

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Ferriero, David S

Archivist of the United States, National Archives and Records Administration

Report Year: 2021

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/ Ferriero, David S [electronically signed on 05/11/2021 by Ferriero, David S 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/ Runkel, Christopher M, Certifying Official [electronically signed on 07/07/2021 by Runkel, Christopher M in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/11/2021 by Granahan, Megan in Integrity.gov]

Data Revised 07/07/2021

Data Revised 07/06/2021

Data Revised 06/30/2021

Data Revised 06/29/2021

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New York State/Local Retirement System - Defined Benefit Plan	See Endnote	N/A	Monthly payments of \$1,703.68.	\$20,444
2	Massachusetts Institute of Technology Basic Retirement Plan - Defined Benefit Plan	See Endnote	N/A	Monthly payments of \$1,026.	\$12,312

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New York State/Local Retirement System; State Comptroller	Albany, New York	Defined Benefit Plan. Filer began receiving pension payments of \$1,703.68/month in October 2017. Total value of Plan is not readily ascertainable.	9/2004
2	Massachusetts Institute of Technology Basic Retirement Plan - Defined Benefit Plan	Cambridge, Massachusetts	Defined Benefit Plan. Filer began receiving pension payments of \$1,026/month in June 2019. Total value of Plan is not readily ascertainable.	/1972

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	Fidelity Rollover IRA		No	\$50,001 - \$100,000	Cash distributions	\$2,857
1.1	FDIC Insured Deposit at Fifth Third Bank		No	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2	TIAA-CREF Defined Contribution Plans	See Endnote	N/A	Over \$1,000,000	Cash distributions	\$47,256
2.1	TIAA Traditional		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.2	CREF Stock Fund CI R2 QCSTPX	See Endnote	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.3	CREF Money Market Fund CI R3 QCMMIX	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	Vanguard Institutional Target Retirement 2015 Fund Inst CI VITVX		Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.5	Vanguard Target Retirement Income Trust Select	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Art Collection - Works on paper, oils, canvas		N/A	\$250,001 - \$500,000		None (or less than \$201)
2	Merrill Lynch Bank Deposit Program	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Bank of America Preferred Deposit Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
4	Chevron Corporation Stock CVX	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
5	Cincinnati Bell Inc. Preferred Series B Stock CBBPRB		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6	Constellation Brands, Inc. Stock STZ		No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7	Eaton Corporation PLC Stock ETN		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8	Honeywell International Inc. Stock HON		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9	Johnson and Johnson Services, Inc. Stock JNJ		No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
10	Motorola Solutions, Inc. Stock MSI	See Endnote	No	\$500,001 - \$1,000,000	Dividends Capital Gains	\$50,001 - \$100,000
11	Pfizer, Inc. Stock PFE		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12	Thermo Fisher Scientific Inc.	See Endnote	No	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
13	BB&T Bank Accounts		No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
14	JPMorgan Chase & Co. Stock JPM	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
15	Lockheed Martin Corporation Stock LMT		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16	Microsoft Corporation Stock MSFT	See Endnote	No	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	NextEra Energy, Inc. Stock NEE		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18	The Toronto-Dominion Bank Stock TD	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
19	Visa Inc. Cl A Stock V		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20	ONEOK, Inc. Stock OKE	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
21	Prologis, Inc. Stock PLD	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22	Wells Fargo and Company Bonds	See Endnote	No	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
23	JP Morgan Chase & Co. Bonds 4.95% Mar 25 2020	See Endnote	No	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
24	Merrill Lynch Individual Retirement Rollover Account	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
24.1	Bank of America Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
24.2	AIG Focused Dividend Strategy Fund Class W FDSWX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.3	Alger Capital Appreciation Fund Class Z ACAZX		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
24.4	American Beacon Bridgeway Large Cap Value Fund Y Class BWLYX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.5	Hennessy Focus Fund Institutional Class HFCIX		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
24.6	Parnassus Endeavor Fund Institutional Shares PFPWX		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	American Tower Corporation (REIT) Stock AMT	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
26	Apple Inc. Stock AAPL	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
27	Chewy, Inc. Stock CHWY	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
28	Laboratory Corporation of America Holdings Stock LH	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
29	Lowe's Companies, Inc. Stock LOW	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
30	Medical Properties Trust, Inc. Stock MPW	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
31	Quest Diagnostics Incorporated Stock DGX	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
32	Royal Bank of Canada Stock RY	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
33	Viatis Inc. Stock VTRS	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
34	Family Dollar Stores, Inc. Bonds 5.000% Feb 1 2021	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
35	Bank of New York Mellon Corporation Bonds SER MTN 2.500% APR 15 2021	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
36	Altria Group, Inc. Bonds 4.750% MAY 05 2021	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
37	Bank of America Corporation Bonds SER MTN 2.625% Oct 19 2020	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
38	BCE Inc. Stock BCE	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
39	Citigroup Inc. Bonds 5.375% Aug 09 2020	See Endnote	No	None (or less than \$1,001)	Interest	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
40	Goldman Sachs Group, Inc. Corporate Bonds 2.75% Sep 15 2020	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
41	Goldman Sachs Group, Inc. Corporate Bonds Ser D 6.00% Jun 15 2020	See Endnote	No	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
42	JPMorgan Chase & Co. Bonds 4.250% Oct 15 2020	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
43	Wells Fargo and Company Bonds SER MTN 2.550% Dec 07 2020	See Endnote	No	None (or less than \$1,001)	Interest	\$2,501 - \$5,000

