

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Coleman, Isobel

Deputy Administrator for Policy, U.S. Agency for International Development

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Coleman, Isobel [electronically signed on 03/19/2021 by Coleman, Isobel 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/ Ohlweiler, John, Certifying Official [electronically signed on 06/17/2021 by Ohlweiler, John in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/21/2021 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	GiveDirectly	New York, New York	Non-Profit	Chief Operating Officer	5/2018	1/2020
2	Trilantic Capital Partners	New York, New York	Partnership	Advisory Board member	10/2017	6/2019
3	Friends Academy	Locust Valley, New York	Non-Profit	Chair of Finance Committee	6/2018	9/2020
4	National Outdoor Leadership School	Lander, Wyoming	Non-Profit	Board member and Vice Chair	6/2017	Present
5	PT Fund, Inc. (Biden-Harris Transition Team)	Washington, District of Columbia	Transition Team	Team Lead for USUN Review Team	9/2020	1/2021
6	Association of Marshall Scholars	New York, New York	Non-Profit	Board Member	9/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	GiveDirectly	N/A		Salary/Bonus	\$44,966
2	McKinsey & Co. Retirement Plan	No			
2.1	McKinsey Profit Sharing Retirement Plan Passive US Equities	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.2	McKinsey Profit Sharing Retirement Plan Passive Non-US Equities	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	McKinsey Profit Sharing Retirement Plan Passive US Bonds	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	McKinsey Money Purchase Pension Plan Passive US Equities	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.5	McKinsey Money Purchase Pension Plan Non-US Equities	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.6	McKinsey Money Purchase Pension Plan Passive US Bonds	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	Rollover IRA (formerly with TIAA-CREF from my time employed by CFR)	No			
3.1	Vanguard Total Bond Market Index Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	Vanguard Total International Bond Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	"Paradise Beneath Her Feet: How Women Are Transforming the Middle East," Random House (value not readily ascertainable)	N/A		Rent or Royalties	None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	McKinsey & Co.	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	6/1992

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	GiveDirectly	New York, New York	Provided leadership and strategy; oversaw the development of partnerships.
2	Trilantic Capital Partners	New York, New York	Attended Advisory Board meetings and provided professional advice

