

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Lopez, Diana

Senior Advisor to the FRA Administrator, Department of Transportation

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Lopez, Diana [electronically signed on 05/12/2022 by Lopez, Diana 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/ Jortland, Brett, Certifying Official [electronically signed on 06/24/2022 by Jortland, Brett in Integrity.gov]

Other review conducted by

/s/ Kuhn, Alana, Ethics Official [electronically signed on 06/15/2022 by Kuhn, Alana in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/15/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Port Authority of New York & New Jersey	New York City, New York	Bi-state authority	Special Legal Advisor	9/2019	8/2020
2	Gateway Program Development Corporation(The Port Authority of New York & New Jersey)	New York, New York	Non-Profit	General Counsel & Secretary	1/2017	8/2019

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard IRA	No			
1.1	Vanguard 500 Index Admiral CL (VFIAX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.2	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.3	Vanguard/Wellington Fund, Inc Admiral Shares (VWENX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2	Charles Schwab IRA Rollover	No			
2.1	New Economy Fund Class F1 Shares (ANFFX)	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
2.2	Artisan International Fund Investor Shares (ARTIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.3	Dodge & Cox Stock Fund (DODGX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Janus Henderson Balanced Fund Class T Shares (JABAX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.5	Matthews Pacific Tiger Fund Investor Class (MAPTX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
2.6	Oakmark International Fund Investor Class Shares (OAKIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.7	T Rowe Price Capital Appreciation Fund (PRWCX)	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
2.8	T Rowe Price Mid-Cap Growth Fund, Inc Class R Shares (RRMGX)	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000
3	New York State Deferred Compensation 457(b) Plan	No			
3.1	International Equity Fd-Active	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.2	Vanguard Prime Capital Admiral (VPMAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3.3	Vanguard Wellington Admiral (VWENX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	New York State and Local Retirement System (cash balance pension plan-not vested)	N/A	\$50,001 - \$100,000		
5	SK Private Inv Fund 1998 LLC	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Project Capital 2008 Investment Fund LLC	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Port Authority of New York & New Jersey	New York City, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2011

