

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

### Filer's Information

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**Schuyler, Anne R**

General Counsel, National Capital Planning Commission

Report Year: 2018

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Schuyler, Anne R [electronically signed on 06/13/2018 by Schuyler, Anne R 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/ Dickson, Debra L, Certifying Official [electronically signed on 06/15/2018 by Dickson, Debra L in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Skalla, Daniel L, Certifying Official [electronically signed on 06/24/2018 by Skalla, Daniel L in Integrity.gov]**

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Data Revised 06/24/2018

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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	Algar Sm Cap Growth Fd	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2	Davis NY Ventures Fd	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	Dreyfus S&P 500 Index Fd      PEOPX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	T.Row Price Blue Chip Grth FD PABGX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5	Thornberg Int'l Value Fd Class A    TGVAX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	Blackrock Hi Yield Bond Port. (BHYAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	Harding Loevner Emerging Markets Value Fds. HLEMX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	JP Morgan Large Cap Growth (SEEGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Royce Total Ret Fund                  (RYTRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	Templeton Global Bond Fund (TPINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	Western Asset Core Plus Bond Fd (WACPX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12	Maryland 529 College Savings Plan	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13	Shell International Fin Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	General Mills (GIS)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
15	Guggenheim S&P 500 Eq. Weight Fd. RSP	See Endnote	Yes	\$1,001 - \$15,000	\$1,001 - \$2,500
16	Proctor & Gamble (PG)		\$1,001 - \$15,000	Dividends	None (or less than \$201)
17	Fidelity NASDAQ index Fund (ONEQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Value Line Asst Alloc. Fd (VLAAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Walt Disney Co DIS	No	\$1,001 - \$15,000		None (or less than \$201)
20	Ishares NASDAQ Bio ETF (IBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	Schwab Bank Cash Assets	No	\$1,001 - \$15,000		None (or less than \$201)
22	Lincoln Financial Primecap Growth Fd.	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	American Invst Co. of Amer. FD AIVSX	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2	Delaware Sm Cap Value Fund (DEVLX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3	Thornberg Int'l Value Fd Class A TGVAX Thornberg Int'l Value Fd Class A TGVAX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	Guggenheim S&P 500 Eq. Weight Fd. RSP		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5	Dav. NY Vent. FD DNVYX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	MFS Intl New Disc A FD (MIDAX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7	Ishares Russel 2000 Val IWN		Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	ISHARES S&P 500 Grwth FD IVW	See Endnote	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9	Ishares Tr Russell 2000 (IWM)		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
10	ISHARES TR MSCI EAFE Index Fd EFA		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11	Ishares Tr Russell Midcap ETF IWR		Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	Ishares Trust Cohen & Sterns REIT ETF ICF	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
13	Harbor Cap Apr HACAX	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
14	MD St. CMNTY Dev Admin Dpt Hsg & CMTY Dev 57419PL80		No	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	MD St. Hlth & Hgr Ed 574218DWO	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
16	Charles Cnty MD Pub Impr 159807W93	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
17	Johnson & Johnson Note	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
18	Schwab Adv Cash Reserve SWQXX	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
19	Amazon Corp Stock AMZN	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
20	Alphabet Inc, Class C shares (GOOG)	No	\$1,001 - \$15,000		None (or less than \$201)
21	Altria (MO)	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
22	Apple Inc. Stock APPL	No	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
23	Aqua America Stock(WTR)	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
24	Bershire Hathaway Stock BRKB	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
25	Cal Maine Fds Inc StockCALM	No	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
26	Johnson & Johnson Stock JNJ	No	\$1,001 - \$15,000		None (or less than \$201)
27	Facebook (FB)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
28	Microsoft Corp (MSFT)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
29	Metlife, INC (MET)	No	\$1,001 - \$15,000		None (or less than \$201)
30	Netflix NFLX	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31	NVIDIA Corp NVDA	No	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
32	Palo Alto Networks PANW	No	\$1,001 - \$15,000		None (or less than \$201)
33	Salesforce (CRM)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
34	Tesla Motors Inc. (TSLA)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
35	Ishares NASDAQ Bio ETF (IBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	SPDR S&P Divd. ETF (SDY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
37	Maryland 529 Plan	Yes	\$1,001 - \$15,000		\$201 - \$1,000
38	Wells Fargo Bk Note Cusip 949746SH5	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
39	Microsoft Corp BondCusip #594918BS2	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
40	Apple Inc., Note Cusip #037833AU4	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
41	ISHARES S&P 500 Value FD IVE	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
42	SPDR S&P Midcap 400 ETF (MDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
43	SPDR S&P 400 Midcap Value (MDYV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
44	Annap MD Pub Imp BD 035771VC5	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
45	Advanced Micro Devices (AMD)	No	\$1,001 - \$15,000		None (or less than \$201)
46	Allergan Corp Stock (AGN)	No	\$1,001 - \$15,000		None (or less than \$201)
47	Alibaba stock (BABA)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48	Astrazenica PLC Stock (AZN)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
49	Exxon Mobil Stock (XOM)	No	\$1,001 - \$15,000		None (or less than \$201)
50	Home Depot Stock (HD)	No	\$1,001 - \$15,000		None (or less than \$201)
51	Intel Corp (INTC)	No	\$1,001 - \$15,000		None (or less than \$201)
52	M&T Bank Corp Stock (MTB)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
53	Nordstrom Inc (JWN)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
54	Owens-Corning Stock (OC)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
55	Pfizer Inc. (PFE)	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
56	Qualcom (QCOM)	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
57	Softbank Corp Stock (SFTBY)	No	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
58	Starbucks Corp. SBX	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
59	United Health Group (UNH)	No	\$1,001 - \$15,000	Rent or Royalties	\$201 - \$1,000
60	Verizon Communications (VZ)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
61	Walt Disney Co DIS	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
62	Altababa (AABA formerly Yahoo (YHOO)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	Wisdom Tree TR Real Brazil Fund BZF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
64	Ishares Currency Hedged MSCI Eurozone ETF (HEZU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
65	Ishares Crrency Hedged Japan MSCI EF (HEWJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
66	Ishares MSCI Brazil ETF (EWZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
67	Isares MSCI Hong Kong ETF (EWH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
68	Ishares MSCI India ETF (INDA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
69	Ishares MSCI Singapore ETF (EWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
70	Select Street Financial SPDR ETF (XLF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

