

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Caldwell, Gillian

Deputy Assistant Administrator (Climate and Environment), U.S. Agency for International Development

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Caldwell, Gillian [electronically signed on 04/28/2022 by Caldwell, Gillian 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/ Mason-Gale, Treyer A, Certifying Official [electronically signed on 06/23/2022 by Mason-Gale, Treyer A in Integrity.gov]

Other review conducted by

/s/ Zagorski, Matthew, Ethics Official [electronically signed on 06/01/2022 by Zagorski, Matthew in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/01/2022

Data Revised 05/17/2022

Data Revised 05/12/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	EarthRights International		Washington DC, District of Columbia	Non-Profit	Board of Directors, Finance Committee	1/2019	8/2021
2	Avaaz		Wilmington, Delaware	Non-Profit	Consultant	10/2020	8/2021
3	Rockefeller Family Fund		New York, New York	Non-Profit	Consultant, Equation Campaign	8/2020	8/2021
4	The Bureau of Investigative Journalism		London, Outside U.S.	Corporation	Consultant	10/2019	8/2021
5	Lie Detectors		Brussels, Outside U.S.	Non-Profit	Consultant	12/2020	8/2021
6	Publish What You Pay		London, Outside U.S.	Non-Profit	Consultant	10/2019	8/2021
7	New Media Ventures		San Francisco, California	Corporation	Consultant	10/2020	5/2021
8	EarthWorks		District of Columbia, District of Columbia	Non-Profit	Consultant	4/2020	8/2021
9	Johns Hopkins University	See Endnote	Baltimore, Maryland	Non-Profit	Consultant	3/2020	8/2021
10	Astra Foundation		London, Outside U.S.	Non-Profit	Consultant	3/2021	7/2021
11	True Costs Initiative		Boston, Massachusetts	Non-Profit	Consultant	3/2021	8/2021

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Parents Together Foundation	Brooklyn, New York	Non-Profit	Consultant	5/2021	8/2021
13	Campaign for Tobacco Free Kids	Washington DC, District of Columbia	Non-Profit	Consultant	8/2020	8/2021
14	Stand.Earth	San Francisco, California	Non-Profit	Consultant	6/2021	8/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Avaaz	N/A		Consulting Fees	\$174,412
2	Rockefeller Family Fund	N/A		Consulting Fees	\$122,425
3	The Bureau of Investigative Journalism	N/A		Consulting Fees	\$70,915
4	Lie Detectors	N/A		Consulting Fees	\$26,171
5	Publish What You Pay	N/A		Consulting Fees	\$40,624
6	New Media Ventures (Social investments in progressive change)	N/A		Consulting Fees	\$9,000
7	EarthWorks	N/A		Consulting Fees	\$132,698
8	Johns Hopkins University	See Endnote	N/A	Consulting Fees	\$79,510
9	Astra Foundation	N/A		Consulting Fees	\$53,474
10	True Costs Initiative	N/A		Consulting Fees	\$12,591
11	Parents Together Foundation	N/A		Consulting Fees	\$3,705
12	Campaign for Tobacco Free Kids	N/A		Consulting Fees	\$11,108

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Stand.Earth	N/A		Consulting Fees	\$14,814
14	EarthRights International	N/A		Consulting Fees	\$9,950
15	Wells Fargo IRA	No		Cash Distributions	\$3,168
15.1	BlackRock Science and Technology Trust (BST)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.2	Calvert US Large-Cap Core Responsible Index Fund Class I Shares (CISIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.3	Calvert Small Cap Fund Class I Shares (CSVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.4	CalvertEmerging Markets Equity Fund Class I Shares (CVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.5	Domini Impact Bond Fund Institutional Class Shares (DSBIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.6	Domini Impact International Equity Fund Institutional Class Shares (DOMOX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.7	Invesco MSCI Sustainable Future ETF (ERTH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.8	Parnassus Mid Cap Growth Fund Institutional Class Shares (PFPRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.9	Pax High Yield Bond Fund Institutional Class Shares (PXHIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
15.10	Invesco WilderHill Clean Energy ETF (PBW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.11	Vanguard/Wellington Fund, Inc Admiral Shares (VWENX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
16	Wells Fargo i401K	No		Cash Distributions	\$7,125

