Termination Report | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001)(March 2014)

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

Filer's Information

OGE RECEIVED: JUN 1, 2017

Kennedy, Caroline B.
Ambassador, Japan, Department of State
Date of Termination: 01/18/2017

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.

eSigned in FDM by:
Caroline B. Kennedy
User ID: F59E4747BBA18D2A
✓
05/23/2017

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).

eSigned in FDM by:
Judy H. Mann
User ID: BE56B1768AA3650F
✓
05/25/2017

Other review conducted by

Reviewer:
eSigned in FDM by:
Judy H. Mann
User ID: BE56B1768AA3650F
✓
05/25/2017

U.S. Office of Government Ethics Certification EMORY ROUNDS

Digitally signed by EMORY ROUNDS
DN: c=US, o=U.S. Government, ou=Office of Government Ethics, cn=EMORY ROUNDS, 0.9.2342.19200300.100.1.1=95491000684142
Date: 2017.06.05 10:55:05 -04'00'

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	OGE TYPE	POSITION	FROM	TO
1	Caroline B. Kennedy 1982 Trust	New York, NY, USA	Trusts and Estates	Trustee	01/1982	Present
2	DC Art 4th Trust U/A The J.F. Kenned	NEW YORK, NY, USA	Trusts and Estates	Trustee	07/1999	Present
3	DC Art 5th Trust U/A The J.F. Kenned	NEW YORK, NY, USA	Trusts and Estates	Trustee	07/1999	Present
4	Family Member #1 Art 4th Trust	NEW YORK,	Trusts and	Trustee	07/1999	Present

	U/A The J.F. Kenned	NY, USA	Estates			
5	Family Member #1 Art 5th Trust U/A The J.F. Kenned	NEW YORK, NY, USA	Trusts and Estates	Trustee	07/1999	Present
6	Family Member #2 Art 4th Trust U/A The J.F. Ken	NEW YORK, NY, USA	Trusts and Estates	Trustee	07/1999	Present
7	Family Member #2 Art 5th Trust U/A The J.F. Ken	NEW YORK, NY, USA	Trusts and Estates	Trustee	07/1999	Present
8	The Kennedy Schlossberg 2012 Family Trust	New York, NY, USA	Trusts and Estates	Trustee	11/2012	Present

2. Filer's Employment Assets and Income

This report has no reported **Assets**

3. Filer Employment Agreements and Arrangements

This report has no reported **Agreements and Arrangements**

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

This report has no reported **Compensation Exceeding $5,000**

5. Spouse's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Edwin Schlossberg Incorporated (Design Services)	N/A	Over $1,000,000	Salary & S Corp inc	
2	Fine Arts	N/A		Income from personal services	
3	Keio University	N/A		Income from personal services	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	JP Morgan, cash accounts	N/A	$500,001 - $1,000,000		None (or less than $201)
2	Caroline B. Kennedy 1963 Trust (Filer is beneficiary, S is trustee)	N/A	$1,000,001 - $5,000,000	Dividends, Interest	$15,001 - $50,000
2.1	Vornado Realty Trust (VNO)	N/A	$100,001 - $250,000	Dividends	$5,001 - $15,000
2.2	Goldman Sachs, cash account	N/A	$250,001 - $500,000	Interest	$201 - $1,000
2.3	New York, NY, Metropolitan Transportation Authority bond	N/A	None (or less than $1,001)	Interest	$1,001 - $2,500
2.4	Albany, NY, Environmental Facilities Corporation water and drinking bond	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
2.5	New York, NY, Metropolitan Transportation Authority bond	N/A	None (or less than $1,001)	Interest	$1,001 - $2,500
2.6	Albany, NY, Dormitory Authority bond	N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
2.7	St. Paul, MN, Independent School District bond	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
2.8	Goldman Sachs, cash account	N/A	$100,001 -		None (or less

