Annual Report 2022 for Calendar Year 2021 | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001) (Updated Nov. 2021)

### **Executive Branch Personnel**

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

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McCabe, Janet

Deputy Administrator, Environmental Protection Agency

Report Year: 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/ McCabe, Janet [electronically signed on 04/27/2022 by McCabe, Janet 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/ Fugh, Justina, Certifying Official [electronically signed on 05/15/2022 by Fugh, Justina in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 05/23/2022 by Granahan, Megan in Integrity.gov]

Data Revised 05/15/2022

Data Revised 05/14/2022

Data Revised 05/03/2022

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	ТО
1	Indiana University McKinney School of Law	Indianapolis, Indiana	University/Colleg e	Professor of Practice	10/2017	4/2021
2	Indiana University Environmental Resilience Institute	Bloomington, Indiana	University/Colleg e	Director	8/2019	4/2021
3	Family Trust #1	Wellfleet, Massachusetts	Trust	Trustee	6/1995	Present
4	Janet G. McCabe Revocable Trust	Indianapolis, Indiana	Trust	Trustee	10/2019	Present

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

DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
Indiana University	See Endnote	N/A		Salary	\$58,885
IRA #1		No			
American Funds New Perspective Fund CI F3 (FNPFX)		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
Washington Mutual Investors Fund F3 (FWMIX)		Yes	None (or less than \$1,001)		\$201 - \$1,000
Parnassus Mid Cap Instl (PFPMX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
Vanguard Total Bond Market Index Fund ETF (BND)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
	Indiana University  IRA #1  American Funds New Perspective Fund CI F3 (FNPFX)  Washington Mutual Investors Fund F3 (FWMIX)  Parnassus Mid Cap Instl (PFPMX)  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)  Vanguard Total Bond Market Index Fund ETF	Indiana University  See Endnote  IRA #1  American Funds New Perspective Fund CI F3 (FNPFX)  Washington Mutual Investors Fund F3 (FWMIX)  Parnassus Mid Cap Instl (PFPMX)  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)  Vanguard Total Bond Market Index Fund ETF	Indiana University  See Endnote  N/A  IRA #1  No  American Funds New Perspective Fund CI F3 (FNPFX)  Washington Mutual Investors Fund F3 (FWMIX)  Parnassus Mid Cap Instl (PFPMX)  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)  Vanguard Total Bond Market Index Fund ETF  Yes	Indiana University  See Endnote  N/A  IRA #1  No  American Funds New Perspective Fund CI F3 (FNPFX)  Washington Mutual Investors Fund F3 (FWMIX)  Parnassus Mid Cap Instl (PFPMX)  Ves  \$50,001 - \$100,000  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)  Vanguard Total Bond Market Index Fund ETF  Yes  \$50,001 - \$100,000	Indiana University  See Endnote  N/A  Salary  IRA #1  No  American Funds New Perspective Fund Cl F3 (FNPFX)  Washington Mutual Investors Fund F3 (FWMIX)  Parnassus Mid Cap Instl (PFPMX)  Ves  \$50,001 - \$100,000  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIGI)  Vanguard Total Bond Market Index Fund ETF  Yes  \$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	Vanguard ESG US Stock ETF (ESGV)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
2.7	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Blackrock Sustainable Advtg CoreAlpha Bond Fund (BIIIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
2.9	Parnassus Endeavor Fund Institutional Class Shares (PFPWX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3	IRA #2 (Roth IRA)	No			
3.1	American Funds New World F1 (NWFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	IRA #3 (inherited IRA)	No			
4.1	TIAA-CREF Core Impact Bond Instl (TSBIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.2	TIAA-CREF Short Duration Impact Bond Fund Inst (TSDJX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.3	American Funds Global Balanced Fund F3 (GFBLX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.4	American Funds New Perspective Fund Cl F3 (FNPFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.5	Parnassus Core Equity Institutional (PRILX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.6	U.S. brokerage account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

