

General Information

Name: John Williams	Reporting Period: 2020
Employee ID: [REDACTED]	
Reporting Status: Incumbent	
Date of Employment: 04/08/2002	
Group:	
Function:	
Department: FRBNY	
Job Title:	
Phone: 212-720-6180	
Form Status: Approved	
<input checked="" type="checkbox"/> <p>This certifies that this report was submitted by the employee whose name appears above. This individual certifies that the information provided on this report and on all attached sections is true, complete and correct to the best of his/her knowledge and belief.</p>	
<p>Comments: 6/2 and 10/30 transactions listed on pp. 7 and 8 were made via automatic payroll contribution by President Williams' spouse to her retirement account, and are thus permissible during FOMC Blackout period. TIAA annuity listed on 2019 form is comprised of Vanguard fund investment listed on p. 3 herein, and therefore is not separately listed on this form.</p>	

Chief Compliance / Ethics Officer	Signature [REDACTED]	Date: <u>7/29/2021</u>
Chairman / Board of Directors	Signature [REDACTED]	Date: <u>7/30/2021</u>
Chairman / Board of Governors	[REDACTED]	Date: _____

Schedule A

Name: John Williams

Reporting Period: 2020

Assets and Income

Please list each asset held in any accounts owned or controlled by you, your spouse, registered domestic partner or minor children that had a fair market value exceeding \$1,000 at the close of and/or generated over \$200 in income during the reporting period.

Please disclose any interest, regardless of its value, in: (i) depository institutions, primary dealers of government securities or their affiliates; (ii) savings and loan holding companies; (iii) systemically important financial institutions; (iv) financial market utilities; or (v) any entity with whom you conduct business on behalf of the Bank.

To remove an item, please click Remove below each line.

NOTE: If you have received a waiver from the Bank for an asset that you are reporting, please check the waiver box at the end of the asset line.

If you have no applicable assets to report, simply check the box below. Do not write "none" or "N/A."

I have no applicable assets to report:

Assets BLOCK A	Value of Assets at close of reporting period BLOCK B	Income: type and amount If None (or less than \$201), no other entry is needed in Block C for that item. BLOCK C		
Asset Name		Type / (If Other, specify)	Amount / Date Only if Honoraria	Waive r
<i>Example: Microsoft common stock Owner: E - Employee</i>	\$1,001-\$50K	<i>Dividends</i>	\$1,001-\$25K	
<i>Example: Apple common stock Owner: J - Joint</i>	<i>None(or < \$1,001)</i>	<i>Capital Gains</i>	\$1,001-\$25K	
Charles Schwab International Equity Index Fund (IRA) Owner: E - Employee	\$50,001-\$250K	Other Dividends/Capital Gains	\$1,001-\$25K	
Valic Money Market Fund (403B) Owner: S - Spouse	\$1,001-\$50K	Interest	\$201-\$1,000	

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LVIP SSgA S&P 500 Index Fund (Lincoln 403B plan)	\$1,001-\$50K	Other Dividends/Capital Gains	\$201-\$1,000	
Owner: S - Spouse Fidelity Growth Portfolio (Lincoln403B plan) Owner: S - Spouse	\$1,001-\$50K	Other Dividends/Capital Gains	\$201-\$1,000	

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Asset Name		Type / (If Other, specify)	Amount / Date Only if Honoraria	Waive r
University of California Domestic Equity Fund Owner: S - Spouse	\$500,001-\$1,000K	Other Dividends/Capital Gains	\$1,001-\$25K	<input type="checkbox"/>
University of California Emerging Markets Fund Owner: S - Spouse	\$1,001-\$50K	Other Dividends/Capital Gains	\$201-\$1,000	<input type="checkbox"/>
University of California UC Pathway 2035 Fund Owner: S - Spouse	\$250,001-\$500K	Other Dividends/Capital Gains	\$1,001-\$25K	<input type="checkbox"/>
University of California Real Estate Fund Owner: S - Spouse	\$1,001-\$50K	Other Dividends/Capital Gains	\$201-\$1,000	<input type="checkbox"/>

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Asset Name		Type / (If Other, specify)	Amount / Date Only if Honoraria	Waive r
University of California International Equity Fund Owner: S - Spouse	\$50,001-\$250K	Other Dividends/Capital Gains	\$1,001-\$25K	<input type="checkbox"/>
University of California (employer) Owner: S - Spouse	None(or less than \$1,001)	Other Salary	\$1,001-\$25K	<input type="checkbox"/>
Golden 1 Credit Union Owner: J - Joint	\$1,001-\$50K	Interest	None(or less than \$201)	<input type="checkbox"/>
Wells Fargo Bank (savings) Owner: S - Spouse	\$1,001-\$50K	Interest	None(or less than \$201)	<input type="checkbox"/>

