

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Waterman, David

United States Attorney, Southern District of Iowa, Department of Justice - Executive Office for United States Attorneys

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on the Judiciary
-

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/ Waterman, David [electronically signed on 12/24/2023 by Waterman, David 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/ Lauria, Jolene A, Certifying Official [electronically signed on 03/08/2024 by Lauria, Jolene A in Integrity.gov]

Other review conducted by

/s/ Macklin, Jay, Ethics Official [electronically signed on 02/29/2024 by Macklin, Jay in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/21/2024 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Lane & Waterman LLP	Davenport, Iowa	Law Firm	Attorney	8/2020	Present
2	Quad City Symphony Orchestra	Davenport, Iowa	Non-Profit	Board Member	1/2021	Present
3	YMCA of the Iowa Mississippi Valley	Davenport, Iowa	Non-Profit	Board Member	1/2022	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Lane & Waterman LLP (law firm)	N/A		Salary, bonus	\$235,461
2	Traditional IRA	No			
2.1	BERKSHIRE HATHAWAY INC CL B (BRK B)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Invesco Russell 1000 Equal Weight ETF (EQAL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Invesco S&P 500 Equal Weight ETF (RSP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	ISHARES CORE DIV GROWTH ETF (DGRO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	SECTOR SPDR TRUST TECHNOLOGY (XLK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	SPDR S&P 500 ETF (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	VANGUARD MID CAP VALUE ETF (VOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	AMERICAN BOND FUND OF AMER F3 (BFFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	BR HEALTH SCIENCES OPPORT K (SHSKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	FRANKLIN DYNATECH R6 (FDTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	JPMORGAN EQUITY INCOME R6 (OIEJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	MFS INCOME FD CL R6 (MFIWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	MFS INTL DIVERSIFICATION R6 (MDIZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	PGIM JENNISON GLOBAL OPPORT R6 (PRJQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	Growth Fund of America Class F3 Shares (GAFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	New World Fund, Inc Class F3 Shares (FNWFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	BlackRock Technology Opportunities Fund Class K Shares (BTEKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Roth IRA	No			
3.1	ALPHABET INC CL A (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	BERKSHIRE HATHAWAY INC CL B (BRK B)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	NVIDIA CORP (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Invesco Russell 1000 Equal Weight ETF (EQAL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Invesco S&P 500 Equal Weight ETF (RSP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	ISHARES CORE DIV GROWTH ETF (DGRO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	ISHARES CORE S&P SMALL CAP ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	ISHARES DJ US MEDICAL DEVICES (IHI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	SPDR S&P 500 ETF (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	VANGUARD MID CAP VALUE ETF (VOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	AMERICAN BOND FUND OF AMER F3 (BFFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	BR HEALTH SCIENCES OPPORT K (SHSKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	FRANKLIN DYNATECH R6 (FDTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	JPMORGAN EQUITY INCOME R6 (OIEJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	JPMORGAN LARGE CAP GROWTH R6 (JLGMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	MFS INCOME FD CL R6 (MFIWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.17	MFS INTL DIVERSIFICATION R6 (MDIZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	MFS VALUE R6 (MEIKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	PGIM JENNISON GLOBAL OPPORT R6 (PRJQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	New World Fund, Inc Class F3 Shares (FNWFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.21	Advanced Micro Devices, Inc. (AMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	BlackRock Technology Opportunities Fund Class K Shares (BTEKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Lane & Waterman LLP and 401k	No			
4.1	Vanguard Target Retirement 2040 Fund Investor Class Shares (VFORX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Lane & Waterman LLP	Davenport, Iowa	I will participate in this defined contribution plan after my separation. The plan sponsor will not make further contributions after my separation.	8/2021

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Lane & Waterman LLP	Davenport, Iowa	Services as Attorney

