

## Executive Branch Personnel

### Public Financial Disclosure Report (OGE Form 278e)

#### Filer's Information

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Dorn, Alan

Chief Counsel, Region V, Department of Health & Human Services

Report Year: 2019

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Dorn, Alan [electronically signed on 05/12/2019 by Dorn, Alan in Integrity.gov]

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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/ Hall, Randall, Certifying Official [electronically signed on 06/28/2019 by Hall, Randall in Integrity.gov]

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Other review conducted by

/s/ Lee, Steven, Ethics Official [electronically signed on 06/21/2019 by Lee, Steven in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 06/21/2019

Data Revised 06/10/2019

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(06/10/2019, Lee, Steven): I/R 10 June 2019 (SEL).

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## 1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Proceeds from liquidation of deceased parent's bank account	No	\$15,001 - \$50,000		None (or less than \$201)
2	Proceeds from sale of deceased parent's home	No	\$50,001 - \$100,000		None (or less than \$201)

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## 3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northwestern Mutual Investment Services Brokerage Account (Spouse/SEP)	No			

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#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	Dodge & Cox Income Fund (DODIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2	EuroPacific Growth Fund Class F-2 (AEPFX)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3	Fidelity Advisor Mid Cap II Fund (FIIMX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	Fidelity Advisor New Insights Fund Class I (FINSX)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	Oakmark International Fund Class I (OAKIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.6	Hartford World Bond Fund Class I (HWDIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.7	MFS Value Fund Class I (MEIIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	New World Fund Class F-2 (NFFFX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.9	Northern Small Cap Value Fund (NOSGX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.10	Pimco Income Fund Class P (PONPX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.11	T Rowe Price Real Estate (TRREX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.12	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)		Yes	None (or less than \$1,001)		None (or less than \$201)
1.13	Oakmark International Small Cap Fund (OAKEX) -- SOLD 7/16/2018	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.14	American Century Diversified Bond Fund Investor Class (ADFIX) -- SOLD 7/16/2018	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.15	Deutsche Enhanced Commodity Strategy Fund (SKIRX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.16	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.17	Goldman Sachs International Small Cap Insights Fund (PURCHASED 7/17/18)	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.18	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- PURCHASED 7/17/2018	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Northwestern Mutual Investment Services Brokerage Account (Spouse/IRA)		No			
2.1	Fidelity Advisor New Insights Fund Class I (FINSX)	See Endnote	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.2	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Dodge & Cox Income Fund (DODIX)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.4	EuroPacific Growth Fund Class F-2 (AEPFX)	See Endnote	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.5	Fidelity Advisor Mid Cap II Fund Class I (FIIMX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.6	Oakmark International Fund Class I (OAKIX)	See Endnote	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.7	Oakmark International Small Cap Fund (OAKEX) -- SOLD 7/16/2018	See Endnote	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.8	Hartford World Bond Fund Class I (HWDIX)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.9	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX)	See Endnote	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.10	MFS Value Fund Class I (MEIIX)	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.11	New World Fund Class F-2 (NFFX)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.12	Northern Small Cap Value Fund (NOSGX)	See Endnote	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.13	Pimco Income Fund Class I-2 (PONPX)	See Endnote	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.14	T Rowe Price Real Estate (TRREX)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.15	American Century Diversified Bond Investor Class (ADFIX) -- SOLD 7/16/2018	See Endnote	Yes	None (or less than \$1,001)	\$201 - \$1,000
2.16	Deutsche Enhanced Commodity Strategy Fund Institutional Class (SKIRX)	See Endnote	Yes	\$1,001 - \$15,000	\$1,001 - \$2,500
2.17	Goldman Sachs International Small Cap Insights Fund Class I (GICIX) -- PURCHASED 7/16/2018	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
2.18	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- PURCHASED 07/17/2018	See Endnote	Yes	\$1,001 - \$15,000	\$201 - \$1,000
3	jamf (Apple Device Management Solutions) -- Employment			Salary	
4	Voya Financial (jamf Retirement Plan)	No			
4.1	American Funds 2035 TDate R6	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northwestern Mutual Whole Life Insurance	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2	U.S. bank account #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
3	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
