

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Rosen, Paul

Assistant Secretary of Treasury, Investment Security, Department of the Treasury

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Banking, Housing, and Urban Affairs
-

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/ Rosen, Paul [electronically signed on 01/06/2022 by Rosen, Paul 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/ Sonfield, Brian, Certifying Official [electronically signed on 03/10/2022 by Sonfield, Brian in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/16/2022 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	Bet Tzedek Legal Services	See Endnote	Los Angeles, California	Non-Profit	Board Member	2/2019	Present
2	Association of Business Trial Lawyers - Los Angeles	See Endnote	Los Angeles, California	Non-Profit	Board Member	1/2021	Present
3	Federal Bar Association - Los Angeles Chapter	See Endnote	Los Angeles, California	Non-Profit	Board Member	10/2019	Present
4	U.S. Anti-Doping Agency (USADA)	See Endnote	Colorado Springs, Colorado	Non-Profit	Board Member	10/2021	Present
5	Crowell & Moring LLP		Los Angeles, California	Law Firm	Partner	4/2017	Present
6	Aventas, Inc.	See Endnote	Los Angeles, California	Corporation	Advisory Board Member	9/2019	1/2021
7	Biden-Harris Transition Team (PT Fund, Inc.)	See Endnote	Washington, D.C., District of Columbia	Transition Team	Volunteer	11/2020	1/2021
8	Greenberg & Rosen	See Endnote	Beverly Hills, California	General Partnership	General Partner	12/1992	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Crowell & Moring LLP (law firm)	N/A		Partnership Share and Bonus	\$1,018,070

