Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

MURPHY, MICHAEL J

Ambassador to Bosnia and Herzegovina, Department of State

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Assistant Secretary of State, Bureau of European & Eurasian Affairs, Department of State (6/2018 - 10/2021)

Chief of Mission/Ambassador, Department of State (12/2022 - Present)

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/ MURPHY, MICHAEL J [electronically signed on 01/13/2023 by MURPHY, MICHAEL J 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/ Yorke, Vanessa A, Certifying Official [electronically signed on 02/23/2023 by Yorke, Vanessa A in Integrity.gov]

Other review conducted by
/s/ Yorke, Vanessa A, Ethics Official [electronically signed on 02/23/2023 by Yorke, Vanessa A in Integrity.gov]

U.S. Office of Government Ethics Certification
/s/ Granahan, Megan, Certifying Official [electronically signed on 03/10/2023 by Granahan, Megan in Integrity.gov]

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	Roth IRA #1	No			
1.1	Cash	N/A	$1,001 - $15,000		None (or less than $201)
1.2	Consumer Discretionary SPDR (XYL)	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Health Care Select SPDR (XLV)	Yes	$1,001 - $15,000		None (or less than $201)
1.4	iShares Nasdaq Biotechnology (IBB)	Yes	$1,001 - $15,000		None (or less than $201)
1.5	iShares Inc Core MSCI Emerging Markets (IEMG)	Yes	$1,001 - $15,000		$201 - $1,000
1.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	$1,001 - $15,000		None (or less than $201)
1.7	SPDR US Financial (XLF)	Yes	$1,001 - $15,000		None (or less than $201)
1.8	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	$1,001 - $15,000		None (or less than $201)
1.9	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	$1,001 - $15,000		None (or less than $201)
1.10	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	Communication Services Select Sector SPDR Fund (XLC)		Yes	$1,001 - $15,000		None (or less than $201)
1.12	First Trust Cloud Computing ETF (SKYY)		Yes	None (or less than $1,001)		None (or less than $201)
1.13	Vanguard Small-Cap Index Fund ETF Shares (VB)		Yes	$1,001 - $15,000		None (or less than $201)
1.14	Energy Select Sector SPDR Fund (XLE)		Yes	$1,001 - $15,000		None (or less than $201)
1.15	Vanguard Materials Index Fund ETF Shares (VAW)		Yes	None (or less than $1,001)		None (or less than $201)
1.16	Fidelity MSCI Utilities Index ETF (FUTY)		Yes	$1,001 - $15,000		None (or less than $201)
1.17	iShares Edge MSCI Min Vol Emerging Markets ETF (EEMV)		Yes	$1,001 - $15,000		None (or less than $201)
1.18	iShares Edge MSCI Min Vol EAFE ETF (EFAV)		Yes	$1,001 - $15,000		None (or less than $201)
1.19	Schwab Short-Term U.S. Treasury ETF (SCHO)		Yes	$1,001 - $15,000		None (or less than $201)
1.20	VanEck Vectors Semiconductor ETF (SMH)		Yes	$1,001 - $15,000		None (or less than $201)
2	Beneficiary IRA Account	See Endnote	No			
2.1	AB High Income Fund (AGDYX)		Yes	$1,001 - $15,000		$201 - $1,000
2.2	Calamos Convertible Fund (CICVX)		Yes	$1,001 - $15,000		None (or less than $201)
2.3	First Eagle Global Fund (SGIIX)		Yes	$1,001 - $15,000		None (or less than $201)
2.4	Loomis Sayles Strategic Income Fund (NEZYX)		Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Loomis Sayles Global Allocation Fund (LSWWX)	Yes	$1,001 - $15,000		None (or less than $201)
2.6	Principal Mid Cap Fund (PCBIX)	Yes	$1,001 - $15,000		$201 - $1,000
2.7	Principal Blue Chip Fund Institutional Class Shares (PBCKX)	Yes	$1,001 - $15,000		$201 - $1,000

