Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Babington, Sean

Senior Advisor, Department of Agriculture

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

Senior Professional Staff - US Senate (4/2015 - 11/2021)

Senior Policy Advisor - US Senate (6/2009 - 4/2015)

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/ Babington, Sean [electronically signed on 06/10/2022 by Babington, Sean in Integrity.gov] - Filer received a 45 day filing extension.

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/ Segrist, Ryan, Certifying Official [electronically signed on 06/16/2022 by Segrist, Ryan in Integrity.gov]

Other review conducted by

Data Revised 06/16/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Georgetown Univeristy	See Endnote	Washington, District of Columbia	University/College	Adjunct Lecturer	1/2021	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgetown Univeristy	N/A		Salary	$5,150

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Georgetown Univeristy	Washington, District of Columbia	I worked in this position (teaching a class as an adjunct lecturer) while still working in my government job full time	1/2021

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	Roth Contributory IRA	No			
1.1	Ishares Core MSCI Emerging ETF - IEMG	Yes	$1,001 - $15,000		$201 - $1,000
1.2	Ishares Core MSCI EAFE ETF - IEFA	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Ishares Core S&P MID Cap ETF IV - IJH	Yes	$1,001 - $15,000		None (or less than $201)
1.4	Ishares Core S&P Small Cap ETF IV - IJR	Yes	$1,001 - $15,000		None (or less than $201)
1.5	Ishares Core S&P US Growth ETF - IUSG	Yes	$1,001 - $15,000		None (or less than $201)
1.6	Ishares Core S&P 500 ETF - IVV	Yes	$1,001 - $15,000		None (or less than $201)
1.7	Ishares Currency HEDG MSCI EAFE ETF - HEFA	Yes	$1,001 - $15,000		None (or less than $201)
1.8	Ishares MSCI ACWI EX US ETF - ACWX	Yes	$1,001 - $15,000		None (or less than $201)
1.9	Ishares S&P 500 Value ETF - IVE	Yes	$1,001 - $15,000		None (or less than $201)
1.10	Vanguard Real Estate ETF IV - VNQ	Yes	$1,001 - $15,000		None (or less than $201)
2	IRA Contributory	No			
2.1	Communicate SVS SLCT SEC SPDR ETF - XLC	Yes	$1,001 - $15,000		None (or less than $201)
2.2	Invesco BuyBack Achievers ETF - PKW	Yes	$1,001 - $15,000		None (or less than $201)
2.3	Invesco S&P 500 Equal Weight Real Estate ETF - EWRE	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Ishares Core S&P 500 ETF - IVV	Yes	$1,001 - $15,000		None (or less than $201)
2.5	Ishares MSCI USA Momntum FCT ETF - MTUM	Yes	$1,001 - $15,000		None (or less than $201)
2.6	Ishares Semiconductor ETF - SOXX	Yes	$1,001 - $15,000		None (or less than $201)
2.7	Select Sector Health Care SPD ETF IV - XLV	Yes	$1,001 - $15,000		None (or less than $201)
2.8	Select Sector Industrial SPDR ETF IV - XLI	Yes	$1,001 - $15,000		None (or less than $201)
2.9	Select STR Financial Select S ETF IV - XLF	Yes	$1,001 - $15,000		None (or less than $201)
2.10	SPDR Fund Consumer Staples ETF IV - XLP	Yes	$1,001 - $15,000		None (or less than $201)
2.11	Vanguard Consumer Discretiona ETF IV - VCR	Yes	$1,001 - $15,000		None (or less than $201)
2.12	Vanguard Information Technolo ETF IV - VGT	Yes	$1,001 - $15,000		None (or less than $201)
2.13	Vanguard Mid Cap ETF - VO	Yes	$1,001 - $15,000		None (or less than $201)
2.14	Charles Schwab Bank	N/A	$1,001 - $15,000		None (or less than $201)
3	Salary - Energy Foundation				

