

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

## Filer's Information

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Dunkin, Ann

Chief Information Officer, Department of Energy

Date of Appointment: 05/10/2021

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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/ Dunkin, Ann [electronically signed on 05/25/2021 by Dunkin, Ann 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/ LOCKE, STEPHANIE, Certifying Official [electronically signed on 06/02/2021 by LOCKE, STEPHANIE in Integrity.gov]

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Other review conducted by

/s/ LOCKE, STEPHANIE, Ethics Official [electronically signed on 06/02/2021 by LOCKE, STEPHANIE in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Report Amended After Review Concluded.

Data Revised 06/24/2021

Data Revised 06/02/2021

Data Revised 06/01/2021

Data Revised 05/25/2021

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(06/24/2021, LOCKE, STEPHANIE): Filer produced memo to account for capital gains from sales transactions. 208: Gray Matter Analytics and Hitch
N/A	N/A	General	(06/02/2021, LOCKE, STEPHANIE): 208/EP: Dell Technologies; 208: California Public Employees Retirement System (ability and willingness); Agilent Technologies Common Stock (A); Apple Inc.(AAPL); Keysight Technologies, Inc. (KEYS); Valero Energy (VLO); Amazon.com, Inc. (AMZN); Bank of America Corp BOND; EMC Corp BOND; Adobe, Inc. (ADBE); Alabama Power BOND; Berkshire Hathaway Inc. (BRKB); Boeing Company BOND; Emerson Electric Co. (EMR); General Electric BOND; Goldman Sachs BOND; GS 10.75% Autocall on Apple; Invesco Solar ETF (TAN) and its underlying assets; JP Morgan Chase BOND; Morgan Stanley BOND; MS 9.8% Autocall on Amazon; Oracle Corp. (ORCL); Royal Dutch Shell PLC (RDS'A); United Parcel Service, Inc. (UPS); Visa, Inc. (V); Wells Fargo & Company BOND; How Women Invest; 502: Packt Publishing; Agile Government Leaders; Winter Simulation Conference

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Dunkin Family Trust		Vancouver, Washington	Trust	Trustee	8/2007	Present
2	Roxanne Hatcher Irrevocable Gift Trust		Menlo Park, California	Trust	Trustee	2/2020	Present
3	OptimEyes.ai		San Diego, California	Corporation	Advisory Board Member	8/2020	5/2021
4	Agile Government Leaders		Lafayette, California	Non-Profit	Board Member	4/2018	Present
5	Winter Simulation Conference	See Endnote	Catonsville, Maryland	Non-Profit	Board Member	2/2017	Present
6	Dell Technologies		Round Rock, Texas	Corporation	Chief Strategy & Innovation Officer	2/2020	5/2021
7	County of Santa Clara		San Jose, California	County Government	Chief Information Officer	2/2017	2/2020

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	California Public Employees Retirement System, defined benefit plan estimated retirement \$2100/month at age 60.		N/A	\$100,001 - \$250,000		None (or less than \$201)
2	"Industrial Digital Transformation," Packt Publishing (value not readily ascertainable)	See Endnote	N/A		Advance	\$750

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Alpha Insights	N/A	None (or less than \$1,001)	consulting fee	\$1,127
4	Coleman Research Group	N/A	None (or less than \$1,001)	Consulting Fee	\$1,013
5	Gerson Lehman Group	N/A	None (or less than \$1,001)	Consulting Fee	\$850
6	Guidepoint Global	N/A	None (or less than \$1,001)	Consulting Fee	\$850
7	Third Bridge	N/A	None (or less than \$1,001)	Consulting Fee	\$1,065
8	Dell Technologies, Inc. (DELL)	N/A		Salary and Commission	\$424,401
9	Dell Technologies, Inc. (DELL), deferred compensation: cash receivable	See Endnote	N/A	\$15,001 - \$50,000	None (or less than \$201)
10	County of Santa Clara	N/A		Salary	\$92,412

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	California Public Employees Retirement System	Palo Alto, California	I will continue to participate in this defined benefit plan	9/2009
2	Dell Technologies	Round Rock, Texas	Following my resignation, I will receive commission and final salary payments for calendar year 2021, as is the corporation's standard practice for departing employees on bonus programs that are defined as commissions . Dell uses an objective formula to calculate the anticipated commission payments. Dell has not made any commitment to accelerate any of these anticipated payments.	2/2020

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Packt Publishing	Birmingham, UK, Outside U.S.	Once my advance has been satisfied, I will receive royalties from Packt Publishing for sales of my book, "Industrial Digital Transformation."	3/2020

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Dell Technologies	Round Rock, Texas	Develop Dell's strategy for working with state and local government clients, advise CIOs and senior leaders and represent Dell at events.
2	County of Santa Clara	San Jose, California	Chief Information Officer responsible for all IT services for the County.