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Wells Fargo and Company Bonds SER N 2.15% - REDEEMED	See Endnote		01/30/2020	\$100,001 - \$250,000
2	CD - First Republic Bank	See Endnote	Purchase	01/31/2020	\$15,001 - \$50,000
3	Raytheon Company Stock RTN	See Endnote	Purchase	02/03/2020	\$1,001 - \$15,000
4	Microsoft Corporation Stock MSFT	See Endnote	Purchase	02/03/2020	\$1,001 - \$15,000
5	Unilever PLC ADR Stock UL	See Endnote	Purchase	02/03/2020	\$15,001 - \$50,000
6	Goldman Sachs Group, Inc. Corporate Bonds Ser D 6.00% Jun 15 2020	See Endnote	Purchase	02/03/2020	\$100,001 - \$250,000
7	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	02/28/2020	\$100,001 - \$250,000
8	Unilever PLC ADR Stock UL	See Endnote	Sale	02/28/2020	\$15,001 - \$50,000
9	Citigroup Inc. Bonds 5.375% Aug 09 2020	See Endnote	Purchase	03/03/2020	\$100,001 - \$250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
10	Disney Company Stock DIS	See Endnote	Sale	03/20/2020	\$15,001 - \$50,000
11	JPMorgan Chase & Co. Bonds 4.250% Oct 15 2020	See Endnote	Purchase	03/20/2020	\$50,001 - \$100,000
12	Bank of America Corporation Bonds SER MTN 2.625% Oct 19 2020	See Endnote	Purchase	03/20/2020	\$100,001 - \$250,000
13	Cohen & Steers Infrastructure Fund UTF	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
14	Chevron Corporation Stock CVX	See Endnote	Sale	03/20/2020	\$15,001 - \$50,000
15	Ecolab Inc. Stock ECL	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
16	JPMorgan Chase & Co. Stock JPM	See Endnote	Sale	03/20/2020	\$15,001 - \$50,000
17	ONEOK, Inc. Stock OKE	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
18	Prologis, Inc. Stock PLD	See Endnote	Sale	03/20/2020	\$15,001 - \$50,000
19	The Toronto-Dominion Bank Stock TD	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
20	Raytheon Company Stock RTN	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
21	UGI Corporation Stock UGI	See Endnote	Sale	03/20/2020	\$1,001 - \$15,000
22	JP Morgan Chase & Co. Bonds 4.95% Mar 25 2020 - REDEEMED	See Endnote		03/25/2020	\$100,001 - \$250,000
23	Wells Fargo and Company Bonds SER MTN 2.550% Dec 07 2020	See Endnote	Purchase	03/31/2020	\$100,001 - \$250,000
24	CD - First Republic Bank - REDEEMED	See Endnote		04/03/2020	\$15,001 - \$50,000
25	Goldman Sachs Group, Inc. Corporate Bonds Ser D 6.00% Jun 15 2020 - REDEEMED	See Endnote		06/15/2020	\$100,001 - \$250,000
26	Goldman Sachs Group, Inc. Corporate Bonds 2.75% Sep 15 2020	See Endnote	Purchase	06/15/2020	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
27	Duke Energy Corporation Stock DUK	See Endnote	Purchase	06/15/2020	\$1,001 - \$15,000
28	Royal Bank of Canada Stock RY	See Endnote	Purchase	06/15/2020	\$1,001 - \$15,000
29	Exxon Mobil Corporation Stock XOM	See Endnote	Purchase	06/15/2020	\$1,001 - \$15,000
30	Chevron Corporation Stock CVX	See Endnote	Purchase	06/15/2020	\$1,001 - \$15,000
31	Truist Financial Corporation Stock TFC	See Endnote	Purchase	06/15/2020	\$1,001 - \$15,000
32	BCE Inc. Stock BCE	See Endnote	Purchase	07/15/2020	\$1,001 - \$15,000
33	Chevron Corporation Stock CVX	See Endnote	Sale	07/15/2020	\$1,001 - \$15,000
34	Cisco Systems, Inc. Stock CSCO	See Endnote	Purchase	07/15/2020	\$1,001 - \$15,000
35	Duke Energy Corporation Stock DUK	See Endnote	Sale	07/15/2020	\$1,001 - \$15,000
36	Exxon Mobil Corporation Stock XOM	See Endnote	Sale	07/15/2020	\$1,001 - \$15,000
37	Truist Financial Corporation Stock TFC	See Endnote	Sale	07/15/2020	\$1,001 - \$15,000
38	Honeywell International Inc. Stock HON	See Endnote	Purchase	07/15/2020	\$1,001 - \$15,000
39	Citigroup Inc. Bonds 5.375% Aug 09 2020 - REDEEMED	See Endnote		08/10/2020	\$100,001 - \$250,000
40	Goldman Sachs Group, Inc. Corporate Bonds 2.75% Sep 15 2020 - REDEEMED	See Endnote		08/17/2020	\$50,001 - \$100,000
41	Apple Inc. Stock AAPL	See Endnote	Purchase	08/13/2020	\$15,001 - \$50,000
42	Wells Fargo and Company Bonds SER MTN 2.550% Dec 07 2020	See Endnote	Purchase	08/13/2020	\$50,001 - \$100,000
43	BCE Inc. Stock BCE	See Endnote	Purchase	08/13/2020	\$1,001 - \$15,000
44	Merck and Co., Inc. MRK	See Endnote	Purchase	08/13/2020	\$15,001 - \$50,000
45	Apple Inc. Stock AAPL	See Endnote	Purchase	08/24/2020	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
46	AstraZeneca PLC ADR Stock AZN	See Endnote	Purchase	08/24/2020	\$15,001 - \$50,000
47	Cisco Systems, Inc. Stock CSCO	See Endnote	Sale	08/24/2020	\$1,001 - \$15,000
48	Lowe's Companies, Inc. Stock LOW	See Endnote	Purchase	08/24/2020	\$15,001 - \$50,000
49	JPMorgan Chase & Co. Bonds 4.250% Oct 15 2020 - REDEEMED	See Endnote		10/15/2020	\$15,001 - \$50,000
50	Amgen Inc. Stock AMGN	See Endnote	Purchase	10/16/2020	\$1,001 - \$15,000
51	AstraZeneca PLC ADR Stock AZN	See Endnote	Sale	10/16/2020	\$15,001 - \$50,000
52	Chewy, Inc. Stock CHWY	See Endnote	Purchase	10/16/2020	\$1,001 - \$15,000
53	Merck and Co., Inc. Stock MRK	See Endnote	Sale	10/16/2020	\$15,001 - \$50,000
54	Family Dollar Stores, Inc. Bonds 5.000% Feb 1 2021	See Endnote	Purchase	10/16/2020	\$15,001 - \$50,000
55	Quest Diagnostics Incorporated Stock DGX	See Endnote	Purchase	10/16/2020	\$1,001 - \$15,000
56	Bank of America Corporation Bonds SER MTN 2.625% Oct 19 2020 - REDEEMED	See Endnote		10/19/2020	\$100,001 - \$250,000
57	American Tower Corporation (REIT) Stock AMT	See Endnote	Purchase	11/12/2020	\$15,001 - \$50,000
58	Amgen Inc. Stock AMGN	See Endnote	Sale	11/12/2020	\$1,001 - \$15,000
59	BCE Inc. Stock BCE	See Endnote	Sale	11/12/2020	\$15,001 - \$50,000
60	Bank of New York Mellon Corporation Bonds SER MTN 2.500% APR 15 2021	See Endnote	Purchase	11/12/2020	\$50,001 - \$100,000
61	Laboratory Corporation of America Holdings Stock LH	See Endnote	Purchase	11/12/2020	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
62	Wells Fargo and Company Bonds SER MTN 2.550% Dec 07 2020 - REDEEMED	See Endnote		12/07/2020	\$250,001 - \$500,000
63	Altria Group, Inc. Bonds 4.750% MAY 05 2021	See Endnote	Purchase	12/08/2020	\$100,001 - \$250,000
64	Chewy, Inc. Stock CHWY	See Endnote	Purchase	12/08/2020	\$15,001 - \$50,000
65	Motorola Solutions, Inc. Stock MSI - GIFT	See Endnote		12/15/2020	\$15,001 - \$50,000
66	Medical Properties Trust, Inc. Stock MPW	See Endnote	Purchase	12/08/2020	\$15,001 - \$50,000
67	Vanguard Target Retirement Income Trust Plus	See Endnote	Exchange	07/21/2020	\$100,001 - \$250,000
68	Vanguard Target Retirement Income Trust Select	See Endnote	Exchange	07/21/2020	\$100,001 - \$250,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T Bank, Winston-Salem, NC	Mortgage on Personal Residence	\$50,001 - \$100,000		3.25%	ARM

