

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

Filer's Information

LaVigne, Nancy

Director, National Institute of Justice, Department of Justice

Report Year: 2023

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/ LaVigne, Nancy [electronically signed on 06/01/2023 by LaVigne, Nancy in Integrity.gov] - Filer received a 30 day filing extension.

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/ Solomon, Amy L, Certifying Official [electronically signed on 04/30/2024 by Solomon, Amy L in Integrity.gov]

Other review conducted by

/s/ Slaughter, Chandria L, Ethics Official [electronically signed on 04/05/2024 by Slaughter, Chandria L in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 09/18/2023

Data Revised 08/02/2023

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
5.	2	Merrill Lynch IRA	(09/18/2023, Bernhardt, Gena): Per filer, the underlying assets in this account are listed in "Other Assets and Income"
5.	3	Morgan Stanley IRA	(09/18/2023, Bernhardt, Gena): Per filer, the underlying assets in this account are listed in "Other Assets and Income"

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	NLV Consulting, LLC	Bethesda, Maryland	Corporation	Principal	8/2020	5/2022
2	Council on Criminal Justice	Washington, District of Columbia	Non-Profit	Senior Fellow	2/2022	5/2022
3	Council on Criminal Justice	Washington, District of Columbia	Non-Profit	Consultant	8/2020	1/2022
4	University of Chicago	Chicago, Illinois	University/College	Consultant	8/2021	5/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	NLV Consulting, LLC (Personal business to provide criminal justice policy research services)	N/A		Consulting Fees	\$27,140
2	Council on Criminal Justice	N/A		Salary	\$40,798
3	Council on Criminal Justice	N/A		Consulting Fees	\$7,590
4	University of Chicago	N/A		Consulting Fees	\$19,550
5	Urban Institute	N/A		Employer covered two months of COBRA payments	\$3,248

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	SEP IRA	No		Dividends	\$5,001 - \$15,000
7	TIAA CREF Retirement Account	Yes			
8	TransAmerica 401k	Yes			

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Urban Institute	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2001