## 6. Other Assets and Income

None

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Maryland ST 5% Bond	Sale	08/15/17	\$15,001 - \$50,000
2	Microsoft Corp. 3.45% Bond	Purchase	08/22/17	\$1,001 - \$15,000
3	Apple Inc 3.85% Bond	Purchase	08/15/17	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
4	Wells Fargo Bond 3%		Purchase	08/22/17	\$1,001 - \$15,000
5	Mobileye NV (MBLY)	See Endnote	Sale	06/15/2017	\$1,001 - \$15,000
6	AIM Intl Grth AIEX		Sale	07/11/2017	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Joseph Oglander Family Trust	Personal Loan	\$50,001 - \$100,000	2014	3%	10 years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
2.	15	On 2016 form, this ETF was reported jointly with spouse's holdings in the same fund. We have separated it this year in order to more accurately reflect holdings.
5.	1	This fund was incorrectly reported twice on the 2017 report. It was reported once under spouse, which was correct, and once as an asset of the employee, which was not. On this year's form, we correctly report it only as an asset of spouse. The error resulted from confusion between AIM International growth fund AIEX, held by employee, and this holding American Funds, Investment Company of America, AIVSX, held by spouse.
5.	8	Value reported incorrectly on last year's form. Last year's value should have been 15001-50,000 not 25,000,000-50,000,000

PART	#	ENDNOTE
5.	12	Value entered on 2017 report, (\$100,000-\$250,000) was incorrect. Actual value on 12/31/16 was \$22,500
5.	13	Account value reported incorrectly on 2017 form. Correct value was \$56,000
7.	5	Mobile acquired by Intel in a takeover. Transaction not initiated by my spouse.

# 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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