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	Value not readily ascertainable. Filer began receiving benefits in October 2017.
2.	2	Value is not readily ascertainable. Filer began receiving benefits in June 2019.
5.	2	Aggregates TIAA-CREF plans for former employers WGBH, Boston, MA and UNC at Chapel Hill/UNC-TV.
5.	2.2	Note for future years - this fund does not declare or reinvest dividends or capital gains.
5.	2.3	Note for future years - this fund does not declare or reinvest dividends or capital gains.
5.	2.5	New in 2020. All monies in spouse's Vanguard Target Retirement Income Trust Plus - see 2020 annual and this year's transactions - were transferred to this fund pursuant to changes made by UNC plan administrators. Note for future years - this fund does not declare or reinvest dividends or capital gains.
6.	2	Merrill Lynch's Bank Deposit Program is with Bank of America. Cash account.
6.	3	Cash account. Listed for tracking purposes.
6.	4	All sold, asset not held as of 12/31/2020.
6.	10	One partial sale and one gift of stock during 2020 - see transactions. Valuation decrease from 2020 annual report due to above transactions.
6.	12	Valuation increase from 2020 annual report due to market forces.
6.	14	All sold, asset not held as of 12/31/2020. Note - there are two separate bond listings for JP Morgan Chase in this Part and a separate stock listing. See transactions.
6.	16	One purchase made in 2020 - see transaction. Value category changed from 2020 annual due to purchase and/or market forces.
6.	18	All sold in 2020.
6.	20	All sold in 2020.
6.	21	All sold in 2020.
6.	22	Redeemed January 2020.

