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

Filer's Information

Caputo, Annie

Commissioner, Nuclear Regulatory Commission

Report Year: 2021

Other Federal Government Positions Held During the Preceding 12 Months:
None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Caputo, Annie [electronically signed on 05/05/2021 by Caputo, Annie 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/ ZOBLER, MARIAN L, Certifying Official [electronically signed on 05/14/2021 by ZOBLER, MARIAN L in Integrity.gov]

Other review conducted by
/s/ SAFFORD, CARRIE M, Ethics Official [electronically signed on 05/14/2021 by SAFFORD, CARRIE M in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 05/17/2021 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Spouse Irrevocable Trust	McLean, Virginia	Trust	Trustee	12/2005	Present
2	Spouse Revocable Living Trust	McLean, Virginia	Trust	Trustee	12/2005	Present
3	Annie Caputo Revocable Living Trust	McLean, Virginia	Trust	Trustee	12/2005	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ISHARES Core US Agg Bond ETF	Yes	None (or less than $1,001)		$1,001 - $2,500
2	ISHARES S&P 500 Growth ETF	Yes	$15,001 - $50,000		$201 - $1,000
3	ISHARES S&P 500 Value ETF	Yes	None (or less than $1,001)		$201 - $1,000
4	ISHARES Core S&P Mid-Cap ETF	Yes	$15,001 - $50,000		$201 - $1,000
5	ISHARES Tr Intl Sel Div ETF	Yes	None (or less than $1,001)		$1,001 - $2,500
6	ISHARES TR MBS ETF	Yes	None (or less than $1,001)		$201 - $1,000
7	ISHARES Intermediate Govt/Credit Bond ETF	Yes	None (or less than $1,001)		$201 - $1,000
8	Nuveen Real Asset Income Fund Class I N/L	Yes	None (or less than $1,001)		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	PIMCO Income Fund Institutional Fund	Yes	$15,001 - $50,000		$1,001 - $2,500
10	T Rowe Price Floating Rate I	Yes	$15,001 - $50,000		$201 - $1,000
11	BNY Mellon Equity Income Fund Class I	Yes	$15,001 - $50,000		$201 - $1,000
12	Commerce Value Institutional	Yes	$15,001 - $50,000		$201 - $1,000
13	DOUBLELINE FDS TR TTL RTN BD I	Yes	$15,001 - $50,000		$201 - $1,000
14	FDIC BANK DEPOSIT SWEEP NOT COVERED BY SIPC	Yes	$1,001 - $15,000		None (or less than $201)
15	FEDERATED TOTAL RETURN BOND FUND INSTITUTIONAL SHARES	Yes	$50,001 - $100,000		$2,501 - $5,000
16	GUGGENHEIM FDS TR	Yes	$15,001 - $50,000		$1,001 - $2,500
17	HARDING LOEVNER INSTL EMERGING MARKETS	Yes	$15,001 - $50,000		None (or less than $201)
18	HARDING LOEVNER INTERNATIONAL EQUITY INSTL	Yes	$15,001 - $50,000		$201 - $1,000
19	HENDERSON GLOBAL FDS GLOBAL EQ INCM I	Yes	$15,001 - $50,000		$1,001 - $2,500

