

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

Filer's Information

Udall, Tom S

Ambassador to New Zealand and Samoa, Department of State

Report Year: 2023

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/ Udall, Tom S [electronically signed on 05/09/2023 by Udall, Tom S 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/ Mann, Judy, Certifying Official [electronically signed on 07/05/2023 by Mann, Judy in Integrity.gov]

Other review conducted by

/s/ Mann, Judy, Ethics Official [electronically signed on 07/05/2023 by Mann, Judy in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/02/2023 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	Thomas S and Jill Cooper Udall Revocable Trust	Santa Fe, New Mexico	Trust	Trustee	3/2004	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	ADYEN ADR (ADYEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	AIA Group (AAGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Alcon (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Amadeus IT (AMADY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	AON PLC (AON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	ASML Holdings (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Atlas Copco (ATLKY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	Canadian Pacific (CP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.10	CSL Limited (CSLLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	DSV Panalpina (DSDVY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Experian (EXPGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Ferrari (RACE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	ICON PLC (ICLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Lonza Group (LZAGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	lululemon athletica, Inc. (LULU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	LVMH Holdings (LVMUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.18	Mettler-Toledo International, Inc. (MTD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Nestle (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Pernod Ricard (PRNDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	ResMed, Inc. (RMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Shopify (SHOP)	See Endnote	N/A		None (or less than \$1,001)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.23	Sika Ag ADR (SXYAY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.24	STERIS Plc (Ireland) (STE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	Taiwan Semiconductor (TSM)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
1.26	Wuxi Biologics Cayman (WXXWY)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
1.27	U.S. Brokerage Account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.28	Atlassian Corp (TEAM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.29	EPAM Systems, Inc. (EPAM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	Evolution AB (EVVTY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	Lasertec Corp (LSRCY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	Li Ning Co (LNNGY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	Shenzhou Intl Group (SHZHY)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
1.34	Ferguson plc Ordinary Shares (FERG)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	AstraZeneca PLC American Depositary Shares (AZN)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	ICICI Bank Limited Common Stock (IBN)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.37	Novo Nordisk A/S Common Stock (NVO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.38	Schneider Electric (SBGSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.39	Waste Connections Inc. Common Shares (WCN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.40	ASM International (ASMIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	IRA #2	No		cash distributions	\$73,144
2.1	CalvertEmerging Markets Equity Fund Class I Shares (CVMIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.2	Capital World Growth & Income Fund Class A Shares (CWGIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	Franklin Gold and Precious Metals Fund Advisor Class Shares (FGADX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	Franklin Utilities Fund Advisor Class (FRUAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.5	iShares Gold Trust (IAU)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	iShares Silver Trust (SLV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	LoCorr Long/Short Commodities Strategy Fund Class I Shares (LCSIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.8	LoCorr Macro Strategies Fund Class I Shares (LFMIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.9	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	RREEF Property Trust (PER750897)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.11	VanguardGlobal ex-US Real Estate Index Fund Admiral Shares (VGRLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.12	U.S. Brokerage Account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	State of NM PERA Smart Save (Deferred Comp Plan)	No		cash distribution	\$18,431
3.1	New Mexico Stable Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Vanguard Instl. 500 Index Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
4	New Mexico PERA defined benefit (value not readily ascertainable)	N/A		annual total of monthly cash payments	\$18,151

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of New Mexico	Santa Fe, New Mexico	I will continue to participate in New Mexico PERA defined benefit plan. New Mexico did not make further contributions after my separation in December 1998.	2/1983
2	State of New Mexico	Santa Fe, New Mexico	I will continue to participate in State of New Mexico PERA Smart Save deferred compensation plan. I have taken no distributions. No contributions have been made since my separation in December 1998.	6/2003

