

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

Filer's Information

McCarthy, Regina

Assistant to the President and National Climate Advisor, White House - Biden-Harris Administration

Date of Appointment: 01/20/2021

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/ McCarthy, Regina [electronically signed on 01/21/2021 by McCarthy, Regina 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/ Olorunnipa, Funmi, Certifying Official [electronically signed on 03/14/2021 by Olorunnipa, Funmi in Integrity.gov]

Other review conducted by

/s/ Olorunnipa, Funmi, Ethics Official [electronically signed on 03/14/2021 by Olorunnipa, Funmi in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 03/14/2021

Data Revised - Workflow re-designation - 03/14/2021

Data Revised 02/25/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	NRDC/NRDC Action Fund	NYC, New York	Non-Profit	President/CEO	1/2020	12/2020
2	Harvard TH Chan School of Public Health	Boston, Massachusetts	University/College	Professor of the Practice and Center Director	4/2017	12/2020
3	Pegasus Capital Advisors	NYC, New York	Corporation	Operating Advisor	6/2017	12/2020
4	APB Speakers Bureau	Newton, Michigan	Corporation	Contractor	2/2017	12/2020
5	CT Green Bank	Rocky Hill, Connecticut	Quasi-Public Agency	Board Member	5/2017	12/2019
6	Energy Foundation	San Francisco, California	Non-Profit	Board Member	1/2020	12/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Harvard Univ 403b Retirement Income Plan for Teaching Faculty 100311	No			
1.1	Vanguard Institutional Target Retirement 2020 Institutional	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	Harvard University 457b Retirement Plan Number 100315	No			
2.1	Vanguard Institutional Target Retirement 2020 Institutional	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	MA EO of Energy and Env Affairs	No			
3.1	SMARTPath 2020 Retirement Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	Large Company Blend Stock Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Commonwealth of MA, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments (monthly)	\$3,252
5	NRDC/NRDC Action Fund	N/A		Salary	\$800,000
6	Energy Foundation	N/A		Board Stipend	\$10,500
7	NRDC Fidelity 403 (b) 71559	No			
7.1	FID Freedom 2020K	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	NRDC 457(b) 71631	No			
8.1	FID Freedom 2020K	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Planetiers World Gathering	N/A		Honorarium	\$24,000
10	GM SEP #2	No			
10.1	BLACKROCK COPROR HI YLD FD INC COM HYT	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2	CALVERT FLGT RATE ADVANTAGE 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.3	CALVERT GREEN BD FD 1 CGBIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	GM Joint Tenant IRA	No			
11.1	ARIEL GKBL FD INV AGLOX	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.2	BARON OPPORTUNITY FIND INST CLASS BIOIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.3	BERKSHIRE HATHAWAY INC DEL CL B NEW BRK.B	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.4	BLACKROCK SCIENCE AND TECHNOLOGY SHS BST	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.5	CALVERT SOCIAL INVT EQTY FUND CLASS 1 CEYIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.6	DELAWARE HEALTHCARE FUND CLASS 1 DLHIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.7	DOMINI IMPACT INTERNATIONAL EQUITY FUND CLASS V DOMYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.8	FIRST TRUST US EQUITY OPPORTUNITIES ETF FPX	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.9	PUTNAM GROWTH TECHNOLOGY Y PGTYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.10	T ROWE PRICE VAPITAL APPRECIATION FD CL 1 TRAIK	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.11	TRILLIUM SMALL MID CAP TSMDX	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	GM Contributory IRA #2	No			
12.1	T Rowe Price Funds TBSIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	GM Joint Tenant #3	No			
13.1	BLUEROCK TOTAL INCOME & REAL ESTATE FUBD CLASS 1 TIPWX	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	GM Joint Tenant #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.1	BLACKROCK CORPOR HI YLD FD INC COM HYT	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.2	CALVERT GREEN BD FD 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.3	TIAA-CREF CORE IMPACT BOND FUND INSTITUTIONAL CLASS TSBIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.4	VICTORY FUND FOR INCOME CL 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	GM SEP	No			
15.1	Berkshire Hathaway Inc Del CL B New BRK.B		\$15,001 - \$50,000		None (or less than \$201)
15.2	Calvert Social Invt EQTY Fund Class 1 CEYIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.3	Parnassus Core Equity Fund - Investors Shares PRBLX	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.4	T. Rowe Price Capital Appreciation Fd CL 1 TRAIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	GM Contributory IRA	No			
16.1	Calvert Social Invt Eqty Fund Class 1 CEYIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Smith College (Boston, MA)	N/A		Honorarium	\$6,000
18	Intentional Endowment Network	N/A		Honorarium	\$2,400