			$250,000		than $201)
2.9	New York, NY, Transitional Finance Revenue bond	N/A	$50,001 - $100,000	Interest	$201 - $1,000
2.10	New York, NY, Empire State Development Corporation bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
2.11	New York, NY, General Obligation bond	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
2.12	Urban Edge Properties (UE)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
2.13	New York, NY, Transitional Finance Revenue bond	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
2.14	New York, NY General Obligation bond	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
3	Caroline B. Kennedy 1959 Trust (Filer is beneficiary, S is trustee)	N/A	$1,000,001 - $5,000,000	Interest, Rent and Royalties	$100,001 - $1,000,000
3.1	Goldman Sachs, cash account	N/A	$250,001 - $500,000	Interest	$201 - $1,000
3.2	Albany, NY, Dormitory Authority bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
3.3	Goldman Sachs, cash account	N/A	$50,001 - $100,000	Interest	$201 - $1,000
3.4	Hempstead VLG, NY, general obligation bond	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
3.5	New York, NY, Metropolitan Transportation Authority Bond	N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
3.6	New York, NY, Metropolitan Transportation Authority Bond	N/A	None (or less than $1,001)	Interest	$2,501 - $5,000
3.7	Albany, NY, Environment Facilities Corporation bond	N/A	$50,001 - $100,000	Interest	$5,001 - $15,000
3.8	New York, NY, Transitional Finance Authority bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
3.9	Albany, NY, Dormitory Authority Bond	N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
3.10	New York, NY, Housing Finance Agency bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
3.11	St. Paul, MN, Independent School District bond	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
3.12	New York, NY, General Obligation bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
3.13	Park Holdings Group, LLC, New York, NY, USA	N/A	$250,001 - $500,000	Rent and Royalties	$100,001 - $1,000,000
3.13.1	Arctic Royalty L.P. (see attached schedule for underlying assets), New York, NY, USA	N/A	$250,001 - $500,000	Rent and Royalties	$100,001 - $1,000,000
3.14	New York, NY, General Obligation bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
3.15	New York, NY, Transitional Finance Revenue bond	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
3.16	New York, NY General Obligation bond	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
3.17	New York, NY, Triborough Bridge & Tunnel Authority bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
3.18	New York, NY, Triborough Bridge & Tunnel Authority bond	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000

3.19	Albany, NY, Dormitory Authority bond	N/A	$50,001 - $100,000		None (or less than $201)
4	Caroline B. Kennedy 1982 Trust (Filer is beneficiary, Filer & S are trustees)	N/A	$5,000,001 - $25,000,000	Dividends, Interest, Rent and Royalties	$100,001 - $1,000,000
4.1	Goldman Sachs, cash account	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
4.2	Goldman Sachs, cash account	N/A	$500,001 - $1,000,000	Interest	$1,001 - $2,500
4.3	Vornado Realty Trust (VNO)	N/A	$1,000,001 - $5,000,000	Dividends	$100,001 - $1,000,000
4.4	Albany, NY, Dormitory Authority bond	N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
4.5	Albany, NY, Dormitory Authority bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
4.6	Fayette County, KY, School District bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
4.7	Liverpool, NY, School District bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
4.8	New York, NY, Metropolitan Transporation Authority bond	N/A	None (or less than $1,001)	Interest	$2,501 - $5,000
4.9	New York, NY, Metropolitan Transportation Authority bond	N/A	None (or less than $1,001)	Interest	$5,001 - $15,000
4.10	Albany, NY, Dormitory Authority bond	N/A	None (or less than $1,001)	Interest	$15,001 - $50,000
4.11	Albany, NY, Environmental Facilities Corporation bond	N/A	$250,001 - $500,000	Interest	$15,001 - $50,000
4.12	New York, NY, Housing Finance Agency bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.13	Rochester, NY, general obligation bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.14	Lake Ronkonkoma, NY, Sachem Central School District bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.15	St. Paul, MN, Independent School District bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
4.16	White Plains, NY, Westchester Tobacco Asset Securitization Corporation bond	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
4.17	Park Holdings Group, LLC, New York, NY, USA	N/A	$5,000,001 - $25,000,000	Rent and Royalties	$50,001 - $100,000
4.17.1	Wolf Point Owners, LLC	N/A	$5,000,001 - $25,000,000		None (or less than $201)
4.17.1.1	Undeveloped property, Chicago, IL	N/A	$5,000,001 - $25,000,000		None (or less than $201)
4.17.2	Arctic Royalty L.P. (see attached schedule for underlying assets)	N/A	$100,001 - $250,000	Rent and Royalties	$50,001 - $100,000
4.18	Park Agency Inc. (financial services) (Filer has 16.67% ownership)	N/A	$250,001 - $500,000		None (or less than $201)
4.19	Elmira City, NY, School District bond	N/A	None (or less than $1,001)	Interest	$15,001 - $50,000
4.20	New York, NY, General Obligation bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.21	New York, NY, Metropolitan Transportation Authority	N/A	$250,001 - $500,000	Interest	$15,001 - $50,000
4.22	Wantagh, NY, School District bond	N/A	$250,001 -	Interest	$5,001 -

