

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

Filer's Information

Feldman, Daniel F

Chief of Staff, Department of State

Date of Termination: 05/21/2022

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/ Feldman, Daniel F [electronically signed on 02/22/2023 by Feldman, Daniel F in Integrity.gov] - Filer received a 90 day filing extension.

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/ Alexander, Mj, Certifying Official [electronically signed on 02/28/2023 by Alexander, Mj in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Covington & Burling	Washington , District of Columbia	Law Firm	Senior Of Counsel	12/2018	2/2021
2	The Asia Foundation	San Francisco, California	Non-Profit	Trustee	1/2017	2/2021
3	Center for Civilians in Conflict	Washington, District of Columbia	Non-Profit	Board Member	1/2017	2/2021
4	Jonathan Tisch College of Civic Life, Tufts University	Medford, Massachusetts	University/College	Board of Advisors Member	1/2018	2/2021
5	National Security Action	Washington, District of Columbia	Non-Profit	Board of Advisors	1/2018	2/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Covington & Burling (law firm)	N/A		Salary/Bonus	\$821,139
2	Covington & Burlin Retirement Savings Plan	No			
2.1	Schwab Indexed Ret Trust Fund 2030	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Akin Gump 401(k)	No			
3.1	Voya Diversified Multi Asset Moderate Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Traditional IRA #1	No			
4.1	US bank (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.2	ACCENTURE PLC IRELAND CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	ADOBE INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.4	ALPHABET INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.5	AMAZON.COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.6	BERKSHIRE HATHAWAY INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.7	Meta Platforms INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.8	GENERAC HLDGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.9	MASTERCARD INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.10	MONDELEZ INTL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.11	NIKE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.12	PALO ALTO NETWORKS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.13	PAYPAL HOLDINGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.14	SALESFORCE.COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.15	STARBUCKS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.16	UNITEDHEALTH GROUP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.17	VISA INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.18	INVESCO QQQ TRUST ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.19	Intuitive Surgical, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.20	Uber Technologies, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Applied DNA Sciences, Inc. (APDN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Traditional IRA #2	No			
6.1	FIRST TRUST CAPITAL STRENGTHETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	INVESCO QQQ TRUST ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	ISHARES MSCI USA QUALITY FACTOR ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	WISDOMTREE US SMALLCAP FUNDETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.5	WISDOMTREE TR EMERGING MARKETS EX-STATE-OWNED	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	US bank (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.7	IShares Core S&P MidCap ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	Vanguard S&P 500 ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.9	Wisdomtree Global EX-US Quality Div Growth Fund ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.10	First Trust Merger Arbitrage Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.11	First Trust Global Tactical Commodity Strategy Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Covington & Burling	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	12/2018
2	Akin Gump, LLP	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	10/2015

