

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

Filer's Information

Femenella, Peggy Bayer

Assistant Director, Federal Trade Commission

Date of Appointment: 09/25/2022

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Assistant Director (3/2019 - 1/2022)

Acting Assistant Director (1/2022 - 9/2022)

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/ Femenella, Peggy Bayer [electronically signed on 09/25/2022 by Femenella, Peggy Bayer 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/ Pankey, Lorielle L, Certifying Official [electronically signed on 09/29/2022 by Pankey, Lorielle L in Integrity.gov]

Other review conducted by

/s/ Wong, Jeremy, Ethics Official [electronically signed on 09/27/2022 by Wong, Jeremy in Integrity.gov]

Data Revised 09/29/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Trust 1	See Endnote	Chicago, Illinois	Trust	Co-Trustee	12/2012	Present
2	Family Trust 2	See Endnote	Chicago, Illinois	Trust	Co-Trustee	12/2012	Present
3	Family Trust 3	See Endnote	Chicago, Illinois	Trust	Co-Trustee	12/2012	Present
4	Family Trust 4	See Endnote	Chicago, Illinois	Trust	Trustee	10/2014	Present
5	Family Insurance Trust 1	See Endnote	Chicago, Illinois	Trust	Trustee	4/2016	Present
6	Family Insurance Trust 2	See Endnote	Chicago, Illinois	Trust	Co-Trustee	2/2015	Present
7	Family Insurance Trust 3	See Endnote	Chicago, Illinois	Trust	Co-Trustee	9/2013	Present
8	Family Insurance Trust 4	See Endnote	Chicago, Illinois	Trust	Co-Trustee	9/2013	Present
9	Family Trust 6	See Endnote	Chicago, Illinois	Trust	Trustee	12/2012	Present
10	Family Trust 5	See Endnote	Chicago, Illinois	Trust	Trustee	12/2012	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Vanguard Short-Term Investment-Grade Fund Investor Shares (VFSTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Vanguard Small-Cap Index Fund Admiral Shares (VSMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Vanguard International Value Fund Investor Shares (VTRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Vanguard Value Index Fund Admiral Shares (VVIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	Vanguard Emerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Vanguard Small-Cap Value Index Fund Admiral Class Shares (VSIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Vanguard Developed Markets Index Fund Admiral Class Shares (VTMGX)	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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	401K	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	Vanguard Russell 1000 Value Index Fund Institutional Shares (VRVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Vanguard Windsor II Fund Admiral Shares (VWNAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Franklin Small Cap Value Fund Advisor Class (FVADX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Invesco Real Estate Fund Class R6 Shs (IARFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Family Trust 1	No			
1.1	Goldman Sachs High Yield Floating Rate Fund Class P Shares (GGNPX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.2	Goldman Sachs High Yield Municipal Fund Class P Shares (GGLPX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.3	Goldman Sachs Tax-Advantaged Global Equity Portfolio Class P Shares (GSKPX)	Yes	\$25,000,001 - \$50,000,000		\$1,000,001 - \$5,000,000
1.4	US Bank Account (cash) #1	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	GRANITE SCH DIST UTAH SALT GO 5% 06/01/28 JD LAKE CNTY GO BLDG BDS 2019 UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.6	CHARLESTON CNTY S C SCH DIST DB 4% 05/10/23 MN GO BD ANTIC NTS SALES TAX PROJ PHASE IV 2022B UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.7	UNIVERSITY MINN GO 5% 10/01/26 AO REF-SER B UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.8	CLARK CNTY NEV HWY IMPT REV REV 5% 07/01/29 JJ REF BDS 2020 C BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.9	NEW YORK ST URBAN DEV CORP ST REV 5% 03/15/25 MS SALES TAX REV BDS 2021 A BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.10	MIAMI UNIV OHIO GEN RCPTS REV 5% 09/01/27 MS REV REF BDS 2021 A BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.11	PEARLAND TEX INDPT SCH DIST GO 5% 02/15/26 FA UNLTD TAX REF BDS 2020 UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.12	HARRIS CNTY TEX MET TRAN AUTH REV 5% 11/01/24 MN SALES & USE TAX REF BDS A BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.13	TAYLOR MICH SCH DIST