

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

Filer's Information

Dunn, Anita B

Assistant to the President & Senior Advisor to the President, White House - Biden-Harris Administration

Report Year: 2024

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/ Dunn, Anita B [electronically signed on 05/15/2024 by Dunn, Anita B 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/ Dorsey, Osasumwen Z, Certifying Official [electronically signed on 05/15/2024 by Dorsey, Osasumwen Z in Integrity.gov]

Other review conducted by

/s/ Dorsey, Osasumwen Z, Ethics Official [electronically signed on 05/15/2024 by Dorsey, Osasumwen Z in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/15/2024

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1				
1.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.2	ISHARES MSCI PACIFIC EX JAPAN ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3	VANGUARD FTSE EUROPEAN ETF ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4	ISHARES CORE MSCI EMERGING MARKETS ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.5	ISHARES, INC. - ISHARES MSCI UNITED KINGDOM ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.6	ISHARES, INC.MSCI JAPAN ETF MUTUAL FUND	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	ISHARES MSCI EUROZONE ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.8	ISHARES CORE DIVIDEND GROWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.9	ISHARES CORE S&P SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.10	ISHARES S&P 100 ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	ISHARES CORE S&P MID-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.12	ISHARES RUSSELL 1000 VALUE ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.13	ISHARES RUSSELL 1000 GROWTH ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.14	SPDR S&P 500 ETF TRUST	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
2	IRA #2				
2.1	U.S. TREASURY NOTE 2.875000% 05/15/2032	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.2	U.S. TREASURY NOTE 1.875000% 02/15/2032	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.3	U.S. TREASURY NOTE 2.375000% 05/15/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.4	U.S. TREASURY NOTE 0.875000% 11/15/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.5	U.S. TREASURY NOTE 1.125000% 02/15/2031	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.6	U.S. TREASURY NOTE 0.375000% 12/31/2025	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.7	U.S. TREASURY NOTE 2.500000% 05/15/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.8	U.S. TREASURY NOTE 0.250000% 10/31/2025	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
2.9	U.S. TREASURY NOTE 2.375000% 02/29/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.10	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	U.S. TREASURY NOTE 2.000000% 11/15/2026	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.12	U.S. TREASURY NOTE 3.375000% 05/15/2033	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.13	U.S. TREASURY NOTE 1.625000% 10/31/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.14	U.S. TREASURY NOTE 0.500000% 10/31/2027	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2.15	U.S. TREASURY NOTE 0.750000% 01/31/2028	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2.16	U.S. TREASURY NOTE 1.500000% 11/30/2028	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.17	U.S. TREASURY NOTE 3.875000% 08/15/2033	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
3	IRA #3				
3.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.2	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX	N/A	None (or less than \$1,001)		None (or less than \$201)
3.3	BNP PARIBAS LINKED TO S&P 500 INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.4	UBS AG LINKED TO S&P 500 INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.5	CANADIAN IMPERIAL BANK OF COMM LINKED TO S&P 500 INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.6	ROYAL BANK OF CANADA LINKED TO S&P 500 INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.7	SOCIETE GENERALE LINKED TO S&P 500 INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.8	TORONTO DOMINION BANK LINKED TO S&P 500 INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.9	JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	IRA #4				
4.1	U.S. TREASURY NOTE 2.125000% 05/15/2025	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	U.S. TREASURY NOTE 1.000000% 12/15/2024	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	U.S. TREASURY NOTE 2.500000% 01/31/2025	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.4	U.S. TREASURY NOTE 1.500000% 02/15/2025	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.5	U.S. TREASURY NOTE 1.750000% 07/31/2024	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.6	U.S. TREASURY NOTE 0.250000% 03/15/2024	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.7	U.S. TREASURY NOTE 2.875000% 04/30/2025	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.8	U.S. TREASURY NOTE 0.875000% 01/31/2024	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.9	U.S. TREASURY NOTE 2.250000% 12/31/2023	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.10	U.S. TREASURY NOTE 0.750000% 12/31/2023	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.11	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.12	U.S. TREASURY NOTE 0.125000% 01/15/2024	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.13	U.S. TREASURY NOTE 0.375000% 12/31/2025	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	IRA #5				
5.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
6	IRA #6				
6.1	U.S. TREASURY BILL DUE 10/05/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.2	U.S. TREASURY BILL DUE 06/29/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.3	U.S. TREASURY BILL DUE 10/05/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	SKDKnickerbocker	Washington, District of Columbia	I continue to participate in this defined contribution plan. The employer no longer makes contributions.	9/1993