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	Constantine Cannon LLP (Law Firm)	N/A		salary, bonus	
2	Roth IRA #2 (Fidelity)	No			
2.1	Fidelity Japan Fund (FJPNX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
3	Roth IRA #1 (Citibank)	No			
3.1	Citibank Retirement Day-to-Day Savings	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
4	Traditional IRA (Fidelity)	No			
4.1	Bausch Health Companies INC Com Npv (BHC)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5	Constantine Cannon 401(k)	No			
5.1	Milstein Brothers Real Estate, LLC & Affiliated Entities 401(k) Savings Pla	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
6	Sterling National Bank Roth IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	CD	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	MS Managed Account Traditional IRA	No			
7.1	Cash and Bank Deposits	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
7.2	Ares Capital Corp (ARCC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.3	First Trust Low Duration Opportunities ETF (LMBS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.4	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.5	Global X Millennials Thematic ETF (MILN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.6	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.7	Invesco Global Short Term High Yield Bond ETF (PGHY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.8	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.9	iShares Core MSCI International Developed Markets ETF (IDEV)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
7.10	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.11	iShares Gold Trust ETF (IAU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.12	iShares JPMorgan USD Emerging Markets Bond ETF (EMB)	Yes	None (or less than \$1,001)		
7.13	iShares MBS ETF (MBB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.14	iShares Preferred and Income Securities ETF (PFF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.15	iShares Russell Top 200 Growth ETF (IWY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.16	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.17	iShares Short-Term Corporate Bond ETF (IGSB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.18	SPDR S&P Regional Banking ETF (KRE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.19	VanEck Vectors Morningstar Wide Moat ETF (MOAT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.20	Vanguard Extended Market Index Fund ETF Shares (VXF)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7.21	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.22	WisdomTree International LargeCap Dividend Fund (DOL)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.23	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	Western International Securities IRA	No			
8.1	Pershing Government Account (Money Market Fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	General Electric Co. (GE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.3	New York Community Bancorp, Inc. (NYCB)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
8.4	Hartford Inflation Plus Fund Class A Shares (HIPAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley Managed Account	No			
1.1	Cash and Bank Deposits	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.2	Triborough BRDG & TNL AUTH Revs-C Bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.3	Morgan Stanley Inst Liquidity Funds - Gov't Portfolio (Money Mkt Fund) (MVRXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.4	Ares Capital Corp (ARCC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.5	1st Trust Low Duration Opp ETF (LMBS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	FlexShares Morningstar Global Upstream Natural Resources Index Fund (GUNR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	Global X Millennials Thematic ETF (MILN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.9	Invesco Global Short Term High Yield Bond ETF (PGHY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.10	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.11	iShares Core MSCI International Developed Markets ETF (IDEV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.12	iShares Core S&P 500 ETF (IVV)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	iShares Gold Trust (IAU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.14	iShares JPMorgan USD Emerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.15	iShares MBS ETF (MBB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.16	iShares Preferred and Income Securities ETF (PFF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.17	iShares Russell Top 200 Growth ETF (IWY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.18	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.19	iShares Short-Term Corporate Bond ETF (IGSB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.20	SPDR S&P Regional Banking ETF (KRE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.21	VanEck Vectors Morningstar Wide Moat ETF (MOAT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.22	Vanguard Extended Market Index Fund ETF Shares (VXF)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.23	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.24	WisdomTree International LargeCap Dividend Fund (DOL)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.25	iShares National Muni Bond ETF (MUB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.26	Tortoise MLP & Pipeline Fund Institutional Class Shares (TORIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Citi Personal Wealth Management (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Invesco Rochester New York Municipal Fund - CI A - RMUNX	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4	Rayonier, Inc. (RYN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5	Sterling National Bank Money Market	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
6	Citibank Bank Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Comcast Corp. (CMCSA)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8	Exxon Mobil Corp. (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
9	JP Morgan Chase (JPM)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
10	Merck & Co., Inc. (MRK)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
11	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
12	Fidelity Account Robert Begleiter Custodian for Daughter 2 UTMA	No			
12.1	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.2	SPDR S&P 500 ETF Trust (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.3	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.4	Facebook, Inc. (FB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