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	CoStar 401k	No			
1.1	T. Rowe Price Retirement Blend 2035	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	CoStar Group, Inc. (CSGP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Traditional IRA #3	No			
3.1	US bank (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	ACCENTURE PLC IRELAND	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	ADOBE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	ALPHABET INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5	AMAZON.COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	APPLE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	BERKSHIRE HATHAWAY INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Meta Platforms, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	GENERAC HLDGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	MASTERCARD INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	MONDELEZ INTL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	NETFLIX INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	NIKE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	PALO ALTO NETWORKS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	PAYPAL HOLDINGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	SALESFORCE.COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	STARBUCKS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	UNITEDHEALTH GROUP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.19	VISA INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	INVESCO QQQ TRUST ETF	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.21	Intuitive Surgical, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	Uber Technologies, Inc. (UBER)	N/A	None (or less than \$1,001)		
4	Traditional IRA #4	No			
4.1	US bank (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	FIRST TRUST CAPITAL STRENGTH ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	INVESCO QQQ TRUST ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	ISHARES MSCI USA QUALITYFACTOR ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	WISDOMTREE US SMALL CAP FUND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	WISDOMTREE TR EMERGING MARKETS EX STATE-OWNED	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	iShares Core S&P MidCap ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.8	Vanguard S&P 500 ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	WisdomTree Global EX-US Quality Div Growth Fund ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.10	First Trust Merger Arbitrage Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.11	First Trust Global Tactical Commodity Strategy Fund ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	CoStar Group, Inc	No		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	DURECT Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Maine 529 College Savings Plan #1 (Blackrock Age 17)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Maine 529 College Savings Plan #2 (Blackrock Age 17)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Maine 529 College Savings Plan #3 (Blackrock Age 17)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	US bank #1 (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	US bank #2 (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Intuitive Surgical, Inc. (ISRG)	Purchase	10/20/2021	\$1,001 - \$15,000
2	Intuitive Surgical, Inc. (ISRG)	Purchase	10/20/2021	\$1,001 - \$15,000
3	SPDR Gold MiniShares Trust (GLDM)	Sale	11/15/2021	\$1,001 - \$15,000
4	SPDR S&P 500 ETF Trust (SPY)	Sale	11/15/2021	\$15,001 - \$50,000
5	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	11/15/2021	\$15,001 - \$50,000
6	iShares Gold Trust (IAU)	Purchase	11/15/2021	\$1,001 - \$15,000
7	SPDR Gold MiniShares Trust (GLDM)	Sale	11/15/2021	\$1,001 - \$15,000
8	SPDR S&P 500 ETF Trust (SPY)	Sale	11/15/2021	\$15,001 - \$50,000
9	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	11/15/2021	\$15,001 - \$50,000
10	iShares Gold Trust (IAU)	Purchase	11/15/2021	\$1,001 - \$15,000
11	SPDR Gold MiniShares Trust (GLDM)	Sale	11/29/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	SPDR S&P 500 ETF Trust (SPY)	Sale	11/29/2021	\$15,001 - \$50,000
13	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	11/29/2021	\$15,001 - \$50,000
14	iShares Gold Trust (IAU)	Purchase	11/29/2021	\$1,001 - \$15,000
15	SPDR Gold MiniShares Trust (GLDM)	Sale	11/29/2021	\$1,001 - \$15,000
16	SPDR S&P 500 ETF Trust (SPY)	Sale	11/29/2021	\$15,001 - \$50,000
17	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	11/29/2021	\$15,001 - \$50,000
18	iShares Gold Trust (IAU)	Purchase	11/29/2021	\$1,001 - \$15,000
19	Alaska Air Group, Inc. (ALK)	Sale	12/02/2021	\$1,001 - \$15,000
20	Alaska Air Group, Inc. (ALK)	Sale	12/02/2021	\$1,001 - \$15,000
21	Amazon.com, Inc. (AMZN)	Purchase	12/03/2021	\$1,001 - \$15,000
22	Intuitive Surgical, Inc. (ISRG)	Purchase	12/07/2021	\$1,001 - \$15,000
23	Intuitive Surgical, Inc. (ISRG)	Purchase	12/07/2021	\$1,001 - \$15,000
24	First Trust International Equity Opportunities ETF (FPXI)	Sale	12/15/2021	\$1,001 - \$15,000
25	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	12/15/2021	\$1,001 - \$15,000
26	First Trust International Equity Opportunities ETF (FPXI)	Sale	12/15/2021	\$1,001 - \$15,000
27	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Purchase	12/15/2021	\$1,001 - \$15,000
28	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Sale	01/06/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
29	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Sale	01/06/2022	\$1,001 - \$15,000