			$500,000		$15,000
4.23	Bay Shore, NY, School District bond	N/A	$250,001 - $500,000	Interest	$15,001 - $50,000
4.24	Schenectady, NY School District bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.25	New York, NY, Sales Tax Receivable bond	N/A	$250,001 - $500,000	Interest	$15,001 - $50,000
4.26	New York, NY, Special School Revenue bond	N/A	$250,001 - $500,000	Interest	$15,001 - $50,000
4.27	Goldman Sachs, cash account	N/A	$1,001 - $15,000		None (or less than $201)
4.28	Oneok Inc	Yes	None (or less than $1,001)		$201 - $1,000
4.29	Semgroup Corp	Yes	$1,001 - $15,000		$201 - $1,000
4.30	Spectra Energy Corp	Yes	$15,001 - $50,000		$1,001 - $2,500
4.31	Targa Resources Corp	Yes	$50,001 - $100,000		$2,501 - $5,000
4.32	The Williams Companies Inc	Yes	$15,001 - $50,000		$201 - $1,000
4.33	Williams Partners LP, formerly Access Midstream Partners	Yes	$15,001 - $50,000		$2,501 - $5,000
4.34	Buckeye Partners	Yes	$15,001 - $50,000		$1,001 - $2,500
4.35	DCP Midstream Partners	Yes	$15,001 - $50,000		$1,001 - $2,500
4.36	Energy Transfer Equity	Yes	None (or less than $1,001)		$201 - $1,000
4.37	Enterprise Products Partners	Yes	$50,001 - $100,000		$5,001 - $15,000
4.38	Genesis Energy LP	Yes	$15,001 - $50,000		$1,001 - $2,500
4.39	Magellan Midstream Partners	Yes	$50,001 - $100,000		$1,001 - $2,500
4.40	Oneok Partners	Yes	$15,001 - $50,000		$1,001 - $2,500
4.41	Plains All American Pipeline LP	Yes	$50,001 - $100,000		$2,501 - $5,000
4.42	Sunoco Logistics Partners	Yes	$15,001 - $50,000		$1,001 - $2,500
4.43	Targa Resources Partners	Yes	None (or less than $1,001)		$201 - $1,000
4.44	Tesoro Logistics LP	Yes	$15,001 - $50,000		$1,001 - $2,500
4.45	Western Gas Partners	Yes	$15,001 - $50,000		$1,001 - $2,500
4.46	Urban Edge Properties (UE)	N/A	$500,001 - $1,000,000	Dividends	$15,001 - $50,000
4.47	New York, NY, Transitional Finance Revenue bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.48	Antero Midstream Partners LP	Yes	$15,001 - $50,000		$1,001 - $2,500
4.49	EQT Midstream Partners LP	Yes	$15,001 -		$1,001 -