4	U.S. bank account #3 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
5	Northwestern Mutual Investment Services Brokerage Account	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	Dodge & Cox Income Fund (DODIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.2	EuroPacific Growth Fund Class F-2 (AEPFX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.3	Fidelity Advisor Mid Cap II (FIIMX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	Fidelity Advisor New Insights I (FINSX)	See Endnote	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.5	Oakmark International (OAKIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.6	Hartford World Bond I (HWDIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.7	John Hancock Disciplined Value Mid-Cap Fund Class I (JVMIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.8	MFS Value Fund Class I (MEIIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.9	New World Fund Class F-2 (NFFFX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.10	Northern Small Cap Value Fund (NOSGX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.11	PIMCO Income P (PONPX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.12	T. Rowe Price Real Estate (TRREX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.13	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.14	American Century Diversified Bond Investor Class (ADFIX) --SOLD 7/16/2018	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
5.15	Deutsche Enhanced Commodity Strategy Fund Institutional Class (SKIRX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.16	Oakmark International Small-Cap Fund Investor Class (OAKEX) -- SOLD 7/16/2018	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.17	Goldman Sachs International Small Cap Insights Fund Class II (GICIX) -- PURCHASED 7/17/2018	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.18	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- PURCHASED 7/17/2018	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	American Century Diversified Bond Fund Investor Class (ADFIX) -- Spouse/SEP		Sale	07/16/2018	\$1,001 - \$15,000
2	Oakmark International Small Cap Fund (OAKEX) -- Spouse/SEP		Sale	7/16/2018	\$1,001 - \$15,000
3	Goldman Sachs International Small Cap Insights Fund Class I (GICIX) -- Spouse/SEP		Purchase	07/17/18	\$1,001 - \$15,000
4	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- Spouse/SEP		Purchase	07/17/2018	\$1,001 - \$15,000
5	Euro Pacific Growth Fund Class F-2 (AEPFX) -- Spouse/SEP	See Endnote	Sale	01/25/2018	\$1,001 - \$15,000
6	Fidelity Advisor New Insights Fund Class I (FINSX) -- Spouse/SEP	See Endnote	Sale	01/25/2018	\$1,001 - \$15,000
7	Fidelity Advisor New Insights Fund Class I (FINSX) -- Spouse/IRA	See Endnote	Sale	1/25/2018	\$1,001 - \$15,000
8	EuroPacific Growth Fund Class F-2 (AEPFX) - Spouse/IRA	See Endnote	Sale	01/25/2018	\$1,001 - \$15,000
9	New World Fund Class F-2 (NFFX) -- Spouse/IRA	See Endnote	Sale	01/25/2018	\$1,001 - \$15,000
10	Oakmark International Fund Class I (OAKIX) -- Spouse/IRA	See Endnote	Sale	01/25/2018	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
11	Vanguard Institutional Trust Retirement 2025 Fund Institutional Shares (VRIVX) -- Spouse/IRA -- ROLLOVER TO NORTHWESTERN MUTUAL	See Endnote	Exchange	02/28/2018	\$15,001 - \$50,000
12	JP Morgan Smart Retirement 2025 Fund Class R5 (JNSIX) -- Spouse/IRA -- ROLLOVER TO NORTHWESTERN MUTUAL	See Endnote	Exchange	02/28/2018	\$1,001 - \$15,000
13	American Century Diversified Bond Investor Class (ADFIX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
14	Deutsche Enhanced Commodity Strategy Fund Institutional Class (SKIRX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
15	Dodge & Cox Income Fund (DODIX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
16	EuroPacific Growth Fund Class F-2 -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
17	Fidelity Advisor New Insights Fund Class I -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
18	Oakmark International Fund Investor Class -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
19	Hartford World Bond Fund Class I (HWDIX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
20	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
21	MFS Value Fund Class I (MEIIX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
22	New World Fund Class F-2 (NFFFX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
23	Northern Small Cap Value Fund (NOSGX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
24	Pimco Income Fund Class P (PONPX) -- Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
25	T Rowe Price Real Estate (TRREX) - Spouse/IRA	See Endnote	Purchase	03/01/2018	\$1,001 - \$15,000
26	American Century Diversified Bond Investor Class (ADFIX) -- Spouse/IRA	See Endnote	Sale	07/16/2018	\$1,001 - \$15,000
27	Oakmark International Small Cap Fund Investor Class (OAKEX) -- Spouse/IRA	See Endnote	Sale	07/16/2018	\$1,001 - \$15,000
28	Goldman Sachs International Small Cap Insights Fund Class I (GICIX) -- Spouse/IRA	See Endnote	Purchase	07/17/2018	\$1,001 - \$15,000
29	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- Spouse/IRA	See Endnote	Purchase	07/17/2018	\$1,001 - \$15,000
30	American Century Diversified Bond Investor Class (ADFIX) -- Filer/IRA	See Endnote	Sale	07/16/2018	\$1,001 - \$15,000
31	Oakmark International Small-Cap Fund Investor Class (OAKEX) -- Filer/IRA	See Endnote	Sale	07/16/2018	\$1,001 - \$15,000
32	Fidelity Advisor New Insights I (FINSX) -- Filer/IRA	See Endnote	Sale	07/16/2018	\$1,001 - \$15,000
33	Goldman Sachs International Small Cap Insights Fund Class II (GICIX) -- Filer/IRA	See Endnote	Purchase	07/17/2018	\$1,001 - \$15,000
34	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- Filer/IRA	See Endnote	Purchase	07/17/2018	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

