

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

## Filer's Information

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Meehan, Bernadette M

U.S. Ambassador to the Republic of Chile, Department of State

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Meehan, Bernadette M [electronically signed on 04/16/2023 by Meehan, Bernadette M in Integrity.gov]

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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/ Walker, Denise, Certifying Official [electronically signed on 04/27/2023 by Walker, Denise in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 05/12/2023 by Granahan, Megan in Integrity.gov]

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Data Revised 04/27/2023

Data Revised 04/24/2023

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Hostage US	Washington, District of Columbia	Non-Profit	Member, Advisory Council	3/2019	7/2022
2	Georgetown University Institute for the Study of Diplomacy	Washington, District of Columbia	University/College	Member of the Board of Advisors	3/2018	7/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Obama Foundation 403(B) Plan	No			
1.1	BlackRock LifePath Index 2055 K (LIVKX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	Rollover IRA	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.2	Fidelity Equity Income (FEQIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Neuberger Berman Genesis Investor CL (NBGNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Obama Foundation	Chicago, Illinois	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	2/2017

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgetown University	N/A		Salary	
2	The Asia Group (Strategic advisory firm to companies working in the Asia-Pacific region)	N/A		Salary	
3	Rio Tinto	N/A		consulting fees	
4	Element Capital (Investment manager)	N/A		consulting fees	
5	BlackBerry Government Solutions	N/A		director fees	
6	Georgetown University 457(b)	No			
6.1	Fidelity Freedom Index 2050 Fund (FFOPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.2	Fidelity Freedom Index 2035 Fund (FFEZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Rand Corporation 401(a)	No			
7.1	TIAA Traditional Fixed Annuity	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Georgetown University 403(b) Voluntary Contribution Retirement Plan	No			
8.1	TIAA-CREF Lifecycle Index 2035 Fund - Institutional Class (TLYIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.2	CREF Stock R3 (QCSTIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Georgetown University 403(b) Defined Contribution Retirement Plan	No			
9.1	TIAA-CREF Social Choice Equity Fund - Institutional Class (TISCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.2	TIAA-CREF Lifecycle Index 2035 Fund Institutional Class Shares (TLYIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	SEP IRA	No			
10.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2	Global X Lithium & Battery Tech ETF (LIT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.3	ISHARES MSCI PHILIPPINES ETF (EPHE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.4	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.5	T ROWE PRICE COMMUNICATIONS & TECHNOLOGY FUND (PRMTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.6	Pax Global Environmental Markets Fund Institutional Class (PGINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.7	ROBO GLOBAL ROBOTICS & AUTOMATION INDEX ETF (ROBO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.8	Rydex NASDAQ-100® Fund Investor Class (RYOCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.9	Virtus AllianzGI Water Fund Institutional Class (AWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.10	iShares Select Dividend ETF (DIVY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.11	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.12	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.13	SPDR S&P Dividend ETF (SDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	IRA	No			
11.1	AB Sustainable Global Thematic Fund Advisor Class (ATEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	Invesco Global Opportunities Fund Class Y (OGIYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	iShares MSCI USA ESG Select ETF (SUSA)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.4	Oberweis International Opportunities Fund (OBIOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.5	Virtus KAR Small-Cap Growth Fund Class I (PXSGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.6	T. Rowe Price Global Technology Fund (PRGTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.7	Pax Global Environmental Markets Fund Institutional Class (PGINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.8	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.9	T. Rowe Price Blue Chip Growth Fund (TRBCX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.10	Virtus AllianzGI Water Fund Institutional Class (AWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.11	Business Development Corp of America Funds NO 6812 (BDVC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.12	iShares Select Dividend ETF (DVY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.13	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.14	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.15	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	United States Institute of Peace	N/A		consulting fees	