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	Marriott International, Inc. Defered Compensation	N/A		Cash payment	
2	Merrill Lynch IRA	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3	Morgan Stanley IRA	No	Over \$1,000,000	Dividends Interest	\$15,001 - \$50,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity 529 plan	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	SunTrust Bank Account	No	\$15,001 - \$50,000		None (or less than \$201)
3	Maryland 529 Plan	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Franklin Templeton (FAROX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	Morgan Stanley Portfolio Management Acct - NLV	No	\$100,001 - \$250,000		None (or less than \$201)
5.1	Invesco QQQ Trust, Series 1 (QQQ)	No	\$1,001 - \$15,000		None (or less than \$201)
5.2	Apple, Inc. (AAPL)	No	\$1,001 - \$15,000		None (or less than \$201)
5.3	AT&T	No	\$1,001 - \$15,000		None (or less than \$201)
5.4	Chevron Corp. (CVX)	No	\$1,001 - \$15,000		None (or less than \$201)
5.5	Crown Castle International Corp. (CCI)	No	\$1,001 - \$15,000		None (or less than \$201)
5.6	CVS Health Corp. (CVS)	No	\$1,001 - \$15,000		None (or less than \$201)
5.7	Mastercard, Inc. (MA)	No	\$1,001 - \$15,000		None (or less than \$201)
5.8	Microsoft Corp. (MSFT)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	NESTLE SPON ADR REP RED SHR (NSRGY)	No	\$1,001 - \$15,000		None (or less than \$201)
5.10	First Trust NASDAQ Cybersecurity ETF (CIBR)	No	\$1,001 - \$15,000		None (or less than \$201)
5.11	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.12	Invesco QQQ Trust, Series 1 (QQQ)	No	\$1,001 - \$15,000		None (or less than \$201)
5.13	Health Care Select Sector SPDR Fund (XLV)	No	\$1,001 - \$15,000		None (or less than \$201)
5.14	iShares Core S&P Small-Cap ETF (IJR)	No	\$1,001 - \$15,000		None (or less than \$201)
5.15	iShares Gold Trust (IAU)	No	\$1,001 - \$15,000		None (or less than \$201)
5.16	iShares S&P 500 Value ETF (IVE)	No	\$1,001 - \$15,000		None (or less than \$201)
5.17	JPMorgan Ultra-Short Income ETF (JPST)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.18	Financial Select Sector SPDR Fund (XLF)	No	\$1,001 - \$15,000		None (or less than \$201)
5.19	Utilities Select Sector SPDR Fund (XLU)	No	\$1,001 - \$15,000		None (or less than \$201)
5.20	Utilities Select Sector SPDR Fund (XLU)	No	\$1,001 - \$15,000		None (or less than \$201)
5.21	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	No	\$1,001 - \$15,000		None (or less than \$201)
5.22	Vanguard Extended Market Index Fund ETF Shares (VXF)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.23	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	No	\$1,001 - \$15,000		None (or less than \$201)
5.24	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.25	Angel Oak Multi-Strategy Income Fund Institutional Class Shares (ANGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.26	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.27	First Eagle Overseas Fund Class I Shares (SGOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.28	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.29	Polen Growth Fund Institutional Class Shares (POLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Wells Fargo bank account	No	\$15,001 - \$50,000		None (or less than \$201)
7	TRUIST bank account	No	\$1,001 - \$15,000		None (or less than \$201)
8	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9	iShares Core S&P Small-Cap ETF (IJR)	No	\$1,001 - \$15,000		None (or less than \$201)
10	iShares Edge MSCI USA Quality Factor ETF (QUAL)	No	\$1,001 - \$15,000		None (or less than \$201)
11	JPMorgan Ultra-Short Income ETF (JPST)	No	\$1,001 - \$15,000		None (or less than \$201)
12	SPDRDoubleLine Total Return Tactical ETF (TOTL)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	No	\$1,001 - \$15,000		None (or less than \$201)
14	Angel Oak Multi-Strategy Income Fund Institutional Class Shares (ANGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	First Eagle Overseas Fund Class I Shares (SGOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	MORGAN STANLEY PORTFOLIO ACCOUNT - TOM	No	Over \$1,000,000	Capital Gains Dividends Interest Rent or Royalties	\$100,001 - \$1,000,000
17.1	Accenture Plc (ACN)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17.2	Alphabet, Inc. (GOOG)	No	\$100,001 - \$250,000	Capital Gains	\$1,001 - \$2,500
17.3	Amazon.com, Inc. (AMZN)	No	\$50,001 - \$100,000		None (or less than \$201)
17.4	American Tower Corporation (REIT) Common Stock (AMT)	No	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
17.5	Amgen Inc. (AMGN)	No	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
17.6	Apple, Inc. (AAPL)	No	\$250,001 - \$500,000	Capital Gains Dividends	\$100,001 - \$1,000,000
17.7	AT&T	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17.8	Berkshire Hathaway Inc. (BRKB)	No	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.9	Ball Corporation (BLL)	No	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
17.10	Ball Corporation (BLL)	No	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
17.11	BlackRock Health Sciences Trust II (BMEZ)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
17.12	Blackstone Inc. Common Stock (BX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
17.13	"BNP PARIBAS SA FXD TO 062037 VAR THRAFTR 7.1950% REGS ACCRUED BOND INTEREST RATE:BA1/BBB- 7.195% DUE:2062-01-03"	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.14	Chevron Corp. (CVX)	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
