

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Jeffrey, Deborah

Inspector General, Corporation for National and Community Service

Report Year: 2020

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/ Jeffrey, Deborah [electronically signed on 05/13/2020 by Jeffrey, Deborah 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/ Rubiella, Evelio, Certifying Official [electronically signed on 07/28/2020 by Rubiella, Evelio in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/06/2020 by Granahan, Megan in Integrity.gov]

Data Revised 07/28/2020

Data Revised 07/10/2020

Data Revised 07/02/2020

Data Revised 07/01/2020

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	parking space (Washington, D.C.)		\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500

3. Filer's Employment Agreements and Arrangements

None

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

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

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Cash deposit PNC Bank, Washington, DC (checking and savings)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2	Cash Deposit-Bank of America, Washington, DC (checking and savings)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3	Bond - State of Israel 7th Development Issue Supplement State of Israel--Development Corporation for Israel	No	\$1,001 - \$15,000		None (or less than \$201)
4	Cash Account - Morgan Stanley	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	IRA (Morgan Stanley Smith Barney LLC)				
5.1	AMER BEACON AHL MNGD FUT STR Y(AHLYX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.2	AMERICAN EUROPACIFIC GRW F2 (AEPFX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.3	AMERICAN GW FD OF AMERICA F2 (GFFFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.4	BARON SMALL CAP INSTL (BSFIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.5	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.6	NEUBERGER INTRINSIC VALUE INST (NINLX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.7	OHIO NATIONAL - ONCORE LITE III CINCINNATI, OH US	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.8	SKYBRIDGE MULTI-ADSR SERIES G HEDGE FUND OF FUNDS	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.9	TRANSAMERICA LIBERTY 2008 CEDAR RAPIDS, IA US	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10	VANGUARD MID CAP VALUE ETF (VOE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.11	VANGUARD MIDCAP GROWTH ETF (VOT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.12	ISHARES S&P 500 GRWTH (IVW)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.13	MATTHEWS ASIAN JAPAN INV (MJFOX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.14	T ROWE PRICE JAPAN FUND (PRJPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.15	Global X MLP & Energy Infr ETF (MLPX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.16	Calamos Phineus Long/Short I (CPLIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
