

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

Filer's Information

Toloui, Ramin

Assistant Secretary for Economic and Business Affairs, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Toloui, Ramin [electronically signed on 05/23/2021 by Toloui, Ramin 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/ Huitema, David, Certifying Official [electronically signed on 08/30/2021 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 09/02/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	Stanford University	Stanford, California	University/College	Professor of the Practice of International Finance; Tad and Diane Policy Fellow at Stanford Institute for Economic Policy Research	9/2018	Present	
2	Biden-Harris Transition Team (PT Fund, Inc.)	Washington, District of Columbia	Transition Team	Policy Lead for International Economics; Member of State Department Agency Review Team	8/2020	1/2021	
3	Personal Revocable Trust	See Endnote	Washington, District of Columbia	Trust	Trustee	9/2014	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	STANFORD UNIVERSITY	N/A		Salary	\$223,950
2	IRA #1	No			
2.1	ISHARES MSCI EMERGING MARKETS ETF - EEM	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	FIDELITY GOVERNMENT CASH RESERVES	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	SPDR S&P 500 ETF TRUST - SPY	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	VANGUARD FTSE DEVELOPED MARKETS INDEX FUND ETF SHARES - VEA	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	IRA #2	No			
3.1	ISHARES MSCI EMERGING MARKETS ETF - EEM	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	FIDELITY GOVERNMENT CASH RESERVES	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	IRA #3	No			
4.1	ISHARES MSCI EMERGING MARKETS ETF - EEM	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	STANFORD CONTRIBUTORY RETIREMENT PLAN	No			
5.1	VANGUARD INSTITUTIONAL TARGET RETIREMENT 2050 FUND - VTRLX	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	ALLIANZ ASSET MANAGEMENT OF AMERICA 401(K)	No			
6.1	PIMCO TOTAL RETURN INSTL	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	PIMCO GLOBAL ADVANTAGE STRATEGY CT	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.3	PIMCO EMERGING MARKET BOND INSTL	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	PIMCO COMMODITY REAL RETURN STRATEGY INSTL	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.5	PIMCO GLOBAL CORE ASSET ALLOCATION INSTL	Yes	\$250,001 - \$500,000		None (or less than \$201)
7	ALLIANZ ASSET MANAGEMENT OF AMERICA, PARTICIPATION IN EXECUTIVE DEFERRED COMPENSATION PLAN	No		Cash Distribution	\$512,841
7.1	ABERDEEN INCOME CREDIT STRATEGIES FUND - ACP	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	BARINGS GLOBAL SHORT DURATION HIGH YIELD FUND - BGH	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.3	BLACKROCK MULTI-SECTOR INCOME TRUST - BIT	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.4	CREDIT SUISSE ASSET MANAGEMENT INCOME FUND - CIK	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	BNY MELLON HIGH YIELD STRATEGIES FUND - DHF	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.6	DOUBLELINE INCOME SOLUTIONS FUND - DSL	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.7	EATON VANCE ENHANCED EQUITY INCOME FUND II - EOS	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.8	EATON VANCE TAX-MANAGED BUY-WRITE STRATEGY FUND - EXD	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.9	FRANKLIN LIMITED DURATION INCOME TRUST - FTF	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.10	WESTERN ASSET HIGH INCOME FUND II - HIX	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.11	PIONEER DIVERSIFIED HIGH INCOME FUND - HNW	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.12	ISHARES IBOXX HIGH YIELD CORPORATE BOND ETF - HYG	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.13	PGIM HIGH YIELD BOND FUND - ISD	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.14	SPDR BLOOMBERG BARCLAYS HIGH YIELD BOND ETF - JNK	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.15	ISHARES IBOXX INVESTMENT GRADE CORPORATE BOND ETF - LQD	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.16	MFS GOVERNMENT MARKETS INCOME TRUST - MGF	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.17	MFS INTERMEDIATE INCOME TRUST - MIN	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.18	NEXPOINT STRATEGIC OPPORTUNITIES FUND - NHF	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.19	NEUBERGER BERMAN HIGH YIELD STRATEGIES FUND - NHS	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.20	NEUBERGER BERMAN REAL ESTATE SECURITIES INCOME FUND - NRO	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.21	PIMCO DYNAMIC CREDIT AND MORTGAGE INCOME FUND - PCI	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.22	PIONEER HIGH INCOME FUND - PHT	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.23	SPDR S&P 500 ETF TRUST - SPY	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
7.24	VANGUARD SHORT-TERM INVESTMENT-GRADE FUND ADMIRAL SHARES - VFSUX	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
7.25	VANGUARD SHORT-TERM CORPORATE BOND INDEX FUND ADMIRAL SHARES - VSCSX	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
7.26	VANGUARD HIGH DIVIDEND YIELD INDEX FUND ETF - VYM	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.27	CASH ACCOUNT (U.S. CUSTODIAN #1)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Stanford University	Stanford, California	I will continue to participate in this defined contribution plan. Neither the plan sponsor nor I will not make further contributions after I separate from Stanford.	10/2018
2	Allianz Asset Management of America	Newport Beach, California	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2006
3	Allianz Asset Management of America	Newport Beach, California	I will continue to receive current distributions of dividends/earnings from underlying investments, while distributions of deferred income will begin in 2024 (i.e., 10 years after separation from PIMCO). No further contributions by Allianz/PIMCO.	6/2008
4	Pacific Investment Management Company (PIMCO)	Newport Beach, California	Subject to Tax Equalization agreement for int'l assignment in Singapore while working for PIMCO. PIMCO paid for tax preparation services and was responsible for all tax obligations in the US and Singapore incurred as a result of my overseas posting in 2012-2014. PIMCO remains obligated if there are any tax preparation services or future payments to relevant tax authorities of the governments of Singapore, US, CA, or other tax authorities stemming from my overseas assignment, or to me if adjustment or recalculation results in monies owed me.	1/2012

