

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

Filer's Information

Althen, William I.

Commissoner, Federal Mine Safety and Health Review Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

Attorney-Advisor, FMSHRC (8/2018 - 3/2019)

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/ Althen, William I. [electronically signed on 06/16/2020 by Althen, William I. in Integrity.gov] - Filer received a 45 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/ Sullivan, John T, Certifying Official [electronically signed on 07/01/2020 by Sullivan, John T in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/10/2020 by Granahan, Megan in Integrity.gov]

Data Revised 07/10/2020

Data Revised 07/10/2020

Data Revised 07/01/2020

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1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	BlackRock Liquidity Funds FedFund-Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	iShares MSCI ACWI ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Tweedy, Brown Global Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Vanguard Dividend Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Baird Intermediate Bond Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	Vanguard Short-Term Investment-Grade Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	U.S. Brokerage money market account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Edgewood Growth	Yes	\$1,001 - \$15,000		

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. bank IRA #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	U.S. bank IRA #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	U.S. bank account #3 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
6	Genworth Financial, fixed annuity	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
7	U.S. Brokerage Account	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1	BlackRock Liquidity Funds FedFund-Institutional	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.2	Amazon.com, Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.3	PepsiCo Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.4	Citigroup Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.5	CME Group Inc.	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
7.6	Goldman Sachs Group Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.7	Novartis AG ADR	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.8	Fanuc Corp.	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
7.9	Alphabet Inc. Cl A	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.10	Apple Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.11	Flir Systems Inc.	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
7.12	Terreno Realty Corp.	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
7.13	Memphis Tennessee Center City Finance Rev. bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.14	District of Columbia Rev. bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.15	California State HSG FIN AGY Rev. bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.16	Danaher Corp.	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.17	Vanguard Dividend Growth Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.18	Scago Educational Facilities Corp. (South Carolina) bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.19	Halifax Florida Hosp & Med Ctr bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.20	Met Gov't Nashville TN bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.21	Indiana State Fin Auth Environmental Improvement Rev bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.22	Yonkers New York Econ Dev bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.23	Chesapeake Bay Virginia Transportation Revenue bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.24	Virginia State Public Bldg Auth General Obligation bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.25	Lancaster Cnty Pennsylvania Hosp Med Facilities bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.26	Montgomery Cnty Pennsylvania Indl Education Rev bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.27	Trimble Cnty Kentucky Pollution Control bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.28	New York State Dormitory Auth bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.29	Virginia State Commonwealth Transportation Rev bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.30	Skagit Cnty Washington Public Hosp Dev bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.31	Fredericksburg Virginia Econ Dev Auth Med Facilities bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.32	Harris Cnty Texas Cultural Edu Med Facilities bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.33	Clark Cnty Nevada Airport Revenue bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.34	