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Balfour Beatty Military Housing Mgmt (real estate)		N/A		salary, bonus	
2	Habitat Executives LLC #1 (real estate) (value not readily ascertainable)	See Endnote	No	$1,001 - $15,000		None (or less than $201)
3	Fidelity Govt Cash Reserves		Yes	None (or less than $1,001)		$1,001 - $2,500
4	ISHARES Core US Aggr. Bond ETF		Yes	None (or less than $1,001)		$2,501 - $5,000
5	ISHARES S&P 500 Growth ETF		Yes	$100,001 - $250,000		$1,001 - $2,500
6	ISHARES S&P 500 Value ETF		Yes	None (or less than $1,001)		$1,001 - $2,500
7	ISHARES Core S&P Mid-Cap ETF		Yes	$50,001 - $100,000		$1,001 - $2,500
8	ISHARES Tr Intl Sel Div ETF		Yes	None (or less than $1,001)		$5,001 - $15,000
9	ISHARES Tr MBS ETF		Yes	None (or less than $1,001)		$201 - $1,000
10	ISHARES Core Dividend Growth ETF		Yes	None (or less than $1,001)		$201 - $1,000
11	ISHARES Intermediate Govt/Credit Bond ETF		Yes	None (or less than $1,001)		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Nuveen Real Asset Income Fund Class I N/L	Yes	None (or less than $1,001)		$1,001 - $2,500
13	PIMCO Income Fund Institutional Fund	Yes	$100,001 - $250,000		$5,001 - $15,000
14	T Rowe Price Floating Rate I	Yes	$50,001 - $100,000		$2,501 - $5,000
15	BNY MELLON EQUITY INCOME FUND CLASS I	Yes	$50,001 - $100,000		$1,001 - $2,500
16	COMMERCE VALUE INSTITUTIONAL	Yes	$100,001 - $250,000		$2,501 - $5,000
17	DOUBLELINE FDS TR TTL RTN BD I	Yes	$100,001 - $250,000		$1,001 - $2,500
18	FDIC BANK DEPOSIT SWEEP NOT COVERED BY SIPC	Yes	$15,001 - $50,000		None (or less than $201)
19	FEDERATED TOTAL RETURN BOND FUND INSTITUTIONAL SHARES	Yes	$250,001 - $500,000		$5,001 - $15,000
20	GUGGENHEIM FDS TR	Yes	$100,001 - $250,000		$2,501 - $5,000
21	HARDING LOEVNER INSTL EMERGING MARKETS	Yes	$50,001 - $100,000		$201 - $1,000
22	HARDING LOEVNER INTERNATIONAL EQUITY INSTL	Yes	$50,001 - $100,000		$201 - $1,000
23	HENDERSON GLOBAL FDS GLOBAL EQ INCM I	Yes	$50,001 - $100,000		$5,001 - $15,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse Irrevocable Trust	No			
1.1	U.S. bank account (cash)	N/A	$1,001 - $15,000		None (or less than $201)
1.2	Virginia 529 Account 2027 Portfolio	Yes	$100,001 - $250,000		None (or less than $201)
1.3	Virginia 529 Account 2024 Portfolio	Yes	$100,001 - $250,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Federated Short-Intermediate Total Return Bond Fund Service Shares (FGCSX)	Purchase	05/11/2020	$100,001 - $250,000
2	iShares Core US Aggregate Bond ETF (AGG)	Sale	05/11/2020	$100,001 - $250,000
3	Commerce Value Institutional	Purchase	05/11/2020	$100,001 - $250,000
4	iShares Core Dividend Growth ETF (DGRO)	Sale	05/11/2020	$100,001 - $250,000
5	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	05/11/2020	$100,001 - $250,000
6	Ishares Tr MBS ETF	Sale	05/11/2020	$50,001 - $100,000
7	Guggenheim FDS Tr	Purchase	05/11/2020	$50,001 - $100,000
8	Ishares Tr Intrm Gov/Cr ETF	Sale	05/11/2020	$50,001 - $100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	Ishares Intl Select Dividend	Sale	05/11/2020	$50,001 - $100,000
10	iShares S&P 500 Value ETF	Sale	05/11/2020	$50,001 - $100,000
11	Henderson Global Equity Income	Purchase	05/11/2020	$50,001 - $100,000