GO 5% 11/01/23 MN GO UNLTD TAX BLDG AND SITE BDS 2022 UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.14	CARLSBAD N MEX MUN SCH DIST GO 5% 08/01/24 FA GO BDS 2021 UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.15	NEW HOPE CULTURAL ED FACS FIN REV 5.0000% 04/01/47-CA AO CORP STDNT HSG CHF-COLLEGIATE HSG-TARLETON ST UNIV PJ-A	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.16	TACOMA WASH SOLID WASTE REV REV 4% 12/01/22 JD BDS 2022 BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	HALLSVILLE TEX INDPT SCH DIST GO 5% 02/15/25 FA UNLTD TAX BLDG AND REF BDS 2020 UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.18	ST CROIX CNTY WIS GO 4% 03/01/23 MS GO GOVT CTR BLDG BDS 2022A UT BEO	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
1.19	RUTHERFORD CNTY TENN GO 5% 04/01/30 AO GO SCH BDS 2021 A UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.20	GLENDALE ARIZ SR EXCISE TAX REV 5% 07/01/25 JJ SNR EXCISE TAX REV REF OBLIG 2015A BEO SR LIEN	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.21	MARYLAND ST GO 5% 06/01/23 JD GO BDS 2016 UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.22	UNIVERSITY COLO ENTERPRISE SYS REV 5% 06/01/49 JD REV REF BDS 2019B PRERE 06/01/29 BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.23	VA CLG BLG ATH VA EDL REV 5% 02/01/27 FA CLG & EUIP PRG REF BDS19 C BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.24	DAYTON OHIO CITY SCH DIST GO 5% 11/01/26 MN SCH FACS CONSTR IMPT REF BDS 2014 UT BEO SR LIEN	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.25	WILLIAMSON CNTY TEX GO 5% 02/15/29 FA UNLTD TAX RD BDS 2020 UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.26	WASHINGTON ST DB 5% 07/01/28 JJ MVFT GO REF BDS R 2021 D UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.27	MEMPHIS TENN GO 5% 05/01/28 MN GEN IMPT REF BDS 2021 UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.28	PENNSYLVANIA ST TPK COMMN OIL REV 5% 12/01/26 JD FRANCHISE TAX REV REV REF BDS A BEO SR LIEN	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.29	ARAPAHOE CNTY COLO SCH DIST NO GO 5.5000% 12/01/28 JD 006 LITTLETON GO BDS 2019A UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.30	NY TRANS FIN AUTH 11/14/2013 REV 5.0000% 11/01/22 MN FUTURE TAX SECD- SUB-FISCAL 2015-SER C BEO SUB LIEN	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.31	WISCONSIN (STATE OF) GO 5% 05/01/29 MN BONDS OF 2021, SERIES 1 (FORWARD DELIVERY) BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.32	CENTRAL KITSAP FIRE & RESCUE GO 5% 12/01/28 JD WASH UNLTD TAX GO BDS 2020 UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.33	ALLEGHENY CNTY PA PORT AUTH REV 5% 03/01/28 MS SPL REV REF TRANSN BDS 2020 BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.34	CYPRESS-FAIRBANKS TEX INDPT GO 5% 02/15/30 FA SCH DIST UNLTD TAX BLDG REF BDS 2020A UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.35	KING & SNOHOMISH CNTYS WASH GO 5% 12/01/22 JD SCH DIST NO 417 NORTHSHORE UNLTD TAX GO BDS 2018 UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.36	WISCONSIN ST GO 5% 05/01/30 MN GO REF BDS 2021 SER 2 UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.37	NORTH CHARLESTON S C SWR DIST DB 5% 01/01/29 JJ GO REF BDS 2021 UT BNK QUAL GUA BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.38	ARAPAHOE CNTY COLO SCH DIST NO GO 5% 12/01/24 JD 006 LITTLETON GO BDS 2019A UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.39	VA CLGE BLDG ATH REV 0.6100% 09/01/25 MS TAXABLE REF BDS 2021 B TAXBL BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.40	SPRINGFIELD MO PUB UTIL REV REV 5% 08/01/23 FA REF BDS 2015 BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.41	ENERGY NORTHWEST WASH ELEC REV 5.0000% 07/01/25 JJ RFDG-PROJ 1-SER A BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.42	EAGLE MTN & SAGINAW TEX INDPT GO 5% 08/15/29 FA SCH DIST UNLTD TAX REF BDS 2020 A UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.43	LEE CNTY FLA SCH BRD CTFS COPS 5% 08/01/23 FA PARTN COPS 2014B CERTS PARTN BEO SR LIEN	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.44	NEW MEXICO ST GO 5% 03/01/25 MS GO BDS A UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.45	AUSTIN TEX INDPT SCH DIST GO 5% 08/01/24 FA ULTD TAX REF BDS B UT BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.46	TOWN OF GO 5.0000% 04/01/24 AO SMYRNA TN BEO	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