12.5	Snap, Inc. (SNAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.6	Twitter, Inc. (TWTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Fidelity Education (529) Account Robert Begleiter Participant TOD Daughter 2 - Beneficiary	No			
13.1	NH College Port. (Fidelity Funds)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Fidelity Education (529) Account Robert Begleiter - Participant TOD Daughter 3 - Beneficiary	No			
14.1	NH Portfolio 2021 (Fidelity Funds)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
15	NY's 529 College Savings Program; Moderate Age-Based Option: Income Portfolio - Beneficiary Daughter 1	No			
15.1	VANG Total Bond Market II Index Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
15.2	VANG Total International Bond Index Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
15.3	VANG Short-Term Inflation Protected Securities Index Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
15.4	VANG Short-Term Reserves Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	NY's 529 College Savings Program; Moderate Age-Based Option: Income Portfolio - Beneficiary Daughter 2	No			
16.1	VANG Total Bond Market II Index Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
16.2	VANG Total International Bond Index Fund	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.3	VANG Short-Term Inflation Protected Securities Index Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
16.4	VANG Short-Term Reserves Account	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	NY's 529 College Savings Program; Moderate Age-Based Option: Income Portfolio - Beneficiary Daughter 3	No			
17.1	VANG Total Bond Market II Index Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17.2	VANG Total International Bond Index Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.3	VANG Short-Term Inflation Protected Securities	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.4	VANG Short-Term Reserves Account	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18	NY's 529 College Savings Program; Moderate Age-Based Option: Income Portfolio - Beneficiary Daughter 3	No			
18.1	VANG Total Bond Market II Index Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.2	VANG Total International Bond Index Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.3	VANG Short-Term Inflation Protected Securities	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.4	VANG Short-Term Reserves Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Fidelity Brokerage and Investments Account (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
20	Fidelity Account Robert Begleiter Custodian for Daughter 3 - UTMA NY	No			
20.1	Fidelity Government Money Market Fund (SPAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.2	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20.3	SPDR S&P 500 ETF Trust (SPY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20.4	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
20.5	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20.6	Snap, Inc. (SNAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Citi Private Bank (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
22	Security Mutual Life Insurance Co of NY - Universal	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
23	Verizon Communications, Inc. (VZ)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
24	AT&T	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
25	Brooklyn, NY parking spot	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
26	Citi Private Bank (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
27	Citibank Checking Robert L Begleiter Rep Daughter 3	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
28	Western International Securities (WIS) brokergae	No			
28.1	GENERAL GOVT SEC MNY MKT CL 8 (GSBXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
28.2	ITT, Inc. (ITT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28.3	L3Harris Technologies, Inc. (LHX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
28.4	Marriott Vacations Worldwide Corp. (VAC)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
28.5	MARRIOTT INTL INC NEW CL A (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
28.6	McDonald's Corp. (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
28.7	New York Community Bancorp, Inc. (NYCB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
28.8	Vectrus, Inc. (VEC)	N/A	None (or less than \$1,001)		None (or less than \$201)
28.9	Xylem, Inc. (XYL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
28.10	Host Hotels & Resorts, Inc., REIT (HST)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
28.11	Invesco Rochester Limited Term New York Municipal Fund Class A (LTNYX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
28.12	Sterling Bancorp (Montebello, New York) (STL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Eyenovia, Inc. (EYEN)	Sale	10/29/2021	\$1,001 - \$15,000
2	Eyenovia, Inc.	Purchase	02/09/2021	\$1,001 - \$15,000
3	Eyenovia, Inc.	Purchase	02/23/2021	\$1,001 - \$15,000
4	Magellan Midstream Partners	Sale	02/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
5	Eyenovia, Inc.	Purchase	03/02/2021	\$15,001 - \$50,000
6	Oscar Health Inc.	Purchase	04/06/2021	\$1,001 - \$15,000
7	Oscar Health Inc.	Purchase	04/08/2021	\$1,001 - \$15,000
8	Oscar Health Inc.	Purchase	04/15/2021	\$1,001 - \$15,000
9	Oscar Health Inc.	Purchase	04/14/2021	\$1,001 - \$15,000
10	Exxon Mobil Corp. (XOM)	Sale	04/27/2021	\$15,001 - \$50,000
11	Oscar Health Inc.	Purchase	04/21/2021	\$1,001 - \$15,000
12	Oscar Health Inc.	Purchase	04/29/2021	\$1,001 - \$15,000
13	Oscar Health Inc.	Purchase	06/08/2021	\$1,001 - \$15,000
14	Oscar Health Inc.	Purchase	06/10/2021	\$1,001 - \$15,000
15	Oscar Health Inc.	Purchase	06/11/2021	\$1,001 - \$15,000
16	Oscar Health Inc.	Sale	06/30/2021	\$15,001 - \$50,000
17	Eyenovia, Inc.	Sale	06/30/2021	\$1,001 - \$15,000
18	Oscar Health Inc.	Sale	07/08/2021	\$1,001 - \$15,000
19	Oscar Health Inc.	Sale	07/13/2021	\$1,001 - \$15,000
20	Eyenovia, Inc.	Sale	08/17/2021	\$1,001 - \$15,000
21	Eyenovia, Inc.	Sale	11/18/2021	\$1,001 - \$15,000
22	Eyenovia, Inc.	Sale	11/18/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Morgan Stanley	Exercised Line of Credit	\$50,001 - \$100,000	2019	2.12%	3 years
2	Morgan Stanley	Exercised Line of Credit	\$50,001 - \$100,000	2019	4.2%	5 years

9. Gifts and Travel Reimbursements

None

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

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).