# 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of Indiana	Indianapolis, Indiana	I discontinued participation in this defined contribution plan during 2021, but the plan sponsor did not make contributions during 2021.	9/1993
2	Indiana University Retirement Plan	Indianapolis, Indiana	I discontinued participation in this defined contribution plan during 2021.	8/2017
3	Indiana University Tax Deferred Account Plan	Indianapolis, Indiana	I discontinued participation in this defined contribution plan during 2021.	8/2017

# 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
Indiana Legal Services, Inc.	N/A		salary	
IRA #4	No			
Vanguard International Dividend Appreciation Index Fund ETF Shares (VIG)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
Vanguard ESG US Stock ETF (ESGV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
Vanguard Total International Bond Index Fund ETF (BNDX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
Vanguard Total Bond Market Index Fund ETF (BND)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
TIAA-CREF Core Impact Bond Instl (TSBIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
	Indiana Legal Services, Inc.  IRA #4  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIG)  Vanguard ESG US Stock ETF (ESGV)  Vanguard Total International Bond Index Fund ETF (BNDX)  Vanguard Total Bond Market Index Fund ETF (BND)	Indiana Legal Services, Inc.  IRA #4  No  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIG)  Vanguard ESG US Stock ETF (ESGV)  Vanguard Total International Bond Index Fund ETF (BNDX)  Vanguard Total Bond Market Index Fund ETF (BNDX)  Vanguard Total Bond Market Index Fund ETF (BND)	Indiana Legal Services, Inc.  IRA #4  No  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIG)  Vanguard ESG US Stock ETF (ESGV)  Vanguard Total International Bond Index Fund ETF (BNDX)  Vanguard Total Bond Market Index Fund ETF (BND)  Yes  \$50,001 - \$100,000  TIAA-CREF Core Impact Bond Instl (TSBIX)  Yes  \$50,001 -	Indiana Legal Services, Inc.  IRA #4  No  Vanguard International Dividend Appreciation Index Fund ETF Shares (VIG)  Vanguard ESG US Stock ETF (ESGV)  Vanguard Total International Bond Index Fund ETF (BNDX)  Vanguard Total Bond Market Index Fund ETF (BND)  Vanguard Total Bond Market Index Fund ETF (BND)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	American Funds American Mutual F3 (AFMFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.7	American Funds New Perspective Fund Cl F3 (FNPFX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2.8	American Funds SMALLCAP World Fund Cl F3 (SFCWX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.9	Parnassus Mid Cap Instl (PFPMX)	Yes	\$100,001 - \$250,000		
2.10	T. Rowe Price Growth Stock Fund I Class (PRUFX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2.11	Vanguard Wellington Fund Admiral (VWENX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.12	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	Blackrock Sustainable Advt CoreAlpha Bond Fun (BIIIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3	IRA #4 (Roth IRA - Spouse)	No			
3.1	New World F3 - American Funds New World F3 (FNWFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.2	T. Rowe Price Growth Stock Fund I Class (PRUFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.3	Vanguard Wellington Fund Admiral (VWENX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US domestic bank #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	US domestic bank #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Family Trust #1	No			
3.1	residential real estate, Wellfleet, MA	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4	US brokerage account	No			
4.1	Vanguard International Dividend Appreciation ETF (VIGI)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.2	AMG GW&K Core Bond ESG I (MBDFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.3	TIAA-CREF Core Impact Bond Instl (TSBIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.4	American Funds Capital World Growth and Income Fund F3 (FWGIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
4.5	Washington Mutual Investors Fund - F-3 (FWMIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
4.6	US brokerage cash account	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Family Trust #2	No			
