Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Prescott, Jeffrey

Deputy to the Permanent Representative of the United Nations, Department of State

Date of Appointment: 01/06/2021

Other Federal Government Positions Held During the Preceding 12 Months:
None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Prescott, Jeffrey [electronically signed on 01/07/2021 by Prescott, Jeffrey 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/ Veidenheimer, Paul S, Certifying Official [electronically signed on 01/15/2021 by Veidenheimer, Paul S in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 04/16/2021

Data Revised 01/29/2021

Data Revised 01/19/2021

Data Revised 01/17/2021

Data Revised 01/15/2021

Data Revised 01/13/2021

Data Revised 01/12/2021

Data Revised 01/07/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	National Security Action	See Endnote	Washington, District of Columbia	Non-Profit	Executive Director	2/2018	1/2021
2	Penn Biden Center for Diplomacy and Global Engagement, University of Pennsylvania	See Endnote	Washington, District of Columbia	University/College	Senior Fellow	2/2017	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	National Security Action	N/A		Salary	$236,250
2	Penn Biden Center for Diplomacy and Global Engagement, University of Pennsylvania	N/A		Salary	$85,714
3	Rollover IRA	No			
3.1	AB Large Cap Growth Fund Cl Advisor	Yes	$50,001 - $100,000		None (or less than $201)
3.2	AB Value Fund Advisor Cl	Yes	$15,001 - $50,000		None (or less than $201)
3.3	iShares Tr Core MSCI EAFE ETF	Yes	$50,001 - $100,000		None (or less than $201)
3.4	Bernstein emerging Markets Portfolio	Yes	$15,001 - $50,000		None (or less than $201)
3.5	AB All Market Real Return Portfolio Cl 1	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Roth IRA	No			
4.1	AB Wealth Appreciation Strategy FD Adv Cl	Yes	$50,001 - $100,000		None (or less than $201)
5	SEP IRA	No			
5.1	Vanguard 500 Index Admiral Cl	Yes	$1,001 - $15,000		None (or less than $201)
6	National Security Action	No			
6.1	State Street Aggregate Bond Index K	Yes	$1,001 - $15,000		None (or less than $201)
6.2	Vanguard Balanced Index Adml	Yes	$15,001 - $50,000		None (or less than $201)
6.3	Vanguard Growth Index Adml	Yes	$15,001 - $50,000		None (or less than $201)
6.4	Vanguard Value Index Adml	Yes	$15,001 - $50,000		None (or less than $201)
7	Honorarium for speech, RBC Capital Markets - 07/23/2020	N/A	None (or less than $1,001)		$1,001 - $2,500
8	Honorarium for participation in conference, U.S.-China Dialogue - 01/14/2020	N/A	None (or less than $1,001)		$1,001 - $2,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	National Security Action	Washington, District of Columbia	I will not participate in this defined contribution plan after my separation.	2/2018

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	National Security Action	Washington, District of Columbia	Executive Director for non-profit organization.
2	Penn Biden Center for Diplomacy and Global Engagement, University of Pennsylvania	Washington, District of Columbia	Senior Fellow to non-profit academic center

