

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

Filer's Information

Pelosi, Alexis

Senior Advisor, Office of Community Planning and Development, Department of Housing and Urban Development

Date of Appointment: 01/03/2022

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/ Pelosi, Alexis [electronically signed on 01/31/2022 by Pelosi, Alexis 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/ Allen, Lindsey, Certifying Official [electronically signed on 08/30/2022 by Allen, Lindsey in Integrity.gov]

Other review conducted by

/s/ ADOUNVO, ELAN, Ethics Official [electronically signed on 03/31/2022 by ADOUNVO, ELAN in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/27/2022

Data Revised 07/21/2022

Data Revised 06/22/2022

Data Revised 06/07/2022

Data Revised 04/26/2022

Data Revised 03/31/2022

Data Revised 03/22/2022

Data Revised 03/17/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Pelosi Ziblatt Law Group, Inc.	San Francisco, California	Law Firm	Chief Executive Officer	8/2021	12/2021
2	The Pelosi Law Group, Inc.	San Francisco, California	Law Firm	CEO/President and Secretary and Sole Director	11/2016	7/2021
3	Jobs and Housing Coalition	Oakland, California	Non-Profit	Chair	1/2018	12/2021
4	SPUR	San Francisco, California	Non-Profit	Executive Committee	1/2020	12/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Pelosi Ziblatt Law Group, Inc. (law firm)	N/A		Salary	\$75,000
2	The Pelosi Ziblatt Law Group, Inc., Uncollected Billables	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	The Pelosi Law Group, Inc. (law firm)	N/A		Salary	\$70,091
4	The Pelosi Law Group, Inc., Uncollected Billables	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	The Pelosi Law Group, Inc., Bank Balance	N/A	\$50,001 - \$100,000		
6	Pelosi Law Group Solo K				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	Premier Cash Sweep	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2	Schwab International Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Alexis Pelosi Rollover IRA				
7.1	Ishares ESG Aware MSCI EM ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.2	SPDR Bloomberg Barclays High Yield Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.3	iShares ESG 1-5 Year USD Corporate Bond ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.4	iShares ESG Aware MSCI EAFE ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.5	Invesco Emerging Markets Sovereign Debt ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.6	iShares ESG U.S. Aggregate Bond ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.7	TIAA-CREF Social Choice Equity Fund (Institutional)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.8	DFA Inflation-Protected Securities Portfolio Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.9	DFA International Real Estate Securities Portfolio Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.10	BlackRock Systematic Multi-Strategy Fund Institutional Shares	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.11	DFA U.S. Sustainability Core 1 Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.12	DFA Real Estate Securities Portfolio Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.13	DFA International Sustainability Core 1 Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.14	Cash & Cash Investments	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	Alexis M Pelosi Roth IRA				
8.1	Schwab International Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	New Avenue Inc. Series A Prfrd		\$50,001 - \$100,000		None (or less than \$201)
9	Pelosi Law Group Solo K - Employee Contribution				
9.1	Schwab International Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.2	Schwab S&P 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3	Health Hospitality Partners CO Safe		\$50,001 - \$100,000		None (or less than \$201)
9.4	Icj West LLC		\$50,001 - \$100,000		None (or less than \$201)
10	Pelosi Law Group, defined benefit plan		None (or less than \$1,001)		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Pelosi Ziblatt Law Group, Inc.	San Francisco, California	The Pelosi Ziblatt Law Group, Inc.: Profit sharing agreement for work done or originated before December 31, 2021 shall be distributed on April 1, 2022, July 1, 2022 and October 1, 2022.	8/2021

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	The Pelosi Law Group, Inc.	San Francisco, California	The Pelosi Law Group, Inc.: Compensation agreement for uncollected invoices for time billed before August 1, 2021.	8/2021
3	The Pelosi Law Group, Inc.	San Francisco, California	The Pelosi Law Group, Inc.: Compensation agreement for payments on work completed and invoiced before August 1, 2021 and not yet distributed.	9/2011
4	Pelosi Law Group	San Francisco, California	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2013
5	Pelosi Law Group	San Francisco	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2013