13	Gerson Lehrman Group	N/A		consulting fees	
14	Gorilla Technologies Group	N/A		director fees	
15	Pentwater Capital	N/A		consulting fees	
16	AlphaSights	N/A		consulting fees	
17	Council on Foreign Relations - January 31, 2022	N/A		Honorarium	\$100
18	CHS Incorporated - March 8, 2022	N/A		Honorarium	\$25,000
19	XP Securities - March 16, 2022	N/A		Honorarium	\$3,500
20	Financial Times - March 18, 2022	N/A		Honorarium	\$450
21	Macquarie Bank - April 4, 2022	N/A		Honorarium	\$5,000
22	Boston University - April 14, 2022	N/A		Honorarium	\$350
23	Jeffries - April 14, 2022	N/A		Honorarium	\$8,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	XP Securities - April 21, 2022	N/A		Honorarium	\$3,500
25	ANZ Bank - April 21, 2022	N/A		Honorarium	\$5,000
26	World 50 Speakers - August 16, 2022	N/A		Honorarium	\$15,000
27	Science Applications Intl Corp - July 21, 2022	N/A		Honorarium	\$750
28	Goldman Sachs - June 14, 2022	N/A		Honorarium	\$20,000
29	CSIS - July 15, 2022	N/A		Honorarium	\$500
30	Foreign Policy Research Institute - July 15, 2022	N/A		Honorarium	\$500
31	Ergo Global Intelligence - July 19, 2022	N/A		Honorarium	\$15,000
32	Stanford University - May 31, 2022	N/A		Honorarium	\$500
33	Ergo Global Intelligence - June 13, 2022	N/A		Honorarium	\$5,000
34	Geodesic Capital - June 15, 2022	N/A		Honorarium	\$2,500
35	The World Bank - June 20, 2022	N/A		Honorarium	\$500
36	Claremont McKenna College - June 1, 2022	N/A		Honorarium	\$2,500
37	Macquarie Bank - May 26, 2022	N/A		Honorarium	\$6,000
38	CSIS - May 18, 2022	N/A		Honorarium	\$500
39	Goldman Sachs - November 2, 2022	N/A		Honorarium	\$25,000
40	Met Life - October 26, 2022	N/A		Honorarium	\$5,000
41	Asia Society - October 1, 2022	N/A		Honorarium	\$10,000
42	T Rowe Price - September 26, 2022	N/A		Honorarium	\$10,000
43	Cabot Industries - September 7, 2022	N/A		Honorarium	\$25,000
44	CDPQ Canadian Pension Fund - September 1, 2022	N/A		Honorarium	\$10,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45	Barclays Capital - October 15, 2022	N/A		Honorarium	\$6,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage Account #1	No			
1.1	Cash	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.2	ISHARES MSCI BRAZIL ETF (EWZ)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.3	Citigroup (C)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.4	Visa (V)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
1.5	iShares Select Dividend ETF (DIV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.6	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.8	SPDR S&P Dividend ETF (SDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Bank Checking Account #1	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	DC College Savings Plan - 529(b) #1	No	\$50,001 - \$100,000		
3.1	DC College Savings 2034 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	U.S. Total Stock Market Index Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	DC College Savings Plan - 529(b) #2	No	\$50,001 - \$100,000		
4.1	DC College Savings 2034 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	U.S. Total Stock Market Index Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Residential Real Estate - Washington, DC #1	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
6	U.S. Bank Savings Account	N/A	None (or less than \$1,001)		None (or less than \$201)
7	U.S. Bank Checking Account #2	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	U.S. Bank Joint Checking Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	US Brokerage Account #2	No			
9.1	Alger Small Cap Focus Fund Class Z Shares (AGOZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.2	American Tower Corporation (REIT) (AMT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
9.3	Cisco Systems, Inc. (CSCO)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
9.4	Crown Castle International Corp. (CCI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.5	CyrusOne, Inc. (CONE)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
9.6	First Trust NASDAQ Clean Edge Green Energy Idx Fd ETF (QCLN)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.7	iShares Global Clean Energy ETF (ICLN)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.8	VanEck Vectors Vietnam ETF (VNM)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.9	PIMCO Flexible Credit Income Fund (PFLEX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
9.10	Global X FinTech ETF (FINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.11	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.12	iShares Select Dividend ETF (DIV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.13	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.14	Microsoft Corporation (MSFT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
9.15	Virtus KAR Small-Cap Growth Fund Class I (PXSGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.16	Invesco S&P 500 Top 50 ETF (XLG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.17	Invesco WilderHill Clean Energy ETF (PBW)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.18	T. Rowe Price Health Sciences Fund (PRHSX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