17.15	CVS Health Corp. (CVS)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
17.16	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Yes	None (or less than \$1,001)		None (or less than \$201)
17.17	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.18	First EagleGlobal Fund Class I Shares (SGIIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
17.19	First Eagle Overseas Fund Class I Shares (SGOIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
17.20	First Trust NASDAQ Cybersecurity ETF (CIBR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.21	GENERAL MOTORS FINANCE BOND	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17.22	GBIL	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.23	Goldman Sachs Dynamic Municipal Income Fund Class A Shares (GSMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.24	Goldman Sachs Equal Weight US Large Cap Equity ETF (GSEW)	Yes	None (or less than \$1,001)		\$201 - \$1,000
17.25	Health Care Select Sector SPDR Fund (XLV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.26	Invesco Conservative Income Fund Institutional Class Shares (ICIFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
17.27	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.28	Invesco Oppenheimer Short Term Muni Fd Class Y Sh (ORSYX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
17.29	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17.30	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17.31	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.32	iShares S&P 500 Value ETF (IVE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.33	iShares Gold Trust (IAU)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
17.34	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
17.35	Knight-Swift Transportation Holdings, Inc. (KNX)	No	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
17.36	Liberty Media Corporation Series B Liberty SiriusXM Common Stock (LSXMB)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
17.37	Marriott International, Inc. (MAR)	No	\$100,001 - \$250,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.38	Mastercard, Inc. (MA)	No	\$100,001 - \$250,000	Capital Gains Dividends	\$1,001 - \$2,500
17.39	Materials Select Sector SPDR Fund (XLB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.40	METLIFE CORP	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
17.41	Microsoft Corp. (MSFT)	No	\$100,001 - \$250,000	Capital Gains Dividends	\$201 - \$1,000
17.42	MORGAN STANLEY PRIVATE BANK	No	\$50,001 - \$100,000	Interest	None (or less than \$201)
17.43	NESTLE (NSRGY)	No	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
17.44	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Yes	None (or less than \$1,001)		None (or less than \$201)
17.45	Polen Growth Fund Institutional Class Shares (POLIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17.46	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
17.47	QUALCOMM, Inc. (QCOM)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17.48	RHHBY ROCHE HOLDINGS	No	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
17.49	Shopify Inc. Class A Subordinate Voting Shares (SHOP)	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
17.50	Financial Select Sector SPDR Fund (XLF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.51	Thermo Fisher Scientific, Inc. (TMO)	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.52	The TJX Cos., Inc. (TJX)	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
17.53	UnitedHealth Group, Inc. (UNH)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17.54	Utilities Select Sector SPDR Fund (XLU)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.55	Vanguard Extended Market Index Fund ETF Shares (VXF)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
17.56	Vanguard Health Care Index Fund ETF Class Shares (VHT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.57	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17.58	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17.59	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	None (or less than \$1,001)		None (or less than \$201)
17.60	Verizon Communications, Inc. (VZ)	No	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
17.61	Visa, Inc. (V)	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
17.62	Walmart, Inc. (WMT)	No	\$1,001 - \$15,000		None (or less than \$201)
17.63	Xylem, Inc. (XYL)	No	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
17.64	AIPO1 AIP ABSOLUTE RETURN FUND	No	\$100,001 - \$250,000	Dividends Rent or Royalties	\$15,001 - \$50,000
17.65	HPD3S HP MILLENIUM USA	No	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
17.66	BBF38 BLACKSTONE REAL ESTATE INVESTMENT TRUST	No	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.67	CARLISLE ENERGY OFFSHORE FEEDER	No	\$15,001 - \$50,000	Rent or Royalties	\$2,501 - \$5,000
18	3M Company	No	\$1,001 - \$15,000		\$201 - \$1,000
19	Apple	No	\$15,001 - \$50,000		\$201 - \$1,000
20	Archer Daniels Midland	No	\$1,001 - \$15,000		\$1,001 - \$2,500
21	AT&T	No	\$1,001 - \$15,000		\$201 - \$1,000
22	Bell Canada	No	\$1,001 - \$15,000		\$201 - \$1,000
23	BlackHills Corp BKH	No	\$15,001 - \$50,000		\$201 - \$1,000
24	BlackRock National Muni	No	\$15,001 - \$50,000		None (or less than \$201)
25	Bristol Myers Squibb	No	\$15,001 - \$50,000		\$201 - \$1,000
26	Cisco	No	\$15,001 - \$50,000		\$201 - \$1,000
27	Consumer Discretionary Select SPDR	No	\$15,001 - \$50,000		None (or less than \$201)
28	Corning Inc.	No	\$15,001 - \$50,000		\$201 - \$1,000