5.1	DODGE & COX INCOME FUND (DODIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.2	EATON VANCE FLOATING RATE CLASS I (EIBLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.3	FIDELITY HIGH INCOME FUND (SPHIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	ISHARES TR INDEX ETF BARCLAY US Aggregate Bond (AGG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.5	ISHARES TR ETF US PFD STK IDX (PFF)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.6	WESTERN ASSET MORTGAGE CLASS I (SGSYX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.7	TEMPLETON GLOBAL BOND (TGBAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.8	VANGUARD SCOTTSDALE FDS ETF INT- TERM CORP (VCIT)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.9	FEDERATED STRATEGIC VALUE (SVAIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.10	FIDELITY INTL SMALL CAP OPP (FSCOX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.11	ISHARES TR SELECT DIVID ETF (DVY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.12	ISHARES TR RUSSELL MCP GR ETF (IWP)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
5.13	ISHARES TR INTL SEL DIV ETF (IDV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.14	MFS VALUE FUND CLASS I (MEIIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.15	ROWE T PRICE INTL FDS INC OVERSEAS STK I (TROIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.16	SPDR SER TR S&P 600 SMCP GRW (SLYG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.17	VANGUARD VALUE INDEX ADMIRAL CLASS (VVIAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.18	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.19	Fidelity Institutional Govt Portfolio (FIGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	New Perspective Fund Class F3 Shares (FNPFX)	Sale	06/10/2021	\$100,001 - \$250,000
2	Washington Mutual Investors Fund Class F3 Shares (FWMIX)	Sale	06/10/2021	\$100,001 - \$250,000
3	Blackrock Sustainable Advtg CoreAlpha Bond Fund (BIIIX)	Purchase	03/02/2021	\$100,001 - \$250,000
4	Parnassus Endeavor Fund Institutional Class Shares (PFPWX)	Purchase	06/11/2021	\$100,001 - \$250,000
5	Blackroack Sustainable Advtg CoreAlpha Bond Fund (BIIIX)	Purchase	06/11/2021	\$100,001 - \$250,000
6	Vanguard ESG US Stock ETF (ESGV)	Purchase	06/15/2021	\$50,001 - \$100,000
7	Blackrock Sustainable Advtg CoreAlpha Bond Fund (BIIIX)	Purchase	06/15/2021	\$15,001 - \$50,000
8	Blackrock Sustainable Advtg CoreAlpha Bond Fund (BIIIX)	Purchase	04/14/2021	\$100,001 - \$250,000
9	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Sale	06/10/2021	\$100,001 - \$250,000
10	Vanguard Wellington Fund Admiral (VWENX)	Sale	06/10/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	Blackrock Sustainable Advtg CoreAlpha Bond Fund (BIIIX)	Purchase	06/11/2021	\$50,001 - \$100,000
12	Vanguard Short Term Bond Admiral Class	Purchase	02/17/2021	\$1,001 - \$15,000
13	Fidelity Institutional Govt Portfolio	Purchase	11/24/2021	\$1,001 - \$15,000
14	Fidelity Institutional Govt Portfolio	Purchase	12/08/2021	\$1,001 - \$15,000
15	Fidelity Institutional Government Portfolio	Purchase	12/20/2021	\$1,001 - \$15,000
16	Fidelity Institutional Government Portfolio	Purchase	12/22/2021	\$1,001 - \$15,000
17	Fidelity Institutional Government Portfolio	Sale	12/15/2021	\$1,001 - \$15,000
18	Dreyfus Govt Cash Mgmt Inv - I	Sale	12/31/2021	\$1,001 - \$15,000
19	Dreyfus Govt Cash Mgmt Inv - P (DGVXX)	Sale	12/31/2021	\$15,001 - \$50,000
20	Vanguard Institutional Target Retirement 2025 Fund (VRIVX)	Sale	03/01/2021	\$15,001 - \$50,000
21	Indiana Public Retirement System (INPRS) Stable Value Fund	Sale	03/01/2021	\$1,001 - \$15,000
22	Indiana Public Retirement System (INPRS) Retirement Target Date Fund 2035	Sale	03/01/2021	\$50,001 - \$100,000
23	Indiana Public Retirement System (INPRS) Stable Value Fund	Sale	06/11/2021	\$50,001 - \$100,000
24	Indiana Public Retirement System (INPRS) 2035 Fund	Sale	04/14/2021	\$100,001 - \$250,000

# 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	National Bank of Indianapolis	Mortgage on Personal Residence	\$250,001 - \$500,000	2015	3.625	30 years

## 9. Gifts and Travel Reimbursements

None

### **Endnotes**

PART	#	ENDNOTE
2.	1	Filer held two positions at Indiana University: professor at McKinney School of Law and Director of Environmental Resilience Institute.

### **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**

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