12	BNY Mellon Equity Income Class	Purchase	05/11/2020	$50,001 - $100,000
13	Ishares Trust Core MSCI EAFE ETF	Sale	05/11/2020	$50,001 - $100,000
14	iShares Core US Aggregate Bond ETF (AGG)	Sale	05/11/2020	$50,001 - $100,000
15	Harding Loevner International Equity	Purchase		$50,001 - $100,000
16	Federated Short-Intermediate Total Return Bond Fund Service Shares (FGCSX)	Purchase	05/11/2020	$50,001 - $100,000
17	Nuveen Real Asset Income Class 1	Sale	05/11/2020	$50,001 - $100,000
18	Ishares Core MSCI Emerging Mkts ETF	Sale	05/11/2020	$15,001 - $50,000
19	Harding Loevner Instl Emerging Markets	Purchase	05/11/2020	$15,001 - $50,000
20	Commerce Funds Value Fund (CFVLX)	Purchase	05/11/2020	$15,001 - $50,000
21	Ishares Tr MBS ETF	Sale	05/11/2020	$15,001 - $50,000
22	iShares Core US Aggregate Bond ETF (AGG)	Purchase	01/02/2020	$15,001 - $50,000
23	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	05/11/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	Ishares Tr Interm Gov/Cr ETF	Sale	05/11/2020	$15,001 - $50,000
25	iShares Core Dividend Growth ETF (DGRO)	Sale	05/11/2020	$15,001 - $50,000
26	iShares Core US Aggregate Bond ETF (AGG)	Purchase	02/03/2020	$15,001 - $50,000
27	Federated Total Return Bond Fund Institutional Shares (FTRBX)	Purchase	12/28/2020	$15,001 - $50,000
28	Guggenheim FDS Tr	Purchase	05/11/2020	$15,001 - $50,000
29	iShares Core US Aggregate Bond ETF (AGG)	Purchase	03/03/2020	$15,001 - $50,000
30	Janus Henderson Global Equity Income Fund Class I Shares (HFQIX)	Purchase	05/11/2020	$15,001 - $50,000
31	BNY Mellon Equity Income Fund Class I Shares (DQIRX)	Purchase	05/11/2020	$15,001 - $50,000
32	Ishares Intl Select Dividend	Purchase	03/20/2020	$15,001 - $50,000
33	iShares S&P 500 Value ETF (IVE)	Sale	05/11/2020	$15,001 - $50,000
34	Harding Loevner International Equity	Purchase	05/11/2020	$15,001 - $50,000
35	iShares Core Dividend Growth ETF (DGRO)	Purchase	03/20/2020	$15,001 - $50,000
36	Ishares Intl Select Dividend	Sale	05/11/2020	$15,001 - $50,000
37	ISHARES TRUST CORE MSCI EAFE ETF	Sale	05/11/2020	$15,001 - $50,000
38	ISHARES S&P 500 VALUE ETF	Purchase	03/20/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
39	iShares Core Dividend Growth	Purchase	03/03/2020	$15,001 - $50,000
40	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	12/28/2020	$15,001 - $50,000
41	Nuveen Real Asset Income Cl I	Purchase	03/20/2020	$15,001 - $50,000
42	iShares Core Dividend Growth ETF (DGRO)	Purchase	02/03/2020	$15,001 - $50,000
43	ISHARES TRUST CORE MSCI EAFE ETF	Purchase	03/20/2020	$15,001 - $50,000
44	ISHARES TR MBS ETF	Purchase	01/02/2020	$15,001 - $50,000
45	iShares Intl Select Dividend	Purchase	03/03/2020	$15,001 - $50,000
46	iShares Core Dividend Growth ETF (DGRO)	Purchase	01/02/2020	$15,001 - $50,000
47	Nuveen Real Asset Income Cl I	Sale	05/11/2020	$1,001 - $15,000
48	iShares S&P 500 Growth ETF (IVW)	Purchase	05/11/2020	$1,001 - $15,000
49	HARDING LOEVNER INTERNATIONAL EQUITY INSTL	Sale	12/28/2020	$1,001 - $15,000
50	ISHARES S&P 500 GROWTH ETF	Sale	12/28/2020	$1,001 - $15,000
51	iShares S&P 500 Growth ETF (IVW)	Purchase	03/20/2020	$1,001 - $15,000
52	ISHARES TR MBS ETF	Purchase	02/03/2020	$1,001 - $15,000
53	HARDING LOEVNER INSTL EMERGING MARKETS	Purchase	05/11/2020	$1,001 - $15,000