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	NYU University	N/A		Salary	
2	Bob Bauer PLLC (professional consulting)	N/A	\$50,001 - \$100,000	Business income	
3	IRA #1				
3.1	U.S. TREASURY NOTE 1.625000% 05/15/2031	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3.2	U.S. TREASURY NOTE 1.875000% 02/15/2032	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3.3	U.S. TREASURY NOTE 0.875000% 11/15/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3.4	U.S. TREASURY NOTE 2.875000% 05/15/2032	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.5	U.S. TREASURY NOTE 1.500000% 02/15/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3.6	U.S. TREASURY NOTE 1.375000% 12/31/2028	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
3.7	U.S. TREASURY NOTE 0.750000% 01/31/2028	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
3.8	U.S. TREASURY NOTE 0.625000% 11/30/2027	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
3.9	U.S. TREASURY NOTE 0.375000% 12/31/2025	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.10	U.S. TREASURY NOTE 1.250000% 11/30/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.11	U.S. TREASURY NOTE 0.375000% 11/30/2025	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.12	U.S. TREASURY NOTE 1.750000% 01/31/2029	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	U.S. TREASURY NOTE 2.500000% 05/15/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3.14	U.S. TREASURY NOTE 1.625000% 11/30/2026	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	U.S. TREASURY NOTE 2.500000% 01/31/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.16	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.17	U.S. TREASURY NOTE 3.875000% 08/15/2033	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	U.S. TREASURY NOTE 3.375000% 05/15/2033	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	IRA #2				
4.1	U.S. TREASURY BILL DUE 11/30/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
4.2	U.S. TREASURY BILL DUE 06/29/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5	"The Unraveling: Reflections on Politics without Ethics and Democracy in Crisis" (value not readily ascertainable), Rowman & Littlefield Publishers	N/A		Book advance	
6	IRA #3	No			
6.1	Vanguard Target Fund 2015	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US bank #1 (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2	Brokerage Account #1	No			
2.1	U.S. TREASURY NOTE 3.500000% 02/15/2033	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.2	U.S. TREASURY NOTE 1.875000% 02/15/2032	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
2.3	U.S. TREASURY NOTE 1.250000% 08/15/2031	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.4	U.S. TREASURY NOTE 0.875000% 11/15/2030	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.5	U.S. TREASURY NOTE 1.375000% 11/15/2031	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.6	U.S. TREASURY NOTE 0.250000% 10/31/2025	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
2.7	U.S. TREASURY NOTE 1.750000% 11/15/2029	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.8	U.S. TREASURY NOTE 1.750000% 01/31/2029	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.9	U.S. TREASURY NOTE 2.375000% 02/29/2024	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.10	U.S. TREASURY NOTE 1.500000% 02/15/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.11	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.12	U.S. TREASURY NOTE 1.625000% 10/31/2026	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.13	U.S. TREASURY NOTE 2.750000% 08/15/2032	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.14	U.S. TREASURY NOTE 1.375000% 12/31/2028	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
2.15	U.S. TREASURY NOTE 2.000000% 11/15/2026	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
2.16	U.S. TREASURY NOTE 0.500000% 10/31/2027	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
2.17	U.S. TREASURY NOTE 1.250000% 03/31/2028	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
2.18	U.S. TREASURY NOTE 3.375000% 05/15/2033	N/A	\$250,001 - \$500,000		None (or less than \$201)
3	Brokerage Account #2	No			
3.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3.2	ISHARES MSCI PACIFIC EX JAPAN ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.3	VANGUARD FTSE EUROPEAN ETF ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.4	ISHARES CORE MSCI EMERGING MARKETS ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.5	ISHARES, INC. - ISHARES MSCI UNITED KINGDOM ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.6	ISHARES, INC.MSCI JAPAN ETF MUTUAL FUND	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.7	ISHARES MSCI EUROZONE ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.8	ISHARES CORE DIVIDEND GROWTH ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.9	ISHARES CORE S&P SMALL-CAP ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.10	ISHARES S&P 100 ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.11	ISHARES CORE S&P MID-CAP ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.12	ISHARES RUSSELL 1000 VALUE ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.13	ISHARES RUSSELL 1000 GROWTH ETF	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