PART	#	ENDNOTE
6.	23	This tranche of JP Morgan Chase bonds was purchased in October 2019 and redeemed March 2020. Note - there are two separate bond listings for JP Morgan Chase in this Part and a separate stock listing. See transactions.
6.	24	No distributions taken in CY 2020, as requirement was waived due to COVID-19.
6.	24.1	Cash/sweeps account. Listed for tracking purposes.
6.	25	New in 2020.
6.	26	New in 2020.
6.	27	New in 2020.
6.	28	New in 2020.
6.	29	New in 2020.
6.	30	New in 2020.
6.	31	New in 2020.
6.	32	New in 2020.
6.	33	New in 2020, but no transaction is listed or necessary. Upjohn Inc., which was part of Pfizer, was spun off to Pfizer stockholders by way of a pro rata distribution and immediately thereafter combined with Mylan. Viatrix is the name of the combined companies. Pfizer stockholders like filer's spouse received approximately 0.124079 shares of Viatrix common stock for every one share of Pfizer common stock held. Pfizer stockholders retained all of their existing shares.
6.	34	New in 2020. Bonds mature February 2021. Value change from purchase date is due to market forces.
6.	35	New in 2020. Bonds mature April 2021.
6.	36	New in 2020. Bonds mature May 2021.
6.	37	Bought new and redeemed in 2020.
6.	38	Purchased new in 2020 and then all sold. 3 transactions.
6.	39	Bought new and redeemed in 2020.
6.	40	Bought new in June 2020 and redeemed in August.

