

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

## Filer's Information

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BLOM, DOMINIQUE

General Deputy Assistant Secretary, Department of Housing and Urban Development

Report Year: 2018

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Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Assistant Secretary (1/2017 - 7/2017)

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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/ BLOM, DOMINIQUE [electronically signed on 05/12/2018 by BLOM, DOMINIQUE 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/ Allen, Lindsey, Certifying Official [electronically signed on 06/01/2018 by Allen, Lindsey in Integrity.gov]

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Other review conducted by

/s/ Lee, Clevette M, Ethics Official [electronically signed on 05/31/2018 by Lee, Clevette M in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 06/01/2018

Data Revised 05/31/2018

Data Revised 05/24/2018

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Facebook, Inc. - Class A Common Stock		\$1,001 - \$15,000	Dividends	None (or less than \$201)
2	Ford Motor Co		\$1,001 - \$15,000	Dividends	None (or less than \$201)
3	DEMCX Delaware Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	NDACX Nationwide Investor	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	WFIX Wells Fargo Index fd cl c	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	MRBCX Mfs total return bond	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	PTTCX Pimco total return	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8	ASPZX alger spectra fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
9	DBEF Deutsche x-trackers msci	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	GICIX Goldman sachs intl small	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	LISFX Lord abbett intermediate	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

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#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	ITM Market vectrs intrmdiate	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
13	MEIIX MFS value fd cl i	Yes	\$50,001 - \$100,000		\$201 - \$1,000
14	NHMRX Nuveen High Yield Municipal Bond I	Yes	None (or less than \$1,001)		None (or less than \$201)
15	PZA Powershares national	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
16	SHM spdr nuveen blmbrg	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
17	EMRYX Van eck emerging markets	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	VBR Vanguard small cap value	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	VBK Vanguard small cap	Yes	\$50,001 - \$100,000		\$201 - \$1,000
20	VO Vanguard mid-cap etf	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
21	VNQ Vanguard reit etf	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
22	VEA Vanguard ftse developed	Yes	\$15,001 - \$50,000		\$201 - \$1,000
23	MGC Vanguard mega cap etf	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
24	MGK Vanguard mega cap 300 growth	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
25	MGV Vanguard mega cap 300 value	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26	HLFMX Harding Loevner Frontier	Yes	None (or less than \$1,001)		None (or less than \$201)
27	AGDYX AB High Income	Yes	None (or less than \$1,001)		None (or less than \$201)
28	TIP iShares tips	Yes	None (or less than \$1,001)		None (or less than \$201)
29	IEI iShares Barclays 3-7 Year Treasury Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	NEZYX Loomis Sayles Strategic	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	MEDIX MFS Emerging Markets	Yes	None (or less than \$1,001)		None (or less than \$201)
32	PGX Powershares Preferred	Yes	None (or less than \$1,001)		None (or less than \$201)
33	TGEIX TCW Emerging	Yes	None (or less than \$1,001)		None (or less than \$201)
34	BIV Vanguard Intermediate	Yes	\$1,001 - \$15,000		None (or less than \$201)
35	BSV Vanguard Short Term Bond	Yes	None (or less than \$1,001)		None (or less than \$201)
36	MAMTX Blackrock Strategic Muni	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
37	TEMZX Templeton Emerging Markets Small Cap Adv	Yes	\$1,001 - \$15,000		None (or less than \$201)
38	ACGYX AB Income Fund Adv Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
39	ASPZX Alger Spectra Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
40	MSUMX BlackRock US Mortgage Portfolio Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	PBDPX PIMCO Investment Grade Corp Bd P	Yes	None (or less than \$1,001)		None (or less than \$201)
42	TEMZX Templeton Emerging Markets Small Cap Adv	Yes	None (or less than \$1,001)		None (or less than \$201)
43	VCSH Vanguard Short-Term Corporate Bond ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
44	VTIP Vanguard Short-Term Inflation-Protected Securities Index Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
45	SGSYX Western Asset Mortgage Backed Sec I	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	Emerging global shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	Nuveen High Yield Mu	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
48	Salient EM	Yes	\$1,001 - \$15,000		None (or less than \$201)
49	AllianceBern Unconstrained Bond Adv	Yes	\$1,001 - \$15,000		None (or less than \$201)
50	iShares iBoxx \$ Invest Grade Corp Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	iShares Barclays MBS Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
52	Columbia Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)