29	CVS Health Corp	No	\$15,001 - \$50,000		\$201 - \$1,000
30	Dominion Energy Inc.	No	\$1,001 - \$15,000		\$201 - \$1,000
31	Duke Energy	No	\$15,001 - \$50,000		\$201 - \$1,000
32	Eaton Corp PLC	No	\$1,001 - \$15,000		\$201 - \$1,000
33	Exxon-Mobil	No	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	First Trust NASDAQ Tech. Index Fuind	Yes	\$1,001 - \$15,000		None (or less than \$201)
35	Franklin Federal Tax Free Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
36	General Dynamics	No	\$1,001 - \$15,000		\$5,001 - \$15,000
37	General Mills	No	\$1,001 - \$15,000		\$2,501 - \$5,000
38	Honda Motor Company ADR	No	\$1,001 - \$15,000		\$201 - \$1,000
39	Industrial Select Sector SPDR Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	Ingredion Inc.	No	\$15,001 - \$50,000		\$201 - \$1,000
41	Intel Corp.	No	None (or less than \$1,001)		None (or less than \$201)
42	International Paper Corp.	No	\$1,001 - \$15,000		\$201 - \$1,000
43	INVESCO Bullet Shares 2024 Corp. Bnd ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
44	INVESCO Bullet Shares 2025	Yes	\$15,001 - \$50,000		\$201 - \$1,000
45	INVESCO Bullet Shares 2026	Yes	\$1,001 - \$15,000		\$201 - \$1,000
46	INVESCO National AMT Free Municipal Bond ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
47	Ishares 5-10 Yr. Investment Grade Corp Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
48	Ishares Core US Aggregate Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
49	Ishares Global Energy ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50	Ishares IBOXX Investment Grade Corp. Bond ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
51	Ishares EAFE Value ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
52	Ishares National Muni Bond ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
53	Ishares Preferred Securities ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
54	Ishares TIPS Bond ETF	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
55	Johnson & Johnson	No	\$15,001 - \$50,000		\$201 - \$1,000
56	JP Morgan Chase	No	\$1,001 - \$15,000		\$201 - \$1,000
57	Kellogg Co.	No	\$1,001 - \$15,000		None (or less than \$201)
58	Kimberly Clark	No	\$1,001 - \$15,000		None (or less than \$201)
59	Kraft-Heinz	No	\$1,001 - \$15,000		\$201 - \$1,000
60	Lockheed Martin	No	\$1,001 - \$15,000		\$1,001 - \$2,500
61	Lord Abbot Short Duration Income	Yes	None (or less than \$1,001)		None (or less than \$201)
62	Lord Abbot Ultra Short Bond Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
63	Lyondell Basell Industries	No	\$1,001 - \$15,000		\$1,001 - \$2,500
64	Marathon Petroleum	No	\$15,001 - \$50,000		\$2,501 - \$5,000
65	Merck	No	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
66	MDU Resources	No	\$1,001 - \$15,000		None (or less than \$201)
67	Medtronic PLC	No	\$15,001 - \$50,000		None (or less than \$201)
68	MFS Municipal Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
69	Newmont Corp.	No	\$1,001 - \$15,000		\$201 - \$1,000
70	OakTree	No	\$15,001 - \$50,000	Dividends Capital Gains Interest Rent or Royalties	\$2,501 - \$5,000
71	OGE Energy Corp.	No	None (or less than \$1,001)		\$201 - \$1,000
72	Pfizer	No	\$15,001 - \$50,000		\$1,001 - \$2,500
73	PNC Financial Services Group	No	\$1,001 - \$15,000		\$201 - \$1,000
74	PPL	No	\$1,001 - \$15,000		\$201 - \$1,000
75	Procter & Gamble	No	\$1,001 - \$15,000		\$201 - \$1,000
76	Royal Bank of Canada	No	\$15,001 - \$50,000		\$201 - \$1,000
77	Shell PLC ADR	No	None (or less than \$1,001)		\$201 - \$1,000
78	SPDR Portfolio Europe ETF	No	\$1,001 - \$15,000		\$201 - \$1,000
79	State Street Corp.	No	\$1,001 - \$15,000		\$201 - \$1,000
80	Total Energies SA ADR	No	\$1,001 - \$15,000		None (or less than \$201)
81	US Bancorp	No	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
82	Unilever PLC	No	\$1,001 - \$15,000		None (or less than \$201)
83	United Parcel Service	No	\$1,001 - \$15,000		\$201 - \$1,000
84	VanEck Long Muni ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
85	Vanguard Communications Services ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
86	Vanguard Intermediate Term Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
87	Vanguard Intermediate Term Corporate Bond ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
88	Vanguard Short term Bond ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
89	Verizon	No	\$15,001 - \$50,000		\$1,001 - \$2,500
90	Walmart	No	\$1,001 - \$15,000		None (or less than \$201)
91	Whirlpool	No	\$1,001 - \$15,000		\$201 - \$1,000
92	Zimmer Biomet Holdings	No	None (or less than \$1,001)		None (or less than \$201)
93	Merrill Lynch Bank Deposits	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Purchase	06/17/2022	\$1,001 - \$15,000
2	The Kraft Heinz Co. (KHC)	Purchase	06/06/2022	\$1,001 - \$15,000
3	Zimmer Biomet Holdings, Inc. (ZBH)	Purchase	06/30/2022	\$1,001 - \$15,000
4	Kellogg Co. (K)	Purchase	06/30/2022	\$1,001 - \$15,000
5	Oaktree Opportunities Access Fund	Purchase	07/01/2022	\$1,001 - \$15,000
6	Zimmer Biomet Holdings, Inc. (ZBH)	Sale	07/07/2022	\$1,001 - \$15,000
7	Medtronic Plc (MDT)	Purchase	07/07/2022	\$1,001 - \$15,000
8	Cisco Systems, Inc. (CSCO)	Purchase	05/19/2022	\$1,001 - \$15,000
9	Shopify, Inc.	Sale	06/23/2022	\$15,001 - \$50,000
10	Liberty Media Corp. Liberty SiriusXM (LSXMK)	Sale	06/07/2022	\$15,001 - \$50,000
11	Liberty Media Corp. Liberty SiriusXM (LSXMK)	Sale	06/03/2022	\$1,001 - \$15,000
12	Liberty Media Corp. Liberty SiriusXM (LSXMK)	Sale	06/02/2022	\$1,001 - \$15,000
13	Liberty Media Corp. Liberty SiriusXM (LSXMK)	Sale	06/01/2022	\$15,001 - \$50,000