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	IRA	No		cash distributions	\$23,746
1.1	American SMALLCAP World Fund, Inc Class A Shares (SMCWX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	American Funds Developing World Growth and Income Fund Class A Shares (DWGAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	American Funds EuroPacific Growth Fund Class A Shares (AEPGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	American Funds New Perspective Fund Class A Shares (ANWPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northwestern Mutual Whole Life	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	Brokerage Account (Trust)	No			
2.1	CalvertGlobal Water Fund Class A Shares (CFWAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.2	Capital Income Builder Class A Shares (CAIBX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	U.S. brokerage account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
2.4	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	American Funds - New Perspective Fund Class A Shares (ANWPX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.6	American Funds - New World Fund, Inc Class A Shares (NEWFX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
2.7	PGIM Jennison Natural Resources Fund Class A Shares (PGNAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.8	Growth Fund of America Class A Shares (AGTHX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.9	Wells Fargo Precious Metals Fund Class A Shares (EKWAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.10	Berkshire Hathaway Inc. (BRKB)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.11	Western Asset Ultra-Short Income Fund Class A Shares (ARMZX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	TransAmerica Landmark Variable Annuity	No			
3.1	TA Morgan Stanley Capital Growth	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	TA Aegon Sustainable Equity Income	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Pacific Select Variable Annuity	No			
4.1	MFS International Large	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	Invesco Main Street	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	BR Equity Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	Clearbridge Large Value	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.5	JPM Large-Cap Core	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Pacific Value Variable Annuity	No			
5.1	Pacific Funds Portfolio Optimization Moderate	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
6	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	U.S. bank #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8	NZ Bank #1 (cash)	See Endnote	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Novo Nordisk (NVO)	Purchase	01/06/2022	\$1,001 - \$15,000
2	Evolution ADR (EVVTY)	Purchase	01/13/2022	\$1,001 - \$15,000
3	Evolution ADR (EVVTY)	Purchase	01/19/2022	\$1,001 - \$15,000
4	Li Ning Co ADR (LNNGY)	Purchase	01/19/2022	\$1,001 - \$15,000
5	Wuxi Biologics Cayman ADR (WXXWY)	See Endnote	01/19/2022	\$1,001 - \$15,000
6	ASML Holding (ASML)	Sale	01/28/2022	\$1,001 - \$15,000
7	Taiwan Semiconductor MFG (TSM)	Sale	01/28/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	Atlas Copco (ATLKY)	Sale	02/28/2022	\$1,001 - \$15,000
9	DSV A/S (DSDVY)	Sale	03/07/2022	\$1,001 - \$15,000
10	Taiwan Semiconductor MFG (TSM)	Sale	03/07/2022	\$1,001 - \$15,000
11	Ferguson PLC (FERG)	Purchase	03/08/2022	\$1,001 - \$15,000
12	Aon Plc (AON)	Purchase	03/21/2022	\$1,001 - \$15,000
13	Wuxi Biologics (WXXWY)	Sale	03/30/2022	\$1,001 - \$15,000
14	Schneider Electric (SBGSY)	Purchase	04/05/2022	\$1,001 - \$15,000
15	Novo Nordisk (NVO)	Purchase	04/12/2022	\$1,001 - \$15,000
16	ASM Int'l (ASMIY)	Purchase	04/14/2022	\$1,001 - \$15,000
17	DSV A/S (DSDVY)	Sale	04/28/2022	\$1,001 - \$15,000
18	CSL Ltd. (CSLLY)	Sale	07/01/2022	\$1,001 - \$15,000
19	Mettler-Toledo International, Inc. (MTD)	Sale	07/06/2022	\$1,001 - \$15,000
20	ResMed, Inc. (RMD)	Sale	07/08/2022	\$1,001 - \$15,000
21	Adyen (ADYEY)	Purchase	07/11/2022	\$1,001 - \$15,000
22	Lonza Group (LZAGY)	Sale	07/11/2022	\$1,001 - \$15,000
23	AstraZeneca (AZN)	Purchase	07/13/2022	\$1,001 - \$15,000