1.47	HARFORD CNTY MD GO 5% 07/01/27 JJ GO REF BDS 2020 B UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.48	MASSACHUSETTS ST GO 5% 07/01/26 JJ GO REF BDS 2017D LT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.49	NEW HAMPSHIRE ST GO 5% 12/01/28 JD GO REF BDS 2020 D UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.50	HAWAII ST HWY REV REV 5% 01/01/27 JJ BDS 2019A BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.51	OHIO ST GO 5% 08/01/26 FA HIGHER ED GO REF BDS 2017C UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.52	HENNEPIN CNTY MINN GO 5% 12/01/26 JD GO BDS 2020 A UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.53	WASHINGTON SUBN SAN DIST MD REV 5% 06/01/26 JD CONSOLIDATED PUB IMPT BDS 2019 BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.54	OREGON ST DEPT ADMINISTRATIVE REV 5% 04/01/25 AO SVCS LOTTERY REV RFDG-SER E BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.55	POLK CNTY IOWA GO 5% 06/01/23 JD GO REF BDS 2017C UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.56	PRINCE WILLIAM CNTY VA GO 5% 08/01/27 FA GO PUB IMPT REF BDS 2020A UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.57	OHIO STATE UNIVERSITY (THE) REV 5.0000% 12/01/27 JD (MULTIYEAR DEBT ISSUANCE PROGRAM) SERIES 2020 A BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.58	N Y ST DRM ATH ST PRS INCM TX REV 5% 03/15/24 MS GEN PURP BDS BIDDING GRP 1 2019A BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.59	DELAWARE TRANSN AUTH TRANSN REV 5% 07/01/23 JJ SYS REV SR REV BDS 2016 BEO SR LIEN	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.60	MASSACHUSETTS ST GO 5% 07/01/26 JJ GO BDS A LT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.61	PENDER CNTY N C GO 5% 09/01/24 MS GO SCH BDS 2016 A UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.62	SPOTSYLVANIA CNTY VA GO 5% 01/15/27 JJ GO PUB IMPT REF BDS 2020 UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.63	PORTLAND ORE SWR SYS REV REV 5% 03/01/26 MS SECOND LIEN REF BDS 2019 A BEO SUB LIEN	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.64	AIKEN CNTY S C CONS SCH DIST GO 5% 03/01/24 MS GO BDS 2018A UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.65	UNIVERSITY NORTH TEX UNIV REV REV 5% 04/15/24 AO REV FIN SYS REF AMD IMPT BDS 2017 A BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.66	PENNSYLVANIA ST GO 5% 10/15/23 AO GO BDS 2013 UT BEO SR LIEN	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.67	ARIZONA BRD REGENTS UNIV ARIZ REV 5% 08/01/22 FA SYS REV REV BDS 2014 BEO SR LIEN	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.68	ESCAMBIA CNTY FLA SCH BRD REV 5% 09/01/22 MS SALES TAX REV REV BDS 2016 BEO SR LIEN	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.69	NORFOLK VA GO 5% 10/01/24 AO REF BDS A PRERE 10/01/22 UT BEO SR LIEN	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.70	SNOHOMISH CNTY WASH SCH DIST GO 5.0000% 12/01/22 JD #201ULTD TAX GO IMPT&REF BDS 2016 UT BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.71	CHARLOTTE N C STORM WTR FEE REV 5% 12/01/25 JD REV BDS 2020 BEO	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
2	Family Trust 3	No			
2.1	Goldman Sachs Global Core Fixed Income Fund Class P Shares (GGXPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2	Goldman Sachs High Yield Fund Class P Shares (GGMPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	Goldman Sachs Tax-Advantaged Global Equity Portfolio Class P Shares (GSKPX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
2.4	US Bank Account (cash) #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Family Trust 4	No			
3.1	Goldman Sachs Tax-Advantaged Global Equity Portfolio Class P Shares (GSKPX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Insurance Trust 3	No			
4.1	US Bank Account (cash) #3	N/A	None (or less than \$1,001)		None (or less than \$201)
5	WPPP Enterprise	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
6	Family Trust 6	No			
6.1	US Bank Account (cash) #4	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
1.	1	Unpaid
1.	2	Unpaid; no reportable underlying assets
1.	3	Unpaid
1.	4	Unpaid
1.	5	Unpaid; no reportable underlying assets
1.	6	Unpaid; No reportable underlying assets
1.	7	Unpaid
1.	8	Unpaid; No reportable underlying assets
1.	9	Unpaid
1.	10	Unpaid; No reportable underlying assets
6.	5	Real estate holding company; I am a beneficiary but the real estate has been sold and only a cash account remains at present

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).