3.14	SPDR S&P 500 ETF TRUST	Yes	Over \$1,000,000		\$15,001 - \$50,000
4	Brokerage Account #3	No			
4.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
4.2	BNP PARIBAS LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.3	UBS AG LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.4	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.5	ROYAL BANK OF CANADA LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.6	SOCIETE GENERALE LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.7	TORONTO DOMINION BANK LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.8	CANADIAN IMPERIAL BANK OF COMM LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.9	JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Brokerage Account #4	No			
5.1	U.S. TREASURY NOTE 2.125000% 05/15/2025	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.2	U.S. TREASURY NOTE 1.500000% 02/15/2025	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.3	U.S. TREASURY NOTE 1.000000% 12/15/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.4	U.S. TREASURY NOTE 1.750000% 07/31/2024	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
5.5	U.S. TREASURY NOTE 2.500000% 01/31/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.6	U.S. TREASURY NOTE 2.000000% 08/15/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.7	U.S. TREASURY NOTE 0.250000% 03/15/2024	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.8	U.S. TREASURY NOTE 0.875000% 01/31/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.9	U.S. TREASURY NOTE 0.750000% 12/31/2023	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
5.10	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.11	U.S. TREASURY NOTE 2.250000% 12/31/2023	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.12	U.S. TREASURY NOTE 1.750000% 03/15/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6	Brokerage Account #5	No			
6.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	Brokerage Account #6	No			
7.1	U.S. TREASURY NOTE 1.125000% 02/15/2031	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
7.2	U.S. TREASURY NOTE 1.875000% 02/15/2032	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
7.3	U.S. TREASURY NOTE 0.875000% 11/15/2030	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
7.4	U.S. TREASURY NOTE 1.375000% 12/31/2028	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
7.5	U.S. TREASURY NOTE 2.750000% 05/31/2029	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.6	U.S. TREASURY NOTE 1.125000% 02/29/2028	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
7.7	U.S. TREASURY NOTE 1.625000% 09/30/2026	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
7.8	U.S. TREASURY NOTE 0.375000% 11/30/2025	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
7.9	U.S. TREASURY NOTE 2.875000% 05/15/2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.10	U.S. TREASURY NOTE 4.125000% 11/15/2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.11	U.S. TREASURY NOTE 0.625000% 11/30/2027	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
7.12	U.S. TREASURY NOTE 1.750000% 12/31/2024	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
7.13	U.S. TREASURY NOTE 2.375000% 02/29/2024	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.14	U.S. TREASURY NOTE 1.625000% 10/31/2026	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.15	U.S. TREASURY NOTE 2.500000% 05/15/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.16	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.17	U.S. TREASURY NOTE 0.125000% 01/15/2024	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	Brokerage Account #7	No			
8.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.2	ISHARES MSCI PACIFIC EX JAPAN ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8.3	ISHARES CORE MSCI EMERGING MARKETS ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.4	VANGUARD FTSE EUROPEAN ETF ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.5	ISHARES, INC. - ISHARES MSCI UNITED KINGDOM ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.6	ISHARES, INC.MSCI JAPAN ETF MUTUAL FUND	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.7	ISHARES MSCI EUROZONE ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8.8	ISHARES CORE DIVIDEND GROWTH ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.9	ISHARES CORE S&P SMALL-CAP ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.10	ISHARES CORE S&P MID-CAP ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.11	ISHARES S&P 100 ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.12	ISHARES RUSSELL 1000 VALUE ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
8.13	ISHARES RUSSELL 1000 GROWTH ETF	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
8.14	SPDR S&P 500 ETF TRUST	Yes	Over \$1,000,000		\$5,001 - \$15,000
9	Brokerage Account #8	No			