### 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	AGDYX AllianceBern High Income Advisor	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2	ACGYX AB income fund adv class	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3	ASPZX alger spectra fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	MSUMX BlackRock US Mortgage Portfolio Instl	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	GICIX goldman sachs intl small	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	HLFMX harding loevner frontier	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	TIP iShares Barclays TIPS Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	IEI iShares Barclays 3-7 Year Treasury Bond	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	NEZYXloomis sayles strategic	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10	MEDIX mfs emerging markets	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	MEIIX mfs value fd cl i	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	PBDPX PIMCO Investment Grade Corp Bd P	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13	PGX powershares preferred	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14	TGEIX twc emerging	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15	TEMZX Templeton Emerging Markets Small Cap Adv	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	EMRYX van eck emerging markets	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	VRB vanguard small cap value	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18	VBK vanguard small cap	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	VO vanguard mid cap etf	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	VNQ vanguard reit etf	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
21	BIV vanguard intermediate	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
22	BSV vanguard short term bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
23	VEA vanguard ftse developed	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24	MGC vanguard mega cap etf	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
25	MGK vanguard mega cap 300	Yes	\$50,001 - \$100,000		\$201 - \$1,000
26	MGV vanguard mega cap 300	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27	VCSH Vanguard Short-Term Corporate Bond ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
28	VTIP Vanguard Short-Term Inflation-Protected Securities Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
29	GSYX SWestern Asset Mortgage Backed Sec I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
30	DBEF xtrackers msci	Yes	\$1,001 - \$15,000		\$201 - \$1,000
31	American Century Once Choice 2020	Yes	\$250,001 - \$500,000		None (or less than \$201)
32	Metlife Guaranteed Account	Yes	\$50,001 - \$100,000		\$201 - \$1,000
33	PIMCO Income A	Yes	\$50,001 - \$100,000		\$201 - \$1,000
34	American Beacon Small Cp Val Inst	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
35	American Funds EuroPacific Gr R5	Yes	\$15,001 - \$50,000		None (or less than \$201)
36	Blackrock Mid Cap Index K	Yes	\$15,001 - \$50,000		None (or less than \$201)
37	Fidelity COntrafund	Yes	\$15,001 - \$50,000		None (or less than \$201)
38	JHancock Disciplined Value R6	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
39	Janus Triton T	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	Vanguard Institutional Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
41	403(b) Match	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Cash Savings -- Johns Hopkins Federal Credit Union		\$100,001 - \$250,000	Interest	None (or less than \$201)
2	Cash -- Citibank		\$15,001 - \$50,000	Interest	None (or less than \$201)
3	Cash -- Merrill Lynch		\$15,001 - \$50,000	Interest	None (or less than \$201)
4	Cash -- Merrill Lynch		\$1,001 - \$15,000	Interest	None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	spdr nuveen blmbrg	Purchase	12/7/17	\$1,001 - \$15,000
2	spdr nuveen blmbrg	Purchase	11/20/17	\$1,001 - \$15,000
3	vaneck vectors amt-free	Purchase	11/20/17	\$1,001 - \$15,000