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Stanford University	Stanford, California	Professor of the Practice of International Finance; Tad and Diane Taube Policy Fellow at the Stanford Institute for Economic Policy Research

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CASH ACCOUNT (U.S. BANK #1)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	CASH ACCOUNT (U.S. BANK #2)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	CASH ACCOUNT (U.S. BROKERAGE)	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	BLACKROCK CALIFORNIA MUNICIPAL INCOME TRUST - BFZ	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	BLACKROCK MUNICIPAL 2030 TARGET TERM TRUST - BTT	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	BLACKROCK MUNIHOLDINGS CALIFORNIA QUALITY FUND - MUC	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	BLACKROCK MUNIYIELD CALIFORNIA FUND - MYC	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	BLACKROCK MUNIYIELD CALIFORNIA QUALITY FUND - MCA	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	EATON VANCE CALIFORNIA MUNICIPAL BOND FUND - EVM	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	FIDELITY GOVERNMENT MONEY MARKET - SPAXX	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	INVESCO CALIFORNIA VALUE MUNICIPAL INCOME TRUST - VCV	Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	ISHARES MSCI EMERGING MARKETS ETF - EEM	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	NUVEEN AMT-FREE MUNICIPAL CREDIT INCOME FUND - NVG	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14	NUVEEN AMT-FREE QUALITY MUNICIPAL INCOME FUND - NEA	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15	NUVEEN CALIFORNIA QUALTY MUNICIPAL INCOME FUND - NAC	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
16	NUVEEN CALIFORNIA AMT-FREE QUALITY MUNICIPAL INCOME FUND - NKX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	NUVEEN CALIFORNIA SELECT TAX-FREE INCOME PORTFOLIO - NXC	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	NUVEEN CALIFORNIA MUNICIPAL VALUE FUND - NCA	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	NUVEEN MUNICIPAL CREDIT INCOME FUND - NZF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	NUVEEN QUALITY MUNICIPAL INCOME FUND - NAD	Yes	\$1,001 - \$15,000		\$201 - \$1,000
21	PIMCO CALIFORNIA MUNICIPAL INCOME FUND - PCQ	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	PIMCO CALIFORNIA MUNICIPAL INCOME FUND II - PCK	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	PIMCO CALIFORNIA MUNICIPAL INCOME FUND III - PZC	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	PIMCO COMMODITYREALRETURN STRATEGY FUND INST - PCRIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	PIMCO EMERGING MARKETS LOCAL CURRENCY AND BOND FUND INST - PELBX	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
26	PIMCO EMERGING MARKETS BOND FUND INST - PEBIX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
27	PIMCO EMERGING MARKETS CURRENCY AND SHORT-TERM INVESTMENTS FUND INST - PLMIX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
28	PIMCO ENHANCED SHORT MATURITY ACTIVE ETF - MINT	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
29	PIMCO GLOBAL ADVANTAGE STRATEGY BOND FUND INST - PSAIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	PIMCO GLOBAL CORE ASSET ALLOCATION FUND INST - PGAIX	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
31	PIMCO HIGH YIELD FUND INST - PHIYX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
32	PIMCO INVESTMENT GRADE CREDIT BOND FUND INST - PIGIX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
33	PIMCO REAL RETURN FUND INST - PRRIX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
34	VANECK VECTORS SHORT MUNICIPAL ETF - SMB	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
35	VANGUARD 500 INDEX FUND ADM - VFIAX	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
36	VANGUARD DIVIDEND APPRECIATION INDEX FUND ADM - VDADX	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
37	VANGUARD EMERGING MARKETS STOCK INDEX FUND ADM - VEMAX	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
38	VANGUARD EUROPEAN STOCK INDEX FUND ADM - VEUSX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
39	VANGUARD FEDERAL MONEY MARKET FUND	Yes	\$250,001 - \$500,000		\$201 - \$1,000
40	VANGUARD GROWTH INDEX FUND ADM - VIGAX	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
41	VANGUARD HIGH DIVIDEND YIELD INDEX FUND ADM - VHYAX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
42	VANGUARD PACIFIC STOCK INDEX FUND ADM - VPADX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
43	VANGUARD SHORT-TERM CORPORATE BOND INDEX FUND ADM - VSCSX	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
44	VANGUARD SHORT-TERM TAX-EXEMPT FUND ADM - VWSUX	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
45	VANGUARD SMALL-CAP GROWTH INDEX FUND ADM - VSGAX	Yes	\$100,001 - \$250,000		\$201 - \$1,000
46	VANGUARD SMALL-CAP VALUE INDEX FUND ADM - VSIAX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
47	VANGUARD TAX-MANAGED CAPITAL APPRECIATION FUND ADM - VTCLX	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
48	VANGUARD TAX-MANAGED SMALL-CAP FUND ADM - VTMSX	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
49	VANGUARD VALUE INDEX FUND ADM - VVIAX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
50	SPDR S&P 500 ETF TRUST (SPY), CLOSED POSITION FOR WRITTEN PUT OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
51	SPDR S&P 500 ETF TRUST (SPY), CLOSED POSITION FOR WRITTEN PUT OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
52	RESIDENTIAL REAL ESTATE, WASHINGTON, DC	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$100,001 - \$1,000,000

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	3	All trust assets reported.

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).