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.1	Calvert Small Cap Fund Class I Shares (CSVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.2	Calvert Emerging Markets Equity Fund Class I Shares (CVMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.3	Cohen & Steers Quality Income Realty Fund, Inc (RQI)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16.4	Domini Impact Bond Fund Investor Class Shares (DSBFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.5	Domini Impact Bond Fund Institutional Class Shares (DSBIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.6	Domini Impact Equity Fund Institutional Class Shares (DIEQX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16.7	First Trust Technology AlphaDEX Fund (FXL)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.8	First Trust Intermediate Duration Preferred & Income Fund (FPF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.9	Invesco MSCI Sustainable Future ETF (ERTH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.10	Parnassus Core Equity Fund Institutional Shares (PRILX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.11	Parnassus Mid Cap Fund Institutional Class Shares (PFPMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.12	Pax High Yield Bond Fund Institutional Class Shares (PXHIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16.13	Pax MSCI EAFE ESG Leaders Index Fund Institutional Class Shares (PXNIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.14	salesforce.com, inc. (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.15	SPDR S&P Regional Banking ETF (KRE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.16	Invesco WilderHill Clean Energy ETF (PBW)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	Wells Fargo Investment Account	No		Cash Distributions	\$5,509
17.1	ARK Innovation ETF (ARKK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.2	Calamos Market Neutral Income Fund Class I Shares (CMNIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.3	Calvert Responsible Municipal Income Fund Class I Shares (CTTIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17.4	Domini Impact International Equity Fund Institutional Class Shares (DOMOX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.5	Domini Impact Equity Fund Institutional Class Shares (DIEQX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.6	First Trust Health Care AlphaDEX Fund (FXH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.7	iShares MSCI USA ESG Select ETF (SUSA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
17.8	Parnassus Core Equity Fund Institutional Shares (PRILX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
17.9	Parnassus Mid Cap Growth Fund Institutional Class Shares (PFPRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.10	Pax Global Environmental Markets Fund Institutional Class Shares (PGINX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.11	Pax MSCI EAFE ESG Leaders Index Fund Institutional Class Shares (PXNIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.12	Pax Small Cap Fund Institutional Class Shares (PXSIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.13	Putnam Sustainable Future Fund Class Y Shares (PMVYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.14	Pax Small Cap Fund Individual Investor Class Shares (PXSCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.15	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	Schwab 401K	No		Cash Distribution	\$7,582
18.1	Charles Schwab Bank (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.2	State Bank of India (cash)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
18.3	Domini Impact Bond Fund Investor Class Shares (DSBFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
18.4	Pax High Yield Bond Fund Individual Investor Class Shares (PAXHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.5	Domini Impact Equity Fund Investor Class Shares (DSEFX)	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000
18.6	Parnassus Core Equity Fund Investor Shares (PRBLX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
18.7	Parnassus Mid Cap Fund Investor Class Shares (PARMX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
18.8	Pax MSCI EAFE ESG Leaders Index Fund Institutional Class Shares (PXNIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
19	AVIVA Pension	No		Cash Distribution	\$7,710
19.1	Aviva Pensions Liontrust Sustainable Future UK Growth 2	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.2	Aviva Pensions Liontrust Sustainable Future European Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.3	Aviva Pensions Lionstrust Sustainable Future Corporate Bond 2	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.4	Aviva Pensions Lionstrust Sustainable Future Global Growth 2	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Vanguard Account	No		Cash Distribution	\$8,817
20.1	Vanguard/Wellington Fund, Inc Admiral Shares (VWENX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
21	Citibank SEP IRA	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Avivam Pension	London, Outside U.S.	No further contributions from my previous employer or myself since July 2019	7/2015
2	Citibank SEP IRA	New York, New York	Established when I was running my only consultancy, Gillian Caldwell Consulting LLC. No further contributions.	12/2009
3	Wells Fargo i401K, Schwab 401K	Bethesda, Maryland	Established when I was running my only consultancy, Gillian Caldwell Consulting LLC. No further contributions.	4/2009