			$50,000		$2,500
4.50	MPLX LP	Yes	$15,001 - $50,000		$2,501 - $5,000
4.51	Phillips 66 Partners LP	Yes	$15,001 - $50,000		$201 - $1,000
4.52	Valero Energy Partners LP	Yes	$15,001 - $50,000		$201 - $1,000
4.53	New York, NY, Triborough Bridge & Tunnel Authority bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.54	Albany, NY, Dormitory Authority bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.55	New York, NY, Transitional Finance Authority bond	N/A	$250,001 - $500,000	Interest	$5,001 - $15,000
4.56	Energy Transfer Partners LP	Yes	$15,001 - $50,000		$2,501 - $5,000
4.57	Nustar Energy LP	Yes	$15,001 - $50,000		$1,001 - $2,500
5	KS BCOM LLC, New York, NY, USA	N/A	$1,000,001 - $5,000,000	Dividends, Capital Gains, Interest	$100,001 - $1,000,000
5.1	Blackstone Capital Partners (Cayman II) V, LP	Yes	$1,001 - $15,000		$201 - $1,000
5.2	Blackstone Capital Partners (Cayman III) V LP	Yes	$15,001 - $50,000		$201 - $1,000
5.3	Blackstone Capital Partners (Cayman) V LP	Yes	$15,001 - $50,000		$50,001 - $100,000
5.4	Blackstone Capital Partners (Cayman) V NQ LP	Yes	$50,001 - $100,000		$15,001 - $50,000
5.5	Blackstone Capital Partners V LP	Yes	$250,001 - $500,000		$50,001 - $100,000
5.6	Blackstone HEI Capital Partners V LP	Yes	$1,001 - $15,000		None (or less than $201)
5.7	Blackstone PB Capital Partners V LP	Yes	$1,001 - $15,000		$1,001 - $2,500
5.8	Blackstone RGIS Capital Partners V LP	Yes	$50,001 - $100,000		$50,001 - $100,000
5.9	BCP V -Co-Investors (Cayman) LP	Yes	$100,001 - $250,000		$5,001 - $15,000
5.10	BCP V-S L.P.	Yes	$50,001 - $100,000		$15,001 - $50,000
5.11	Blackstone GT Communications Partners L.P.	Yes	$100,001 - $250,000		$50,001 - $100,000
5.12	Blackstone NSS Communications Partners (Cayman) L.P.	Yes	$1,001 - $15,000		None (or less than $201)
5.13	BCP V-S (Cayman) L.P.	Yes	$15,001 - $50,000		$1,001 - $2,500
5.14	Blackstone/GSO Secured Trust Limited	Yes	$500,001 - $1,000,000		$15,001 - $50,000
5.15	JPMorgan Chase, cash account	N/A	$100,001 - $250,000		None (or less than $201)
6	Goldman Sachs, IRA	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
6.1	Goldman Sachs, cash accounts	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500

7	JP Morgan, cash account	N/A	$1,001 - $15,000		None (or less than $201)
8	Carlyle Venture Partners II, LP	N/A	$250,001 - $500,000	Capital Gains	$50,001 - $100,000
8.1	AqueSys, Inc. (Healthcare, Irvine, CA)	N/A	$15,001 - $50,000	Capital Gains	$50,001 - $100,000
8.2	Proteus Digital Health Inc. (Healthcare, Redwood City, CA)	N/A	$250,001 - $500,000		None (or less than $201)
8.3	Wall Street Institute (Education, New York, NY)	N/A	$1,001 - $15,000		None (or less than $201)
9	Schlossberg FamilyCo. LLC (70% owned by spouse), New York, NY, USA	N/A	$500,001 - $1,000,000		None (or less than $201)
9.1	The Perfect Client, LLC (intellectual property holding company) (100% owned by Schlossberg FamilyCo, LLC), New York, NY, USA	N/A	$500,001 - $1,000,000		None (or less than $201)
9.1.1	JPMorgan Chase, cash account	N/A	$15,001 - $50,000		None (or less than $201)
9.1.2	Eddies Social Club, LLC (50% owned by The Perfect Client, LLC), New York, NY, USA	N/A	$500,001 - $1,000,000		None (or less than $201)
9.1.2.1	JPMorgan Chase, cash account	N/A	$100,001 - $250,000		None (or less than $201)
9.2	JPMorgan Chase cash account	N/A	$1,001 - $15,000		None (or less than $201)
10	"One Special Summer," Rizzoli International Publications (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
11	"A Family of Poems: My Favorite Poetry for Children," Hyperion (value not readily ascertainable)	N/A		Rent and Royalties	$2,501 - $5,000
12	"A Patriot's Handbook: Songs, Poems, Stories, and Speeches Celebrating the Land We Love," Hyperion (value not readily ascertainable), New York, NY, USA	N/A		Rent and Royalties	$201 - $1,000
13	"The Best-Loved Poems of Jacqueline Kennedy Onassis," Hyperion (value not readily ascertainable)	N/A			None (or less than $201)
14	"In Our Defense: The Bill of Rights in Action," Harper Collins (value not readily ascertainable)	N/A		Rent and Royalties	$2,501 - $5,000
15	"Profiles in Courage for Our Time," Harper Collins (value not readily ascertainable)	N/A		Rent and Royalties	$100,001 - $1,000,000
16	"Jacqueline Kennedy: Historic Conversations on Life with John F. Kennedy, Interviews with Arthur M. Schlesinger," Hyperion (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
17	Red Gate Farm LLC (25% owned by Filer), Wilmington, DE, USA	N/A	$5,000,001 - $25,000,000		None (or less than $201)
17.1	Residential real estate (owned 100% by Red Gate Farm LLC), Aquinnah, MA, USA	N/A	$5,000,001 - $25,000,000		None (or less than $201)