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Asia Society	N/A		salary	
2	SEP-IRA	No			
2.1	Balanced Index Fund Adm	Yes	$50,001 - $100,000		None (or less than $201)
3	Asia Society	No			
3.1	TIAA Traditional	Yes	$1,001 - $15,000		None (or less than $201)
3.2	CREF Growth R2	Yes	$1,001 - $15,000		None (or less than $201)
3.3	Harbor Capital Apprec In	Yes	$50,001 - $100,000		None (or less than $201)
3.4	TIAA Real Estate	Yes	$1,001 - $15,000		None (or less than $201)
3.5	Metrop West Tot Ret Bd M	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Roth IRA Susan				
4.1	AB Wealth Appreciation Strategy Advisor Class Shares (AWAYX)	Yes	$15,001 - $50,000		None (or less than $201)
5	SEP-IRA Susan				
5.1	AB Wealth Appreciation Strategy Advisor Class Shares (AWAYX)	Yes	$50,001 - $100,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank #1 (checking)	N/A	$15,001 - $50,000		None (or less than $201)
2	U.S. Bank #1 (savings)	N/A	$15,001 - $50,000		None (or less than $201)
3	USAA 500 Index Fund Member Shares (USSPX)	Yes	$1,001 - $15,000		None (or less than $201)
4	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	$15,001 - $50,000		$201 - $1,000
5	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	$1,001 - $15,000		None (or less than $201)
6	U.S. Bank #2 (checking)	N/A	$1,001 - $15,000		None (or less than $201)
7	U.S. Bank #2 (savings)	N/A	$1,001 - $15,000		None (or less than $201)
8	IBM	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	ABTax-Managed Wealth Appreciation Strategy Advisor Class Shares (ATWYX)	Yes	$100,001 - $250,000		$1,001 - $2,500
10	ABTax-Managed Wealth Appreciation Strategy Advisor Class Shares (ATWYX)	Yes	$50,001 - $100,000		$201 - $1,000
11	Brokerage Account - Prescott				
11.1	Sanford C Bernstein Fund, Inc Diversified Municipal Class Shares (SNDPX)	Yes	$15,001 - $50,000		$201 - $1,000
11.2	ABTax-Managed Wealth Appreciation Strategy Advisor Class Shares (ATWYX)	Yes	$100,001 - $250,000		$1,001 - $2,500
12	Brokerage Account - Jakes				
12.1	Sanford C Bernstein Fund, Inc Diversified Municipal Class Shares (SNDPX)	Yes	$100,001 - $250,000		$2,501 - $5,000
12.2	AB Discovery Growth Fund, Inc Class Advisor Shares (CHCYX)	Yes	$15,001 - $50,000		None (or less than $201)
12.3	AB Discovery Value Fund Advisor Class Shares (ABYSX)	Yes	$15,001 - $50,000		None (or less than $201)
12.4	AB Small Cap Core Portfolio Adv Cl	Yes	$15,001 - $50,000		None (or less than $201)
12.5	Adobe, Inc. (ADBE)	N/A	$1,001 - $15,000		None (or less than $201)
12.6	AECOM (ACM)	N/A	$1,001 - $15,000		None (or less than $201)
12.7	Align Technology, Inc. (ALGN)	N/A	$1,001 - $15,000		None (or less than $201)
12.8	Alphabet, Inc. (GOOG)	N/A	$15,001 - $50,000		None (or less than $201)
12.9	Amazon.com, Inc. (AMZN)	N/A	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.10	American Campus Communities, Inc. (ACC)	N/A	$1,001 - $15,000		None (or less than $201)
12.11	American Electric Power Co., Inc. (AEP)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
12.12	Americold Realty Trust, Inc. (COLD)	N/A	$1,001 - $15,000		None (or less than $201)
12.13	Anthem, Inc. (ANTM)	N/A	$1,001 - $15,000		None (or less than $201)
12.14	Apple, Inc. (AAPL)	N/A	$15,001 - $50,000		None (or less than $201)
12.15	Automatic Data Processing, Inc. (ADP)	N/A	$1,001 - $15,000		None (or less than $201)
12.16	Booking Holdings Inc. (BKNG)	N/A	$1,001 - $15,000		None (or less than $201)
12.17	Bank of America Corp. (BAC)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
12.18	Booz Allen Hamilton Holding Corp. (BAH)	N/A	$1,001 - $15,000		None (or less than $201)
12.19	CBRE Group, Inc. (CBRE)	N/A	$1,001 - $15,000		None (or less than $201)
12.20	CDW Corp. (CDW)	N/A	$1,001 - $15,000		None (or less than $201)
12.21	Citigroup, Inc. (C)	N/A	$1,001 - $15,000		None (or less than $201)
12.22	Citrix Systems, Inc. (CTXS)	N/A	$1,001 - $15,000		None (or less than $201)
12.23	Comcast Corp. (CMCSA)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.24	ConocoPhillips (COP)	N/A	$1,001 - $15,000		None (or less than $201)
12.25	Costco Wholesale Corp. (COST)	N/A	$1,001 - $15,000		None (or less than $201)
