

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

Filer's Information

Hamamoto, Pamela K

Pandemic Instrument Negotiator for the United States, OGA, Department of Health & Human Services

Date of Appointment: 09/15/2022

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/ Hamamoto, Pamela K [electronically signed on 08/19/2022 by Hamamoto, Pamela K 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/ Olesh, Stanley, Certifying Official [electronically signed on 12/08/2022 by Olesh, Stanley in Integrity.gov]

Other review conducted by

/s/ Olesh, Stanley, Ethics Official [electronically signed on 12/08/2022 by Olesh, Stanley in Integrity.gov]

U.S. Office of Government Ethics Certification

Report Amended After Review Concluded.

Data Revised 12/08/2022

Data Revised 12/07/2022

Data Revised 10/10/2022

Data Revised 09/01/2022

Data Revised 08/31/2022

Data Revised 08/29/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(05/09/2023, Blanchette, Jason): Filer reported outside position with Clayman Inst. with an end date of 9/2020 - per filer, end date was 9/2022.
N/A	N/A	General	(10/10/2022, Olesh, Stanley): 10/7/22- rec'd signed EA -- SO
N/A	N/A	General	(12/07/2022, Olesh, Stanley): 12/6/22 - CD granted by OGE -- SO
N/A	N/A	General	(12/08/2022, Olesh, Stanley): Communications with filer's financial manager since October concerning acceptability of proposed replacement portfolio. Parameters sufficiently worked out as of 12/7 to allow certification -- SO

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	James Campbell Company LLC	Kapolei, Hawaii	Corporation	Board of Directors	5/2019	Present
2	Ploughshares	San Francisco, California	Non-Profit	Member, Board of Directors	5/2018	9/2022
3	Better World Campaign/UN Foundation	Washington, District of Columbia	Non-Profit	Member, Global leadership Council	5/2019	9/2022
4	Leadership Council for Women in National Security	Washington, District of Columbia	Non-Profit	Member, Steering Committee	7/2019	9/2022
5	Clayman Inst. for Gender Research	Stanford, Connecticut	Non-Profit	Member, Advisory Council	11/2018	9/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	James Campbell Company LLC (Real estate investment company)	N/A		Director Fees	\$343,872
2	Schwab IRA (managed)	No			
2.1	Abbott Laboratories	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	AES Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Amgen Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Analog Devices Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Aon PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Apple Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	Booz Allen Hamilton	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Brunswick Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	Cardinal Health Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	CDW Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	Celanese Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Cisco Systems Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	Dominos Pizza Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	Exxon Mobil Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.15	Franklin Resources	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	Huntington Ingalls Industries Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	Illinois Tool Works	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.18	Intel Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.19	International Paper	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	J M Smucker Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.21	Johnson & Johnson	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	Lilly Eli & Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	Lowes Companies Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	Marsh & McLennan Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	Microsoft Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	Moodys Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	Nexstar Media Group	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.28	Omnicom Group Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.29	Paramount Global	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.30	Pfizer Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	Qualcomm Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.32	Snap On Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.33	State Street Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.34	Texas Instruments	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.35	Union Pacific Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.36	Verizon Communications	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.37	Visa Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.38	Walgreens Boots Alliance Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.39	Walmart Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.40	Whirlpool Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.41	Spirit Realty Capital	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.42	iShares 0-5 Year TIPS Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.43	Pimco Active Bond Fund ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.44	Vanguard Short-Term Treasury Index Fund ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.45	Vanguard Short-Term Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Schwab 401(k)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Charles Schwab Bank Sweep	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	T Rowe Price 401(k)	No			
4.1	T Rowe Price Retirement 2025 Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	T Rowe Price Retire 2030 Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	James Campbell Company LLC	Kapolei, Hawaii	Serving as Board Chair for a private real estate investment company with a diversified portfolio of commercial real estate assets in Hawaii and the mainland US.