54	iShares S&P 500 Value ETF (IVE)	Purchase	03/03/2020	$1,001 - $15,000
55	Pimco Income Cl I	Purchase	01/02/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
56	ISHARES TR INTRM GOV/CR ETF	Purchase	01/02/2020	$1,001 - $15,000
57	iShares S&P 500 Value ETF (IVE)	Purchase	02/03/2020	$1,001 - $15,000
58	Pimco Income Cl I	Purchase	02/03/2020	$1,001 - $15,000
59	ISHARES TR MBS ETF	Purchase	03/03/2020	$1,001 - $15,000
60	ISHARES CORE S&P MID-CAP ETF	Purchase	03/20/2020	$1,001 - $15,000
61	ISHARES TRUST CORE MSCI EAFE ETF	Purchase	03/03/2020	$1,001 - $15,000
62	iShares Intl Select Dividend	Purchase	02/03/2020	$1,001 - $15,000
63	ISHARES INC CORE MSCI EMERGING MKTS ETF	Sale	05/11/2020	$1,001 - $15,000
64	ISHARES TR INTRM GOV/CR ETF	Purchase	02/03/2020	$1,001 - $15,000
65	ISHARES S&P 500 GROWTH ETF	Purchase	03/03/2020	$1,001 - $15,000
66	Pimco Income Cl I	Purchase	03/03/2020	$1,001 - $15,000
67	iShares S&P 500 Value ETF (IVE)	Purchase	01/02/2020	$1,001 - $15,000
68	HARDING LOEVNER INSTL EMERGING MARKETS	Sale	12/28/2020	$1,001 - $15,000
69	ISHARES CORE U.S. AGGREGATE BOND ETF	Purchase	03/20/2020	$1,001 - $15,000
70	GUGGENHEIM Fds TR	Purchase	12/28/2020	$1,001 - $15,000
71	iShares S&P 500 Growth ETF (IVW)	Purchase	01/02/2020	$1,001 - $15,000
72	ISHARES TR INTRM GOV/CR ETF	Purchase	03/03/2020	$1,001 - $15,000
73	ISHARES TRUST CORE MSCI EAFE ETF	Purchase	02/03/2020	$1,001 - $15,000
74	iShares Intl Select Dividend	Purchase	01/02/2020	$1,001 - $15,000
75	ISHARES INC CORE MSCI EMERGING MKTS ETF	Purchase	03/20/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
76	ISHARES S&P 500 GROWTH ETF	Purchase	02/03/2020	$1,001 - $15,000
77	Pimco Income Cl I	Purchase	03/20/2020	$1,001 - $15,000
78	ISHARES TRUST CORE MSCI EAFE ETF	Purchase	01/02/2020	$1,001 - $15,000
79	ISHARES CORE S&P MID-CAP ETF	Sale	12/28/2020	$1,001 - $15,000
80	T Rowe Price Floating Rate Cl I	Purchase	03/20/2020	$1,001 - $15,000
81	Nuveen Real Asset Income Cl I	Purchase	03/03/2020	$1,001 - $15,000
82	T Rowe Price Floating Rate Cl I	Purchase	01/02/2020	$1,001 - $15,000
83	Fidelity Total Market Index Fund (FSKAX)	Purchase	06/16/2020	$1,001 - $15,000
84	Pimco Income Cl I	Purchase	12/28/2020	$1,001 - $15,000
85	ISHARES INC CORE MSCI EMERGING MKTS ETF	Purchase	02/03/2020	$1,001 - $15,000
86	T Rowe Price Floating Rate Cl I	Purchase	02/03/2020	$1,001 - $15,000
87	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	03/03/2020	$1,001 - $15,000
88	Nuveen Real Asset Income Cl I	Purchase	01/02/2020	$1,001 - $15,000
89	Federated Total Return Bond Fund Institutional Shares (FTRBX)	Purchase	12/28/2020	$1,001 - $15,000
90	Nuveen Real Asset Income Cl I	Purchase	02/03/2020	$1,001 - $15,000
91	T Rowe Price Floating Rate Cl I	Purchase	03/03/2020	$1,001 - $15,000
92	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	02/03/2020	$1,001 - $15,000
93	Fidelity Total Market Index Fund (FSKAX)	Sale	10/13/2020	$1,001 - $15,000
94	FIDELITY U.S. BOND INDEX FUND	Sale	10/29/2020	$1,001 - $15,000
95	FIDELITY GLOBAL EX US INDEX FUND	Purchase	06/16/2020	$1,001 - $15,000
96	ISHARES INC CORE MSCI EMERGING MKTS ETF	Purchase	03/03/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