5.17	Oakmark Fund Advisor (OAYMX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.18	Virtus Vontobel EMRG Mkt Opp I (HIEMX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.19	ISHARES 20+ YR TREASU BOND ETF(TLT)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.20	WISDOMTREE US LARGE CAP DIV FND(DLN)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.21	COLUMBIA OVERSEAS VALUE INST(COSZX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.22	GOLDMAN SACHS ABSLT RET TRCK I(GJRTX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.23	INVESCO CONSERVATIVE INC INST(ICIFX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	Morgan Stanley Taxable Investment Account				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	VANGUARD SHORT TERM BOND (BSV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.2	BLACKROCK HI YIELD BD PTF INST (BHYIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.3	Janus Henderson Intl Opp I (HFOIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6.4	ISHARES JP MORGAN EM BOND ETF (EMB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.5	ACAP STRATEGIC INTERVAL COMMON (XCAPX)	See Endnote	Yes \$50,001 - \$100,000		\$2,501 - \$5,000
6.6	BARON REAL ESTATE INST (BREIX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
6.7	WESTERN ASSET CORE PLUS BD I(WACPX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	WESTERN ASSET CORE PLUS BD I WACPX	Purchase	01/28/2019	\$100,001 - \$250,000
2	JANUS HENDERSON INTL OPP I HFOIX	Purchase	01/28/2019	\$100,001 - \$250,000
3	AMERICAN EUROPACIFIC GRW F2 AEPFX	Purchase	01/28/2019	\$100,001 - \$250,000
4	VANGUARD SHORT TERM BND BSV	Purchase	01/28/2019	\$50,001 - \$100,000
5	AMERICAN GW FD OF AMERICA F2 GFFFX	Purchase	01/28/2019	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
6	CALAMOS PHINEUS LONG/SHORT I CPLIX	Purchase	01/28/2019	\$15,001 - \$50,000
7	BLACKSTONE ALT MULT-STRAT INST BXMIX	Purchase	01/28/2019	\$15,001 - \$50,000
8	NEUBERGER INTRINSIC VALUE INST NINLX	Purchase	01/28/2019	\$15,001 - \$50,000
9	ABBEY CPTL FUTURES STRATEGY I ABYIX	Purchase	01/28/2019	\$15,001 - \$50,000
10	BARON REAL ESTATE INST BREIX	Purchase	01/28/2019	\$15,001 - \$50,000
11	OAKMARK FUND ADVISOR OAYMX	Purchase	01/28/2019	\$15,001 - \$50,000
12	VIRTUS VONTOBEL EMRG MKT OPP I HIEMX	Purchase	01/28/2019	\$15,001 - \$50,000
13	ISHARES INC MSCI JAPAN ETF EWJ	Purchase	01/28/2019	\$15,001 - \$50,000
14	BARON SMALL CAP INSTL BSFIX	Purchase	01/28/2019	\$15,001 - \$50,000
15	BLACKROCK HI YIELD BD PTF INST BHYIX	Purchase	01/28/2019	\$1,001 - \$15,000
16	SPDR BBG BARCLAYS HIGH YIE BND JNK	Sale	01/28/2019	\$1,001 - \$15,000
17	ISHARES S&P 500 GRWTH ETF IVW	Sale	01/28/2019	\$1,001 - \$15,000
18	ISHARES RUSSELL 2000 GRWTH ETF IWO	Sale	01/28/2019	\$15,001 - \$50,000
19	VANGUARD FTSE EMERGING MARKETS VWO	Sale	01/28/2019	\$15,001 - \$50,000
20	VANGUARD FTSE DEVELOPED MKTS E VEA	Sale	01/28/2019	\$250,001 - \$500,000