17.2	JPMorgan Chase, cash account	N/A	$50,001 - $100,000		None (or less than $201)
18	Goldman Sachs, cash account	N/A	Over $1,000,000	Interest	$5,001 - $15,000
19	Goldman Sachs, IRA	N/A	$1,001 - $15,000		None (or less than $201)
19.1	Goldman Sachs, cash account	N/A	$1,001 - $15,000		None (or less than $201)
20	"Family Christmas" Hyperion (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
21	"Poems to Learn by Heart," Disney Press (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
22	"She Walks in Beauty: A Woman's Journey Through Poems," Hyperion (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
23	"John F. Kennedy: The Inaugural Address," Viking Juvenile (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
24	"Rose Kennedy's Family Album: A Family Album from the Fitzgerald Kennedy Private Collection," Grand Central Publishing (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
25	ESI Design, 401(k) Plan	N/A	$500,001 - $1,000,000	Dividends, Capital Gains	$5,001 - $15,000
25.1	Stable Asset Fund	Yes	$250,001 - $500,000		$2,501 - $5,000
25.2	BlackRock Russell 3000 Index	Yes	$50,001 - $100,000		$1,001 - $2,500
25.3	T Rowe Mid Cap Growth	Yes	$50,001 - $100,000		$1,001 - $2,500
25.4	Voya Target Solution Income	Yes	$15,001 - $50,000		None (or less than $201)
26	"The Enemy Within" Harper Collins (value not readily ascertainable)	N/A			None (or less than $201)
27	"The Right to Privacy," Knopf Publishing (value not readily ascertainable), New York, NY, USA	N/A			None (or less than $201)
28	Perseus-Soros BioPharmaceutical Fund Liquidating Trust	N/A	$1,001 - $15,000		None (or less than $201)
28.1	Perseus-Soros BioPharmaceutical Fund Liquidating Trust, Cash	N/A	$1,001 - $15,000		None (or less than $201)

7. Transactions
This report has no reported **Transactions**

8. Liabilities
This report has no reported **Liabilities**

9. Gifts and Travel Reimbursements

This report has no reported **Gifts and Reimbursements**

Summary of Contents

1. Filer's Positions Held Outside the 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 and Income

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 that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in income 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 the United States Government employment or assets that were aquired seperately 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 deffered 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 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 and Income

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 that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in income 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 the United States Government employment or assets that were aquired seperately 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, that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregate 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) incomne or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cahs 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 of income was produced). 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 expected 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 reporting period.

This section does not include transactions that concern the following: (1) a personel 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 each asset, not already reported, that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregate 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) incomne or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cahs 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 of income was produced). 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 expected investment fund (EIF).

9. Gift and Travel Reimbursements

This section discloses:

- Gifts totaling more than $375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $375 that the filer, the filer's spouse, and the dependant 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 $150 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 give 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 premisis; 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. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosure agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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 three 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, NW, Washington, DC 2005-3917.

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