14	MetLife, Inc. (MET)	Purchase	05/12/2022	\$1,001 - \$15,000
15	Coinbase Global Inc.	Sale	05/12/2022	\$1,001 - \$15,000
16	Carlyle Energy Opportunity	Purchase	06/03/2022	\$1,001 - \$15,000
17	Carlyle Energy Opportunities	Purchase	06/03/2022	\$1,001 - \$15,000
18	Carlyle Energy Opportunities	Sale	06/03/2022	\$1,001 - \$15,000
19	Carlyle Energy Opportunities	Sale	06/03/2022	\$1,001 - \$15,000
20	Blackstone BREIT	Sale	05/25/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
21	Cisco Systems, Inc. (CSCO)	Purchase	05/19/2022	\$1,001 - \$15,000
22	Blackstone, Inc.	Purchase	05/09/2022	\$1,001 - \$15,000
23	Intel Corp. (INTC)	Sale	07/27/2022	\$1,001 - \$15,000
24	Blackstone BREIT	Sale	07/25/2022	\$1,001 - \$15,000
25	Blackstone, Inc.	Purchase	08/08/2022	\$1,001 - \$15,000
26	Invesco Oppenheimer Short Term Muni Fd Class Y Sh (ORSYX)	Purchase	08/12/2022	\$50,001 - \$100,000
27	Verizon Communications, Inc. (VZ)	Sale	08/12/2022	\$15,001 - \$50,000
28	AT&T, Inc.	Purchase	08/12/2022	\$1,001 - \$15,000
29	JP Morgan Ultra Short Inc. ETF	Purchase	08/12/2022	\$100,001 - \$250,000
30	BlackRock Health Sciences Trust 11	Sale	08/12/2022	\$15,001 - \$50,000
31	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	08/12/2022	\$100,001 - \$250,000
32	Apple, Inc. (AAPL)	Sale	08/17/2022	\$1,001 - \$15,000
33	US Treasury Note	Purchase	08/29/2022	\$100,001 - \$250,000
34	Intel Corp. (INTC)	Sale	08/02/2022	\$1,001 - \$15,000
35	Total Energies SE	Purchase	08/12/2022	\$1,001 - \$15,000
36	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Sale	09/02/2022	\$1,001 - \$15,000
37	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Sale	09/02/2022	\$1,001 - \$15,000
38	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Sale	09/13/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
39	Baron Discovery Fund Institutional Class Shares (BDFIX)	Sale	09/15/2022	\$1,001 - \$15,000
40	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	09/15/2022	\$1,001 - \$15,000
41	Eaton Vance Atlanta Capital SMID-Cap Fund Class I Shares (EISMX)	Sale	09/15/2022	\$1,001 - \$15,000
42	First Eagle Overseas Fund Class I Shares (SGOIX)	Sale	09/15/2022	\$1,001 - \$15,000
43	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Sale	09/15/2022	\$1,001 - \$15,000
44	Roche Holdings ADR	Sale	09/15/2022	\$1,001 - \$15,000
45	Health Care Select Sector SPDR Fund (XLV)	Purchase	09/15/2022	\$1,001 - \$15,000
46	Utilities Select Sector SPDR Fund (XLU)	Purchase	09/15/2022	\$1,001 - \$15,000
47	Verizon Communications, Inc. (VZ)	Sale	09/15/2022	\$1,001 - \$15,000
48	iShares Core S&P Small-Cap E	Sale	09/15/2022	\$1,001 - \$15,000
49	Chevron Corp. (CVX)	Sale	09/15/2022	\$1,001 - \$15,000
50	AT&T Inc.	Purchase	09/15/2022	\$1,001 - \$15,000
51	Berkshire Hathaway CL-B New	Sale	09/15/2022	\$1,001 - \$15,000
52	Crown Castle International Corp. (CCI)	Purchase	09/15/2022	\$1,001 - \$15,000
53	Walmart, Inc. (WMT)	Purchase	09/15/2022	\$1,001 - \$15,000
54	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	09/19/2022	\$15,001 - \$50,000
55	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Sale	09/02/2022	\$15,001 - \$50,000
56	ODVXY	Sale	09/07/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
57	Carlyle ENRG CT OPP II DFR	Exchange	09/09/2022	\$1,001 - \$15,000
58	CARLYLE ENRG CR OPP II FDR	Exchange	09/09/2022	\$1,001 - \$15,000
59	Matthews Asia Growth Fund Institutional Class Shares (MIAPX)	Sale	09/13/2022	\$15,001 - \$50,000
60	Polen Growth Fund Institutional Class Shares (POLIX)	Purchase	09/15/2022	\$1,001 - \$15,000
61	Baron Discovery Instl	Sale	09/15/2022	\$1,001 - \$15,000
62	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	09/15/2022	\$1,001 - \$15,000
63	First Eagle Overseas Fund Class I Shares (SGOIX)	Sale	09/15/2022	\$1,001 - \$15,000
64	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Sale	09/15/2022	\$1,001 - \$15,000
65	Roche HOLDings AVR	Sale	09/15/2022	\$15,001 - \$50,000
66	Financial Select Sector SPDR Fund (XLF)	Purchase	09/15/2022	\$1,001 - \$15,000
67	Utilities Select Sector SPDR Fund (XLU)	Purchase	09/15/2022	\$15,001 - \$50,000
68	Verizon Communications, Inc. (VZ)	Sale	09/15/2022	\$1,001 - \$15,000
69	CVS Health Corp. (CVS)	Sale	09/15/2022	\$1,001 - \$15,000
70	iShares Core S&P Small-Cap ETF (IJR)	Purchase	09/15/2022	\$1,001 - \$15,000
71	Chevron Corp. (CVX)	Sale	09/15/2022	\$1,001 - \$15,000
72	AT&T	Purchase	09/15/2022	\$1,001 - \$15,000
73	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	09/15/2022	\$15,001 - \$50,000
74	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	09/15/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
75	Berkshire Hathaway Class B New	Sale	09/15/2022	\$1,001 - \$15,000
76	Crown Castle International Corp. (CCI)	Purchase	09/15/2022	\$1,001 - \$15,000
77	GOOGL	Purchase	09/15/2022	\$1,001 - \$15,000
78	iSHARES Edge MSCI US QLTY FAC	Purchase	09/15/2022	\$1,001 - \$15,000
79	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	09/15/2022	\$15,001 - \$50,000
80	iShares Gold Trust (IAU)	Purchase	09/15/2022	\$1,001 - \$15,000
81	Microsoft Corp. (MSFT)	Purchase	09/15/2022	\$1,001 - \$15,000
82	Invesco Bullet Shares 2026 Corporate Bond	Purchase	09/22/2022	\$1,001 - \$15,000
83	Vanguard Intermediate-Term Corporate Bond Index Fund Admiral Class Shares (VICSX)	Sale	09/15/2022	\$15,001 - \$50,000
84	iShares Core U.S. Aggregate Bond Fund	Purchase	09/15/2022	\$15,001 - \$50,000
85	Vanguard Intermediate Term Bond Fund	Sale	09/15/2022	\$15,001 - \$50,000
86	iShares Intermediate-Term Corporate Bond ETF (IGIB)	Purchase	09/15/2022	\$15,001 - \$50,000