21	ISHARES RUSSELL 1000 VALUE ETF IWD	Sale	01/28/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	VANGUARD REAL ESTATE ETF VNQ	Sale	01/28/2019	\$15,001 - \$50,000
23	ISHARES CORE U.S. AGGREGATE AGG	Sale	01/28/2019	\$100,001 - \$250,000
24	ISHARES RUSSELL 2000 VALUE ETF IWN	Sale	01/28/2019	\$15,001 - \$50,000
25	VANGUARD TOTAL BOND MARKET BND	Sale	01/28/2019	\$100,001 - \$250,000
26	ISHARES RUSSELL 1000 GRW ETF IWF	Sale	01/28/2019	\$50,001 - \$100,000
27	ISHARES BARCLAYS 1-3 YR TSY BD SHY	Sale	01/28/2019	\$50,001 - \$100,000
28	SKYBRIDGE MUL-AD SER G	Purchase	01/30/2019	\$1,001 - \$15,000
29	AQR STYLE PREMIA ALTERNATIVE I QSPIX	Purchase	02/01/2019	\$50,001 - \$100,000
30	T ROWE PRICE JAPAN FUND PRJPX	Purchase	02/01/2019	\$15,001 - \$50,000
31	ISHARES INC MSCI JAPAN ETF EWJ	Sale	02/01/2019	\$15,001 - \$50,000
32	IQ HEDGE MULTI-STRAT TRACKER QAI	Sale	02/01/2019	\$50,001 - \$100,000
33	CTR COAST BRKFLD MLP FOCUS Y CCCNX	Purchase	02/14/2019	\$50,001 - \$100,000
34	GLOBAL X MLP ETF MLPA	Sale	02/14/2019	\$50,001 - \$100,000
35	AMER BEACON AHL MNGD FUT STR Y AHLYX	Purchase	03/01/2019	\$100,001 - \$250,000
36	AQR MNGD FUTURES STRAT I AQMIX	Sale	03/01/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	WISDOMTREE MGD FUTURES STRAT WTMF	Sale	03/01/2019	\$15,001 - \$50,000
38	ABBEY CPTL FUTURES STRATEGY I ABYIX	Sale	03/01/2019	\$15,001 - \$50,000
39	AMER BEACON AHL MNGD FUT STR Y AHLX	Purchase	04/05/2019	\$1,001 - \$15,000
40	VANGUARD SHORT TERM BND BSV	Purchase	04/05/2019	\$1,001 - \$15,000
41	VANGUARD SHORT TERM BND BSV	Purchase	04/05/2019	\$1,001 - \$15,000
42	BLACKSTONE ALT MULT-STRAT INST BXMIX	Purchase	04/05/2019	\$1,001 - \$15,000
43	CTR COAST BRKFLD MLP FOCUS Y CCCNX	Purchase	04/05/2019	\$15,001 - \$50,000
44	CALAMOS PHINEUS LONG/SHORT I CPLIX	Purchase	04/05/2019	\$1,001 - \$15,000
45	ISHARES JP MORGAN EM BOND ETF EMB	Purchase	04/05/2019	\$15,001 - \$50,000
46	PIONEER MLTI AST ULT SHT INC Y MYFRX	Purchase	04/05/2019	\$15,001 - \$50,000
47	NEUBERGER INTRINSIC VALUE INST NINLX	Purchase	04/05/2019	\$15,001 - \$50,000
48	AQR STYLE PREMIA ALTERNATIVE I QSPIX	Purchase	04/05/2019	\$15,001 - \$50,000
49	WESTERN ASSET CORE PLUS BD I WACPX	Purchase	04/05/2019	\$15,001 - \$50,000
50	AMERICAN EUROPACIFIC GRW F2 AEPFX	Sale	04/05/2019	\$15,001 - \$50,000
51	BLACKROCK HI YIELD BD PTF INST BHYIX	Sale	04/05/2019	\$15,001 - \$50,000
52	BARON REAL ESTATE INST BREIX	Sale	04/05/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	BARON SMALL CAP INSTL BSFIX	Sale	04/05/2019	\$1,001 - \$15,000
54	WISDOMTREE US LARGE CAP DIV FND DLN	Sale	04/05/2019	\$1,001 - \$15,000
55	AMERICAN GW FD OF AMERICA F2 GFFFX	Sale	04/05/2019	\$15,001 - \$50,000
56	JANUS HENDERSON INTL OPP I HFOIX	Sale	04/05/2019	\$15,001 - \$50,000
57	VIRTUS VONTOBEL EMRG MKT OPP I HIEMX	Sale	04/05/2019	\$15,001 - \$50,000
58	ISHARES S&P 500 GRWTH ETF IVW	Sale	04/05/2019	\$15,001 - \$50,000
59	OAKMARK FUND ADVISOR OAYMX	Sale	04/05/2019	\$1,001 - \$15,000