4	columbia emerging markets	Sale	9/8/17	\$1,001 - \$15,000
5	Templeton Emerging Markets Small Cap Adv	Purchase	9/8/17	\$1,001 - \$15,000
6	vaneck emerging market	Purchase	9/8/17	\$1,001 - \$15,000
7	salient em	Sale	9/8/17	\$1,001 - \$15,000
8	spdr nuveen blmbrg	Purchase	6/15/17	\$1,001 - \$15,000
9	spdr nuveen blmbrg	Purchase	6/1/17	\$1,001 - \$15,000
10	vanguard mid cap etf	Purchase	5/18/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	vanguard mega cap etf	Purchase	5/18/17	\$1,001 - \$15,000
12	vanguard mega cap etf	Purchase	4/20/17	\$1,001 - \$15,000
13	mfs value fd cl i	Purchase	4/20/17	\$1,001 - \$15,000
14	vanguard mega cap etf	Purchase	3/27/17	\$1,001 - \$15,000
15	vaneck vectors amt-free	Purchase	3/9/17	\$1,001 - \$15,000
16	vanguard mega cap etf	Purchase	2/16/17	\$1,001 - \$15,000
17	powershares national	Sale	2/6/17	\$50,001 - \$100,000
18	spdr nuveen blmbrg	Purchase	2/6/17	\$15,001 - \$50,000
19	vaneck vectors amt-free	Sale	2/6/17	\$15,001 - \$50,000
20	nuveen high yield muni	Sale	2/6/17	\$15,001 - \$50,000
21	lord abbett intermediate	Sale	2/6/17	\$15,001 - \$50,000
22	blackrock strategic muni	Purchase	2/6/17	\$50,001 - \$100,000
23	powershares national	Purchase	2/2/17	\$1,001 - \$15,000
24	vanguard mega cap etf	Purchase	2/2/17	\$1,001 - \$15,000
25	powershares national	Purchase	1/19/17	\$1,001 - \$15,000
26	powershares national etf	Purchase	1/19/17	\$1,001 - \$15,000
27	powershares national	Purchase	1/5/17	\$1,001 - \$15,000
28	vanguard mega cap etf	Purchase	1/5/17	\$1,001 - \$15,000
29	vanguard total bond mkt	Sale	12/11/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	ab income fund adv clas	Purchase	12/11/17	\$1,001 - \$15,000
31	vanguard total bond mkt	Purchase	11/28/17	\$1,001 - \$15,000
32	ab unconstrained bond	Sale	11/28/17	\$1,001 - \$15,000
33	ishares mbs etf	Sale	6/19/17	\$1,001 - \$15,000
34	BlackRock US Mortgage Portfolio C	Purchase	6/19/17	\$1,001 - \$15,000
35	Western Asset Mortgage Backed Sec B	Purchase	6/19/17	\$1,001 - \$15,000
36	vanguard total bond mkt	Sale	12/11/17	\$15,001 - \$50,000
37	ab income fund adv clas	Purchase	12/11/17	\$15,001 - \$50,000
38	vanguard total bond mkt	Purchase	11/28/17	\$15,001 - \$50,000
39	ab unconstrained bond	Sale	11/28/17	\$15,001 - \$50,000
40	columbia emerging markets	Sale	9/8/17	\$1,001 - \$15,000
41	templeton emerging mrkt	Purchase	9/8/17	\$1,001 - \$15,000
42	vaneck emerging market	Purchase	9/8/17	\$1,001 - \$15,000
43	salient em	Sale	9/8/17	\$1,001 - \$15,000
44	ishares mbs etf	Sale	6/16/17	\$50,001 - \$100,000
45	BlackRock US Mortgage Portfolio C	Purchase	6/19/17	\$15,001 - \$50,000
46	Western Asset Mortgage Backed Sec B	Purchase	6/19/17	\$15,001 - \$50,000
47	vanguard small cap valu	Purchase	5/16/17	\$1,001 - \$15,000
48	vanguard small cap	Purchase	5/16/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
49	vanguard mid-cap etf	Purchase	5/16/17	\$1,001 - \$15,000
50	vanguard reit etf	Purchase	5/16/17	\$1,001 - \$15,000
51	ishares 3-7 year	Purchase	5/16/17	\$1,001 - \$15,000
52	ishares mbs etf	Purchase	5/16/17	\$1,001 - \$15,000
53	Vanguard Intermediate-Term Treasury	Purchase	5/16/17	\$1,001 - \$15,000
54	vanguard short term bond	Purchase	5/16/17	\$1,001 - \$15,000
55	vanguard mega cap etf	Purchase	5/16/17	\$1,001 - \$15,000
56	vanguard mega cap 300	Purchase	5/16/17	\$1,001 - \$15,000
57	tcw emerging	Purchase	5/16/17	\$1,001 - \$15,000
58	mfs emerging markets	Purchase	5/16/17	\$1,001 - \$15,000
59	ab unconstrained bond	Purchase	5/16/17	\$1,001 - \$15,000
60	mfs value fd cl i	Purchase	5/16/17	\$1,001 - \$15,000
61	alger spectra fund	Purchase	5/16/17	\$1,001 - \$15,000
62	loomis sayles strategic	Purchase	5/16/17	\$1,001 - \$15,000
63	ishares tips	Purchase	5/9/17	\$1,001 - \$15,000
64	Vanguard Small-Cap Value	Purchase	5/9/17	\$1,001 - \$15,000
65	vanguard small cap	Purchase	5/9/17	\$15,001 - \$50,000
66	vanguard mid cap etf	Purchase	5/9/17	\$15,001 - \$50,000
67	vanguard reit etf	Purchase	5/9/17	\$15,001 - \$50,000
68	ishares 3-7 years	Purchase	5/9/17	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