87	Invesco BulletShares 2026 Corporate Bond ETF (BSCQ)	Purchase	09/15/2022	\$1,001 - \$15,000
88	JPMorgan Ultra-Short Income ETF (JPST)	Sale	10/24/2022	\$1,001 - \$15,000
89	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	10/04/2022	\$50,001 - \$100,000
90	iShares Gold Trust (IAU)	Sale	10/04/2022	\$50,001 - \$100,000
91	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	10/07/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
92	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	10/07/2022	\$1,001 - \$15,000
93	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	10/11/2022	\$15,001 - \$50,000
94	Meta Platforms Class A	Sale	10/31/2022	\$1,001 - \$15,000
95	Gadsden Dynamic Multi-Asset ETF (GDMA)	Sale	10/06/2022	\$1,001 - \$15,000
96	Lockheed Martin Corp. (LMT)	Sale	10/06/2022	\$1,001 - \$15,000
97	General Mills, Inc. (GIS)	Sale	10/06/2022	\$1,001 - \$15,000
98	First Trust NASDAQ Technology Dividend Index Fund (TDIV)	Purchase	10/06/2022	\$1,001 - \$15,000
99	D	Purchase	10/06/2022	\$1,001 - \$15,000
100	General Mills, Inc. (GIS)	Sale	09/26/2022	\$1,001 - \$15,000
101	The Kraft Heinz Co. (KHC)	Purchase	09/26/2022	\$1,001 - \$15,000
102	Medtronic PLC	Purchase	11/23/2022	\$1,001 - \$15,000
103	Marathon Petroleum Corp. (MPC)	Sale	12/21/2022	\$1,001 - \$15,000
104	Marathon Petroleum Corp. (MPC)	Sale	11/21/2022	\$1,001 - \$15,000
105	DoubleLine Long Duration Total Return Bond Fund Class I Shares (DBLDX)	Purchase	12/28/2022	\$1,001 - \$15,000
106	Angel Oak Multi-Strategy Income Fund Institutional Class Shares (ANGIX)	Purchase	12/29/2022	\$1,001 - \$15,000
107	Baron Discovery Fund Institutional Class Shares (BDFIX)	Sale	12/29/2022	\$1,001 - \$15,000
108	Eaton Vance Atlanta Capital SMID-Cap Fund Class I Shares (EISMX)	Sale	12/29/2022	\$1,001 - \$15,000
109	SPDRDoubleLine Total Return Tactical ETF (TOTL)	Purchase	12/30/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
110	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	12/30/2022	\$15,001 - \$50,000
111	Blackstone, Inc.	Purchase	11/07/2022	\$1,001 - \$15,000
112	Xylem, Inc. (XYL)	Sale	11/17/2022	\$15,001 - \$50,000
113	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	11/29/2022	\$15,001 - \$50,000
114	Angel Oak Multi-Strategy Income Fund Institutional Class Shares (ANGIX)	Purchase	11/29/2022	\$15,001 - \$50,000
115	Baron Discovery Fund Institutional Class Shares (BDFIX)	Sale	11/29/2022	\$15,001 - \$50,000
116	Eaton Vance Atlanta Capital SMID-Cap Fund Class I Shares (EISMX)	Sale	11/29/2022	\$15,001 - \$50,000
117	Verizon Communications, Inc. (VZ)	Sale	11/30/2022	\$15,001 - \$50,000
118	ATT	Purchase	11/30/2022	\$1,001 - \$15,000
119	Apple, Inc. (AAPL)	Sale	11/30/2022	\$1,001 - \$15,000
120	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	11/30/2022	\$50,001 - \$100,000
121	First EagleGlobal Fund Class I Shares (SGIIX)	Purchase	12/02/2022	\$1,001 - \$15,000
122	First Eagle Overseas Fund Class I Shares (SGOIX)	Purchase	12/02/2022	\$1,001 - \$15,000
123	Polen Growth Fund Institutional Class Shares (POLIX)	Purchase	12/08/2022	\$1,001 - \$15,000
124	Illumina, Inc. (ILMN)	Sale	12/13/2022	\$15,001 - \$50,000
125	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Purchase	12/21/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
126	SHELL PLC VSP	Sale	12/20/2022	\$1,001 - \$15,000
127	Exxon Mobil Corp. (XOM)	Sale	12/20/2022	\$1,001 - \$15,000
128	Exxon Mobil Corp. (XOM)	Sale	12/22/2022	\$1,001 - \$15,000
129	Pfizer Inc. (PFE)	Sale	12/22/2022	\$1,001 - \$15,000
130	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	12/13/2022	\$15,001 - \$50,000
131	iShares Gold Trust (IAU)	Sale	02/24/2022	\$1,001 - \$15,000
132	Brown Advisory Small-Cap Growth Fund Investor Class Shares (BIASX)	Sale	02/08/2022	\$1,001 - \$15,000
133	ARK Innovation ETF (ARKK)	Sale	02/07/2022	\$1,001 - \$15,000
134	ARK Genomic Revolution ETF (ARKG)	Sale	02/04/2022	\$1,001 - \$15,000
135	Invesco Conservative Income Fund Institutional Class Shares (ICIFX)	Sale	01/31/2022	\$15,001 - \$50,000
136	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Sale	01/31/2022	\$15,001 - \$50,000
137	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Sale	01/31/2022	\$15,001 - \$50,000
138	NESTLE SPON ADR REP REG HR	Sale	01/12/2022	\$1,001 - \$15,000
139	Johnson & Johnson (JNJ)	Sale	01/12/2022	\$1,001 - \$15,000
140	Apple, Inc. (AAPL)	Sale	01/12/2022	\$1,001 - \$15,000
141	Amgen Inc. (AMGN)	Sale	01/12/2022	\$1,001 - \$15,000
142	First Eagle Overseas Fund Class I Shares (SGOIX)	Sale	01/12/2022	\$1,001 - \$15,000
143	iShares Gold Trust (IAU)	Sale	01/12/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
144	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	01/12/2022	\$1,001 - \$15,000
145	ARK Innovation ETF (ARKK)	Sale	01/12/2022	\$1,001 - \$15,000
146	BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	Sale	01/12/2022	\$1,001 - \$15,000
147	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Sale	01/12/2022	\$1,001 - \$15,000
148	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	01/12/2022	\$15,001 - \$50,000
149	iShares Edge MSCI Min Vol USA ETF (USMV)	Sale	01/12/2022	\$1,001 - \$15,000
150	Polen Growth Fund Institutional Class Shares (POLIX)	Sale	01/12/2022	\$1,001 - \$15,000
151	Invesco QQQ Trust, Series 1 (QQQ)	Sale	01/12/2022	\$1,001 - \$15,000
152	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Sale	01/12/2022	\$1,001 - \$15,000
153	CVS Health Corp. (CVS)	Sale	01/12/2022	\$1,001 - \$15,000
154	ROCHE HOLDINGS ADR (RHHBY)	Sale	01/12/2022	\$1,001 - \$15,000