60	VANGUARD MIDCAP GROWTH ETF VOT	Sale	04/05/2019	\$1,001 - \$15,000
61	AMERICAN EUROPACIFIC GRW F2 AEPFX	Purchase	04/15/2019	\$1,001 - \$15,000
62	WISDOMTREE US LARGE CAP DIV FND DLN	Purchase	04/15/2019	\$1,001 - \$15,000
63	JANUS HENDERSON INTL OPP I HFOIX	Purchase	04/15/2019	\$1,001 - \$15,000
64	AQR LONG-SHORT EQUITY QLEIX	Purchase	04/15/2019	\$1,001 - \$15,000
65	AQR STYLE PREMIA ALTERNATIVE I QSPIX	Purchase	04/15/2019	\$1,001 - \$15,000
66	ISHARES 20+ YR TREASU BOND ETF TLT	Purchase	04/15/2019	\$50,001 - \$100,000
67	VIRTUS VONTOBEL EMRG MKT OPP I HIEMX	Purchase	04/18/2019	\$1,001 - \$15,000
68	MATTHEWS ASIAN JAPAN INV MJFOX	Sale	04/18/2019	\$1,001 - \$15,000
69	T ROWE PRICE JAPAN FUND PRJPX	Sale	04/18/2019	\$1,001 - \$15,000
70	CTR COAST BRKFLD MLP FOCUS Y CCCNX	Sale	04/18/2019	\$1,001 - \$15,000
71	JANUS HENDERSON INTL OPP I HFOIX	Sale	04/18/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
72	AMERICAN EUROPACIFIC GRW F2 AEPFX	Sale	04/18/2019	\$15,001 - \$50,000
73	INVESCO CONSERVATIVE INC INST ICIFX	Purchase	04/22/2019	\$100,001 - \$250,000
74	PIMCO ENHANCED SHRT MTRT EXC MINT	Sale	04/22/2019	\$1,001 - \$15,000
75	PIONEER MLTI AST ULT SHT INC Y MYFRX	Sale	04/22/2019	\$100,001 - \$250,000
76	COLUMBIA OVERSEAS VALUE INST COSZX	Purchase	05/02/2019	\$50,001 - \$100,000
77	JANUS HENDERSON INTL OPP I HFOIX	Sale	05/02/2019	\$50,001 - \$100,000
78	BLACKSTONE ALT MULT-STRAT INST BXMIX	Purchase	08/06/2019	\$15,001 - \$50,000
79	CALAMOS PHINEUS LONG/SHORT I CPLIX	Purchase	08/06/2019	\$50,001 - \$100,000
80	GOLDMAN SACHS ABSLT RET TRCK I GJRTX	Purchase	08/06/2019	\$100,001 - \$250,000
81	AB SEL US LG/SHT ADV ASYLX	Sale	08/06/2019	\$50,001 - \$100,000
82	AQR LONG-SHORT EQUITY QLEIX	Sale	08/06/2019	\$1,001 - \$15,000
83	AQR STYLE PREMIA ALTERNATIVE I QSPIX	Sale	08/06/2019	\$100,001 - \$250,000
84	CTR COAST BRKFLD MLP FOCUS Y CCCNX	Purchase	12/16/2019	\$1,001 - \$15,000
85	OAKMARK FUND ADVISOR OAYMX	Purchase	12/16/2019	\$1,001 - \$15,000
86	CALAMOS PHINEUS LONG/SHORT I CPLIX	Purchase	12/16/2019	\$1,001 - \$15,000
87	COLUMBIA OVERSEAS VALUE INST COSZX	Purchase	12/23/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
88	AMERICAN EUROPACIFIC GRW F2 AEPFX	Purchase	12/23/2019	\$15,001 - \$50,000
89	VIRTUS VONTOBEL EMRG MKT OPP I HIEMX	Purchase	12/23/2019	\$15,001 - \$50,000
90	OAKMARK FUND ADVISOR OAYMX	Purchase	12/23/2019	\$15,001 - \$50,000
91	WISDOMTREE US LARGE CAP DIV FND DLN	Purchase	12/23/2019	\$1,001 - \$15,000
92	ISHARES 20+ YR TREASU BOND ETF TLT	Purchase	12/23/2019	\$1,001 - \$15,000
93	AMERICAN GW FD OF AMERICA F2 GFFFX	Purchase	12/23/2019	\$1,001 - \$15,000
94	AMER BEACON AHL MNGD FUT STR Y AHLYX	Purchase	12/23/2019	\$1,001 - \$15,000
95	CALAMOS PHINEUS LONG/SHORT I CPLIX	Purchase	12/23/2019	\$1,001 - \$15,000
96	GOLDMAN SACHS ABSLT RET TRCK I GJRTX	Purchase	12/23/2019	\$1,001 - \$15,000
97	ISHARES S&P 500 GRWTH ETF IVW	Purchase	12/23/2019	\$1,001 - \$15,000