69	ishares mbs etf	Purchase	5/9/17	\$15,001 - \$50,000
70	vanguard intermediate	Purchase	5/9/17	\$50,001 - \$100,000
71	Vanguard Short-Term Bond	Purchase	5/9/17	\$1,001 - \$15,000
72	vanguard ftse developed	Purchase	5/9/17	\$1,001 - \$15,000
73	vanguard mega cap etf	Purchase	5/9/17	\$100,001 - \$250,000
74	vanguard mega cap 300	Purchase	5/9/17	\$100,001 - \$250,000
75	powershares preferred	Purchase	5/9/17	\$1,001 - \$15,000
76	vanguard short term	Purchase	5/9/17	\$1,001 - \$15,000
77	deutshce x trackers msc	Purchase	5/9/17	\$1,001 - \$15,000
78	columbia emerging markets	Purchase	5/9/17	\$1,001 - \$15,000
79	vanguard malvern fds	Purchase	5/9/17	\$1,001 - \$15,000
80	tcw emerging	Purchase	5/9/17	\$1,001 - \$15,000
81	mfs emerging markets	Purchase	5/9/17	\$1,001 - \$15,000
82	ab unconstrained bond	Purchase	5/9/17	\$15,001 - \$50,000
83	vaneck emerging market	Purchase	5/9/17	\$1,001 - \$15,000
84	mfs value fd cl i	Purchase	5/9/17	\$15,001 - \$50,000
85	algers spectra fund	Purchase	5/9/17	\$15,001 - \$50,000
86	salient em	Purchase	5/9/17	\$1,001 - \$15,000
87	goldman sachs intl smal	Purchase	5/9/17	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
88	ab high income		Purchase	5/9/17	\$1,001 - \$15,000
89	PIMCO Investment Grade Corp Bd A		Purchase	5/9/17	\$1,001 - \$15,000
90	harding loevner frontier		Purchase	5/9/17	\$1,001 - \$15,000
91	loomis sayles strategic		Purchase	5/9/17	\$15,001 - \$50,000
92	Vanguard Intermediate-Term Treasury		Purchase	3/21/17	\$1,001 - \$15,000
93	vanguard mega cap eff		Purchase	3/21/17	\$1,001 - \$15,000
94	vanguard mega cap 300		Purchase	3/21/17	\$1,001 - \$15,000
95	nationwide investor	See Endnote	Purchase	12/22/17	\$1,001 - \$15,000
96	wells fargo indes fd cl	See Endnote	Purchase	12/13/17	\$1,001 - \$15,000
97	alger spectra fund	See Endnote	Purchase	12/18/17	\$1,001 - \$15,000
98	mfs value fd cl i	See Endnote	Purchase	12/22/17	\$1,001 - \$15,000
99	alger spectra fund	See Endnote	Purchase	12/18/17	\$1,001 - \$15,000
100	spdr nuveen blmbrg	See Endnote	Purchase	12/7/17	\$1,001 - \$15,000
101	spdr nuveen blmbrg	See Endnote	Purchase	11/20/17	\$1,001 - \$15,000
102	vaneck vectors amt-free	See Endnote	Purchase	11/20/17	\$1,001 - \$15,000
103	iShares iBoxx \$ Invest Grade Corp Bond		Sale	5/3/17	\$1,001 - \$15,000
104	403(b) match		Sale	3/01/17	\$1,001 - \$15,000
105	ARBSX American Century Once Choice 2020 Instl		Sale	3/01/17	\$250,001 - \$500,000
106	MetLife Guaranteed Account		Sale	3/01/17	\$50,001 - \$100,000
107	POMAX PIMCO Income A		Sale	3/01/17	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
108	AVFIX American Beacon Small Cp Val Inst		Sale	3/01/17	\$1,001 - \$15,000
109	RERFX American Funds EuroPacific Gr R5		Sale	3/01/17	\$15,001 - \$50,000
110	BRMKX BlackRock Mid Cap Index K		Sale	3/01/17	\$15,001 - \$50,000
111	FCNTX Fidelity Contrafund		Sale	3/01/17	\$15,001 - \$50,000
112	JDVWX JHancock Discipline Value R6		Sale	3/01/17	\$15,001 - \$50,000
113	JATTX Janus Triton T		Sale	3/01/17	\$1,001 - \$15,000
114	VINIX Vanguard Institutional Index I	See Endnote	Sale	3/01/17	\$15,001 - \$50,000
115	ECON Emerging Global Shares	See Endnote	Sale	2/17/17	
116	ECON Emerging Global Shares	See Endnote	Sale	9/8/17	
117	VP Moderate C12		Sale	03/1/17	\$50,001 - \$100,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None



## Endnotes

PART	#	ENDNOTE
7.	95	dividend reinvest
7.	96	dividend reinvest
7.	97	dividend reinvest
7.	98	dividend reinvest
7.	99	dividend reinvest
7.	100	dividend reinvest
7.	101	dividend reinvest
7.	102	dividend reinvest
7.	114	items 104 to 114 are spouse investments that were transferred to Merrill Lynch in March 2017
7.	115	less than \$1000 sold.
7.	116	less than \$1000 sold. With this sale, ECON is no longer owned.

# 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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 three 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, NW., 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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