PART	#	ENDNOTE
6.	41	Bought new in February 2020 and redeemed in June.
6.	42	Bought new in March 2020 and redeemed in October. Note - there are two separate bond listings for JP Morgan Chase in this Part and a separate stock listing. See transactions.
6.	43	This set of bonds were purchased in two tranches - March 2020 and August 2020 - and redeemed in December. There is a separate tranche of Wells Fargo bonds listed in this Part 6.
7.	1	All bonds redeemed. Purchased August 2019.
7.	2	New.
7.	3	Accretion.
7.	4	Accretion.
7.	5	New.
7.	6	New. Bonds mature June 15, 2020. Notice received 2/10/2020, but listed as unsettled trade on January broker's statement.
7.	7	Partial sale.
7.	8	All sold. Purchased 1/30/2020 (date erroneously listed as 2/3/2020 on 278-T filed 2/12/2020). No cap gains or dividends earned prior to sale. This stock will not be listed as an income-producing asset on Part 6.
7.	9	New. Bonds mature August 9, 2020. Notice of transaction received 3/13/2020, on March broker's statement.
7.	10	All sold. Cap gains < \$201; no dividends earned in 2020 prior to sale. Change in value category from 12/31/19, to sale date is due to market forces. This stock will not be listed as an income-producing asset on Part 6.
7.	11	New. Bonds mature October 15, 2020. This transaction is separate from the sale of JPMorgan Chase & Co. stock on 3/20/20; and the redemption of a different tranche of JPM bonds on 3/25/20.
7.	12	New. Bonds mature October 19, 2020.
7.	13	All sold. Purchased December 2019. No cap gains and < \$201 in dividends earned in 2020 prior to sale. This stock will not be listed as an income-producing asset on Part 6.
7.	14	All sold.
7.	15	All sold. No cap gains; dividends earned in 2020 prior to sale < \$201. This stock will not be listed as an income-producing asset on Part 6.