98	BLACKSTONE ALT MULT-STRAT INST BXMIX	Purchase	12/23/2019	\$1,001 - \$15,000
99	INVESCO CONSERVATIVE INC INST ICIFX	Purchase	12/23/2019	\$1,001 - \$15,000
100	CTR COAST BRKFLD MLP FOCUS Y CCCNX	Purchase	12/23/2019	\$1,001 - \$15,000
101	VANGUARD MID CAP VALUE ETF VOE	Purchase	12/23/2019	\$1,001 - \$15,000
102	VANGUARD MIDCAP GROWTH ETF VOT	Purchase	12/23/2019	\$1,001 - \$15,000
103	NEUBERGER INTRINSIC VALUE INST NINLX	Purchase	12/23/2019	\$1,001 - \$15,000
104	MATTHEWS ASIAN JAPAN INV MJFOX	Purchase	12/23/2019	\$1,001 - \$15,000
105	BARON SMALL CAP INSTL BSFIX	Purchase	12/23/2019	\$1,001 - \$15,000
106	T ROWE PRICE JAPAN FUND PRJPX	Purchase	12/23/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
107	GLOBAL X MLP & ENERGY INFR ETF MLPX	Purchase	12/31/2019	\$100,001 - \$250,000
108	CALAMOS PHINEUS LONG/SHORT I CPLIX	Purchase	12/31/2019	\$1,001 - \$15,000
109	BLACKSTONE ALT MULT-STRAT INST BXMIX	Purchase	12/31/2019	\$1,001 - \$15,000
110	AMER BEACON AHL MNGD FUT STR Y AHLYX	Purchase	12/31/2019	\$1,001 - \$15,000
111	GOLDMAN SACHS ABSLT RET TRCK I GJRTX	Purchase	12/31/2019	\$1,001 - \$15,000
112	NEUBERGER INTRINSIC VALUE INST NINLX	Purchase	12/31/2019	\$1,001 - \$15,000
113	INVESCO CONSERVATIVE INC INST ICIFX	Purchase	12/31/2019	\$1,001 - \$15,000
114	OAKMARK FUND ADVISOR OAYMX	Purchase	12/31/2019	\$1,001 - \$15,000
115	VANGUARD SHORT TERM BND BSV	Purchase	12/31/2019	\$1,001 - \$15,000
116	WESTERN ASSET CORE PLUS BD I WACPX	Purchase	12/31/2019	\$1,001 - \$15,000
117	VIRTUS VONTOBEL EMRG MKT OPP I HIEMX	Purchase	12/31/2019	\$1,001 - \$15,000
118	BARON SMALL CAP INSTL BSFIX	Purchase	12/31/2019	\$1,001 - \$15,000
119	CTR COAST BRKFLD MLP FOCUS Y CCCNX	Sale	12/31/2019	\$100,001 - \$250,000
120	WisdomTree Managed Futures Strategy ETF (WTMF)	Sale	03/05/2019	\$15,001 - \$50,000
121	CTR Coast Brookfield MLP Focus (CCCNX)	Sale	04/23/2019	\$1,001 - \$15,000
122	Pimco Enhanced SHRT MTRT (MINT)	Sale	04/24/2019	\$1,001 - \$15,000
123	Pioneer Multi-Asset Ultrashort Fund (MYFRX)	Sale	04/24/2019	\$100,001 - \$250,000
124	CTR Coast Brookfield MLP Focus (CCCNX)	Sale	12/31/2019	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
125	CTR Coast Brookfield MLP Focus (CCCNX)	Sale	12/31/2019	\$50,001 - \$100,000
126	Ceres Orion	See Endnote	12/13/2019	\$100,001 - \$250,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Nationstar Mortgage LLC, d/b/a Mr. Cooper, Coppel, TX	Mortgage on Personal Residence	\$15,001 - \$50,000	2012	3.375	15 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	6.5	This asset was inadvertently left off of Filer's report last year. Therefore, it is not a "new" asset for this year.
7.	126	This was a redemption of the asset formerly listed in previous reports as "Orion Managed Futures Fund."

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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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).