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Abbott Laboratories (ABT)	No	$250,001 - $500,000	Dividends	$2,501 - $5,000
2	AbbVie, Inc. (ABBV)	No	$250,001 - $500,000	Dividends	$5,001 - $15,000
3	General Electric Co. (GE)	No	$1,001 - $15,000		None (or less than $201)
4	The Home Depot, Inc. (HD)	No	$1,001 - $15,000		None (or less than $201)
5	Microsoft Corp. (MSFT)	No	$100,001 - $250,000	Dividends	$201 - $1,000
6	Invesco National AMT-Free Municipal Bond ETF (PZA)	Yes	$15,001 - $50,000		$201 - $1,000
7	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	$1,001 - $15,000		$201 - $1,000
8	iShares Core MSCI EAFE ETF (IEFA)	Yes	$1,001 - $15,000		$201 - $1,000
9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$15,001 - $50,000		$201 - $1,000
10	iShares Core S&P Small-Cap ETF (IJR)	Yes	$1,001 - $15,000		None (or less than $201)
11	iShares Core S&P US Growth ETF (IUSG)	Yes	$1,001 - $15,000		None (or less than $201)
12	iShares Core S&P 500 ETF (IVV)	Yes	$1,001 - $15,000		None (or less than $201)
13	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Yes	$1,001 - $15,000		None (or less than $201)
14	iShares MSCI ACWI ex US ETF (ACWX)	Yes	$1,001 - $15,000		$201 - $1,000
15	iShares S&P 500 Value ETF (IVE)	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	iShares Short-Term National Muni Bond ETF (SUB)	Yes	$15,001 - $50,000		None (or less than $201)
17	iShares iBonds Dec 2022 Term Muni Bond ETF (IBMK)	Yes	$15,001 - $50,000		$201 - $1,000
18	Vanguard Muni Bond Tax Exempt ETF - VTEB	Yes	$15,001 - $50,000		$201 - $1,000
19	Vanguard Real Estate ETF IV - VNQ	Yes	$1,001 - $15,000		None (or less than $201)
20	American Funds Tax-Exempt Bond A - AFTEX	Yes	$50,001 - $100,000		$201 - $1,000
21	Fidelity Advisor Municipal Income Fund Class A Shares (FHUGX)	Yes	$50,001 - $100,000		$201 - $1,000
22	Cash (in brokerage account)	N/A	$1,001 - $15,000		None (or less than $201)
23	Cash (in brokerage account)	N/A	$1,001 - $15,000		None (or less than $201)
24	Communication Services Select Sector SPDR Fund (XLC)	Yes	$15,001 - $50,000		None (or less than $201)
25	Invesco Buyback Achievers ETF (PKW)	Yes	$1,001 - $15,000		None (or less than $201)
26	Invesco S&P 500 Equal Weight Real Estate ETF (EWRE)	Yes	$1,001 - $15,000		None (or less than $201)
27	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	$1,001 - $15,000		$201 - $1,000
28	iShares Core MSCI EAFE ETF (IEFA)	Yes	$1,001 - $15,000		None (or less than $201)
29	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	iShares Core S&P Small-Cap ETF (IJR)	Yes	$1,001 - $15,000		None (or less than $201)
31	iShares Core S&P US Growth ETF (IUSG)	Yes	$1,001 - $15,000		None (or less than $201)
32	iShares Core S&P 500 ETF (IVV)	Yes	$15,001 - $50,000		$201 - $1,000
33	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Yes	$1,001 - $15,000		None (or less than $201)
34	iShares MSCI ACWI ex US ETF (ACWX)	Yes	$1,001 - $15,000		None (or less than $201)
35	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Yes	$1,001 - $15,000		None (or less than $201)
36	iShares S&P 500 Value ETF (IVE)	Yes	$1,001 - $15,000		None (or less than $201)
37	iShares PHLX Semiconductor ETF (SOXX)	Yes	$1,001 - $15,000		None (or less than $201)
38	iShares TIPS Bond ETF (TIP)	Yes	$1,001 - $15,000		$201 - $1,000
39	Health Care Select Sector SPDR Fund (XLV)	Yes	$15,001 - $50,000		$201 - $1,000
40	Select Sector Industrial SPDR ETF - XLI	Yes	$15,001 - $50,000		$201 - $1,000
41	Select STR Financial Select S ETF IV - XLF	Yes	$15,001 - $50,000		$201 - $1,000
42	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	$1,001 - $15,000		$201 - $1,000
43	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	$15,001 - $50,000		$201 - $1,000
44	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	$15,001 - $50,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45	Vanguard Mid Cap ETF - VO	Yes	$1,001 - $15,000		None (or less than $201)
46	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	$1,001 - $15,000		None (or less than $201)
47	Calvert US Large-Cap Core Responsible Index Fund Class A Shares (CSXAX)	Yes	$15,001 - $50,000		$201 - $1,000
48	Chase checking account		$15,001 - $50,000		
49	personal ally savings acct		$15,001 - $50,000		None (or less than $201)
50	Joint Ally checking		$1,001 - $15,000		None (or less than $201)
51	Spouse Ally Savings		$50,001 - $100,000		None (or less than $201)
52	529 Plan (DC): US Large Cap Equity Portfolio		$1,001 - $15,000		