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse Roth IRA	No			
1.1	Cash	N/A	$1,001 - $15,000		None (or less than $201)
1.2	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Health Care Select SPDR (XLV)	Yes	$1,001 - $15,000		None (or less than $201)
1.4	iShares NASDAQ Biotech (IBB)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	iShares INC Core MSCI Emerging Markets (IEMG)	Yes	$1,001 - $15,000		None (or less than $201)
1.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	$1,001 - $15,000		None (or less than $201)
1.7	SPDR US Financial Sector (XLF)	Yes	$1,001 - $15,000		None (or less than $201)
1.8	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	$1,001 - $15,000		None (or less than $201)
1.9	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	$1,001 - $15,000		None (or less than $201)
1.10	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	$1,001 - $15,000		None (or less than $201)
1.11	Communication Services Select Sector SPDR Fund (XLC)	Yes	$1,001 - $15,000		None (or less than $201)
1.12	First Trust Cloud Computing ETF (SKYY)	Yes	None (or less than $1,001)		None (or less than $201)
1.13	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	$1,001 - $15,000		None (or less than $201)
1.14	Energy Select Sector SPDR Fund (XLE)	Yes	$1,001 - $15,000		None (or less than $201)
1.15	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	None (or less than $1,001)		None (or less than $201)
1.16	Fidelity MSCI Utilities Index ETF (FUTY)	Yes	$1,001 - $15,000		None (or less than $201)
1.17	iShares Edge MSCI Min Vol Emerging Markets ETF (EEMV)	Yes	$1,001 - $15,000		None (or less than $201)
1.18	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.19	Schwab Short-Term US Treasury ETF (SCHO)		Yes	$1,001 - $15,000		None (or less than $201)
1.20	VanEck Vectors Semiconductor ETF (SMH)		Yes	None (or less than $1,001)		