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Roth IRA #1	No			
2.1	Fidelity Government Cash Reserves	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Fidelity 500 Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Amazon.com, Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Roth IRA #2	N/A			
3.1	American Funds Amcap A	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Amazon.com, Inc.	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.3	American Funds Capital World Gr&Inc A	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Fidelity Advisor Stock Selec Mid Cp A	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	Laudus US Large Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Davis NY Venture A	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.7	Schwab S&P 500 Indez	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Tesla, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	Proshares TR Ultrapro Dow30	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	Proshares TR Ultra Financials	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	Vanguard Dividend Growth Inv	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	Vanguard Real Estate Index Admiral	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Vanguard S&P 500 ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Roth IRA #3	N/A			
4.1	Aberdeen Global Premier	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Invesco QQQ Tr Ser 1	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Vanguard 500 Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Crowell & Moring LLP (Law Firm), Keogh, Fidelity Freedom Index 2045 Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Crowell & Moring LLP (Law Firm), 401K- Roth, Fidelity Freedom Index 2045 Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	Crowell & Moring LLP (Law Firm), 401K- Traditional, Fidelity Freedom Index 2045 Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Traditional IRA #1	N/A			
8.1	U.S. bank (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Traditional IRA #2	N/A			
9.1	U.S. bank (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
10	Crowell & Moring LLP (law firm) - Capital Account	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Crowell & Moring LLP (law firm), Partnership Share Receivable	N/A	\$50,001 - \$100,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Crowell & Moring LLP (law firm)	Washington, District of Columbia	I will continue to participate in the firm's defined contribution plan (which is made up of a 401(k) and Keogh). Within 30 days of separation, the firm will either return as income any previously earned but withheld income that has not yet been allocated to the plan, or it will allocate the previously earned and withheld income to the 401(k) portion of the plan, after which point no further contributions will be made.	4/2017
2	Crowell & Moring LLP (law firm)	Washington, District of Columbia	Performance bonuses at Crowell & Moring LLP are generally performance-based and discretionary. Pursuant to firm practice, I may receive a discretionary 2021 year-end performance bonus. I may also receive a discretionary performance bonus at the time of my separation based on 2022 year to date performance. If I were to receive any such bonus, it would be paid prior to my assuming the duties of the position of Assistant Secretary.	4/2017
3	Crowell & Moring LLP (law firm)	Washington, District of Columbia	I receive quarterly distributions (including undistributed past earnings), as well as monthly distributions of my partnership share. These distributions will be paid, pro-rated based on the date of my separation from the firm, before assuming the position of Assistant Secretary. I will receive my final partnership distribution prior to assuming the duties of Assistant Secretary.	4/2017
4	Crowell & Moring LLP (law firm)	Washington, District of Columbia	I will receive the return of my contributed capital, without interest, no later than January 31, 2023.	4/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Crowell & Moring LLP	Los Angeles, California	Law Firm Partner
2	Hybrid Promotions LLC	Cypress, California	Legal Services (Client of Crowell & Moring LLP)
3	Lincoln Wood Products, Inc	Merrill, Wisconsin	Legal Services (Client of Crowell & Moring LLP)
4	Neutron Holdings, Inc.	San Francisco, California	Legal Services (Client of Crowell & Moring LLP)
5	NBCUniversal Media, LLC	New York, New York	Legal Services (Client of Crowell & Moring LLP)
6	Regents of the University of California	Oakland, California	Legal Services (Client of Crowell & Moring LLP)
7	Ranger American Armored Services, Inc.	Mayaguez, Puerto Rico	Legal Services (Client of Crowell & Moring LLP)
8	Clark Construction Group, LLC	Bethesda, Maryland	Legal Services (Client of Crowell & Moring LLP)
9	The RAND Corporation	Santa Monica, California	Legal Services (Client of Crowell & Moring LLP)
10	Raytheon Technologies Corporation	Waltham, Massachusetts	Legal Services (Client of Crowell & Moring LLP)
11	MAS Medical Staffing Corporation	Londonderry, New Hampshire	Legal Services (Client of Crowell & Moring LLP)
12	PNC Financial Services Group, Inc.	Pittsburgh, Pennsylvania	Legal Services (Client of Crowell & Moring LLP)
13	Microsoft Corporation	Redmond, Washington	Legal Services (Client of Crowell & Moring LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
14	Local Initiative Health Authority for Los Angeles County	Los Angeles, California	Legal Services (Client of Crowell & Moring LLP)
15	Unacast, Inc	New York, New York	Legal Services (Client of Crowell & Moring LLP)
16	Pacific Premier Bank	Irvine, California	Legal Services (Client of Crowell & Moring LLP)
17	United Refrigeration, Inc.	Philadelphia, Pennsylvania	Legal Services (Client of Crowell & Moring LLP)
18	LifeNet Health, Inc.	Virginia Beach, Virginia	Legal Services (Client of Crowell & Moring LLP)
19	Barclays PLC	London, Outside U.S.	Legal Services (Client of Crowell & Moring LLP)
20	Amazon.com, Inc.	Seattle, Washington	Legal Services (Client of Crowell & Moring LLP)
21	Amphenol Corporation	Wallingford, Connecticut	Legal Services (Client of Crowell & Moring LLP)
22	Anker Innovations Limited	Changsha, Outside U.S.	Legal Services (Client of Crowell & Moring LLP)
23	Fantasia Trading LLC	Ontario, California	Legal Services (Client of Crowell & Moring LLP)
24	Avantor	Radnor, Pennsylvania	Legal Services (Client of Crowell & Moring LLP)
25	Cardinal Health, Inc.	Dublin, Ohio	Legal Services (Client of Crowell & Moring LLP)
26	Bruskin International LLC	Van Nuys, California	Legal Services (Client of Crowell & Moring LLP)
27	Chromalloy Gas Turbine LLC	Palm Beach Gardens, Florida	Legal Services (Client of Crowell & Moring LLP)
28	Joshua Holzer	Patchogue, New York	Legal Services (Client of Crowell & Moring LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
29	Birla Carbon USA, Inc.	Marietta, Georgia	Legal Services (Client of Crowell & Moring LLP)
30	Deluxe Entertainment Services Group, Inc.	Burbank, California	Legal Services (Client of Crowell & Moring LLP)
31	DHL Global Business Services	Plantation, Florida	Legal Services (Client of Crowell & Moring LLP)
32	Fanatics, Inc.	Jacksonville, Florida	Legal Services (Client of Crowell & Moring LLP)
33	Golnar Khosrowshahi	New York, New York	Legal Services (Client of Crowell & Moring LLP)
34	Grindr LLC	West Hollywood, California	Legal Services (Client of Crowell & Moring LLP)
35	HP, Inc.	Palo Alto, California	Legal Services (Client of Crowell & Moring LLP)