155	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Sale	01/12/2022	\$15,001 - \$50,000
156	Eaton Vance Atlanta Capital SMID-Cap Fund Class I Shares (EISMX)	Purchase	02/08/2022	\$1,001 - \$15,000
157	Vanguard Extended Market Index Fund ETF Shares (VXF)	Purchase	02/07/2022	\$1,001 - \$15,000
158	iShares S&P 500 Value ETF (IVE)	Purchase	02/07/2022	\$1,001 - \$15,000
159	Financial Select Sector SPDR Fund (XLF)	Purchase	02/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
160	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	01/31/2022	\$15,001 - \$50,000
161	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	01/31/2022	\$1,001 - \$15,000
162	Brown Advisory Small-Cap Growth Fund Investor Class Shares (BIASX)	Purchase	01/12/2022	\$1,001 - \$15,000
163	BDFIX	Purchase	01/12/2022	\$1,001 - \$15,000
164	ISHARES EDGE MSCI US QLTY FAC (QUAL)	Purchase	01/12/2022	\$1,001 - \$15,000
165	ARK Genomic Revolution ETF (ARKG)	Purchase	01/12/2022	\$1,001 - \$15,000
166	Invesco Conservative Income Fund Institutional Class Shares (ICIFX)	Purchase	01/12/2022	\$15,001 - \$50,000
167	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	01/12/2022	\$15,001 - \$50,000
168	Chevron Corp. (CVX)	Purchase	01/12/2022	\$1,001 - \$15,000
169	iShares Core S&P Small-Cap ETF (IJR)	Purchase	01/12/2022	\$1,001 - \$15,000
170	iShares S&P 500 Value ETF (IVE)	Purchase	01/12/2022	\$1,001 - \$15,000
171	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Purchase	01/12/2022	\$1,001 - \$15,000
172	Cisco Systems, Inc. (CSCO)	Purchase	05/23/2022	\$1,001 - \$15,000
173	Industrial Select Sector SPDR Fund (XLI)	Sale	05/13/2022	\$1,001 - \$15,000
174	Vanguard Communication Services Index Fund ETF Shares (VOX)	Purchase	05/13/2022	\$1,001 - \$15,000
175	Invesco BulletShares 2024 Corporate Bond ETF (BSCO)	Purchase	05/05/2022	\$1,001 - \$15,000
176	Invesco BulletShares 2025 Corporate Bond ETF (BSCP)	Purchase	05/05/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
177	Vanguard Communication Services Index Fund ETF Shares (VOX)	Purchase	05/05/2022	\$1,001 - \$15,000
178	Invesco BulletShares 2025 Corporate Bond ETF (BSCP)	Purchase	05/09/2022	\$1,001 - \$15,000
179	Invesco BulletShares 2024 Corporate Bond ETF (BSCO)	Purchase	05/05/2022	\$1,001 - \$15,000
180	The PNC Financial Services Group, Inc. (PNC)	Purchase	05/05/2022	\$1,001 - \$15,000
181	Medtronic Plc (MDT)	Purchase	05/05/2022	\$1,001 - \$15,000
182	MDU Resources Group, Inc. (MDU)	Purchase	05/05/2022	\$1,001 - \$15,000
183	Vanguard Communication Services Index Fund ETF Shares (VOX)	Purchase	05/05/2022	\$1,001 - \$15,000
184	Merck & Co., Inc. (MRK)	Sale	05/05/2022	\$1,001 - \$15,000
185	General Dynamics Corp. (GD)	Sale	05/05/2022	\$1,001 - \$15,000
186	Lord Abbett Short Duration Income Fund Class I Shares (LLDYX)	Sale	05/05/2022	\$1,001 - \$15,000
187	Lord Abbett Ultra Short Bond Fund Class I Shares (LUBYX)	Sale	05/05/2022	\$1,001 - \$15,000
188	Vanguard Communication Services Index Fund ETF Shares (VOX)	Purchase	05/04/2022	\$1,001 - \$15,000
189	Lord Abbett Ultra Short Bond Fund Class I Shares (LUBYX)	Sale	05/05/2022	\$1,001 - \$15,000
190	Ildyx	Sale	05/05/2022	\$1,001 - \$15,000
191	General Dynamics Corp. (GD)	Sale	05/04/2022	\$1,001 - \$15,000
192	Merck & Co., Inc. (MRK)	Sale	05/04/2022	\$1,001 - \$15,000
193	Lockheed Martin Corp. (LMT)	Sale	05/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
194	Vanguard Communication Services Index Fund ETF Shares (VOX)	Purchase	05/04/2022	\$1,001 - \$15,000
195	Vanguard Intermediate-Term Bond Index Fund ETF Shares (BIV)	Purchase	04/25/2022	\$15,001 - \$50,000
196	iShares Core US Aggregate Bond ETF (AGG)	Sale	04/25/2022	\$50,001 - \$100,000
197	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	04/22/2022	\$15,001 - \$50,000
198	iShares Intermediate-Term Corporate Bond ETF (IGIB)	Sale	04/22/2022	\$15,001 - \$50,000
199	VanEck Vectors AMT-Free Long Municipal Index ETF (MLN)	Sale	04/20/2022	\$1,001 - \$15,000
200	VanEck Vectors AMT-Free Long Municipal Index ETF (MLN)	Sale	04/20/2022	\$1,001 - \$15,000
201	iShares National Muni Bond ETF (MUB)	Purchase	04/20/2022	\$1,001 - \$15,000
202	Warner Bros. Discovery Inc. Series A Common Stock (WBD)	Sale	04/11/2022	\$1,001 - \$15,000
203	MDU Resources Group, Inc. (MDU)	Purchase	03/30/2022	\$1,001 - \$15,000
204	Archer-Daniels-Midland Co. (ADM)	Sale	03/30/2022	\$1,001 - \$15,000
205	Vanguard Intermediate-Term Bond Index Fund ETF Shares (BIV)	Sale	03/25/2022	\$1,001 - \$15,000
206	iShares Core US Aggregate Bond ETF (AGG)	Purchase	03/23/2022	\$50,001 - \$100,000
207	BioVie Inc. Class A Common Stock (BIVI)	Sale	03/23/2022	\$50,001 - \$100,000
208	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Sale	03/22/2022	\$15,001 - \$50,000
209	iShares Intermediate-Term Corporate Bond ETF (IGIB)	Purchase	03/22/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
210	OAKTREE OPPORTUNITIES ACCESS FUND XI	Purchase	02/16/2022	\$1,001 - \$15,000
211	Unilever PLC Common Stock (UL)	Sale	02/04/2022	\$1,001 - \$15,000
212	Kellogg Co. (K)	Purchase	02/04/2022	\$1,001 - \$15,000
213	The Kraft Heinz Co. (KHC)	Purchase	02/04/2022	\$1,001 - \$15,000
214	Unilever PLC Common Stock (UL)	Sale	01/24/2022	\$1,001 - \$15,000
215	Unilever PLC Common Stock (UL)	Sale	01/20/2022	\$1,001 - \$15,000
216	CARLYLE ENRG CR OPP II FDR DPV	Exchange	06/30/2022	\$1,001 - \$15,000
217	LIBERTY MEDIA C SER C SIRIUSXM (LSXMK)	Sale	06/02/2022	\$1,001 - \$15,000
218	LIBERTY MEDIA C SER C SIRIUS XM (LSXMK)	Sale	06/01/2022	\$1,001 - \$15,000
219	MetLife, Inc. (MET)	Purchase	05/12/2022	\$1,001 - \$15,000