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Credit Union Account (cash)		N/A	$50,001 - $100,000		None (or less than $201)
2	Residential Real Estate, Arlington VA	See Endnote	N/A	$500,001 - $1,000,000	Rent or Royalties	$15,001 - $50,000
3	Brokerage Account # 1 (cash)		N/A	$1,001 - $15,000		None (or less than $201)
4	Brokerage Account # 2		No			
4.1	U.S. Cash Account		N/A	$15,001 - $50,000		None (or less than $201)
4.2	Eaton Vance Floating RTE (EAFAX)		Yes	$15,001 - $50,000		$1,001 - $2,500
4.3	Invesco Oppenheimer Developing Markets Fund Class A Shares (ODMAX)		Yes	$1,001 - $15,000		None (or less than $201)
4.4	American EURO Pacific Growth (AEPGX)		Yes	$15,001 - $50,000		$201 - $1,000
4.5	Lord Abbett Intermediate Tax Free (LISAX)		Yes	$15,001 - $50,000		$201 - $1,000
4.6	MFS Value FD CL C (MEIAX)		Yes	$50,001 - $100,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	PGIM Global REAL Estate Fund (PURAX)	Yes	$15,001 - $50,000		$201 - $1,000
4.8	Virtus Newfleet Multi-Sector Short-Term Bond Fund(NARAX)	Yes	$15,001 - $50,000		$201 - $1,000
4.9	Invesco S&P 500 Equal Weight ETF (RSP)	Yes	$15,001 - $50,000		$201 - $1,000
4.10	Proshares S&P 500 Dividend Aristocrats ETF (NOBL)	Yes	$15,001 - $50,000		$201 - $1,000
5	Brokerage Account # 3	No			
5.1	Abbey Capital Futures Strategy Fund Class I Shares (ABYIX)	Yes	$1,001 - $15,000		$201 - $1,000
5.2	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.3	Blackrock Global Long Short Credit Fund (BGCIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.4	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	$1,001 - $15,000		None (or less than $201)
5.5	Blackrock Global Long Short Equity Fund (BDMIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.6	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Yes	$15,001 - $50,000		$201 - $1,000
5.7	Brandywine GLOBAL -Global Unconstrained Bond Fund Class I Shares (LROIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.8	Delaware Small Cap Core Fund Institutional Class Shares (DCCIX)	Yes	$15,001 - $50,000		None (or less than $201)
5.9	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Yes	$15,001 - $50,000		None (or less than $201)
5.10	Gotham Absolute Return Fund Institutional Class Shares (GARIX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.11	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	$15,001 - $50,000		$1,001 - $2,500
5.12	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	$1,001 - $15,000		None (or less than $201)
5.13	iShares Russell 1000 Growth ETF (IWF)	Yes	$50,001 - $100,000		$201 - $1,000
5.14	iShares Russell 1000 Value ETF (IWD)	Yes	$50,001 - $100,000		$1,001 - $2,500
5.15	iShares TR Core MSCI EAF (IEFA)	Yes	$15,001 - $50,000		$201 - $1,000
5.16	John Hancock Seaport Long/Short Fund Class I Shares (JSFDX)	Yes	$1,001 - $15,000		None (or less than $201)
5.17	MFS Value Fund Class I Shares (MEIIX)	Yes	$15,001 - $50,000		$201 - $1,000
5.18	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.19	Oakmark International Fund Institutional Class Shares (OANIX)	Yes	$15,001 - $50,000		$201 - $1,000
5.20	PIMCO Dynamic Bond Fund Class I-2 Shares (PUCPX)	Yes	$1,001 - $15,000		None (or less than $201)
5.21	Schwab US Small-Cap ETF (SCHA)	Yes	$1,001 - $15,000		None (or less than $201)
5.22	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Yes	$15,001 - $50,000		None (or less than $201)
5.23	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Yes	$1,001 - $15,000		$201 - $1,000
5.24	Western Asset Macro Opportunities Fund Class I Shares (LAOIX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.25	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Yes	$1,001 - $15,000		None (or less than $201)
5.26	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	$15,001 - $50,000		None (or less than $201)
5.27	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes			None (or less than $201)
5.28	iShares US Treasury Bond ETF (GOVT)	Yes	$15,001 - $50,000		$201 - $1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	First Trust Dow JonesGlobal Select Dividend Index Fund (FGD)	Sale	04/14/2022	$1,001 - $15,000
2	First Trust Dow JonesGlobal Select Dividend Index Fund (FGD)	Sale	04/14/2022	$1,001 - $15,000
3	Loomis Sayles Global Allocation Fund Class Y Shares (LSWWX)	Sale	06/21/2022	$1,001 - $15,000
4	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Purchase	02/09/2022	$1,001 - $15,000
5	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	02/10/2022	$1,001 - $15,000
6	iShares Russell 1000 Growth ETF (IWF)	Purchase	02/10/2022	$1,001 - $15,000
7	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	02/09/2022	$1,001 - $15,000
8	Oakmark International Fund Institutional Class Shares (OANIX)	Sale	02/10/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Sale	02/09/2022	$1,001 - $15,000
10	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Sale	02/09/2022	$1,001 - $15,000
11	iShares Russell 1000 Value ETF (IWD)	Sale	02/09/2022	$1,001 - $15,000
12	VanEck Vectors Semiconductor ETF (SMH)	Purchase	02/11/2022	$1,001 - $15,000
13	VanEck Vectors Semiconductor ETF (SMH)	Purchase	02/11/2022	$1,001 - $15,000
14	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Purchase	05/16/2022	$1,001 - $15,000
15	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Purchase	05/16/2022	$1,001 - $15,000