Carmel Indiana Local Public Improvement bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.35	Ohio State Turnpike bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.36	Modesto California Water Rev COPs bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.37	New York NY General Obligation bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.38	Black Belt Energy Gas Dist Alabama Rev bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.39	Vanguard Limited-Term Tax-Exempt Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.40	SPDR S&P 500 ETF Trust	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.41	Salt River Proj Agricultural Improvement and Power District (AZ) bond	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
7.42	Microsoft Corp. (MSFT)	No	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
7.43	Grubhub	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.44	Daifuku	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
7.45	Ecolab	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
7.46	NVIDIA Corp. (NVDA)	No	\$15,001 - \$50,000		None (or less than \$201)
7.47	Impinj	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
7.48	Unilever	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
7.49	Illumina	No	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
7.50	The Walt Disney	No	\$15,001 - \$50,000		None (or less than \$201)
7.51	Nike	No	\$15,001 - \$50,000		None (or less than \$201)
7.52	Alcon	No	\$1,001 - \$15,000		None (or less than \$201)
7.53	Forsyth Mont Pollution 3.9%	No	\$50,001 - \$100,000	Interest Dividends	\$2,501 - \$5,000
7.54	Nebraska Pub. Pwr. 5%	No	\$50,001 - \$100,000	Dividends Interest	\$1,001 - \$2,500
7.55	Minneapolis Minn Health var%	No	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
7.56	Prince William	No	\$15,001 - \$50,000	Dividends Interest	\$1,001 - \$2,500
8	SEP-IRA	No			
8.1	United States Treasury Notes	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	Fairfax Cnty Virginia Redev & HSG bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.3	San Jose California Redev AGY bonds	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.4	BlackRock Liquidity Funds FedFund-Institutional	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
8.5	District of Columbia Rev bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.6	California State General Obligation bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.7	Vanguard short term investment grade	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
8.8	Dist. of Columbia 2.1%	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.9	Brazos Tex. High Ed. Fund	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.10	Indiana State Fin. Auth.	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.11	Buckeye Ohio Fund	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.12	Colorado St. Fund	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.13	New Jersey Economic Fund	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.14	Vanguard Dividend Growth	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.15	Buffalo Discovery fund	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.16	Fidelity Overseas	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.17	Tweedy Browne Global	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.18	Edgewood Growth	Yes	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Memphis Tn Center	Sale	01/30/2019	\$1,001 - \$15,000
2	ABAG Fin Auth	Sale	01/30/2019	\$15,001 - \$50,000
3	New York Gov. Bonds various	Purchase	01/29/2019	\$15,001 - \$50,000
4	NASDAQ Inc.	Sale	01/09/2019	\$15,001 - \$50,000
5	NASDAQ	Sale	01/09/2019	\$1,001 - \$15,000
6	Bank of America Bonds 4.1%	Purchase	01/07/2019	\$50,001 - \$100,000
7	Modesto Calif. 1.5%	Sale	02/15/2019	\$15,001 - \$50,000
8	Anheuser Busch 3/3%	Purchase	02/11/2019	\$15,001 - \$50,000
9	Minneapolis Mn. Health Var.	Purchase	02/15/2019	\$15,001 - \$50,000
10	Square Inc.	Sale	04/29/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	Visa	Sale	04/29/2019	\$1,001 - \$15,000
12	Microsoft	Sale	04/29/2019	\$1,001 - \$15,000
13	Ecolab	Sale	04/29/2019	\$1,001 - \$15,000
14	Teladoc Health	Sale	04/29/2019	\$1,001 - \$15,000
15	Tiffany	Sale	04/29/2019	\$1,001 - \$15,000
16	Editas Medicine Inc.	Sale	04/29/2019	\$1,001 - \$15,000
17	Ing Groep	Sale	04/29/2019	\$1,001 - \$15,000
18	Pepsico	Sale	04/29/2019	\$1,001 - \$15,000
19	CME Group	Sale	04/29/2019	\$1,001 - \$15,000
20	Illumina Inc	Sale	04/29/2019	\$1,001 - \$15,000
21	Amazon.com	Sale	04/29/2019	\$1,001 - \$15,000
22	Goldman Sachs	Sale	04/29/2019	\$1,001 - \$15,000
23	Splunk Inc.	Sale	04/29/2019	\$1,001 - \$15,000
24	General Electric Co.	Sale	04/29/2019	\$1,001 - \$15,000
25	Range Res. Corp.	Sale	04/29/2019	\$1,001 - \$15,000
26	Grubhub, Inc.	Sale	04/29/2019	\$1,001 - \$15,000