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	Gillian Caldwell Consulting LLC (Strategic planning for non profits, foundations etc)	N/A		Consulting Fees	
2	Schwab i401K	No			
2.1	Schwab Government Money Fund Sweep Class Shares (SWGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	State Bank of India (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.3	Schwab Govt Money Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Wells Fargo Roth IRA	No			
3.1	BlackRock Low Duration Bond Portfolio Class R Shares (BLDPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Calvert Growth Allocation Fund Class A Shares (CAAAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Wells Fargo IRA	No		cash distributions	\$3,400
4.1	Calvert Growth Allocation Fund Class I Shares (CAGIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.2	CalvertEmerging Markets Equity Fund Class I Shares (CVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Cohen & Steers Quality Income Realty Fund, Inc (RQI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.4	Crispr Therapeutics AG (CRSP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.5	Fidelity OTC Portfolio (FOCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	First Trust Technology AlphaDEX Fund (FXL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	First Trust Intermediate Duration Preferred & Income Fund (FPF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.8	Janus Henderson Triton Fund Class I Shares (JSMGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	10X Genomics Inc (TXG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.10	Parnassus Endeavor Fund Institutional Class Shares (PFPWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	PIMCO Diversified Income Fund Institutional Class Shares (PDIIIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.12	Invesco Solar ETF (TAN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	SPDR S&P Biotech ETF (XBI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Square, Inc. (SQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.15	SPDR S&P Regional Banking ETF (KRE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	Wasatch Ultra Growth Fund Institutional Class Shares (WGMGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.17	Janus Henderson Triton Fund Class I Shares (JSMGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.18	Nikola Corporation (NKLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.19	Plug Power, Inc. (PLUG)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.20	ProShares Short S&P500 ETF (SH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.21	Twitter, Inc. (TWTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	JP Morgan Chase IRA	No			
5.1	Deposit Sweep Account (QDERQ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.2	Fidelity OTC Portfolio (FOCPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.3	Janus Henderson Triton Fund Class I Shares (JSMGX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.4	Nikola Corporation (NKLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.5	Plug Power, Inc. (PLUG)	N/A	\$1,001 - \$15,000		\$2,501 - \$5,000
5.6	ProShares Short S&P500 ETF (SH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	Wasatch Ultra Growth Fund Investor Class Shares (WAMCX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.8	Wasatch Advisors Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6	JP Morgan Chase Roth IRA	No			
6.1	JP Morgan Bank Deposit Sweep Account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2	BlackRock Low Duration Bond Portfolio Class R Shares (BLDPX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	JP Morgan Chase (cash) See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	Deposit Sweep Account (QACDS) (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Gagaland LLC	No			
3.1	Residential Real Estate - Long Island, NY	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
4	Brookfield Renewable Partners LP (BEP)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
5	Clovis Oncology Inc (CLVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	BlackRock Low Duration Bond Portfolio Class R Shares (BLDPX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
7	Wasatch Ultra Growth Fund Investor Class Shares (WAMCX)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
8	ProShares Short S&P500 ETF (SH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Plug Power, Inc. (PLUG)	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
10	Nikola Corporation (NKLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Janus Henderson Triton Fund Class I Shares (JSMGX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
12	Fidelity OTC Portfolio (FOCPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	MD 529 College Savings Account #1	No			
13.1	Balanced Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	MD 529 College Savings Account #2	No			
14.1	Balanced Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	MD 529 College Savings Account #3	No			
15.1	Balanced Portfolio	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	MD 529 College Savings Account #4	No			
16.1	Balanced Portfolio	Yes	\$1,001 - \$15,000		\$201 - \$1,000

7. Transactions

None

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	9	Filer confirmed that she does not participate in any agency work that may directly and predictably affect the financial interest of Johns Hopkins.
2.	8	Filer confirmed that she does not participate in any agency work that may directly and predictably affect the financial interest of Johns Hopkins.
2.	21	No reportable underlying assets
6.	1	We have multiple accounts at Chase - Joint Checking, Joint Savings and I have a business account for Caldwell Consulting LLC.

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).