97	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	01/02/2020	$1,001 - $15,000
98	iShares Core S&P Mid-Cap ETF (IJH)	Sale	05/11/2020	$1,001 - $15,000
99	T Rowe Price Floating Rate Cl I	Purchase	12/28/2020	$1,001 - $15,000
100	ISHARES INC CORE MSCI EMERGING MKTS ETF	Purchase	01/02/2020	$1,001 - $15,000
101	Pimco Income Cl I	Purchase	05/11/2020	$1,001 - $15,000
102	iShares Core Dividend Growth ETF (DGRO)	Sale	06/16/2020	$1,001 - $15,000
103	FIDELITY GLOBAL EX US INDEX FUND	Sale	10/13/2020	$1,001 - $15,000
104	iShares S&P 500 Growth ETF (IVW)	Purchase	05/11/2020	$1,001 - $15,000
105	Fidelity Total Market Index Fund (FSKAX)	Sale	10/29/2020	$1,001 - $15,000
106	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	10/28/2020	$1,001 - $15,000
107	BNY Mellon Equity Income Fund Class I Shares (DQIRX)	Sale	12/28/2020	$1,001 - $15,000
108	HARDING LOEVNER INTERNATIONAL EQUITY INSTL	Sale	12/28/2020	$1,001 - $15,000
109	iShares S&P 500 Growth ETF (IVW)	Sale	12/28/2020	$1,001 - $15,000
110	ISHARES TR INTRM GOV/CR ETF	Purchase	03/20/2020	$1,001 - $15,000
111	COMMERCE VALUE INSTITUTIONAL	Sale	12/28/2020	$1,001 - $15,000
112	FIDELITY U.S. BOND INDEX FUND	Purchase	06/16/2020	$1,001 - $15,000
113	HARDING LOEVNER INSTL EMERGING MARKETS	Sale	12/28/2020	$1,001 - $15,000
114	GUGGENHEIM FDS TR	Purchase	12/28/2020	$1,001 - $15,000
115	Third Avenue Real Estate Value Cl I	Sale	06/16/2020	$1,001 - $15,000
116	FIDELITY GLOBAL EX US INDEX FUND	Sale	10/29/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
117	iShares Core S&P Mid-Cap ETF (IJH)	Sale	12/28/2020	$1,001 - $15,000
118	FIDELITY U.S. BOND INDEX FUND	Sale	10/13/2020	$1,001 - $15,000
119	ISHARES TR MBS ETF	Purchase	03/20/2020	$1,001 - $15,000
120	Pimco Income Cl I	Purchase	12/28/2020	$1,001 - $15,000
121	Fidelity Total Market Index Fund (FSKAX)	Sale	10/29/2020	$1,001 - $15,000
122	T Rowe Price Floating Rate Cl I	Purchase	12/28/2020	$1,001 - $15,000
123	FIDELITY GLOBAL EX US INDEX FUND	Sale	10/29/2020	$1,001 - $15,000
124	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	05/11/2020	$1,001 - $15,000
125	BNY Mellon Equity Income Fund Class I Shares (DQIRX)	Sale	12/28/2020	$1,001 - $15,000
126	iShares S&P 500 Growth ETF (IVW)	Sale	06/16/2020	$1,001 - $15,000
127	ISHARES INC CORE MSCI EMERGING MKTS ETF	Sale	06/16/2020	$1,001 - $15,000
128	COMMERCE VALUE INSTITUTIONAL	Sale	12/28/2020	$1,001 - $15,000
129	FIDELITY U.S. BOND INDEX Fund	Sale	10/29/2020	$1,001 - $15,000
130	ISHARES TRUST CORE MSCI EAFE ETF	Sale	06/16/2020	$1,001 - $15,000
131	iShares Intl Select Dividend	Sale	06/16/2020	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage on Personal Residence	$250,001 - $500,000	2020	3.25%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
5.	2	Habitat Executives LLC #1 was formed for the purpose of acquiring and owning partnership interests in rental properties managed by The Habitat Company, a developer and manager of multi-family properties consisting of market-rate apartments, condominiums, public housing, affordable housing, and commercial properties in Chicago, IL, and a few other U.S. cities. My spouse owns a 5% Member interest.

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.

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