9.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.2	UBS AG LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.3	BNP PARIBAS LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.4	MORGAN STANLEY FINANCE LLC LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.5	JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.6	TORONTO DOMINION BANK LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.7	THE BANK OF NOVA SCOTIA LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.8	SOCIETE GENERALE LINKED TO S&P 500 INDEX	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.9	CANADIAN IMPERIAL BANK OF COMM LINKED TO S&P 500	N/A	\$100,001 - \$250,000		None (or less than \$201)
10	Brokerage Account #9	No			
10.1	U.S. TREASURY NOTE 1.000000% 12/15/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2	U.S. TREASURY NOTE 2.500000% 01/31/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10.3	U.S. TREASURY NOTE 2.000000% 08/15/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10.4	U.S. TREASURY NOTE 2.000000% 02/15/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10.5	U.S. TREASURY NOTE 2.500000% 04/30/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10.6	U.S. TREASURY NOTE 1.750000% 07/31/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.7	U.S. TREASURY NOTE 1.750000% 12/31/2024	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.8	U.S. TREASURY NOTE 0.125000% 02/15/2024	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.9	U.S. TREASURY NOTE 0.875000% 01/31/2024	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.10	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.11	U.S. TREASURY NOTE 0.750000% 12/31/2023	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
10.12	U.S. TREASURY NOTE 2.875000% 11/30/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10.13	U.S. TREASURY NOTE 4.000000% 12/15/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11	Brokerage Account #10	No			
11.1	GOLDMAN SACHS BANK USA DEPOSIT (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.2	PJSC LUKOIL CMN	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Knights of Columbus, whole life	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	Lincoln Financial Group, whole life	See Endnote	\$50,001 - \$100,000		None (or less than \$201)
14	Brighthouse Financial, variable life	No			
14.1	American Funds Growth Portfolio	Yes	\$250,001 - \$500,000		None (or less than \$201)
14.2	Brighthouse/Aberdeen Emerging Markets Equity Portfolio (Class B)	Yes	\$100,001 - \$250,000		None (or less than \$201)
14.3	Brighthouse/Franklin Low Duration Total Return Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
14.4	Brighthouse/Wellington Core Equity Opportunities Portfolio (Class E)	Yes	\$250,001 - \$500,000		None (or less than \$201)
14.5	MetLife MSCI EAFE Index Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
14.6	Western Asset Management U.S. Government Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
15	Lincoln Financial Group, variable annuity	No			
15.1	6 Year S&P 500 Cap 20% Protection	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
15.2	6 Year Capital Strength Cap 20% Protect	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
16	Brokerage Account #11	No			
16.1	U.S. TREASURY BILL DUE 10/05/2023	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
16.2	U.S. TREASURY BILL DUE 06/29/2023	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
17	Brokerage Account #12	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1	U.S. TREASURY BILL DUE 11/30/2023	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
17.2	U.S. TREASURY BILL DUE 06/29/2023	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
18	Trust #1	No			
18.1	BNY MELLON, N.A. (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
18.2	BNY MELLON, N.A. (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
18.3	BNY Mellon National Intermediate Municipal Bond Fund Class M Shares (MPNIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.4	BNY Mellon Yield Enhancement Strategy Fund Class Y Shares (DABJX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
18.5	iShares Core S&P 500 ETF (IVV)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
18.6	BNY Mellon Mid Cap Multi-Strategy Fund Class M Shares (MPMCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.7	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.8	BNY Mellon Small Cap Multi-Strategy Fund Class M Shares (MPSSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.9	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.10	Fidelity Advisor International Small Cap Fund Class Z Shares (FIQIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.11	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
18.12	iShares MSCI Emerging Markets ex China ETF (EMXC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.13	Allspring Global Long/Short Equity-Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.14	BNY MellonGlobal Real Return Fund Class Y Shares (DRRYX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
18.15	BNY MellonGlobal Real Estate Securities Class Y Shares (DRLYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.16	Gateway Fund Class Y Shares (GTEYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.17	Goldman Sachs Absolute Return Tracker Fund Institutional Class Shares (GJRTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.18	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	Jackson National Life Insurance Co, variable life	No			