Schedule A

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Assets and Income

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Asset Name		Type / (If Other, specify)	Amount / Date Only if Honoraria	Waive r
Vanguard Inst Tg Rtm Fund (NYU) Owner: S - Spouse	\$50,001-\$250K	Dividends	\$1,001-\$25K	<input type="checkbox"/>
New York University (employer) Owner: S - Spouse	None(or less than \$1,001)	Other Salary	150,001-\$500K	<input type="checkbox"/>
First Republic Bank (Checking) Owner: J - Joint	\$1,001-\$50K	Interest	None(or less than \$201)	<input type="checkbox"/>

Schedule B

Name: John Williams

Reporting Period: 2020

Part I: Transactions

Report any purchase, sale or exchange by you **(E)**, your spouse or registered domestic partner **(S)**, you and your spouse or registered domestic partner **(J)** or a dependent child **(DC)** during the reporting period of any real estate, stocks, bonds, commodity futures and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving real estate used solely as your personal residence (unless rented out), or a transaction solely between you, your spouse or dependent child. Check the "Required divestiture" block to indicate sales made pursuant to a divestiture required by the Bank.

")To remove an item, please click Remove below each line.

NOTE: If a transaction is a required divestiture directed by the Bank, please check the Req. Divestiture box at the end of the asset line.

If you have no applicable transactions to report, simply check the box below. Do not write "none" or "N/A."

I have no applicable transactions to report :

Identification of Assets	Owner	Transaction Type	Date (mm/dd/yyyy)	Amount of Transaction	Req. Divestiture
<i>Example: Apple common stock</i>	<i>J</i>	<i>Sale</i>	<i>11/01/2011</i>	<i>\$1,001-\$50K</i>	
Schwab International Index Fund	E	Purchase	12/18/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	02/03/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	03/03/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	04/02/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	05/04/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	06/02/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	07/02/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	08/03/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	09/02/2020	\$1,001-\$50K	

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Vang Inst Tg Rtm 30 Inst	S	Purchase	10/02/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	10/30/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	12/01/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	12/30/2020	\$1,001-\$50K	
Vang Inst Tg Rtm 30 Inst	S	Purchase	01/02/2020	\$1,001-\$50K	
University of California Domestic Equity Fund	S	Sale	05/19/2020	\$1,001-\$50K	

Part II: Gifts

To the extent not previously reported in writing, report the source, a brief description, and the value of any of the following received by you, your spouse or domestic partner or child: (1) any single gift having a value of \$20 or more from one covered source*; and (2) any other gifts totaling \$20 or more in value from one covered source. Exclude gifts from relatives and other exempt gifts.

To remove an item, please click Remove below each line.

* A covered source is a person or entity that: (1) does, or seeks to do, business with the Bank; (2) is supervised by the Federal Reserve System; or (3) has interests that are substantially affected by your duties at the Bank. Additionally, an organization, a majority of whose members are covered sources, is also considered a covered source.

If you have no applicable gifts to report, simply check the box below. Do not write "none" or "N/A."

I have no applicable gifts to report :Yes

Source(Name and Address)	Brief Description	Value
		\$ 0

Schedule C

Name: John Williams

Reporting Period: 2020

Part I: Liabilities

Report any liabilities owed during the reporting period to any of the following by you, your spouse, registered domestic partner, or dependent children: a bank, credit union, savings and loan association, savings bank, trust company, bank holding company, thrift holding company, an affiliate or subsidiary of any of the foregoing, and any entity which, to your knowledge, does or seeks to do business with the Bank.

To remove an item, please click Remove below each line.

If you have no applicable liabilities to report, simply check the box below. Do not write "none" or "N/A."

I have no applicable liabilities to report:

Creditor (Name and Address)	Type of Liability	Debtor (If Other, specify)	Category of Amount or Value
<i>Example: XYZ Bank</i>	<i>Business Loan</i>	<i>Spouse</i>	<i>0-\$50K</i>
Chase	Credit Cards	Joint	0-\$50K
Bank of America	Credit Card	Joint	0-\$50K
First Republic Bank (San Francisco, CA)	First mortgage on residence	Joint	\$150,001-500K

To your knowledge, were any of the foregoing extensions of credit more favorable than offered to a person not employed by the Bank? NO

Part II: Agreements or Arrangements

Report any agreement or arrangement for future employment, leave of absence from or continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan or deferred compensation arrangement. This part applies only to the person filing the report, and not to spouses, registered domestic partners, or children.

To remove an item, please click Remove below each line.

If you have no applicable agreements or arrangements to report, simply check the box below. Do not write "none" or "N/A."

I have no applicable agreements or arrangements to report:Yes		
Status and Terms of any Agreement or Arrangement	Parties	Date (mm/yyyy)
<i>Example: Retirement plan from prior employer (independently managed, full funded, defined contribution plan)</i>	<i>XYZ Company, Baltimore, MD</i>	<i>1/2005</i>

Schedule D

Name: John Williams

Reporting Period: 2020

Part I: Positions Held Outside the FRB

Positions Held by You

Report any position held by you during the reporting period, whether compensated or not. A position includes but not limited to employee, officer, owner, director, trustee, partner, advisor or consultant of any corporation, firm, partnership or other business enterprise, or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal or political entities, and those solely of an honorary nature.