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The Pelosi Zibblatt Law Group, Inc.	San Francisco, California	Attorney providing legal services to clients related to land use and entitlements in Northern California. Responsible for administrative oversight and management of firm.
2	The Pelosi Law Group, Inc.	San Francisco, California	Attorney providing legal services to clients related to land use and entitlements in Northern California. Responsible for administrative oversight and management of firm.
3	1525 Pine Street Dev LLC	San Francisco, California	Legal services
4	469 Stevenson Property Owners, LLC	San Francisco, California	Legal services
5	19th and Broadway Associates, LLC	San Francisco, California	Legal services
6	851 California, LLC	Beverly Hills, California	Legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
7	Canakkale, LLC	San Francisco, California	Legal services
8	City Storage Systems, LLC	Los Angeles, California	Legal services
9	DM Development	San Francisco, California	Legal services
10	Art Campus Holdings LLC	San Francisco, California	Legal services
11	NASH-Holland 24th & Waverly Investors, LLC	Vancouver, Washington	Legal services
12	SP Multifamily Development Company II LLC	Seattle, Washington	Legal services
13	584 14th Street LLC	Beverly Hills, California	Legal services
14	BA2 300 Lakeside LLC	San Francisco, California	Legal services
15	RWC Sequoia Station LLC	Los Angeles, California	Legal services
16	March Capital Opportunity Fund III, LP	San Francisco, California	Legal services
17	Becker Boards Small LLC	Phoenix, Arizona	Legal services
18	Boubouffe, LLC	San Francisco, California	Legal services
19	The Related Companies of California LLC	San Francisco, California	Legal Services
20	Oakland Lofts, LLC	Oakland, California	Legal services
21	1510 Webster Street LLC	Oakland, California	Legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
22	Myers Development Company	San Francisco, California	Legal services
23	316 12th Street, LLC	Oakland, California	Legal services
24	Barry Swenson Builder	San Jose, California	Legal services
25	1750 Broadway, LLC	San Francisco, California	Legal services