220	Coinbase Global Inc. Class A Common Stock (COIN)	Sale	05/12/2022	\$1,001 - \$15,000
221	Apple, Inc. (AAPL)	Sale	04/20/2022	\$1,001 - \$15,000
222	Ball Corporation (BLL)	Sale	04/19/2022	\$15,001 - \$50,000
223	Coinbase Global Inc. Class A Common Stock (COIN)	Sale	04/07/2022	\$15,001 - \$50,000
224	Blackstone Inc. Common Stock (BX)	Sale	03/18/2022	\$15,001 - \$50,000
225	Knight-Swift Transportation Holdings, Inc. (KNX)	Sale	03/09/2022	\$50,001 - \$100,000
226	iShares Gold Trust (IAU)	Sale	02/24/2022	\$1,001 - \$15,000
227	iShares Gold Trust (IAU)	Sale	02/24/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
228	HP/MILLNM USA - CLASS SC (HPDHA)	Sale	02/22/2022	\$100,001 - \$250,000
229	Walmart, Inc. (WMT)	Purchase	02/17/2022	\$1,001 - \$15,000
230	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	02/09/2022	\$100,001 - \$250,000
231	JPMorgan Ultra-Short Income ETF (JPST)	Sale	02/09/2022	\$100,001 - \$250,000
232	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Sale	02/09/2022	\$250,001 - \$500,000
233	BIASX	Sale	02/08/2022	\$15,001 - \$50,000
234	Brown Advisory Small-Cap Growth Fund Investor Class Shares (BIASX)	Sale	02/08/2022	\$15,001 - \$50,000
235	Eaton Vance Atlanta Capital SMID-Cap Fund Class I Shares (EISMX)	Purchase	02/08/2022	\$15,001 - \$50,000
236	ARK Innovation ETF (ARKK)	Sale	02/07/2022	\$1,001 - \$15,000
237	Vanguard Extended Market Index Fund ETF Shares (VXF)	Purchase	02/07/2022	\$1,001 - \$15,000
238	iShares S&P 500 Value ETF (IVE)	Purchase	02/07/2022	\$1,001 - \$15,000
239	ARK Genomic Revolution ETF (ARKG)	Sale	02/04/2022	\$1,001 - \$15,000
240	Xylem, Inc. (XYL)	Purchase	02/04/2022	\$50,001 - \$100,000
241	Financial Select Sector SPDR Fund (XLF)	Purchase	02/04/2022	\$1,001 - \$15,000
242	Boeing Co (BA)	Purchase	02/01/2022	\$15,001 - \$50,000
243	Apple, Inc. (AAPL)	Sale	02/01/2022	\$1,001 - \$15,000
244	ALPHABET INC CL A A T	Sale	02/01/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
245	Marriott International, Inc. (MAR)	Sale	02/01/2022	\$1,001 - \$15,000
246	Blackstone Inc. Common Stock (BX)	Sale	02/01/2022	\$1,001 - \$15,000
247	Blackstone Inc. Common Stock (BX)	Sale	02/01/2022	\$1,001 - \$15,000
248	Mastercard, Inc. (MA)	Sale	02/01/2022	\$1,001 - \$15,000
249	Alphabet, Inc. (GOOG)	Purchase	02/01/2022	\$15,001 - \$50,000
250	American Tower Corporation (REIT) Common Stock (AMT)	Sale	02/01/2022	\$1,001 - \$15,000
251	Goldman Sachs Access Treasury 0-1 Year ETF (GBIL)	Purchase	01/31/2022	\$250,001 - \$500,000
252	Invesco Conservative Income Fund Institutional Class Shares (ICIFX)	Sale	01/31/2022	\$50,001 - \$100,000
253	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	01/31/2022	\$15,001 - \$50,000
254	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Sale	01/31/2022	\$50,001 - \$100,000
255	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Sale	01/31/2022	\$50,001 - \$100,000
256	Apple, Inc. (AAPL)	Sale	01/12/2022	\$1,001 - \$15,000
257	Apple, Inc. (AAPL)	Sale	01/12/2022	\$50,001 - \$100,000
258	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Purchase	01/12/2022	\$1,001 - \$15,000
259	Brown Advisory Small-Cap Growth Fund Investor Class Shares (BIASX)	Sale	01/12/2022	\$1,001 - \$15,000
260	First Eagle Overseas Fund Class I Shares (SGOIX)	Sale	01/12/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
261	iShares Gold Trust (IAU)	Sale	01/12/2022	\$15,001 - \$50,000
262	Goldman Sachs Equal Weight US Large Cap Equity ETF (GSEW)	Purchase	01/12/2022	\$1,001 - \$15,000
263	Baron Discovery Fund Institutional Class Shares (BDFIX)	Sale	01/12/2022	\$1,001 - \$15,000
264	Matthews Asia Growth Fund Institutional Class Shares (MIAPX)	Purchase	01/12/2022	\$1,001 - \$15,000
265	ARK Genomic Revolution ETF (ARKG)	Sale	01/12/2022	\$1,001 - \$15,000
266	ARK Innovation ETF (ARKK)	Sale	01/12/2022	\$1,001 - \$15,000
267	Alphabet, Inc. (GOOG)	Sale	01/12/2022	\$1,001 - \$15,000
268	Invesco Conservative Income Fund Institutional Class Shares (ICIFX)	Sale	01/12/2022	\$15,001 - \$50,000
269	BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	Sale	01/12/2022	\$1,001 - \$15,000
270	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Sale	01/12/2022	\$50,001 - \$100,000
271	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	01/12/2022	\$1,001 - \$15,000
272	Polen Growth Fund Institutional Class Shares (POLIX)	Purchase	01/12/2022	\$1,001 - \$15,000
273	First Trust NASDAQ Cybersecurity ETF (CIBR)	Purchase	01/12/2022	\$1,001 - \$15,000
274	JPMorgan Ultra-Short Income ETF (JPST)	Purchase	01/12/2022	\$100,001 - \$250,000
275	Vanguard Extended Market Index Fund ETF Shares (VXF)	Purchase	01/12/2022	\$1,001 - \$15,000
276	CVX	Purchase	01/12/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
277	iShares Core S&P Small-Cap ETF (IJR)	Purchase	01/12/2022	\$15,001 - \$50,000
278	iShares S&P 500 Value ETF (IVE)	Sale	01/12/2022	\$1,001 - \$15,000
279	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Sale	01/12/2022	\$15,001 - \$50,000
280	CVS Health Corp. (CVS)	Sale	01/12/2022	\$1,001 - \$15,000
281	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)	Sale	01/12/2022	\$15,001 - \$50,000
282	CARLYLE ENRG CR OPP II FDR DPV	Exchange	01/03/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	JP Morgan Chase	Credit Card	\$10,001 - \$15,000	2022	17.49	Revolving

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.

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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.

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