cummins Inc (CMI)		N/A	\$1,001 - \$15,000		None (or less than \$201)

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9.19	CVS Health Corp COM (CVS)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.20	Deere & Co (DE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.21	DowDupont Inc (DWDP)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.22	Eli Lilly & Co (LLY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.23	Emerson Electric Co (EMR)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.24	Exxon Mobil Corp (XOM)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.25	Home Depot Inc (HD)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.26	Honeywell International Inc (HON)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.27	Intel Corp (INTC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.28	International Paper Co (IP)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.29	Johnson & Johnson (JNJ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.30	JPMorgan Chase & Co (JPM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.31	McDonalds Corp (MCD)		N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
9.32	Merck & Co Inc NE (MRK)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.33	Microsoft Corp (MSFT)		N/A	\$1,001 - \$15,000		None (or less than \$201)

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9.34	Mondelez Int'l Inc COM (MDLZ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.35	Pepsico Inc NC (PEP)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.36	Philip Morris Int'l Inc (PM)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.37	Procter & Gamble (PG)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.38	Raytheon Technologies (RTX)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.39	Sysco Corp (SYY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.40	TJX COS Inc NEW (TJX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.41	Travelers Companies Inc COM (TRV)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.42	United Technologies Corp (UTX)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.43	Verizon Communications (VZ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.44	Walmart Stores Inc (WMT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.45	Walgreens Boots Alliance Inc (WBA)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9.46	Walt Disney Co HLDG CO (DIS)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.47	Waste Mgmt Inc (DELA) (WM)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
9.48	Pimco 1-5 Year U.S. TIPX IDX FD (STPZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
9.49	Vanguard Short Term BND (BSV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
9.50	Cisco SYS INC (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
9.51	Texas Instruments (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
9.52	Invesco QQQ Trust, Series I (QQQ)	Yes	\$50,001 - \$100,000		\$201 - \$1,000	
9.53	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500	
9.54	American Electric Power Co (AEP)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)	
9.55	Baxter Intl Inc (BAX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
9.56	Comcast Corp (New) Class A (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
9.57	DuPont de Nemours Inc (DD)	See Endnote	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
9.58	Entergy Corp New (ETR)	N/A	None (or less than \$1,001)		None (or less than \$201)	
9.59	Republic Services Inc (RSG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
9.60	Unilever PLC (NEW) ADS (UL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
9.61	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)	

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.62	Carrier Global Corporation (CARR)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.63	Berkshire Hathaway CL-B New (BRK'B)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.64	Chevron Corp. (CVX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.65	Corning, Inc. (GLW)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.66	Eaton Corp. Plc (ETN)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.67	Otis Worldwide Corp (OTIS)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.68	Uber Technologies, Inc. (UBER)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.69	Pfizer Inc. (PFE)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.70	Sanofi ADR (SNY)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Residential real estate, Staunton, VA	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
11	Residential real estate - Greenville, South Carolina	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
12	Residential real estate - Inman, South Carolina		N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Conagra Brands In	Sale	01/21/2020	\$1,001 - \$15,000
2	Archer-Daniels-Midland Co (ADM)	Sale	01/21/2020	\$1,001 - \$15,000
3	International Paper Co	Sale	01/21/2020	\$1,001 - \$15,000
4	Dow Inc	Sale	01/21/2020	\$1,001 - \$15,000
5	Walgreens Boots Alliance	Sale	01/21/2020	\$1,001 - \$15,000
6	DuPont de Nemours Inc	Sale	01/21/2020	\$1,001 - \$15,000
7	Philip Morris	Sale	01/21/2020	\$1,001 - \$15,000
8	Uber Technologies	Purchase	01/22/2020	\$1,001 - \$15,000
9	Pimco 1-5yr US TIPX IDX FD	Purchase	01/22/2020	\$15,001 - \$50,000
10	Wells Fargo & Co New	Sale	01/21/2020	\$1,001 - \$15,000
11	Amazon COM Inc	Purchase	01/22/2020	\$1,001 - \$15,000
12	CVS Health Corp COM	Purchase	01/22/2020	\$1,001 - \$15,000
13	Vanguard Short Term BND	Purchase	01/22/2020	\$1,001 - \$15,000
14	BP PLC ADS	Sale	10/23/2020	\$1,001 - \$15,000
15	Ameriprise Fincl Inc	Sale	10/23/2020	\$1,001 - \$15,000
16	Travelers Companies Inc COM	Sale	10/23/2020	\$1,001 - \$15,000
17	Aflac, Inc. (AFL)	Sale	10/23/2020	\$1,001 - \$15,000
18	Exxon Mobil Corp. (XOM)	Sale	10/23/2020	\$1,001 - \$15,000
19	CVS Health Corp. (CVS)	Sale	10/23/2020	\$1,001 - \$15,000
20	Allstate Corp (ALL)	Sale	10/23/2020	\$1,001 - \$15,000
21	Chevron Corp. (CVX)	Purchase	10/23/2020	\$1,001 - \$15,000
22	HP, Inc. (HPQ)	See Endnote	10/23/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	Berkshire Hathaway Inc. (BRKB)	Purchase	10/23/2020	\$1,001 - \$15,000
24	SPDR S&P Dividend ETF (SDY)	Sale	10/22/2020	\$15,001 - \$50,000
25	Residential real estate - Staunton, Virginia	Sale	10/01/2020	\$250,001 - \$500,000
26	Pfizer Inc. (PFE)	Purchase	10/23/2020	\$1,001 - \$15,000
27	Corning, Inc. (GLW)	Purchase	10/23/2020	\$1,001 - \$15,000
28	Cummins, Inc. (CMI)	Purchase	10/23/2020	\$1,001 - \$15,000
29	Cisco Systems, Inc. (CSCO)	Purchase	10/23/2020	\$1,001 - \$15,000
30	Baxter International, Inc. (BAX)	Purchase	10/23/2020	\$1,001 - \$15,000
31	Sanofi ADR (SNY)	Purchase	10/23/2020	\$1,001 - \$15,000
32	Eaton Corp PLC SHS (ETN)	Purchase	10/23/2020	\$1,001 - \$15,000
33	Bank of America Corp. (BAC)	Purchase	10/23/2020	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	U.S. Bank	Mortgage (investment/rental property)	\$250,001 - \$500,000	2012	3.5%	30 Year
2	Pilot Bank	Loan for Personal Aircraft	\$10,001 - \$15,000	2013	6.9%	10 Year
3	SDFCU	Mortgage (investment/rental property)	\$15,001 - \$50,000	2019	3.99%	HELOC