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Financial Select Sector SPDR Fund (XLF)	Purchase	01/12/2021	$1,001 - $15,000
2	Financial Select Sector SPDR Fund (XLF)	Purchase	01/12/2021	$1,001 - $15,000
3	Health Care Select Sector SPDR Fund (XLV)	Sale	01/12/2021	$1,001 - $15,000
4	Health Care Select Sector SPDR Fund (XLV)	Sale	01/12/2021	$1,001 - $15,000
5	Health Care Select Sector SPDR Fund (XLV)	Purchase	01/13/2021	$1,001 - $15,000
6	iShares Core S&P 500 ETF (IVV)	Purchase	01/13/2021	$1,001 - $15,000
7	iShares Core US Aggregate Bond ETF (AGG)	Purchase	01/13/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Purchase	01/13/2021	$1,001 - $15,000
9	Fidelity Total Bond ETF (FBND)	Purchase	01/13/2021	$1,001 - $15,000
10	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	01/13/2021	$1,001 - $15,000
11	Hartford Total Return Bond ETF (HTRB)	Purchase	01/13/2021	$1,001 - $15,000
12	Invesco Total Return Bond ETF (GTO)	Purchase	01/13/2021	$1,001 - $15,000
13	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	01/14/2021	$1,001 - $15,000
14	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Purchase	01/14/2021	$1,001 - $15,000
15	iShares Short-Term National Muni Bond ETF (SUB)	Purchase	01/14/2021	$1,001 - $15,000
16	Invesco National AMT-Free Municipal Bond ETF (PZA)	Purchase	01/14/2021	$1,001 - $15,000
17	iShares iBonds Dec 2022 Term Muni Bond ETF (IBMK)	Purchase	01/14/2021	$1,001 - $15,000
18	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	01/14/2021	$1,001 - $15,000
19	iShares MSCI ACWI ex US ETF (ACWX)	Purchase	01/14/2021	$1,001 - $15,000
20	iShares Core S&P US Growth ETF (IUSG)	Sale	01/14/2021	$1,001 - $15,000
21	iShares Core S&P 500 ETF (IVV)	Sale	01/14/2021	$1,001 - $15,000
22	iShares Core MSCIEmerging Markets ETF (IEMG)	Sale	01/14/2021	$1,001 - $15,000
23	iShares Core S&P US Growth ETF (IUSG)	Sale	01/14/2021	$1,001 - $15,000
24	iShares Core S&P US Growth ETF (IUSG)	Sale	01/14/2021	$1,001 - $15,000
25	iShares Core US Aggregate Bond ETF (AGG)	Purchase	03/09/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Purchase	03/09/2021	$1,001 - $15,000
27	Invesco Buyback Achievers ETF (PKW)	Purchase	04/01/2021	$1,001 - $15,000
28	Financial Select Sector SPDR Fund (XLF)	Purchase	04/01/2021	$1,001 - $15,000
29	Invesco Buyback Achievers ETF (PKW)	Purchase	04/01/2021	$1,001 - $15,000
30	Financial Select Sector SPDR Fund (XLF)	Purchase	04/01/2021	$1,001 - $15,000
31	SPDR S&P Biotech ETF (XBI)	Sale	04/01/2021	$1,001 - $15,000
32	SPDR S&P Homebuilders ETF (XHB)	Sale	04/01/2021	$1,001 - $15,000
33	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Sale	04/01/2021	$1,001 - $15,000
34	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Sale	04/01/2021	$1,001 - $15,000
35	SPDR S&P Biotech ETF (XBI)	Sale	04/01/2021	$1,001 - $15,000
36	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Purchase	04/05/2021	$1,001 - $15,000
37	iShares Core MSCIEmerging Markets ETF (IEMG)	Sale	04/05/2021	$1,001 - $15,000
38	First Trust Cloud Computing ETF (SKYY)	Sale	05/13/2021	$1,001 - $15,000
39	First Trust Cloud Computing ETF (SKYY)	Sale	05/13/2021	$1,001 - $15,000
40	iShares MSCI Brazil ETF (EWZ)	Purchase	06/10/2021	$1,001 - $15,000
41	Invesco Buyback Achievers ETF (PKW)	Purchase	06/10/2021	$1,001 - $15,000
42	Washington Real Estate Investment Trust (WRE)	Purchase	06/10/2021	$1,001 - $15,000
43	iShares MSCI Brazil ETF (EWZ)	Purchase	06/10/2021	$1,001 - $15,000
44	Washington Real Estate Investment Trust (WRE)	Purchase	06/10/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
45	SPDR S&P Homebuilders ETF (XHB)	Sale	06/10/2021	$1,001 - $15,000
46	iShares Transportation Average ETF (IYT)	Sale	06/10/2021	$1,001 - $15,000
47	SPDR S&P Homebuilders ETF (XHB)	Sale	06/10/2021	$1,001 - $15,000
48	iShares Transportation Average ETF (IYT)	Sale	06/10/2021	$1,001 - $15,000
49	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Purchase	07/01/2021	$1,001 - $15,000
50	iShares Core US Aggregate Bond ETF (AGG)	Purchase	07/01/2021	$1,001 - $15,000
51	iShares TIPS Bond ETF (TIP)	Purchase	07/01/2021	$1,001 - $15,000
52	Invesco Total Return Bond ETF (GTO)	Purchase	07/01/2021	$1,001 - $15,000
53	Fidelity Total Bond ETF (FBND)	Purchase	07/01/2021	$1,001 - $15,000