12.26	CSX Corp. (CSX)	N/A	$1,001 - $15,000		None (or less than $201)
12.27	CubeSmart (CUBE)	N/A	$1,001 - $15,000		None (or less than $201)
12.28	Deckers Outdoor Corp. (DECK)	N/A	$1,001 - $15,000		None (or less than $201)
12.29	Eaton Corp. Plc (ETN)	N/A	$1,001 - $15,000		None (or less than $201)
12.30	Edwards Lifesciences Corp. (EW)	N/A	$1,001 - $15,000		None (or less than $201)
12.31	Electronic Arts, Inc. (EA)	N/A	$1,001 - $15,000		None (or less than $201)
12.32	Facebook, Inc. (FB)	N/A	$15,001 - $50,000		None (or less than $201)
12.33	Fiserv, Inc. (FISV)	N/A	$1,001 - $15,000		None (or less than $201)
12.34	Genpact Ltd. (G)	N/A	$1,001 - $15,000		None (or less than $201)
12.35	The Goldman Sachs Group, Inc. (GS)	N/A	$1,001 - $15,000		None (or less than $201)
12.36	The Home Depot, Inc. (HD)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
12.37	Honeywell International, Inc. (HON)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.38	Ingersoll Rand, Inc. (IR)	N/A	$1,001 - $15,000		None (or less than $201)
12.39	Intel Corp. (INTC)	N/A	$1,001 - $15,000		None (or less than $201)
12.40	Johnson & Johnson (JNJ)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
12.41	KLA Corp. (KLAC)	N/A	$1,001 - $15,000		None (or less than $201)
12.42	LPL Financial Holdings, Inc. (LPLA)	N/A	$1,001 - $15,000		None (or less than $201)
12.43	L3Harris Technologies, Inc. (LHX)	N/A	$1,001 - $15,000		None (or less than $201)
12.44	Magna International Inc	N/A	$1,001 - $15,000		None (or less than $201)
12.45	Masco Corp. (MAS)	N/A	$1,001 - $15,000		None (or less than $201)
12.46	Medtronic Plc (MDT)	N/A	$1,001 - $15,000		None (or less than $201)
12.47	Merck & Co., Inc. (MRK)	N/A	$1,001 - $15,000		None (or less than $201)
12.48	Microsoft Corp. (MSFT)	N/A	$15,001 - $50,000	Dividends Capital Gains	$201 - $1,000
12.49	Mid-America Apartment Communities, Inc. (MAA)	N/A	$1,001 - $15,000		None (or less than $201)
12.50	NextEra Energy, Inc. (NEE)	N/A	$1,001 - $15,000		None (or less than $201)
12.51	NIKE, Inc. (NKE)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.52	Norfolk Southern Corp. (NSC)	N/A	$1,001 - $15,000		None (or less than $201)
12.53	NVIDIA Corp. (NVDA)	N/A	$1,001 - $15,000		None (or less than $201)
12.54	NXP Semiconductors N V	N/A	$1,001 - $15,000		None (or less than $201)
12.55	Oracle Corp. (ORCL)	N/A	$1,001 - $15,000		None (or less than $201)
12.56	PayPal Holdings, Inc. (PYPL)	N/A	$1,001 - $15,000		None (or less than $201)
12.57	PepsiCo, Inc. (PEP)	N/A	$1,001 - $15,000		None (or less than $201)
12.58	Pfizer Inc. (PFE)	N/A	$1,001 - $15,000		None (or less than $201)
12.59	Pinnacle West Capital Corp. (PNW)	N/A	$1,001 - $15,000		None (or less than $201)
12.60	The PNC Financial Services Group, Inc. (PNC)	N/A	$1,001 - $15,000		None (or less than $201)
12.61	Procter & Gamble Co. (PG)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
12.62	Progressive Corp. (PGR)	N/A	$1,001 - $15,000		None (or less than $201)
12.63	Prologis, Inc. (PLD)	N/A	$1,001 - $15,000		None (or less than $201)
12.64	QUALCOMM, Inc. (QCOM)	N/A	$1,001 - $15,000		None (or less than $201)
12.65	Raytheon Co. (RTN)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.66	Regeneron Pharmaceuticals, Inc. (REGN)	N/A	$1,001 - $15,000		None (or less than $201)
12.67	Reinsurance Group of America, Inc. (RGA)	N/A	$1,001 - $15,000		None (or less than $201)
12.68	Roche Holding LLC	N/A	$1,001 - $15,000		None (or less than $201)
12.69	Starbucks Corp. (SBUX)	N/A	$1,001 - $15,000		None (or less than $201)
12.70	T-Mobile US, Inc. (TMUS)	N/A	$1,001 - $15,000		None (or less than $201)
12.71	Take-Two Interactive Software, Inc. (TTWO)	N/A	$1,001 - $15,000		None (or less than $201)
12.72	Texas Instruments Incorporated (TXN)	N/A	$1,001 - $15,000		None (or less than $201)
12.73	The TJX Cos., Inc. (TJX)	N/A	$1,001 - $15,000		None (or less than $201)
12.74	United Rentals, Inc. (URI)	N/A	$1,001 - $15,000		None (or less than $201)
12.75	UnitedHealth Group, Inc. (UNH)	N/A	$15,001 - $50,000	Dividends Capital Gains	$201 - $1,000
12.76	Valero Energy Corp. (VLO)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