19.1	JNL/Mellon S&P 500 Index Fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
19.2	JNL/American Funds Growth-Income Fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
19.3	JNL Multi-Manager Small Cap Growth Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.4	JNL Small Cap Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.5	JNL International Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.6	JNL American Funds Internatioanl Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
20	Prudential, variable annuity	No			
20.1	S&P 500 - 6 Yr Cap Buffer 20%	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Lincoln Financial Group, variable annuity	No			
21.1	6 Year S&P 500 Cap 20% Protection	Yes	\$250,001 - \$500,000		None (or less than \$201)
21.2	6 Year MSCI EAFE Cap 10% Protection	Yes	\$100,001 - \$250,000		None (or less than \$201)
21.3	6 Year Russell 2000 Cap 20% Protection	Yes	\$100,001 - \$250,000		None (or less than \$201)
22	Trust #2	No			
22.1	John Hancock, universal life	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
23	Prudential, variable annuity	No			
23.1	S&P 500 - 6 Yr Cap Buffer 20%	N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	iShares Core Dividend Growth ETF (DGRO)	Purchase	06/16/2023	\$1,001 - \$15,000
2	iShares MSCIPacific ex Japan ETF (EPP)	Purchase	06/16/2023	\$1,001 - \$15,000
3	iShares Core S&P Small-Cap ETF (IJR)	Purchase	06/16/2023	\$1,001 - \$15,000
4	iShares Core S&P Small-Cap ETF (IJR)	Purchase	06/16/2023	\$15,001 - \$50,000
5	iShares Russell 1000 Value ETF (IWD)	Purchase	06/16/2023	\$15,001 - \$50,000
6	iShares MSCIPacific ex Japan ETF (EPP)	Purchase	06/28/2023	\$1,001 - \$15,000
7	iShares Core S&P Small-Cap ETF (IJR)	Purchase	06/28/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	BNY Mellon S/C Multi-Strategy Fund	Sale	11/21/2023	\$15,001 - \$50,000
9	iShares Core S&P Small-Cap ETF (IJR)	Sale	11/22/2023	\$1,001 - \$15,000
10	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	11/22/2023	\$1,001 - \$15,000
11	iShares Core S&P 500 ETF (IVV)	Purchase	11/22/2023	\$15,001 - \$50,000
12	iShares Core S&P 500 ETF (IVV)	Purchase	11/22/2023	\$15,001 - \$50,000
13	BNY Mellon M/C Multi-Strategy Fund	Purchase	12/14/2023	\$1,001 - \$15,000
14	BNY Mellon M/C Multi-Strategy Fund	Sale	03/07/2023	\$1,001 - \$15,000
15	Gateway Fund Class Y Shares (GTEYX)	Sale	03/07/2023	\$15,001 - \$50,000
16	Vanguard Russell 1000	Sale	03/08/2023	\$100,001 - \$250,000
17	iShares Core MSCI EAFE ETF (IEFA)	Sale	03/08/2023	\$15,001 - \$50,000
18	iShares Core S&P Mid-Cap ETF (IJH)	Sale	03/08/2023	\$1,001 - \$15,000
19	iShares Short-Term National Muni Bond ETF (SUB)	Sale	03/08/2023	\$1,001 - \$15,000
20	Allspring Global Long/Short Equity-Y	Purchase	03/08/2023	\$15,001 - \$50,000
21	BNY Mellon National Intermediate Municipal Bond Fund Class M Shares (MPNIX)	Purchase	03/08/2023	\$1,001 - \$15,000
22	BNY Mellon S/C Multi-Strategy Fund	Purchase	03/08/2023	\$15,001 - \$50,000
23	BNY Mellon Global Real Return Fund Class Y Shares (DRRYX)	Purchase	03/08/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	BNY Mellon Yield Enhancement Strategy Fund Class Y Shares (DABJX)	Purchase	03/08/2023	\$1,001 - \$15,000
25	DFA Commodity Strategy Portfolio	Purchase	03/08/2023	\$1,001 - \$15,000
26	Neuberger Berman Long Short Fund Institutional	Purchase	03/08/2023	\$1,001 - \$15,000
27	iShares Core S&P 500 ETF (IVV)	Purchase	03/08/2023	\$100,001 - \$250,000
28	iShares Core MSCI EAFE ETF (IEFA)	Purchase	03/08/2023	\$15,001 - \$50,000
29	iShares Core S&P Small-Cap ETF (IJR)	Purchase	03/08/2023	\$1,001 - \$15,000
30	iShares MSCIEmerging Markets ex China ETF (EMXC)	Purchase	05/15/2023	\$15,001 - \$50,000
31	Dimensional Emerging Core Equity Market ETF Dimensional Emerging Core Equity Market ETF (DFAE)	Sale	05/12/2023	\$15,001 - \$50,000
32	DFA Commodity Strategy Portfolio	Sale	08/15/2023	\$1,001 - \$15,000
33	iShares Core S&P 500 ETF (IVV)	Sale	08/16/2023	\$1,001 - \$15,000
34	BNY Mellon M/C Multi-Strategy Fund	Purchase	08/16/2023	\$1,001 - \$15,000
35	BNY Mellon National Intermediate Municipal Bond Fund Class M Shares (MPNIX)	Purchase	08/16/2023	\$1,001 - \$15,000
36	BNY Mellon S/C Multi-Strategy Fund	Purchase	08/16/2023	\$1,001 - \$15,000
37	BNY MellonGlobal Real Return Fund Class Y Shares (DRRYX)	Purchase	08/16/2023	\$1,001 - \$15,000
38	BNY Mellon Yield Enhancement Strategy Fund Class Y Shares (DABJX)	Purchase	08/16/2023	\$1,001 - \$15,000
39	iShares Core S&P Small-Cap ETF (IJR)	Purchase	08/16/2023	\$1,001 - \$15,000
40	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	08/16/2023	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	13	Also has long-term care benefit

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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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. § 13101 et seq., as amended by the Representative Louise McIntosh Slaughter 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 13989 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).