30	Vanguard Small-Cap Index Fund ETF Shares (VB)	Sale	01/06/2022	\$1,001 - \$15,000
31	KraneShares Boserer MSCI China A Share ETF (KBA)	Sale	01/06/2022	\$1,001 - \$15,000
32	Invesco WilderHill Clean Energy ETF (PBW)	Sale	01/06/2022	\$1,001 - \$15,000
33	Invesco QQQ Trust, Series 1 (QQQ)	Sale	01/06/2022	\$1,001 - \$15,000
34	WisdomTree US SmallCap Fund (EES)	Purchase	01/06/2022	\$1,001 - \$15,000
35	WisdomTreeGlobal ex-US Quality Dividend Growth Fund (DNL)	Purchase		\$15,001 - \$50,000
36	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Purchase	01/06/2022	\$1,001 - \$15,000
37	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	01/06/2022	\$15,001 - \$50,000
38	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Sale	01/06/2022	\$15,001 - \$50,000
39	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	01/06/2022	\$1,001 - \$15,000
40	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Sale	01/06/2022	\$1,001 - \$15,000
41	Vanguard Small-Cap Index Fund ETF Shares (VB)	Sale	01/06/2022	\$1,001 - \$15,000
42	KraneShares Boserer MSCI China A Share ETF (KBA)	Sale	01/06/2022	\$1,001 - \$15,000
43	Invesco WilderHill Clean Energy ETF (PBW)	Sale	01/06/2022	\$1,001 - \$15,000
44	Invesco QQQ Trust, Series 1 (QQQ)	Sale	01/06/2022	\$1,001 - \$15,000
45	WisdomTreeEmerging Markets ex-State-Owned Enterprises Fund (XSOE)	Purchase	01/06/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	WisdomTree US SmallCap Fund (EES)	Purchase	01/06/2022	\$1,001 - \$15,000
47	WisdomTreeGlobal ex-US Quality Dividend Growth Fund (DNL)	Purchase	01/06/2022	\$50,001 - \$100,000
48	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Purchase	01/06/2022	\$1,001 - \$15,000
49	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	01/06/2022	\$15,001 - \$50,000
50	First Trust Capital Strength ETF (FTCS)	Purchase	01/06/2022	\$1,001 - \$15,000
51	Visa, Inc. (V)	Sale	01/10/2022	\$1,001 - \$15,000
52	Palo Alto Networks, Inc. (PANW)	Sale	01/10/2022	\$1,001 - \$15,000
53	Mondelez International, Inc. (MDLZ)	Sale	01/10/2022	\$1,001 - \$15,000
54	Meta Platforms Inc. Class A Common Stock (META)	Sale	01/10/2022	\$1,001 - \$15,000
55	Invesco QQQ Trust, Series 1 (QQQ)	Sale	01/10/2022	\$1,001 - \$15,000
56	Alphabet, Inc. (GOOG)	Sale	01/10/2022	\$1,001 - \$15,000
57	Berkshire Hathaway Inc. (BRKB)	Sale	01/10/2022	\$1,001 - \$15,000
58	Apple, Inc. (AAPL)	Sale	01/10/2022	\$1,001 - \$15,000
59	Adobe, Inc. (ADBE)	Sale	01/10/2022	\$1,001 - \$15,000
60	Uber Technologies, Inc. (UBER)	Purchase	01/10/2022	\$1,001 - \$15,000
61	Intuitive Surgical, Inc. (ISRG)	Purchase	01/10/2022	\$1,001 - \$15,000
62	Generac Holdings, Inc. (GNRC)	Purchase	01/10/2022	\$1,001 - \$15,000
63	Amazon.com, Inc. (AMZN)	Purchase	01/10/2022	\$1,001 - \$15,000
64	iShares Gold Trust (IAU)	Sale	01/13/2022	\$1,001 - \$15,000
65	WisdomTreeGlobal ex-US Quality Dividend Growth Fund (DNL)	Purchase	01/13/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
66	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Purchase	01/13/2022	\$1,001 - \$15,000
67	First Trust Capital Strength ETF (FTCS)	Purchase	01/13/2022	\$1,001 - \$15,000
68	iShares Gold Trust (IAU)	Sale	01/13/2022	\$1,001 - \$15,000
69	WisdomTreeGlobal ex-US Quality Dividend Growth Fund (DNL)	Purchase	01/13/2022	\$1,001 - \$15,000
70	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Purchase	01/13/2022	\$1,001 - \$15,000
71	First Trust Capital Strength ETF (FTCS)	Purchase	01/13/2022	\$1,001 - \$15,000
72	Starbucks Corp. (SBUX)	Sale	01/25/2022	\$1,001 - \$15,000
73	Starbucks Corp. (SBUX)	Sale	01/25/2022	\$1,001 - \$15,000
74	Generac Holdings, Inc. (GNRC)	Purchase	01/26/2022	\$1,001 - \$15,000
75	Uber Technologies, Inc. (UBER)	Purchase	01/26/2022	\$1,001 - \$15,000
76	PayPal Holdings, Inc. (PYPL)	Purchase	02/02/2022	\$1,001 - \$15,000
77	PayPal Holdings, Inc. (PYPL)	Sale	04/26/2022	\$1,001 - \$15,000
78	Netflix, Inc. (NFLX)	Sale	04/26/2022	\$1,001 - \$15,000
79	PayPal Holdings, Inc. (PYPL)	Sale	04/26/2022	\$1,001 - \$15,000
80	Netflix, Inc. (NFLX)	Sale	04/26/2022	\$1,001 - \$15,000
81	WisdomTreeEmerging Markets ex-State-Owned Enterprises Fund (XSOE)	Sale	05/20/2022	\$1,001 - \$15,000
82	WisdomTreeGlobal ex-US Quality Dividend Growth Fund (DNL)	Sale	05/20/2022	\$1,001 - \$15,000
83	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	05/20/2022	\$1,001 - \$15,000
84	iShares Edge MSCI USA Quality Factor ETF (QUAL)	Sale	05/20/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
85	First Trust Capital Strength ETF (FTCS)	Sale	05/20/2022	\$1,001 - \$15,000
86	First Trust Global Tactical Commodity Strategy Fund (FTGC)	Purchase	05/20/2022	\$1,001 - \$15,000
87	First Trust Merger Arbitrage ETF (MARB)	Purchase	05/20/2022	\$15,001 - \$50,000
88	WisdomTree Emerging Markets ex-State-Owned Enterprises Fund (XSOE)	Sale	05/20/2022	\$1,001 - \$15,000
89	WisdomTree Global ex-US Quality Dividend Growth Fund (DNL)	Sale	05/20/2022	\$15,001 - \$50,000
90	Vanguard 500 Index Fund ETF Shares (VOO)	Sale	05/20/2022	\$1,001 - \$15,000
91	iShares Edge MSCI USA Quality Factor ETF (QUAL)		05/20/2022	\$1,001 - \$15,000
92	First Trust Capital Strength ETF (FTCS)	Sale	05/20/2022	\$1,001 - \$15,000
93	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	05/20/2022	\$1,001 - \$15,000
94	First Trust Global Tactical Commodity Strategy Fund (FTGC)	Purchase	05/20/2022	\$1,001 - \$15,000
95	First Trust Merger Arbitrage ETF (MARB)	Purchase	05/20/2022	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

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).