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	AB Marketing, LLC		Davenport, Iowa	Services as Attorney
3	Allen Memorial Hospital Corporation		Waterloo, Iowa	Services as Attorney
4	Becky Ramkera and Big River HCS, Inc		Davenport , Iowa	Services as Attorney
5	Bee Line Company, Bee Line International Company, and Lee McLaughlin		Bettendorf, Iowa	Services as Attorney
6	Berkley Environmental, Joshua E. Post, and Groundwater Treatment & Technology, LLC	See Endnote	Jersey City, New Jersey	Services as Attorney
7	Bruce Weisbein, DC, and My Chiro, LLC		Cedar Rapids, Iowa	Services as Attorney
8	Christopher Fretheim, DC, and Evansdale Chiropractic Clinic, PLC		Evansdale, Iowa	Services as Attorney
9	Christopher J. Gussenhoven and H & M Trucking, Inc		Omaha, Nebraska	Services as Attorney
10	Cincinnati Insurance Company		Fairfield, Ohio	Services as Attorney
11	City of Davenport and Chief Francis Donchez		Davenport, Iowa	Services as Attorney
12	CNA Insurance Company		Chicago, Illinois	Services as Attorney
13	COPIC Insurance		Denver, Colorado	Services as Attorney
14	Custom-Pak, Inc		Clinton, Iowa	Services as Attorney
15	D&M Carriers LLC d/b/a Freymiller, Cottingham & Butler and Kevin Putnam		Davenport, Iowa	Services as Attorney
16	Dana Frye		Bettendorf, Iowa	Services as Attorney
17	Davenport Community School District		Davenport, Iowa	Services as Attorney
18	Deere & Company		Moline, Illinois	Services as Attorney
19	Deere Employees Credit Union		Moline , Illinois	Services as Attorney
20	Diocese of Davenport		Davenport, Iowa	Services as Attorney

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
21	Ford Motor Company	Dearborn, Michigan	Services as Attorney
22	Genesis Health System d/b/a Clarissa C. Cook Hospice House	Bettendorf, Iowa	Services as Attorney
23	Genesis Health System d/b/a Genesis Medical Center	Davenport, Iowa	Services as Attorney
24	Genesis Health System d/b/a Genesis Medical Center and Bethel Aschenaki, MD	Davenport, Iowa	Services as Attorney
25	Get Well Clinic, LLP, and Heather Easton, ARNP	Ottumwa, Iowa	Services as Attorney
26	Grace Technologies and Drew Allen	Davenport, Iowa	Services as Attorney
27	HNI Corporation and Jeff Lorenger	Muscatine, Iowa	Services as Attorney
28	Impact MHC Management, LLC	Cedaredge, Colorado	Services as Attorney
29	Iowa State Council of Trout Unlimited	Davenport, Iowa	Services as Attorney
30	Iowa Select Farms and Jeff Hansen	Iowa Falls, Iowa	Services as Attorney
31	Jack Dunn	Davenport, Iowa	Services as Attorney
32	J.C. Cross Company and Pete Cross	Davenport, Iowa	Services as Attorney
33	Jeffrey A. Hanssen, D.C., individually, and as sole proprietor of Hanssen Chiropractic	Muscatine, Iowa	Services as Attorney
34	Jerry Starbuck	Fulton, Illinois	Services as Attorney
35	Jim Leach	Iowa City, Iowa	Services as Attorney
36	Lee Enterprises, Inc.; Billings Gazette; and Rapid City Journal	See Endnote	Davenport, Iowa Services as Attorney
37	Leonardo Antaris, MD; Historic Investments, LLC; and Quad Cities Retina Consultants, Inc.	Davenport, Iowa	Services as Attorney

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
38	Linda Galloway, individually, and as personal representative of the Estate of Roger Galloway Rita Crist, individually; Rebecca Berner, individually; Deborah Kleppe, individually; Denise Schwien, individually; and Sharon McAleer, individually	See Endnote	Services as Attorney
39	Main Street Baseball and Dave Heller	Davenport, Iowa	Services as Attorney
40	Michael Gorsline	Davenport, Iowa	Services as Attorney
41	Minnesota Lawyers Mutual Insurance and Michael Warner	Minneapolis, Minnesota	Services as Attorney
42	Mobotrex, Inc.	Davenport, Iowa	Services as Attorney
43	NCMIC Insurance Company	Clive, Iowa	Services as Attorney
44	Oertel Metal Works	Davenport , Iowa	Services as Attorney
45	ORA Orthopedics, PC, and Michael R. Berry, MD	Moline, Illinois	Services as Attorney
46	Paul Q. Nguyen, DC, individually, and Quad City Pain & Wellness	Rock Island, Illinois	Services as Attorney
47	Per Mar Security Services and Brian Duffy	Davenport, Iowa	Services as Attorney
48	Philip Morris USA and Sherman 1400 Broadway N.Y.C., LLC	New York, New York	Services as Attorney
49	Professional Solutions Insurance Company, and Venkateswara Karuparth, MD	Davenport , Iowa	Services as Attorney
50	Rachel Eller, individually, and REMAX Precision	Adel, Iowa	Services as Attorney
51	Regency Hotel Management, LLC	Sioux Falls,, Idaho	Services as Attorney
52	River Cities Engineering	Davenport , Iowa	Services as Attorney
53	Robert Ricketts, DC, and Ricketts Clinic of Chiropractic, Inc.	Dubuque, Iowa	Services as Attorney