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
4	PennyMac	Mortgage on Personal Residence	\$250,001 - \$500,000	2020	2.5%	30

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	4.1	Exchange from Columbia Global Strategic Equity Fund Class A (NLGIX)
6.	5.24	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	5.25	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	5.37	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	5.38	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	6.2	Asset sold in 2020.
6.	7.2	Asset sold in 2020.
6.	8.5	Asset sold in 2020.

PART	#	ENDNOTE
6.	8.6	Asset sold in 2020.
6.	8.9	Asset sold in 2020.
6.	8.13	Asset sold in 2020.
6.	8.17	Asset sold in 2020.
6.	8.19	Asset sold in 2020.
6.	8.21	Asset sold in 2020.
6.	8.24	Asset sold in 2020.
6.	8.28	Asset sold in 2020.
6.	8.36	Asset sold in 2020.
6.	8.38	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	8.42	Asset sold in 2020.
6.	8.43	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	8.46	Asset sold in 2020.
6.	8.57	Asset sold in 2020.
6.	8.59	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	8.66	Asset now above the reporting threshold.
6.	8.67	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.

PART	#	ENDNOTE
6.	8.68	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	8.69	Asset now above the reporting threshold.
6.	8.70	Asset now above the reporting threshold.
6.	9.5	Asset sold in 2020.
6.	9.6	Asset sold in 2020.
6.	9.9	Asset sold in 2020.
6.	9.13	Asset sold in 2020.
6.	9.17	Asset sold in 2020.
6.	9.19	Asset sold in 2020.
6.	9.21	Asset sold in 2020.
6.	9.24	Asset sold in 2020.
6.	9.28	Asset sold in 2020.
6.	9.36	Asset sold in 2020.
6.	9.38	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	9.41	Asset sold in 2020.
6.	9.42	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	9.45	Asset sold in 2020.
6.	9.57	Asset sold in 2020.

PART	#	ENDNOTE
6.	9.62	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	9.65	Asset now above the reporting threshold.
6.	9.66	Asset now above the reporting threshold.
6.	9.67	Raytheon Company and United Technologies Company merged on April 3, 2020. The new company is called Raytheon Technologies Corporation, trading as RTX. Carrier and Otis were spin-offs from this merger.
6.	9.69	Asset now above the reporting threshold.
6.	9.70	Asset now above the reporting threshold.
6.	10	Asset sold in 2020.
6.	11	Asset sold in 2020.
7.	22	Asset not previously reported because value was below the reporting threshold. It reached the threshold in the reporting period.

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.

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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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