### Endnotes

PART	#	ENDNOTE
5.	1.2	Partial Sale of Shares 1/25/2018
5.	1.4	1/25/2018 -- Partial Sale of Shares
5.	1.13	Sold 7/16/2018
5.	1.14	Sold 7/16/2018
5.	1.17	Purchased 7/17/2018
5.	1.18	Purchased 7/17/2018
5.	2.1	Partial sale of shares 1/25/2018 Purchase of additional shares 3/1/18
5.	2.3	Purchase of additional shares 3/01/2018
5.	2.4	Partial sale of shares 1/25/2018 Purchase of additional shares 03/01/2018
5.	2.6	Partial sale of shares 1/25/2018 Purchase of additional shares 3/01/2018
5.	2.7	Sold 7/16/2018
5.	2.8	Purchase of additional shares 3/01/2018
5.	2.9	Purchase of additional shares 3/1/2018
5.	2.10	Purchase of additional shares 3/01/2018

PART	#	ENDNOTE
5.	2.11	Partial sale of shares 1/25/2018 Purchase of additional shares 03/01/2018
5.	2.12	Purchase of additional shares 03/01/2018
5.	2.13	Purchase of additional shares 3/01/2018
5.	2.14	Purchase of additional shares 03/01/2018
5.	2.15	Additional Shares Purchased 03/01/2018 Sold 7/16/2018
5.	2.16	Additional Shares Purchased 03/01/2018
5.	2.17	Purchased 07/17/18
5.	2.18	Purchased 7/17/2018
6.	5.4	Partial sale of shares 7/16/2018
6.	5.14	All shares sold on 7/16/2018
6.	5.16	All shares sold 7/16/2018
6.	5.17	Purchased 7/17/2018
6.	5.18	Purchased on 7/17/2018
7.	5	1/25/2018 -- Partial Sale of Shares
7.	6	1/25/2018 -- Partial Sale of Shares
7.	7	Partial sale of shares 1/25/2018
7.	8	Partial sale of shares 1/25/2018
7.	9	Partial sale of shares 1/25/2018
7.	10	Partial sale of shares 1/25/2018
7.	11	Rollover to Northwestern Mutual 02/28/2018
7.	12	Rollover to Northwestern Mutual 02/28/2018

PART	#	ENDNOTE
7.	13	Purchase of additional shares on 3/1/2018
7.	14	Purchase of additional shares on 3/1/2018
7.	15	Purchase of additional shares on 03/01/2018
7.	16	Purchase of additional shares on 3/1/2018
7.	17	Purchase of additional shares on 03/01/2018
7.	18	Purchase of additional shares on 03/01/2018
7.	19	Purchase of additional shares 03/01/2018
7.	20	Purchase of additional shares on 03/01/2018
7.	21	Purchase of additional shares on 03/01/2018
7.	22	Purchase of additional shares on 3/1/2018
7.	23	Purchase of additional shares on 3/1/2018
7.	24	Purchase of additional shares on 3/1/2018
7.	25	Purchase of additional shares on 3/1/2018
7.	26	Sale of all shares 7/16/2018
7.	27	Sale of all shares 07/16/2018
7.	28	Purchase of new shares 07/17/2018
7.	29	Purchase of new shares 07/17/2018
7.	30	All shares sold on 7/16/2018
7.	31	All shares sold on 7/16/2018
7.	32	Partial sale of shares on 7/16/2018
7.	33	New purchase on 7/17/2018
7.	34	New purchase on 7/17/2018

# 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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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. 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 disclosing 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 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, NW., 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).

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