54	Hartford Total Return Bond ETF (HTRB)	Purchase	07/01/2021	$1,001 - $15,000
55	Materials Select Sector SPDR Fund (XLB)	Sale	07/01/2021	$1,001 - $15,000
56	Materials Select Sector SPDR Fund (XLB)	Sale	07/01/2021	$1,001 - $15,000
57	Health Care Select Sector SPDR Fund (XLV)	Purchase	07/16/2021	$1,001 - $15,000
58	Industrial Select Sector SPDR Fund (XLI)	Purchase	07/16/2021	$1,001 - $15,000
59	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	07/16/2021	$1,001 - $15,000
60	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Purchase	07/16/2021	$1,001 - $15,000
61	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	07/16/2021	$1,001 - $15,000
62	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Purchase	07/16/2021	$1,001 - $15,000
63	Health Care Select Sector SPDR Fund (XLV)	Purchase	07/16/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Sale	07/16/2021	$1,001 - $15,000
65	Financial Select Sector SPDR Fund (XLF)	Sale	07/16/2021	$1,001 - $15,000
66	Consumer Staples Select Sector SPDR Fund (XLP)	Sale	07/16/2021	$1,001 - $15,000
67	Communication Services Select Sector SPDR Fund (XLC)	Sale	07/16/2021	$1,001 - $15,000
68	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Sale	07/16/2021	$1,001 - $15,000
69	Financial Select Sector SPDR Fund (XLF)	Sale	07/16/2021	$1,001 - $15,000
70	iShares Core S&P 500 ETF (IVV)	Purchase	09/01/2021	$1,001 - $15,000
71	Health Care Select Sector SPDR Fund (XLV)	Purchase	09/01/2021	$1,001 - $15,000
72	Industrial Select Sector SPDR Fund (XLI)	Purchase	09/01/2021	$1,001 - $15,000
73	Financial Select Sector SPDR Fund (XLF)	Purchase	09/01/2021	$1,001 - $15,000
74	Communication Services Select Sector SPDR Fund (XLC)	Purchase	09/01/2021	$1,001 - $15,000
75	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Purchase	09/01/2021	$1,001 - $15,000
76	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Purchase	09/01/2021	$1,001 - $15,000
77	Invesco Buyback Achievers ETF (PKW)	Purchase	09/01/2021	$1,001 - $15,000
78	Hartford Total Return Bond ETF (HTRB)	Purchase	09/01/2021	$1,001 - $15,000
79	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Purchase	09/01/2021	$1,001 - $15,000
80	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	09/01/2021	$1,001 - $15,000
81	Invesco Total Return Bond ETF (GTO)	Purchase	09/01/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
82	iShares Core US Aggregate Bond ETF (AGG)	Purchase	09/01/2021	$1,001 - $15,000
83	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	09/21/2021	$1,001 - $15,000
84	iShares S&P 500 Value ETF (IVE)	Sale	09/21/2021	$1,001 - $15,000
85	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Purchase	09/30/2021	$1,001 - $15,000
86	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	Purchase	09/30/2021	$1,001 - $15,000
87	iShares MSCI Brazil ETF (EWZ)	Sale	09/30/2021	$1,001 - $15,000
88	iShares MSCI Brazil ETF (EWZ)	Sale	09/30/2021	$1,001 - $15,000
89	Invesco Total Return Bond ETF (GTO)	Sale	12/28/2021	$15,001 - $50,000
90	Hartford Total Return Bond ETF (HTRB)	Sale	12/28/2021	$15,001 - $50,000
91	First Trust TCW Opportunistic Fixed Income ETF (FIXD)	Sale	12/28/2021	$15,001 - $50,000
92	Fidelity Total Bond ETF (FBND)	Sale	12/28/2021	$15,001 - $50,000
93	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Sale	12/28/2021	$1,001 - $15,000
94	iShares Core US Aggregate Bond ETF (AGG)	Sale	12/28/2021	$15,001 - $50,000
95	First Trust Low Duration Opportunities ETF (LMBS)	Sale	12/28/2021	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Navient	Student Loan	$10,001 - $15,000	2014	5.41	10 years
2	Navient	Student Loan	$10,001 - $15,000	2014	6.2	10 years
3	Navient	Student Loan	$10,001 - $15,000	2014	7.2	10 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	1	I teach one course to undergraduate students at Georgetown University as an adjunct lecturer. I taught the course in the Spring semester of 2021 and 2022. This position was previously approved by the United States Senate Committee on Ethics, and was reapproved by the U.S. Department of Agriculture Ethics office.

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.

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