36	Just-Tech LLC	New York, New York	Legal Services (Client of Crowell & Moring LLP)
37	Khosla Ventures	Menlo Park, California	Legal Services (Client of Crowell & Moring LLP)
38	Kaman Corp.	Bloomfield, Connecticut	Legal Services (Client of Crowell & Moring LLP)
39	LEGO Systems, Inc.	Enfield, Connecticut	Legal Services (Client of Crowell & Moring LLP)
40	DXC Technology	Asburn, Virginia	Legal Services (Client of Crowell & Moring LLP)
41	Laser Away Medical Group Corporation	Beverly Hills, California	Legal Services (Client of Crowell & Moring LLP)
42	K&N Engineering, Inc.	Riverside, California	Legal Services (Client of Crowell & Moring LLP)
43	TUV SUD America, Inc.	Wakefield, Massachusetts	Legal Services (Client of Crowell & Moring LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
44	James Prestwich	San Francisco, California	Legal Services for Anna Carroll (Client of Crowell & Moring LLP)
45	Drawbridge Realty Trust LLC	San Francisco, California	Legal Services (Client of Crowell & Moring LLP)
46	Maricopa Orchards, LLC	Fresno, California	Legal Services for Kevin Assemi (Client of Crowell & Moring LLP)
47	4 confidential clients (individuals) subject to non-public grand jury investigations	Washington, District of Columbia	Legal Services (Client of Crowell & Moring LLP)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Herbalife International of America, Inc.	N/A		Salary + Bonus	
2	Herbalife International of America, Inc. Deferred Compensation Plan	No			
2.1	Fidelity VIP Government Money Market Initial	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Model Portfolio - Moderate	No			
2.2.1	Fidelity VIP Bd Idx Initial - FVIOX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.2	PIMCO VIT Total Return Admin	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.3	Brighthouse II MFS Value A	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.4	Fidelity VIP Index 500 Initial	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2.5	Brighthouse II Jennison Growth A	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2.6	Fidelity VIP Extended Mkt Idx Initial - FVIJX	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2.7	Delaware VIP Small Cap Value Std	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2.8	Brighthouse I Invesco Small Cap Growth A	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.9	Brighthouse I Oppenheimer Global Equity B	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2.10	Fidelity VIP International Idx Initial - FVIGX	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2.11	American Funds IS International 1	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2.12	MFS VIT II International Intrinsic Value Init	Yes	None (or less than \$1,001)		None (or less than \$201)
2.2.13	American Funds IS New World 1	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3	Model Portfolio - Moderate/Aggressive	No			
2.3.1	Fidelity VIP Bd Idx Initial - FVIOX	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3.2	PIMCO VIT Total Return Admin	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3.3	Brighthouse II MFS Value A	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3.4	Fidelity VIP Index 500 Initial	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3.5	Brighthouse II Jennison Growth A	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3.6	Fidelity VIP Extended Mkt Idx Initial - FVIJX	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3.7	Delaware VIP Small Cap Value Std	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3.8	Brighthouse I Invesco Small Cap Growth A	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3.9	Brighthouse I Oppenheimer Global Equity B	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3.10	Fidelity VIP International Idx Initial - FVIGX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3.11	American Funds IS International 1	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3.12	MFS VIT II International Intrinsic Value Init	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3.13	American Funds IS New World 1	Yes	None (or less than \$1,001)		None (or less than \$201)
3	Traditional IRA	No			
3.1	U.S bank (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
4	Stock Appreciation Rights (vested) - Herbalife International of America, Inc.	N/A	\$50,001 - \$100,000		None (or less than \$201)
5	Restricted Stock Units (unvested) - Herbalife International of America, Inc.	N/A	\$250,001 - \$500,000		None (or less than \$201)
6	Roth IRA	No			
6.1	Aberdeen Global Premier Properties Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Tesla, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3	Amazon.com, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	401(K) Plan - Herbalife International of America, Inc.	No			
7.1	Principal LifeTime Hybrid 2045 CIT	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	Principal LifeTime Hybrid 2050 CIT	Yes	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank (cash) #1	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Brokerage Account #1 (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
3	U.S. bank account #2 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
4	U.S. bank account #3 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
5	U.S. bank account #4 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
6	U.S. Brokerage Account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	U.S. bank account #5 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	U.S. bank account #6 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	New York 529 College Savings Plan	No			
9.1	Vanguard Total Stock Market Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.2	Vanguard Total International Stock Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Met Life Basic Group Variable Universal Life Insurance - Fixed Account 4.0% Guarantee	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	Residential Real Estate - Washington, D.C.	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
12	U.S. bank account #7 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Greenberg & Rosen Partnership	No			
13.1	Commercial Real Estate (Huntington Park, CA)	N/A	\$15,001 - \$50,000	Rent or Royalties	\$201 - \$1,000
14	U.S. Brokerage Account #3	N/A			
14.1	U.S. bank account # (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
14.2	Herbalife Nutrition Ltd. (HLF)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Nelnet, Inc.		Student Loan	\$15,001 - \$50,000	2005	1.625%	30 Years
2	U.S. Department of Education	See Endnote	Student Loan	\$15,001 - \$50,000	2004	1.5%	64 months remaining
3	Wells Fargo Bank		Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2021	2.25%	30 Years
4	Wells Fargo Bank		Mortgage (investment/rental property)	\$250,001 - \$500,000	2013	3.375%	30 Years
5	Family Member		Personal Loan	\$15,001 - \$50,000	2010	0.57%	On Demand
6	Bank of America	See Endnote	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2020	2.5	30 Years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	Uncompensated
1.	2	Uncompensated
1.	3	Uncompensated

PART	#	ENDNOTE
1.	4	USADA provides a board member stipend of \$2500/quarter. This is paid to Crowell & Moring LLP, not to the Filer personally.
1.	6	Uncompensated.
1.	7	Uncompensated
1.	8	I receive a pro rata 12.5% share of fixed rental income on a commercial property in Huntington Park, CA.
8.	2	Loan currently in forbearance at zero percent interest.
8.	6	Paid off

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).