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

None

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Agilent Technologies Common Stock (A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Apple Inc.(AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
3	Gilead Science Common Stock (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4	GlaxoSmithKline Common (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Keysight Technologies, Inc. (KEYS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Valero Energy (VLO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7	Walt Disney Co Holdings (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	iShares S&P 100 ETF (OEF)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9	Brandes Emerging Mkts Val I (BEMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	Invesco Premier Inst (IPPXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	PIMCO Real Return Fund Class I-2 Shares (PRLPX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12	Thornburg Intl Growth (TINGX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
13	U.S. Credit Union Checking Account	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
14	Rental Property Washington, DC	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
15	U.S. Credit Union Savings Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	General Motors Financial BOND	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
17	Discover Bank BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
18	John Hancock Classic Value Inst (JCVIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Lazard Developing Markets Equity (LDMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	PGIM Natural Resources Z (PNRZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	Touchstone Sands Cap Sel Growth Y (CFSIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
22	Invesco Floating Rate Y (AFRYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
23	Invesco Small Cap Value Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	Amazon.com, Inc. (AMZN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
25	General Mills Common Stock (GIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
26	Johnson & Johnson Common Stock (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
27	Bank of America Corp BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
28	EMC Corp BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
29	Perrigo Finance PLC BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
30	AB High Income Fund, Inc Advisor Class Shares (AGDYX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
31	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	Alabama Power BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
33	Alibaba Group (BABA)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	Amgen Inc. (AMGN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
35	Ballico-Cressey School District Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
36	Bank Deposit Program - Morgan Stanley	N/A	\$100,001 - \$250,000		None (or less than \$201)
37	BCS 11.6% Contingent Autocall VanEck Vectors Gold Miners Etf	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
38	Bection Dickinson BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
39	Berkshire Hathaway Inc. (BRKB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
40	BNY Mellon Natural Resources Fund Class I Shares (DLDRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
41	Boeing Company BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
42	Brighthouse Financial BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
43	Broadcom, Inc. (AVGO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
44	Burbank CA Unified School District Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
45	Center JT Unif School Dist. Municipal BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
46	Citizens Financial Group BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
47	Cohen & Steers Institutional Realty Shares, Inc (CSRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
48	Constellation Brands BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
50	Delta Airlines BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
51	Ecolab, Inc. (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
52	Emerson Electric Co. (EMR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
53	First Maryland Capital BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
54	Fuller & Thaler Behavioral Mid-Cap Value Fund Class R6 Shares (FTVZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
55	General Electric BOND	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
56	Goldman Sachs BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
57	GS 10.75% Autocall on Apple	N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
58	HanesBrand BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
59	Hillenbrand, Inc. BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
60	Hospitality Properties Trust BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
61	Invesco Solar ETF (TAN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
62	JP Morgan Chase BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	JP Morgan US Lg Cp Core Plus	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
64	Kellogg Co. (K)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
65	Kraft Heinz BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
66	Laboratory Corp. of America Holdings (LH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
67	Laytonville USD Gilroy CA Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
68	Moreno Valley USD CA Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
69	Morgan Stanley BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
70	MS 9.8% Autocall on Amazon	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
71	MS Trigger Plus SLV (SQEBZ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
72	MSNBA Preferred Savings	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
73	Netflix, Inc. (NFLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
74	Newell Brands BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
75	Nuance Mid Cap Value Fund Institutional Class Shares (NMVLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
76	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
77	Pax Small Cap Fund Institutional Class Shares (PXSIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
78	PIMCO StocksPLUS International Fund (US Dollar-Hedged) Class I-2 Shares (PIUHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
79	Principal MidCap Fund Institutional Class Shares (PCBIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
80	Procter & Gamble Co. (PG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
81	Royal Bank of Scotland BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
82	Royal Dutch Shell PLC (RDS'A)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
83	Sacramento California City Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
84	Santa Clarita Community College Dist Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
85	Santa Fe Springs Community Dev Municipal BOND	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
86	Shasta Union HS District Municipal BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
87	Square, Inc. (SQ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
88	State Street Corp BOND	N/A	\$1,001 - \$15,000		None (or less than \$201)
89	Stryker Corp. (SYK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
90	Travel + Leisure CO BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
91	Truist Bank BOND	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
92	United Parcel Service, Inc. (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
93	VanEck Emerging Markets Y (EMRYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
94	Visa, Inc. (V)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
95	Wachovia Capital Trust BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
96	Walt Disney Company BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
97	Wells Fargo & Company BOND	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
98	Kraft Heinz Co. (KHC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
99	How Women Invest	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
100	Fidelity US Large Cap Equity Index (Dell 401k)	Yes	\$15,001 - \$50,000		None (or less than \$201)
101	Fidelity Equity Index Fund (Dell 401k)	Yes	\$15,001 - \$50,000		None (or less than \$201)
102	Fidelity SM Midcap Core Index (Dell 401k)	Yes	\$15,001 - \$50,000		None (or less than \$201)
103	Fidelity PMP 2015 Fund (Dell 401k)	Yes	\$1,001 - \$15,000		None (or less than \$201)
104	Fidelity International Equity (Dell 401k)	Yes	\$1,001 - \$15,000		None (or less than \$201)
105	Athene Global Funding BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
106	Blackrock TCP Capital BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
107	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
108	GS Contingent Autocall on Disney	N/A	\$1,001 - \$15,000		None (or less than \$201)
109	Laboratory Corp. of America Holdings BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
110	Nissan Motors Acceptance Corp BOND	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
111	Oakmark Fund Advisor Class Shares (OAYMX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase Bank	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2018	3.875	30 years

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
1.	5	The Winter Simulation Conference is not a stand alone non-profit. It exists through an MOU between the financial sponsors of the conference; all non-profit societies. I represent one of those sponsors, the Institute of Industrial and Systems Engineering on the WSC board.
2.	2	Book advance
2.	9	Anticipated salary and commission payments that were owed to filer at the time of separation from Dell.
6.	99	I am a limited partner (0.5%) of How Women Invest (HWI). Current investments are Gray Matter Analytics and Hitch.

# 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).

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