27	Apple Inc.	Sale	04/29/2019	\$1,001 - \$15,000
28	NVIDA Corp.	Sale	04/29/2019	\$1,001 - \$15,000
29	Terreno Realty	Sale	04/29/2019	\$1,001 - \$15,000
30	Alcon Inc.	Sale	04/29/2019	\$1,001 - \$15,000
31	Roper Technologies	Sale	04/29/2019	\$1,001 - \$15,000
32	Verizon Communications	Sale	04/29/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	Unilever	Sale	04/29/2019	\$1,001 - \$15,000
34	Flir System, Inc.	Sale	04/29/2019	\$1,001 - \$15,000
35	Impinj, Inc.	Sale	04/29/2019	\$1,001 - \$15,000
36	Regeneron Pharmaceuticals	Sale	04/29/2019	\$1,001 - \$15,000
37	Intuitive Surgical, Inc.	Sale	04/29/2019	\$1,001 - \$15,000
38	WABTEC Corp.	Sale	04/29/2019	\$1,001 - \$15,000
39	Cognex	Sale	04/29/2019	\$1,001 - \$15,000
40	Novartis AG	Sale	04/29/2019	\$1,001 - \$15,000
41	Citigroup Inc.	Sale	04/29/2019	\$1,001 - \$15,000
42	Schlumberger Ltd.	Sale	04/29/2019	\$1,001 - \$15,000
43	Royal Dutch Shell	Sale	04/29/2019	\$1,001 - \$15,000
44	CVS Health	Sale	04/29/2019	\$1,001 - \$15,000
45	Nike Inc.	Sale	04/29/2019	\$1,001 - \$15,000
46	The Walt Disney Co.	Sale	04/29/2019	\$15,001 - \$50,000
47	LVMH Moet Hennessy	Sale	04/29/2019	\$1,001 - \$15,000
48	Intellia Therapeutics	Sale	04/29/2019	\$1,001 - \$15,000
49	Alphabet Inc.	Sale	04/29/2019	\$1,001 - \$15,000
50	BPOST SA/NV	Sale	04/02/2019	\$1,001 - \$15,000
51	Vanguard Short-Term Investment-Grade	Purchase	05/03/2019	\$250,001 - \$500,000
52	Advisors Inner Circle Fd	Purchase	05/06/2019	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Baird Fds. Inc.	Purchase	05/03/2019	\$250,001 - \$500,000
54	Tweedy, Browne Global Value	Purchase	05/06/2019	\$15,001 - \$50,000
55	Vanguard Dividend Growth	Purchase	05/06/2019	\$50,001 - \$100,000
56	Fidelity Overseas	Purchase	05/06/2019	\$15,001 - \$50,000
57	Buffalo Discovery	Purchase	05/06/2019	\$15,001 - \$50,000
58	Advisors Inner Circle	Purchase	05/14/2019	\$15,001 - \$50,000
59	Tweedy, Browne Global Value	Purchase	05/14/2019	\$1,001 - \$15,000
60	Vanguard Dividend Growth	Purchase	05/14/2019	\$15,001 - \$50,000
61	Buffalo Discovery	Purchase	05/14/2019	\$15,001 - \$50,000
62	Fidelity Overseas	Purchase	05/14/2019	\$1,001 - \$15,000
63	The Charles Schwab 3.25%	Purchase	05/22/2019	\$15,001 - \$50,000
64	Apple, Inc	Sale	05/03/2019	\$15,001 - \$50,000
65	Exelon Corp	Sale	05/03/2019	\$15,001 - \$50,000
66	Union Pacific Corp	Sale	05/03/2019	\$15,001 - \$50,000
67	Morgan Stanley Mtg. 3.875%	Sale	05/03/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	Omnicom Group	Sale	05/03/2019	\$15,001 - \$50,000
69	The Priceline Group 3.6%	Sale	05/03/2019	\$15,001 - \$50,000
70	Centerpoint Energy Inc	Sale	05/03/2019	\$50,001 - \$100,000
71	Bank of America	Sale	05/03/2019	\$50,001 - \$100,000
72	Vmware Inc.	Sale	05/03/2019	\$1,001 - \$15,000
73	Markel Corporation	Sale	05/03/2019	\$15,001 - \$50,000
74	CVS Health	Sale	05/03/2019	\$15,001 - \$50,000
75	Citigroup	Sale	05/03/2019	\$15,001 - \$50,000
76	Xilinx	Sale	05/03/2019	\$15,001 - \$50,000
77	Anheuser Busch	Sale	05/03/2019	\$15,001 - \$50,000
78	Federal Realty Investment	Sale	05/03/2019	\$15,001 - \$50,000
79	BB&T Corporation	Sale	05/03/2019	\$15,001 - \$50,000
80	Equifax Inc.	Sale	05/03/2019	\$15,001 - \$50,000
81	Omnicom Group	Sale	05/03/2019	\$15,001 - \$50,000
82	Catholic Health	Sale	05/03/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
83	BB&T	Sale	05/03/2019	\$50,001 - \$100,000
84	Western Union	Sale	05/03/2019	\$50,001 - \$100,000
85	Citigroup	Sale	05/03/2019	\$15,001 - \$50,000
86	CVS Health	Sale	05/03/2019	\$15,001 - \$50,000
87	Capital One Financial	Sale	05/03/2019	\$15,001 - \$50,000
88	Delivery Hero	Sale	05/06/2019	\$1,001 - \$15,000
89	Fanuc Ltd.	Sale	05/10/2019	\$1,001 - \$15,000
90	Sumitomo Mitsui	Sale	05/10/2019	\$1,001 - \$15,000
91	Daifuku Co. Ltd.	Sale	05/10/2019	\$1,001 - \$15,000
92	Rockland County Call of bonds 3%	Sale	09/03/2019	\$50,001 - \$100,000
93	Dist. of Columbia 2.188%	Purchase	12/04/2019	\$15,001 - \$50,000
94	Memphis Town Ctr. 1.9% bonds	Sale	02/03/2020	\$1,001 - \$15,000
95	Rockland County Call of bonds 3%	Sale	09/03/2019	\$50,001 - \$100,000
96	Forsyth Mont Pollution 3.9%	Purchase	08/29/2019	\$50,001 - \$100,000
97	The Charles Schwab 3.25%	Sale	08/20/2019	\$15,001 - \$50,000
98	Maryland State Community 3.85%	Purchase	03/26/2019	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
99	Va. State Pub. Bldg.at 4%	Purchase	03/26/2019	\$50,001 - \$100,000
100	WFA Intermediate Tax	Sale	03/25/2019	\$50,001 - \$100,000
101	Vanguard ltd. term tax exempt	Sale	03/25/2019	\$50,001 - \$100,000
102	FHLB 2.74%	Sale	07/08/2019	\$15,001 - \$50,000
103	FHLBC 3.9%	Sale	07/09/2019	\$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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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).