9.19	SPDR S&P Dividend ETF (SDY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9.20	Vanguard Total Stock Market Index Fund ETF (VTI)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.21	Visa, Inc. (V)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
9.22	Williams Companies Inc (WMB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.23	SQN AIF IV LP	See Endnote	Yes	\$15,001 - \$50,000	None (or less than \$201)
9.24	PHILLIPS EDISON & COMPANY INC (PECO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.25	HOSPITALITY INVESTORS TRUST INC	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
9.26	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.27	SPDR S&P 500 ETF Trust (SPY)	N/A	\$100,001 - \$250,000		\$201 - \$1,000
9.28	iShares Select Dividend ETF (DVY)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
9.29	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.30	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	Residential Real Estate - Washington, DC #2	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
11	U.S. Brokerage #3	No			
11.1	Fidelity Money Market Portfolio Institutional Class (FNSXX)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
12	Residential Real Estate - Washington, DC #3	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Visa, Inc. (V)	Sale	08/31/2022	\$50,001 - \$100,000
2	Citigroup, Inc. (C)	Sale	08/31/2022	\$1,001 - \$15,000
3	Apple, Inc. (AAPL)	Sale	08/31/2022	\$100,001 - \$250,000
4	United Airlines Holdings, Inc. (UAL)	Sale	08/31/2022	\$1,001 - \$15,000
5	Visa, Inc. (V)	Sale	08/31/2022	\$100,001 - \$250,000
6	Visa, Inc. (V) See Endnote	Sale	03/01/2022	\$15,001 - \$50,000
7	Pacer US Cash Cows 100 ETF (COWZ)	Purchase	09/08/2022	\$1,001 - \$15,000
8	iShares Select Dividend ETF (DIVY)	Purchase	09/08/2022	\$1,001 - \$15,000
9	SPDR S&P Dividend ETF (SDY)	Purchase	09/08/2022	\$1,001 - \$15,000
10	SPDR S&P 500 ETF Trust (SPY)	Purchase	09/08/2022	\$15,001 - \$50,000
11	Digital Realty Trust, Inc. (DLR)	Sale	09/02/2022	\$1,001 - \$15,000
12	Matthews China Small Companies Fund Investor Class Shares (MCSMX)	Sale	09/02/2022	\$15,001 - \$50,000
13	Microsoft Corp. (MSFT)	Sale	09/02/2022	\$15,001 - \$50,000
14	T Rowe Price Health Sciences Fund, Inc (PRHSX)	Sale	09/02/2022	\$15,001 - \$50,000
15	VanEck Vectors Vietnam ETF (VNM)	Sale	09/02/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	Visa, Inc. (V)	Sale	09/02/2022	\$15,001 - \$50,000
17	American Tower Corporation (REIT) (AMT)	Sale	09/02/2022	\$15,001 - \$50,000
18	Cisco Systems, Inc. (CSCO)	Sale	09/02/2022	\$15,001 - \$50,000
19	First Trust NASDAQ Clean Edge Green Energy Index Fund (QCLN)	Sale	09/02/2022	\$1,001 - \$15,000
20	iShares Global Clean Energy ETF (ICLN)	Sale	09/02/2022	\$1,001 - \$15,000
21	iShares US Medical Devices ETF (IHI)	Sale	09/02/2022	\$15,001 - \$50,000
22	Matthews India Fund Investor Class Shares (MINDX)	Sale	09/02/2022	\$15,001 - \$50,000
23	Matthews China Fund Investor Class Shares (MCHFX)	Sale	09/02/2022	\$15,001 - \$50,000
24	PGIM Jennison Health Sciences Fund Class Z Shares (PHSZX)	Sale	09/02/2022	\$15,001 - \$50,000
25	VanEck Vectors Vietnam ETF (VNM)	Sale	09/02/2022	\$1,001 - \$15,000
26	Linde Plc (LIN)	Sale	09/02/2022	\$15,001 - \$50,000
27	Invesco WilderHill Clean Energy ETF (PBW)	Sale	09/02/2022	\$1,001 - \$15,000
28	iShares Select Dividend ETF (DVY)	Purchase	09/02/2022	\$15,001 - \$50,000
29	Pacer US Cash Cows 100 ETF (COWZ)	Purchase	09/02/2022	\$15,001 - \$50,000
30	SPDR S&P 500 ETF Trust (SPY)	Purchase	09/02/2022	\$15,001 - \$50,000
31	SPDR S&P Dividend ETF (SDY)	Purchase	09/02/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
32	iShares Select Dividend ETF (DVY)	Purchase	09/02/2022	\$1,001 - \$15,000
33	Pacer US Cash Cows 100 ETF (COWZ)	Purchase	09/02/2022	\$1,001 - \$15,000
34	SPDR S&P Dividend ETF (SDY)	Purchase	09/02/2022	\$1,001 - \$15,000
35	SPDR S&P Dividend ETF (SDY)	Purchase	09/02/2022	\$15,001 - \$50,000
36	iShares Select Dividend ETF (DVY)	Purchase	09/02/2022	\$15,001 - \$50,000
37	Pacer US Cash Cows 100 ETF (COWZ)	Purchase	09/02/2022	\$1,001 - \$15,000
38	iShares Select Dividend ETF (DVY)	Purchase	09/02/2022	\$15,001 - \$50,000
39	Pacer US Cash Cows 100 ETF (COWZ)	Purchase	09/02/2022	\$15,001 - \$50,000
40	SPDR S&P 500 ETF Trust (SPY)	Purchase	09/02/2022	\$50,001 - \$100,000
41	SPDR S&P 500 ETF Trust (SPY)	Purchase	09/02/2022	\$15,001 - \$50,000
42	SPDR S&P 500 ETF Trust (SPY)	Purchase	09/02/2022	\$15,001 - \$50,000
43	SPDR S&P Dividend ETF (SDY)	Purchase	09/02/2022	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase	See Endnote	Mortgage (investment/rental property)	\$250,001 - \$500,000	2013	3.75%	30 Year Fixed

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	Bank of America	See Endnote	Mortgage (investment/rental property)	\$50,001 - \$100,000	2010	4.25%	15 Year Fixed
3	USAA Visa		Credit Card	\$10,001 - \$15,000	2021	11.9%	Revolving
4	Wells Fargo		Mortgage on Personal Residence	\$500,001 - \$1,000,000	2019	2.75%	30 year fixed

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	9.23	Waiting for K-1. No information on this holding.
6.	9.25	Went bankrupt in 2021; capital loss
7.	6	Sold prior to confirmation
8.	1	DC property #1
8.	2	second refinance; DC property #2



# 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).

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