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Hospital For Special Surgery (Faculty)	N/A		salary	
2	Sterling Mets (Dr. Coleman is the team physician for the NY Mets)	N/A		salary	
3	Cymedica Orthopedics (a medical brace company)	See Endnote	Over \$1,000,000		None (or less than \$201)
4	PNA Associates LP	No		Dividends	\$15,001 - \$50,000
4.1	Building in Philadelphia Naval Yards that houses the Vincera Surgery Center	N/A	Over \$1,000,000		
5	PNA Investors LLC (value not readily ascertainable)	N/A		Dividends	\$2,501 - \$5,000
5.1	Building in Philadelphia Naval Yards that houses the Vincera Surgery Center	N/A	Over \$1,000,000		
6	Vincera Institute ASC (ambulatory surgery center in Philadelphia)	See Endnote	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
7	Stryker Corporation - Endoscopy Division	N/A		consulting fees	
8	Struan H. Coleman MD LLC (Orthopedic practice)	N/A	Over \$1,000,000	LLC Distribution	
9	Struan H. Coleman Incentive Savings (Sole practitioner retirement plan)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	ISHARES RUSSELL 1000 GRW ETF	Yes	Over \$1,000,000		None (or less than \$201)
9.2	ISHARES RUSSELL 1000 VALUE ETF (IWD)	Yes	Over \$1,000,000		None (or less than \$201)
9.3	ISHARES RUSSELL 2000 GROWTH ETF (IWO)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.4	ISHARES RUSSELL 2000 VALUE ETF (IWN)	Yes	\$250,001 - \$500,000		None (or less than \$201)
10	Hospital for Special Surgery 403b	No			
10.1	FID Freedom 2035	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	"SUTURE SLEEVE PATCH AND METHODS OF DELIVERY WITHIN AN EXISTING ARTHROSCOPIC WORKFLOW," Patent #20210068814; #20210045734; #20190274675; #20190209163; #20170150963; #20170143551, Surgical device licensed to Johnson and Johnson (value not readily ascertainable)	N/A		Rent or Royalties	\$100,001 - \$1,000,000
12	"OCCLUSION THERAPY AND PELVIC STIMULATION SYSTEM NMES," Patent #20210016087, device assigned to Cymedica Orthopedics (value not readily ascertainable).	N/A			None (or less than \$201)
13	"SYSTEM AND METHODS FOR MATCHING PROFESSIONALS WITH CLIENTS" Patent #20200335227(value not readily ascertainable).	N/A			None (or less than \$201)
14	"PATIENT THERAPY SYSTEMS AND METHODS," Patent #20190298998; #20180015284; #20160213924 NMES device assigned to Cymedica Orthopedics(value not readily ascertainable).	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	"SYSTEM AND METHODS FOR MATCHING PROFESSIONALS WITH CLIENTS" Patent #20190228868 NMES device assigned to Cymedica Orthopedics(value not readily ascertainable).	N/A			None (or less than \$201)
16	"SYSTEMS AND METHODS FOR TREATING OR SUPPORTING HUMAN JOINTS OR A PORTION OF THE HUMAN BODY," Patent #20150306385; #20140276298 NMES device assigned to Cymedica Orthopedics (value not readily ascertainable)	N/A			None (or less than \$201)
17	"SYSTEMS AND METHODS FOR TREATING HUMAN JOINTS," Patent #20140330181; #20140276297 NMES device assigned to Cymedica Orthopedics (value not readily ascertainable)	N/A			None (or less than \$201)
18	"Methods and Devices for Rotator Cuff Repair," Patent #20070198087 Rotator Cuff Patch assigned to Tepha Inc (value not readily ascertainable)	N/A			None (or less than \$201)
19	"Application of UV to collagen for altering length and properties of tissue," Patent #20020188335 (value not readily ascertainable)	N/A			None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account	No			
1.1	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	Edwards Lifesciences Corp. (EW)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3	Facebook, Inc. (FB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4	Alphabet, Inc. (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.5	Microsoft Corp. (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.6	NextEra Energy, Inc. (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.7	PayPal Holdings, Inc. (PYPL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.8	Visa, Inc. (V)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.9	Vanguard Total Bond Market Index Fund Admiral Shares (VBTXX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.10	Vanguard FTSE All-World ex US Index Fund Admiral Class Shares (VFWAX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.11	Vanguard Mid-Cap Growth Index Fund Admiral Class Shares (VMGMX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
1.12	Vanguard Prime Money Market Fund Investor Shares (VMMXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	Vanguard New York Long-Term Tax-Exempt Fund Admiral Shares (VNYUX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.14	Vanguard Small-Cap Growth Index Fund Admiral Class Shares (VSGAX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
1.15	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.16	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.17	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.18	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
2	CSP II Distressed Opportunities Fund	No			
2.1	Dynamic Precisions Group, Inc. (combustion components for turbine engines)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Brokerage Account	No			
3.1	Alphatec Holdings, Inc. (ATEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
3.3	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.4	Cisco Systems, Inc. (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.5	Intel Corp. (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.6	Microsoft Corp. (MSFT)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
3.7	BlackRock Advantage Large Cap Value Fund Investor A Shares (MDLVX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.8	Invesco Oppen Intl Sm-Md Co Fd Class A Sh (OSMAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.9	SPDR Gold Shares (GLD)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	UGMA Account FBO Dependent #1	Yes			
4.1	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	iShares Latin America 40 ETF (ILF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	iShares Russell 1000 Value ETF (IWD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.4	iShares Russell 1000 Growth ETF (IWF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.5	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	iShares Global REIT ETF (REET)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	iShares Mortgage Real Estate ETF (REM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.10	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	SPDRNuveen Bloomberg Barclays Municipal Bond ETF (TFI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	SPDRNuveen Bloomberg Barclays Short Term Municipal Bond ETF (SHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.14	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.15	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	UTMA Account FBO Dependent #2	Yes			
5.1	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	iShares Latin America 40 ETF (ILF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	iShares Russell 1000 Value ETF (IWD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.4	iShares Russell 1000 Growth ETF (IWF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.5	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	iShares Global REIT ETF (REET)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	iShares Mortgage Real Estate ETF (REM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.10	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	SPDR Nuveen Bloomberg Barclays Municipal Bond ETF (TFI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	SPDR Nuveen Bloomberg Barclays Short Term Municipal Bond ETF (SHM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.14	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.15	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	U.S. bank #1 (cash)	N/A	\$100,001 - \$250,000		\$201 - \$1,000
7	Little Ram LLC (U.S. bank account cash) and non-reportable assett)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
8	Healthpoint Capital Partners LP (medical/biotech focused private equity)	No			
8.1	Alphatec Holdings, Inc. (ATEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.2	ProSomnus Holdings, Inc. (dental devices)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Overlook Real Estate LLC	No			
9.1	U.S. bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.2	Residential real estate, Locust Valley, NY	N/A	Over \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
10	RI CollegeBound 529 ("Invesco Growth College Portfolio Fund (code 9202)") child #1	Yes	\$100,001 - \$250,000		None (or less than \$201)
11	RI CollegeBound 529 ("Invesco Growth College Portfolio Fund (code 9202)") Child #2	Yes	\$100,001 - \$250,000		None (or less than \$201)
12	Feeks Lane LLC (holds 10% of Little Ram LLC). See Part 6, line 7 for assets)	No	\$500,001 - \$1,000,000		None (or less than \$201)
13	Seahunter, LLC	See Endnote	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Coleman Children Little Ramm LLC (the only asset is the 90% stake in Little Ram LLC) See Part 6, line 7 for assets	No	\$500,001 - \$1,000,000	Rent or Royalties	None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	PHH Mortgage	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2003	1.375%	20 year

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
5.	3	Filer's spouse owns 5.25% of the company valued at over \$1M.
5.	6	Filer's spouse owns 10% of the company.

PART	#	ENDNOTE
6.	13	Seahunter, Inc is a corporation set up to provide support to cultivation, processing and retailing of cannabis.
8.	1	Home has an adjustable rate mortgage which is Libor plus 100 basis points.

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).