Positions Held by Your Relatives

Also report any position held by your spouse or registered domestic partner, child, parent or sibling with a bank, credit union, savings and loan association, savings bank, trust company, bank holding company, thrift holding company, primary government securities dealer, an affiliate or subsidiary of any of the foregoing, a systemically important financial institution, a financial market utility, and any entity which, to your knowledge, does or seeks to do business with the Bank.

To remove an item, please click Remove below each line.

If you have no applicable positions held outside the FRB to report, simply check the box below. Do not write "none" or "N/A."

I have no applicable positions held outside the FRB to report:

Organization (Name and Address)	Holder	Type of Organization/ (If Other, specify)	Position	From/To (mm/yyyy)
<i>Example: XYZ Non Profit (123 Cleary St, New York, NY 10023)</i>	<i>Employee</i>	<i>Charity</i>	<i>Board member</i>	<i>1/2005 Present</i>
<i>Example: XYZ Securities, LLC (5 Wall St, New York, NY 10023)</i>	<i>Sibling</i>	<i>Securities Dealer</i>	<i>Analyst</i>	<i>1/2006 Present</i>
Economic Club of New York (New York, NY)	Employee	Other Nonprofit	Board Member, Board Chair	06/2019 Present

Part II: Other Situations

Describe any other relationship or circumstances that you believe might constitute an actual or apparent conflict of interest or violation of law or Bank policy. Provide all relevant information.

If you have no other situations to report, simply check the box below. Do not write "none" or "N/A."

I have no other situations to report: Yes

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Audit Trail

Name: John Williams

Reporting Period: 2020

Date of Activity	Type of Activity	Updated By	Report Status
07/29/2021 03:58:58 PM	Signed Off	[REDACTED]	Signed Off
07/29/2021 03:58:50 PM	Signed Off	[REDACTED]	Reviewed - Ready for Sign Off
07/19/2021 10:50:30 AM	Saved	[REDACTED]	Reviewed - Ready for Sign Off
07/19/2021 10:50:30 AM	Signed Off	[REDACTED]	Signed Off
07/19/2021 10:50:20 AM	Signed Off	[REDACTED]	Signed Off
07/19/2021 10:49:43 AM	Signed Off	[REDACTED]	Signed Off
07/16/2021 01:29:01 PM	Signed Off	[REDACTED]	Submitted
05/04/2021 12:13:51 PM	Status Change	[REDACTED]	Submitted
05/04/2021 12:13:49 PM	Saved	[REDACTED]	Saved
05/04/2021 12:03:45 PM	Saved	[REDACTED]	Saved
05/04/2021 11:52:49 AM	Saved	[REDACTED]	Saved
05/04/2021 10:22:09 AM	Saved	[REDACTED]	Saved
05/04/2021 10:14:20 AM	Saved	[REDACTED]	Saved
05/04/2021 10:09:44 AM	Saved	[REDACTED]	Saved
05/04/2021 09:57:53 AM	Saved	[REDACTED]	Saved
05/04/2021 09:56:34 AM	Saved	[REDACTED]	Saved
04/12/2021 04:27:24 PM	Signed Off	[REDACTED]	Saved
04/12/2021 04:27:24 PM	Saved	[REDACTED]	Saved
04/12/2021 04:23:48 PM	Signed Off	[REDACTED]	Saved
04/12/2021 03:05:46 PM	Signed Off	[REDACTED]	Saved
04/12/2021 03:05:46 PM	Saved	[REDACTED]	Saved
04/12/2021 03:05:33 PM	Signed Off	[REDACTED]	Saved
04/12/2021 03:00:20 PM	Signed Off	[REDACTED]	Saved

Date of Activity	Type of Activity	Updated By	Report Status
04/12/2021 03:00:20 PM	Saved	[REDACTED]	Saved
04/12/2021 02:35:19 PM	Signed Off	[REDACTED]	Saved

Definitions

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Savings and Loan Holding Companies

<https://www.newyorkfed.org/medialibrary/media/aboutthefed/SLHCList.pdf>

Dependent Child

The term "dependent child" means your son, daughter, stepson or stepdaughter if such person is either (1) unmarried, under age 21, and living in your household, or (2) is claimed as a dependent on your federal income tax return.

Registered domestic partner

Two adults, of the same or opposite sex, who have completed the Federal Reserve System Declaration of Domestic Partnership form.

Systemically Important Financial Institution

A nonbank company that has been designated by the Financial Services Oversight Committee as one that, if materially stressed, could pose a threat to financial stability in the US.

<https://www.newyorkfed.org/medialibrary/media/aboutthefed/fsoclist.pdf>

Designated Financial Market Utilities

Any person that manages or operates a multilateral system for the purpose of transferring, clearing, or settling payments, securities, or other financial transactions among financial institutions or between financial institutions and the person.

<https://www.newyorkfed.org/medialibrary/media/aboutthefed/fsoclist.pdf>

Exempt Liabilities

1. A mortgage loan the proceeds of which were used to finance your primary residence unless the loan was incurred within the last six months.
2. a credit card account provided payment on the indebtedness is current and
3. a student loan incurred prior to your employment at the Bank.