PART	#	ENDNOTE
7.	16	All sold. Change in value category from 12/31/19, to sale date is due to market forces. This transaction is separate from the purchase of JPMorgan Chase & Co. bonds on 3/20/20; and the redemption of a different tranche of JPM bonds on 3/25/20.
7.	17	All sold. Change in value category from 12/31/19, to sale date is due to market forces.
7.	18	All sold.
7.	19	All sold. Change in value category from 12/31/19, to sale date is due to market forces.
7.	20	All sold, including shares purchased 2/3/20. No cap gains; dividends earned in 2020 prior to sale < \$201. Change in value category from 12/31/19, to sale date is due to market forces. Note: The Raytheon Company became Raytheon Technologies Corporation, ticker RTX, on April 3, 2020, following a merger with United Technologies. The Raytheon Company was still selling under RTN on date of this transaction. This stock will not be listed as an income-producing asset on Part 6.
7.	21	All sold. No cap gains; dividends earned in 2020 prior to sale < \$201. This stock will not be listed as an income-producing asset on Part 6.
7.	22	All bonds redeemed. Purchased October 2019. This transaction is separate from the purchase of a new tranche of JPM bonds on 3/20/20, and the sale of JPMorgan Chase & Co. stock on 3/20/20.
7.	23	New. Bonds mature December 7, 2020.
7.	24	Purchased 1/31/20. Interest earned prior to redemption < \$201. This CD will not be listed as an income-producing asset on Part 6.
7.	25	Bonds were purchased February 2020.
7.	26	New. Bonds mature September 15, 2020. This transaction is separate from the redemption of a different tranche of Goldman bonds on June 15, 2020 (see above).
7.	27	New.
7.	28	New.
7.	29	New.
7.	30	New. Chevron stock was previously owned, but all sold March 20, 2020 - see transaction.
7.	31	New.
7.	32	New.

PART	#	ENDNOTE
7.	33	Purchased in June 2020 and all sold now.
7.	34	New.
7.	35	Purchased in June 2020 and all sold now. No cap gains or dividends earned prior to sale. This stock will not be listed as an income-producing asset on Part 6.
7.	36	Purchased in June 2020 and all sold now. No cap gains or dividends earned prior to sale. This stock will not be listed as an income-producing asset on Part 6.
7.	37	Purchased in June 2020 and all sold now. No cap gains or dividends earned prior to sale. This stock will not be listed as an income-producing asset on Part 6.
7.	38	Accretion.
7.	39	Bonds were purchased in March 2020 and now all redeemed.
7.	40	Bonds were purchased in June 2020 and now all redeemed.
7.	41	New.
7.	42	Accretion to tranche of Wells Fargo bonds purchased in March 2020 - same redemption date and terms.
7.	43	Accretion to stock first purchased in July 2020.
7.	44	New.
7.	45	Accretion.
7.	46	New.
7.	47	All sold, stock was purchased in July 2020. No cap gains or dividends earned prior to sale. This stock will not be listed as an income-producing asset on Part 6.
7.	48	New.
7.	49	Bonds were purchased in March 2020. The March purchase amount was shown as \$50,001-\$100,000 due to transaction costs. The value of the bonds both at time of purchase and redemption was \$50,000.
7.	50	New.
7.	51	Purchased in August 2020 and now all sold. No cap gains or dividends earned prior to sale. This stock will not be listed as an income-producing asset on Part 6.

PART	#	ENDNOTE
7.	52	New.
7.	53	Purchased in August 2020 and now all sold. No cap gains and dividends earned prior to sale < \$201. This stock will not be listed as an income-producing asset on Part 6.
7.	54	New.
7.	55	New.
7.	56	Bonds were purchased in March 2020.
7.	57	New.
7.	58	Purchased October 2020 and now all sold. No cap gains or dividends earned prior to sale. This stock will not be listed as an income-producing asset on Part 6.
7.	59	Purchased in July and August 2020 and now all sold.
7.	60	New.
7.	61	New.
7.	62	Bonds were purchased in two tranches - March 2020 and August 2020. All bonds now redeemed.
7.	63	New. Bonds mature May 5, 2021.
7.	64	Accretion to stock first purchased in October 2020.
7.	65	Shares were gifted by filer's spouse.
7.	66	New.
7.	67	Spouse's TIAA-CREF plan. All funds were transferred to Vanguard Target Retirement Income Trust Select pursuant to changes made by UNC plan administrators. No income earned prior to exchange. This fund will not be listed on Part 5 of this form.
7.	68	New in 2020. Spouse's TIAA-CREF plan. All monies in spouse's Vanguard Target Retirement Income Trust Plus were transferred to this fund pursuant to changes made by UNC plan administrators.

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).