12.77	Verizon Communications, Inc. (VZ)	N/A	$1,001 - $15,000	Dividends Capital Gains	$201 - $1,000
12.78	Vertex Pharmaceuticals, Inc. (VRTX)	N/A	$1,001 - $15,000		None (or less than $201)
12.79	Visa, Inc. (V)	N/A	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.80	VMware, Inc. (VMW)	N/A	$1,001 - $15,000		None (or less than $201)
12.81	Walmart, Inc. (WMT)	N/A	$1,001 - $15,000		None (or less than $201)
12.82	The Walt Disney Co. (DIS)	N/A	$1,001 - $15,000		None (or less than $201)
12.83	Wells Fargo & Co	N/A	$1,001 - $15,000		None (or less than $201)
12.84	Westlake Chemical Corp. (WLK)	N/A	$1,001 - $15,000		None (or less than $201)
12.85	Xilinx, Inc. (XLNX)	N/A	$1,001 - $15,000		None (or less than $201)
12.86	Activision Blizzard, Inc. (ATVI)	N/A	$1,001 - $15,000		None (or less than $201)
12.87	Amdocs Limited	N/A	$1,001 - $15,000		None (or less than $201)
12.88	Ameren Corp. (AEE)	N/A	$1,001 - $15,000		None (or less than $201)
12.89	American Financial Group, Inc. (AFG)	N/A	$1,001 - $15,000		None (or less than $201)
12.90	AutoZone, Inc. (AZO)	N/A	$1,001 - $15,000		None (or less than $201)
12.91	Bristol-Myers Squibb (BMY)	N/A	$1,001 - $15,000		None (or less than $201)
12.92	British American Tobacco	N/A	$1,001 - $15,000		None (or less than $201)
12.93	CH Robinson Worldwide Inc (CHRW)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.94	Check Point Software	N/A	$1,001 - $15,000		None (or less than $201)
12.95	The Coca-Cola Co. (KO)	N/A	$1,001 - $15,000		None (or less than $201)
12.96	Copart, Inc. (CPRT)	N/A	$1,001 - $15,000		None (or less than $201)
12.97	DaVita, Inc. (DVA)	N/A	$1,001 - $15,000		None (or less than $201)
12.98	Dominion Energy, Inc. (D)	N/A	$1,001 - $15,000		None (or less than $201)
12.99	Eli Lilly & Co. (LLY)	N/A	$1,001 - $15,000		None (or less than $201)
12.100	Everest Re Group Ltd. (RE)	N/A	$1,001 - $15,000		None (or less than $201)
12.101	Fidelity National Information Services, Inc. (FIS)	N/A	$1,001 - $15,000		None (or less than $201)
12.102	Intercontinental Exchange, Inc. (ICE)	N/A	$1,001 - $15,000		None (or less than $201)
12.103	JPMorgan Chase & Co. (JPM)	N/A	$1,001 - $15,000		None (or less than $201)
12.104	Mastercard, Inc. (MA)	N/A	$1,001 - $15,000		None (or less than $201)
12.105	McDonald's Corp. (MCD)	N/A	$1,001 - $15,000		None (or less than $201)
12.106	Motorola Solutions, Inc. (MSI)	N/A	$1,001 - $15,000		None (or less than $201)
12.107	Nice Ltd	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.108	NortonLifelock Inc	N/A	$1,001 - $15,000		None (or less than $201)
12.109	Nuance Communications, Inc. (NUAN)	N/A	$1,001 - $15,000		None (or less than $201)
12.110	O'Reilly Automotive, Inc. (ORLY)	N/A	$1,001 - $15,000		None (or less than $201)
12.111	Paychex, Inc. (PAYX)	N/A	$1,001 - $15,000		None (or less than $201)
12.112	Relx Plc	N/A	$1,001 - $15,000		None (or less than $201)
12.113	RenaissanceRe Holdings Ltd. (RNR)	N/A	$1,001 - $15,000		None (or less than $201)
12.114	Republic Services, Inc. (RSG)	N/A	$1,001 - $15,000		None (or less than $201)
12.115	S&P Global, Inc. (SPGI)	N/A	$1,001 - $15,000		None (or less than $201)
12.116	Sealed Air Corp. (SEE)	N/A	$1,001 - $15,000		None (or less than $201)
12.117	Sun Communities, Inc. (SUI)	N/A	$1,001 - $15,000		None (or less than $201)
12.118	Taiwan Semiconductor Mfg Co	N/A	$1,001 - $15,000		None (or less than $201)
12.119	Verisk Analytics, Inc. (VRSK)	N/A	$1,001 - $15,000		None (or less than $201)
12.120	Zoetis, Inc. (ZTS)	N/A	$1,001 - $15,000		None (or less than $201)
12.121	Bernstein International Strategic Eqi Portfolio SCB	Yes	$250,001 - $500,000		$2,501 - $5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.122	Sanford C Bernstein Fund, Inc Emerging Markets Class Shares (SNEMX)	Yes	$15,001 - $50,000		$201 - $1,000
12.123	Clovis Oncology, Inc. (CLVS)	N/A	$1,001 - $15,000		None (or less than $201)
13	U.S. Bank #3 (checking)	N/A	$15,001 - $50,000		None (or less than $201)

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.	1	On Leave as of November 2020
1.	2	On leave beginning November 2020

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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