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
54	Russell Construction & Development	Davenport , Iowa	Services as Attorney
55	Sally and Budge Gierke	Bettendorf , Iowa	Services as Attorney
56	Scott County, Iowa; Scott County Attorney Michael Walton; and Deputy Greg Hill	Davenport, Iowa	Services as Attorney
57	St. Ambrose University	Davenport, Iowa	Services as Attorney
58	Sterigenics	Oakbrook , Illinois	Services as Attorney
59	TMI Home Warranty	Bettendorf,, Iowa	Services as Attorney
60	Total Nurses Network Insurance	Chicago, Illinois	Services as Attorney
61	Travelers Insurance Company	West Des Moines, Iowa	Services as Attorney
62	Trinity Episcopal Cathedral	Davenport, Iowa	Services as Attorney
63	Unity Point Health Systems	Bettendorf, Iowa	Services as Attorney
64	VandeVoorde Sales, Inc.	Annawan, Illinois	Services as Attorney
65	Vibrant Credit Union	Moline , Illinois	Services as Attorney
66	Williams Brothers Construction, Inc.	Peoria Heights, Illinois	Services as Attorney
67	Activeif LLC	Des Moines, Iowa	Services as Attorney
68	Bettendorf Community Schools	Bettendorf , Iowa	Services as Attorney
69	J.D. Blackman	Davenport, Iowa	Services as Attorney
70	Jordan Bruans	Davenport, Iowa	Services as Attorney
71	Sara Johnson, Burke Cleaners, and JSLK Management Iowa LLC	Davenport, Iowa	Services as Attorney

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
72	Denso Corporation	Kariya, Aichi, Japan, Outside U.S.	Services as Attorney
73	Charles Geyer and Bush Construction	Davenport, Iowa	Services as Attorney
74	Blake Hall and ID.me	McLean, Virginia	Services as Attorney
75	Alexander Hewitt	Rock Island , Illinois	Services as Attorney
76	Life Care Services	Des Moines, Iowa	Services as Attorney
77	Hanover Insurance Group, Inc. and Jen Olsen	Worcester, Massachusetts	Services as Attorney
78	Cintas Corporation	Mason, Ohio	Services as Attorney
79	Trinity Health	Westchester, Illinois	60154
80	David L. Pratt, D.C. and Readlyn Chiropractic Clinic	Readlyn, Iowa	Services as Attorney
81	Christopher Fretheim, D.C., and Evansdale Chiropractic Clinic	Evansdale, Iowa	Services as Attorney

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	Advanced Micro Devices Inc (AMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Alphabet Inc Class A (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Apple Inc (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Autozone Inc (AZO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Berkshire Hathaway Inc Del Class B (BRK B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	Deere & Co (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Enbridge Inc (ENB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.9	Meta Platforms Inc Cl A (META)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Pepsico Inc (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Tapestry Inc (TPR)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.13	Ulta Beauty Inc (ULTA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	Vertex Pharmaceuticals Inc (VRTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.15	Visa Inc Cl A (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	Invesco Exchange-Traded Fd Tr S&P 500 Equal Weight ETF (RSP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	Invesco Qqq Tr (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	iShares US Medical Devices ETF (IHI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	iShares National Muni Bond ETF (MUB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	Technology Select Sector SPDR Fund (XLK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	Vanguard Mid-Cap Value Index Fund ETF (VOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.22	Vanguard Total Bond Market Index Fund ETF (BND)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.23	Vanguard Health Care Index Fund ETF (VHT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.24	American Funds Strategic Bond Fund Class F-3 (ANBGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.25	First Eagle Global Fund Class R6 (FEGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.26	Franklin DynaTech Fund Class R6 (FDTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.27	PGIM Floating Rate Income Fund- Class R6 (PFRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.28	U.S. bank brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.29	Wells Fargo & Co. (WFC)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.30	American Funds Strategic Bond Fund Class F3 Shares (ANBGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Bank Checking Account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Wells Fargo & Co. (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
4.	6	<ul style="list-style-type: none">• 6. Berkley Environmental: Jersey City, NJ• 6. Joshua E. Post: Wantage, NJ• 6. Groundwater Treatment Technology, LLC: Wharton, NJ
4.	36	For clarification, both entities are owned by Lee Enterprises
4.	38	<ul style="list-style-type: none">• 38. Linda Galloway: Grand Mound, IA• 38. Rita Crist: Delmar, IA• 38. Rebecca Berner: Lost Nation, IA• 38. Deborah Kleppe: Delmar, IA• 38. Denise Schvien: Blue Grass, IA• 38. Sharon McAleer: DeWitt, IA

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).