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Bank of America Corp. (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	First Republic Bank (cash, individual)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
3	American Funds New Perspective Fund (NPFFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Charles Schwab Bank Sweep	N/A	\$1,000,001 - \$5,000,000		\$201 - \$1,000
5	Vanguard GNMA Fund Admiral Shares (VFIJX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6	Vanguard Short-Term Investment-Grade Fund Admiral Shares (VFSUX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7	Vanguard Treasury Money Market Fund Investor Shares (VUSXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
8	A&M Capital Partners LP	See Endnote	No		
8.1	WHC Energy Services LLC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.2	Talus Payments	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.3	PatientCare Logistics Solutions	N/A	\$50,001 - \$100,000		None (or less than \$201)
9	A&M Capital Opportunities Fund LP	See Endnote	No		
9.1	Iron Hill Brewery & Restaurant LLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	Classic Brands	N/A	None (or less than \$1,001)		None (or less than \$201)
9.3	Frontier Dermatology Partners	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.4	Crash Champions LLC		N/A	\$15,001 - \$50,000		None (or less than \$201)
9.5	Magnolia Wash Holdings		N/A	\$15,001 - \$50,000		None (or less than \$201)
9.6	Worldwise		N/A	\$1,001 - \$15,000		None (or less than \$201)
10	A&M Capital Partners II LP	See Endnote	No			
10.1	GS Foods Group		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.2	BrightPet Nutrition Group		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.3	ProAmpac Holdings Inc		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.4	Allied Universal		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.5	Nevada Heart & Vascular		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.6	Med-Metrix		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.7	Worldwise		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.8	United Musculoskeletal Partners (formerly Novum Orthopedic Partners)		N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Residential Real Estate, Maunaloa, HI	See Endnote	N/A	\$500,001 - \$1,000,000	Rent or Royalties	None (or less than \$201)
12	Northwestern Mutual, Whole Life		No	\$100,001 - \$250,000		None (or less than \$201)
13	Northwestern Mutual, Whole Life Paid Up		No	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Charles Schwab Managed Account	No			
14.1	Accenture Plc (ACN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.2	Advance Auto Parts, Inc. (AAP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.3	Alphabet, Inc. (GOOGL)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
14.4	Ameriprise Financial, Inc. (AMP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.5	Arrow Electronics, Inc. (ARW)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.6	Avery Dennison Corp. (AVY)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
14.7	BorgWarner, Inc. (BWA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.8	Bunge Limited (BG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.9	CBRE Group, Inc. (CBRE)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
14.10	Cognizant Technology Solutions Corp. (CTSH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.11	eBay, Inc. (EBAY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.12	Fortive Corp. (FTV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.13	Fortune Brands Home & Security, Inc. (FBHS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.14	F5 Networks, Inc. (FFIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.15	The Goldman Sachs Group, Inc. (GS)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
14.16	Hologic, Inc. (HOLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.17	Incyte Corp. (INCY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.18	Jazz Pharmaceuticals Plc (JAZZ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.19	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
14.20	Keysight Technologies, Inc. (KEYS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.21	The Kraft Heinz Co. (KHC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14.22	Lam Research Corp. (LRCX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.23	LKQ Corp. (LKQ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.24	Mastercard, Inc. (MA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.25	McKesson Corp. (MCK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.26	Meta Platforms Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.27	Microchip Technology, Inc. (MCHP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.28	Motorola Solutions, Inc. (MSI)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.29	Regeneron Pharmaceuticals, Inc. (REGN)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.30	T. Rowe Price Group, Inc. (TROW)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.31	Teradyne, Inc. (TER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.32	Virtus Artificial Intelligence & Technology Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
14.33	Sprott Physical Gold ETV	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.34	Warner Bros. Discovery Inc (WBD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.35	Waters Corp. (WAT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.36	Amplify Transformational Data Sharing ETF (BLOK)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
14.37	ARK Innovation ETF (ARKK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.38	Invesco S&P International Developed Quality ETF (IDHQ)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
14.39	iShares Core S&P 500 ETF (IVV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
14.40	iShares MSCI EAFE Growth ETF (EFG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
14.41	iShares MSCI Singapore ETF (EWS)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
14.42	iShares MSCI Switzerland ETF (EWL)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
14.43	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
14.44	PIMCO Active Bond Exchange-Traded Fund (BOND)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.45	Proshares MCSI Transformational Changes		Yes	\$15,001 - \$50,000		None (or less than \$201)
14.46	SPDR Gold Shares (GLD)		Yes	\$50,001 - \$100,000		None (or less than \$201)
14.47	Sprott Gold Miners ETF (SGDM)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
14.48	Vanguard Short-Term Treasury Index Fund ETF Class Shares (VGSH)		Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
14.49	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
14.50	WisdomTree International SmallCap Dividend Fund (DLS)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
15	American Funds 529 Plan (Virginia)	See Endnote	No		Cash Distributions	\$41,416
15.1	AMCAP Fund Class 529-A Shares (CAFAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
15.2	American High-Income Trust Class 529-A Shares (CITAX)		Yes	None (or less than \$1,001)		None (or less than \$201)
15.3	American Mutual Fund Class 529-A Shares (CMLAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
15.4	American Funds Bond Fund of America 529-A (CFAAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
15.5	Capital Income Builder Class 529-A Shares (CIRAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
15.6	Capital World Bond Fund Class 529-A Shares (CCWAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
15.7	EuroPacific Growth Fund Class 529-A Shares (CEUAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.8	Intermediate Bond Fund of America Class 529-A Shares (CBOAX)		Yes	None (or less than \$1,001)		None (or less than \$201)
15.9	New World Fund, Inc Class 529-A Shares (CNWAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
15.10	American SMALLCAP World Fund, Inc Class 529-A Shares (CSPAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
15.11	American Funds Growth Portfolio Class 529-A Shares (CGPAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Wells Fargo Bank (cash, joint)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Wells Fargo Bank (cash, joint)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
18	First Republic Bank (cash, joint)	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
19	A&M Capital Partners LP, carried interest (value not readily ascertainable)		N/A			None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of America	See Endnote	Mortgage (investment/rental property)	\$250,001 - \$500,000	2006	3.11%	Matures in 2026

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	8	Investments in this Fund are held jointly. The Values listed represent the estimated fair value of my 50% ownership share.
6.	9	Investments in this Fund are held jointly. The Values listed represent the estimated fair value of my 50% ownership share.
6.	10	Investments in this Fund are held jointly. The Values listed represent the estimated fair value of my 50% ownership share.
6.	11	The value listed is based on my ownership percentage of this jointly held residential real estate asset.
6.	15	This is a joint account. The Income Amount represents my 50% of 529 Plan distributions during the reporting period to pay for my children's college education.
6.	16	The Value listed represents my portion of the balance of this account which is held jointly.
6.	17	This is a joint account with a Dependent Child. The Value listed represents my portion of the cash held in the account.
6.	18	The Value listed represents my portion of the balance of this account which is held jointly.
8.	1	There are two parties to this mortgage loan. The Amount listed reflects the portion of the loan that is attributable to me.

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).