16	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	05/16/2022	$1,001 - $15,000
17	iShares Russell 1000 Growth ETF (IWF)	Purchase	05/17/2022	$1,001 - $15,000
18	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	05/17/2022	$1,001 - $15,000
19	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	05/17/2022	$1,001 - $15,000
20	MFS Value Fund Class I Shares (MEIIX)	Sale	05/16/2022	$1,001 - $15,000
21	Delaware Small Cap Core Fund Institutional Class Shares (DCCIX)	Sale	05/16/2022	$1,001 - $15,000
22	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	05/16/2022	$1,001 - $15,000
23	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Sale	05/16/2022	$1,001 - $15,000
24	iShares Russell 1000 Value ETF (IWD)	Sale	05/17/2022	$1,001 - $15,000
25	iShares TR Core MSCI EAF ETF (IEFA)	Sale	05/17/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	BlackRock Liquidity Fund (TSTXX)	Purchase	05/12/2022	$1,001 - $15,000
27	Vanguard Small-Cap Index Fund ETF Shares (VB)	Sale	05/13/2022	$1,001 - $15,000
28	Vanguard Small-Cap Index Fund ETF Shares (VB)	Sale	05/13/2022	$1,001 - $15,000
29	iShares TR Core MSCI EAF ETF (IEFA)	Sale	05/13/2022	$1,001 - $15,000
30	iShares TR Core MSCI EAF ETF (IEFA)	Sale	05/13/2022	$1,001 - $15,000
31	Blackrock Liquidity Fund (TSTXX)	Sale	07/12/2022	$1,001 - $15,000
32	Blackrock Liquidity Fund (TSTXX)	Purchase	05/12/2022	$1,001 - $15,000
33	Blackrock Liquidity Fund (TSTXX)	Sale	07/12/2022	$1,001 - $15,000
34	Blackrock Liquidity Fund FEDFUND (BUPXX)	Purchase	07/12/2022	$1,001 - $15,000
35	Blackrock Liquidity Fund FEDFUND (BUPXX)	Purchase	07/12/2022	$1,001 - $15,000
36	Vanguard Small-Cap Index Fund ETF Shares (VB)	Sale	07/12/2022	$1,001 - $15,000
37	Vanguard Small-Cap Index Fund ETF Shares (VB)	Sale	07/12/2022	$1,001 - $15,000
38	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Sale	07/14/2022	$1,001 - $15,000
39	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	07/14/2022	$1,001 - $15,000
40	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	07/14/2022	$1,001 - $15,000
41	iShares US Treasury Bond ETF (GOVT)	Purchase	07/14/2022	$1,001 - $15,000
42	Delaware Small Cap Core Fund Institutional Class Shares (DCCIX)	Sale	07/14/2022	$1,001 - $15,000
43	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Purchase	09/22/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
44	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Purchase	09/22/2022	$1,001 - $15,000
45	John Hancock Diversified Macro Fund Class I Shares (JDJIX)	Purchase	06/02/2022	$1,001 - $15,000
46	Western Asset Macro Opportunities Fund Class I Shares (LAOIX)	Sale	06/02/2022	$1,001 - $15,000
47	iShares TR Core MSCI EAF ETF (IEFA)	Sale	09/27/2022	$1,001 - $15,000
48	iShares TR Core MSCI EAF ETF (IEFA)	Sale	09/27/2022	$1,001 - $15,000
49	iShares INC Core MSCI Emerging Markets ETF (IEMG)	Sale	09/27/2022	$1,001 - $15,000
50	iShares INC Core MSCI Emerging Markets ETF (IEMG)	Sale	09/27/2022	$1,001 - $15,000
51	iShares Edge MSCI Min VolEmerging Markets ETF (EEMV)	Purchase	09/27/2022	$1,001 - $15,000
52	iShares Edge MSCI Min VolEmerging Markets ETF (EEMV)	Purchase	09/27/2022	$1,001 - $15,000
53	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Purchase	09/27/2022	$1,001 - $15,000
54	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Purchase	09/27/2022	$1,001 - $15,000
55	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Sale	09/29/2022	$1,001 - $15,000
56	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Sale	09/29/2022	$1,001 - $15,000
57	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Purchase	09/29/2022	$15,001 - $50,000
58	iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD)	Sale	10/11/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
59	iShares iBoxx $ Investment Grade Corporate Bond ETF (LQD)	Sale	10/22/2022	$1,001 - $15,000
60	Schwab Short-Term US Treasury ETF (SCHO)	Purchase	10/11/2022	$1,001 - $15,000
61	Schwab Short-Term US Treasury ETF (SCHO)	Purchase	10/11/2022	$1,001 - $15,000
62	Blackrock Liquidity Fund FEDFUND (BUPXX)	Sale	10/11/2022	$1,001 - $15,000
63	Blackrock Liquidity Fund FEDFUND (BUPXX)	Sale	10/11/2022	$1,001 - $15,000
64	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Purchase	10/12/2022	$1,001 - $15,000
65	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Purchase	10/12/2022	$1,001 - $15,000
66	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Sale	10/12/2022	$1,001 - $15,000
67	iShares US Treasury Bond ETF (GOVT)	Purchase	10/12/2022	$1,001 - $15,000
68	iShares US Treasury Bond ETF (GOVT)	Sale	12/27/2022	$1,001 - $15,000
69	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Purchase	12/27/2022	$1,001 - $15,000
70	iShares Russell 1000 Growth ETF (IWF)	Purchase	12/27/2022	$1,001 - $15,000
71	Oakmark International Fund Institutional Class Shares (OANIX)	Sale	12/28/2022	$1,001 - $15,000
72	iShares TR Core MSCI EAF ETF (IEFA)	Sale	12/28/2022	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of America	See Endnote	Mortgage on Personal Residence	$100,001 - $250,000	2020	3.5%	25 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	2	This is a beneficiary, or inherited, IRA. The IRA is held in my name; it is not part of a trust.
6.	2	This property is held directly by me and my wife.
8.	1	This was a refinance of an existing mortgage, which we initially secured in 2015.

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).