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Pelosi Law Group, Inc. (Law Firm)	N/A		salary	
2	The Pelosi Zibblatt Law Group, Inc. (Law Firm)	N/A		salary	
3	Restore Utah GP I, LLC (Real Estate Investments)	N/A		partnership share	
4	Restore Utah GP II, LLC (Real Estate Investments)	N/A		partnership share	
5	Rize Homesource LLC (Real Estate Property Management)	N/A		consulting fees	
6	Restore Utah Construction LLC (Construction)	N/A		partnership share	
7	Urbanite Capital LLC (Real Estate Brokerage)	N/A		consulting fees	
8	Restore Utah GP I, LLC - Single Family Residential Portfolio		\$1,000,001 - \$5,000,000		
9	Restore Utah GP II, LLC - Multi-Family Residential Portfolio		\$1,000,001 - \$5,000,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	The Pelosi Law Group, Inc. Defined Benefit Plan, defined benefit plan				
11	Laurence Pelosi Rollover IRA				
11.1	Invesco Emerging Markets Sovereign Debt ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	IShares ESG Aware MSCI EAFE ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
11.3	ISHARES ESG Aware MSCI EM ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.4	IShares ESG Aware US Aggrgt BND ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.5	IShares ESG AWR 1-5 Y USD CP BND ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.6	SPDR Bloomberg Barclays High Yield Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.7	Blackrock Systematic Mul TI-Strat Instl	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.8	DFA Inflation-Protected Securities I	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.9	DFA International Real E State Sec I	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
11.10	DFA Intl Sustainability Core 1	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.11	DFA Real Estate Securities ES I	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.12	DFA US Sustainability CO Re 1	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
11.13	Shwab International Ind EX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.14	TIAA-CREF Social Choice EQ Instl	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.15	Cash	N/A	\$15,001 - \$50,000		
12	Laurence K Pelosi Roth IRA				
12.1	Schwab S&P 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.2	Smarket LLC	N/A	None (or less than \$1,001)		
12.3	Cleanworld Partners, LLC	N/A	None (or less than \$1,001)		
12.4	Gog-Presidiopet 2019 Investment	N/A	\$15,001 - \$50,000		
12.5	Health Hospitality Partners CO Safe	N/A	\$100,001 - \$250,000		
12.6	Market on Market LLC	N/A	\$15,001 - \$50,000		
12.7	Ohana Bros Franchise Company LLC	N/A	None (or less than \$1,001)		
12.8	Ohana Bros Management Group LLC	N/A	\$1,001 - \$15,000		
12.9	Premier Cash Sweep	N/A	None (or less than \$1,001)		
13	Laurence Pelosi SEP				
13.1	Msquared Development Partners Fund I LP	N/A	\$1,001 - \$15,000		
13.2	Schwab International Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.3	Streamloan Inc 5% Conv Note Exp 12/31/20		\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Pelosi Law Group - Laurence Pelosi Solo K				
14.1	Schwab International Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.2	Streamloan Inc Conv 5%		\$15,001 - \$50,000		
15	Pelosi Law Group Solo K - Laurence Pelosi Employer				
15.1	Schwab International Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Equity Estates Fund II LLC	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	Equity Estates Fund V LLC	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Tales, Inc. - Private Company	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Broadway Grand Retail Investors LLC	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	450 O'Farrell Partners, LLC	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Alameda LM, LLC - Real Estate Investments		\$250,001 - \$500,000		None (or less than \$201)
7	Brokerage Account - Cash and Cash Investments	N/A	\$1,000,001 - \$5,000,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	First Republic Bank (San Francisco, California) (FRC)	N/A	\$15,001 - \$50,000		
9	First Republic Bank (San Francisco, California) (FRC)	N/A	\$50,001 - \$100,000		
10	First Republic Bank (San Francisco, California) (FRC)	N/A	\$15,001 - \$50,000		
11	Wells Fargo Checking Account	N/A	\$100,001 - \$250,000		
12	Wells Fargo Brokerage Account				
12.1	Franklin Global Equity	Yes	\$15,001 - \$50,000		
13	Barbara Newsom Trust - FBO Francesca Pelosi				
13.1	SPDR S&P Biotech ETF (XBI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.2	Vanguard Communication Services Index Fund ETF Shares (VOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.3	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.4	Vanguard Energy Index Fund ETF Class Shares (VDE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.5	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.6	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.7	Vanguard Health Care Index Fund ETF Class Shares (VHT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.8	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.9	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.10	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.11	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.12	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.13	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.14	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.15	Fidelity Conservative Income Bond Fund Institutional Class Shares (FCNVX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
13.16	Cash & Cash	N/A	None (or less than \$1,001)		
13.17	VANGUARD INDUSTRIALS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Whole Life Legacy 100 on Laurence Pelosi	N/A	\$50,001 - \$100,000		None (or less than \$201)
15	Kerelena HHP I, LLC - Real Estate Investments- Francesca Pelosi		\$1,000,001 - \$5,000,000		None (or less than \$201)
16	Morgan Stanley Private Equity Asia Employee Investors, LP	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	Lepanto/Uptown Investors, LLC - Real Estate Investment-Francesca Pelosi		\$50,001 - \$100,000		None (or less than \$201)
18	Restore Utah GP I, LLC (Single-Family Residential Business)-Francesca Pelosi		\$100,001 - \$250,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Restore Utah GP II, LLC (Multi-Family Residential Business)-Francesca Pelosi		\$100,001 - \$250,000		\$100,001 - \$1,000,000
20	Barbara Newsom Trust - FBO Dominic Pelosi	No			
20.1	SPDR S&P BIOTECH ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20.2	VANGUARD COMMUNICATION SERVICES ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
20.3	VANGUARD CONSUMER DISCRETIONARY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20.4	VANGUARD CONSUMER STAPLES ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20.5	VANGUARD ENERGY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20.6	VANGUARD FINANCIALS ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
20.7	VANGUARD HEALTH CARE ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
20.8	VANGUARD INFORMATION TECHNOLOGY ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
20.9	VANGUARD MATERIALS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20.10	VANGUARD MID CAP ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
20.11	VANGUARD REAL ESTATE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20.12	VANGUARD SMALL CAP ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
20.13	VGRD FTSE ALL WRLD EX US SML CAP ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.14	WSDMTRE EMRG MKT EX STT OWN ENTER ET	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20.15	Vanguard FTSE Emerging Market ETF IV	Yes	\$15,001 - \$50,000		None (or less than \$201)
20.16	Vanguard FTSE Emerging Market ETF IV	Yes	\$100,001 - \$250,000		None (or less than \$201)
20.17	Vanguard Short Term Cor BD ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
21	Lepanto/Uptown Investors, LLC - Real Estate Investment-Dominic Pelosi		\$50,001 - \$100,000		
22	Restore Utah GP I, LLC (Single-Family Residential Business)-Dominic Pelosi		\$100,001 - \$250,000		
23	Restore Utah GP II, LLC (Multi-Family Residential Business)-Dominic Pelosi		\$100,001 - \$250,000		
24	Kerelena HHP I, LLC - Real Estate Investments- Dominic Pelosi		\$1,000,001 - \$5,000,000		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	Schwab Pledged Asset Line	Exercised Line of Credit	\$250,001 - \$500,000	2022	2%	revolving

9. Gifts and Travel Reimbursements

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

Endnotes

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).