24	Atlassian Corp (TEAM)	Purchase	08/12/2022	\$1,001 - \$15,000
25	Shopify Inc (SHOP)	Sale	08/15/2022	\$1,001 - \$15,000
26	EPAM Systems, Inc. (EPAM)	Purchase	08/19/2022	\$1,001 - \$15,000
27	Taiwan Semiconductor MFG (TSM)	Sale	08/19/2022	\$1,001 - \$15,000
28	Waste Connections Inc (WCN)	Purchase	10/06/2022	\$1,001 - \$15,000
29	ASML Holding (ASML)	Sale	11/08/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	AIA Group Ltd (AAGIY)	Sale	11/16/2022	\$1,001 - \$15,000
31	Schneider Electric SE (SBGSY)	Purchase	11/21/2022	\$1,001 - \$15,000
32	Shenzhou Intl Group (SHZHY)	Sale	11/30/2022	\$1,001 - \$15,000
33	ICICI Bank Ltd (IBN)	Purchase	12/12/2022	\$1,001 - \$15,000
34	Atlassian Corp (TEAM)	Purchase	12/21/2022	\$1,001 - \$15,000
35	lululemon athletica, Inc. (LULU)	Sale	12/28/2022	\$1,001 - \$15,000
36	Linde Plc (LIN)	Purchase	12/29/2022	\$1,001 - \$15,000
37	LVMH Moet Hennessy Louis Vuitton (LVMUY)	Sale	12/30/2022	\$1,001 - \$15,000
38	Lasertec Corp (LSRCY)	Sale	12/30/2022	\$1,001 - \$15,000
39	Growth Fund of America Class A Shares (AGTHX)	Purchase	04/04/2022	\$100,001 - \$250,000
40	Growth Fund of America Class A Shares (AGTHX)	Purchase	12/19/2022	\$1,001 - \$15,000
41	New Perspective Fund Class A Shares (ANWPX)	Purchase	12/16/2022	\$1,001 - \$15,000
42	New Perspective Fund Class A Shares (ANWPX)	Purchase	12/16/2022	\$1,001 - \$15,000
43	Western Asset Ultra-Short Income Fund Class A Shares (ARMZX)	Purchase	12/02/2022	\$250,001 - \$500,000
44	Capital Income Builder Class A Shares (CAIBX)	Purchase	12/19/2022	\$1,001 - \$15,000
45	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	04/26/2022	\$250,001 - \$500,000
46	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	06/01/2022	\$1,001 - \$15,000
47	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	07/01/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	08/01/2022	\$1,001 - \$15,000
49	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	09/01/2022	\$1,001 - \$15,000
50	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	10/03/2022	\$1,001 - \$15,000
51	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	11/01/2022	\$1,001 - \$15,000
52	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Purchase	12/01/2022	\$1,001 - \$15,000
53	Franklin High Yield Tax-Free Income Fund Class A1 Shares (FRHIX)	Sale	12/02/2022	\$250,001 - \$500,000
54	New World Fund, Inc Class A Shares (NEWFX)	Purchase	04/26/2022	\$100,001 - \$250,000
55	New World Fund, Inc Class A Shares (NEWFX)	Purchase	09/27/2022	\$15,001 - \$50,000
56	New World Fund, Inc Class A Shares (NEWFX)	Purchase	12/16/2022	\$1,001 - \$15,000
57	PGIM Jennison Natural Resources Fund Class A Shares (PGNAX)	Purchase	12/06/2022	\$1,001 - \$15,000
58	LoCorr Macro Strategies Fund Class I Shares (LFMIX)	Purchase	12/12/2022	\$1,001 - \$15,000
59	LoCorr Macro Strategies Fund Class I Shares (LFMIX)	Purchase	12/12/2022	\$1,001 - \$15,000
60	LoCorr Macro Strategies Fund Class I Shares (LFMIX)	Purchase	12/12/2022	\$1,001 - \$15,000
61	LoCorr Long/Short Commodities Strategy Fund Class I Shares (LCSIX)	Purchase	12/12/2022	\$1,001 - \$15,000
62	Franklin Utilities Fund Advisor Class (FRUAX)	Purchase	12/16/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
63	Franklin Utilities Fund Advisor Class (FRUAX)	Purchase	12/21/2022	\$1,001 - \$15,000
64	PrincipalGlobal Real Estate Securities Fund Institutional Class Shares (POSIX)	Purchase	12/29/2022	\$1,001 - \$15,000
65	CalvertEmerging Markets Equity Fund Class I Shares (CVMIX)	Purchase	12/30/2022	\$1,001 - \$15,000
66	EuroPacific Growth Fund Class A Shares (AEPGX)	Sale	12/02/2022	\$15,001 - \$50,000
67	Invesco Main Street	Sale	01/03/2022	\$50,001 - \$100,000
68	JPM Large-Cap Core	Purchase	01/03/2022	\$50,001 - \$100,000
69	Vanguard Instl. 500 Index Fund	Sale	11/18/2022	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Suntrust	Mortgage on Personal Residence	\$250,001 - \$500,000	2013	3.375	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1.22	All shares sold.
2.	1.25	All shares sold.
2.	1.26	All shares sold.
2.	1.33	All shares sold.
6.	4.2	all shares sold
6.	8	Total held at single institution (2 accounts and one sub-account).
7.	5	This sale was canceled on 20 Jan 2022.

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).