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	MA EO of Energy and Env Affairs	Boston, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	5/1990
2	Harvard University 457b Retirement Plan Number 100315	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	11/2017
3	Harvard Univ 403b Retirement Income Plan for Teaching Faculty 100311	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	11/2017
4	Commonwealth of MA	Boston, Massachusetts	I will continue to participate in this defined benefit plan.	6/1970
5	NRDC Fidelity 403 (b) 71559	NYC, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	1/2020
6	NRDC 457(b) 71631	NYC, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	1/2020
7	Harvard University	Cambridge, Massachusetts	Unpaid Leave of Absence.	1/2020

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Pegasus Capital Advisors	NYC, New York	Operating Advisor
2	Harvard TH Chan School of Public Health	Boston, Massachusetts	Teaching Fellow, Professor, University Center Director
3	Energy Foundation	San Francisco, California	Board Member
4	NRDC/NRDC Action Fund	NYC, New York	President and CEO

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
5	National Assoc. of Enviro. Health	Denver, Colorado	Speakers Fee
6	Aspen Center for Enviro. Studies	Aspen, Colorado	Speakers Fee
7	The Ecology Center	Capistrano, California	Speakers Fee
8	McGill University	Montreal Canada, Outside U.S.	Speakers Fee
9	Boston College	Boston, Massachusetts	Speakers Fee
10	Mt. Holyoke College	South Hadley, Massachusetts	Speakers Fee
11	George Ewing Canandaigua Forum	Canandaigua, New York	Speakers Fee
12	St. Mark's School	Southboro, Massachusetts	Speakers Fee
13	Avangrid Renewables	Portland, Oregon	Speakers Fee
14	Univ. of Southern Mississippi	Hattiesburg, Mississippi	Speakers Fee
15	Penn State University	University Park, Pennsylvania	Speakers Fee
16	Merrimack College	North Andover, Massachusetts	Speakers Fee
17	Institutional Investor LLC	Boston, Massachusetts	Speakers Fee
18	Magellan Research Group	NYC, New York	Speakers Fee
19	Miami University	Miami, Florida	Speakers Fee
20	Harvest Capital Management	NYC, New York	Speakers Fee

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
21	Taft School	Watertown, Connecticut	Speakers Fee
22	Bunker Hill Community College	Everett, Massachusetts	Speakers Fee
23	Bowdoin College	Brunswick, Maine	Speakers Fee
24	Bay Area Air Quality Management District	San Francisco, California	Speakers Fee
25	American Soc. of Landscape Architects	Washington, District of Columbia	Speakers Fee
26	The Connecticut Forum	Hartford, Connecticut	Speakers Fee
27	Altice Arena	Lisbon, Portugal, Outside U.S.	Speakers Fee
28	Smith College	Boston, Massachusetts	Honorarium
29	Intentional Endowment Network	Atlanta, Georgia	Honorarium

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Sunshine Bouquet (Wholesale Flowers)	N/A		salary, bonus	
2	IRA	No			
2.1	Berkshire Hathaway Inc DEL CL B New BRK.B	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.2	Calvert Social Invt Eqty Fund Class 1 CEYIX	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	PUTMAN GLOBAL TECHNOLOGY Y PGTYX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	VANGUARD INTERNATIONAL GROWTH FUND ADMIRAL VWILX	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	VANGUARD WELLESLEY INC ADMIRAL VWIAX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Contributory Income Fixed Income IRA	No			
3.1	Dodge & Cox Income FD Com DODIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	KM 401(k)	No			
4.1	JP Morgan Core Bond Fund Class R4	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	PGIM High Yield Fund Class Z	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	American Century One Choice in Retirement Portfolio Investor Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Goldman Sachs Balanced Stratgey Portfolio Investor Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Lord Abbott Fundamental Equity Fund Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	MFS Value Fund Class R4	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Alger Capital Appreciation Institutional Fund Investor Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.8	Goldman Sachs Growth Opportunities Fund Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	Victory Sycamore Small Company Growth Fund Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.10	Lord Abbett Developing Growth Fund Class 1	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	Invesco International Growth Fund Class y	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	Invesco Oppenheimer International Growth Fund Class Y	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. based bank (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
