

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

Filer's Information

Ng, Karlo

Director of Domestic Violence Prevention Activities, Department of Housing and Urban Development

Report Year: 2022

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/ Ng, Karlo [electronically signed on 05/08/2022 by Ng, Karlo 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/ Baxter, Daniel, Certifying Official [electronically signed on 05/09/2022 by Baxter, Daniel in Integrity.gov]

Other review conducted by

/s/ Slye, Brandi, Ethics Official [electronically signed on 05/09/2022 by Slye, Brandi in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/09/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	National Alliance for Safe Housing	Washington, District of Columbia	Non-Profit	Director of Legal Initiatives	4/2020	9/2021
2	National Low Income Housing Coalition	Washington, District of Columbia	Non-Profit	Board Member	7/2018	10/2021
3	Karlo Ng Consulting	Berkeley, California	Consulting Practice	Consultant	6/2021	8/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	National Alliance for Safe Housing	N/A		Salary	\$125,297
2	Karlo Ng Consulting	N/A		consulting fees	\$1,920
3	ABA 401k Account	Yes			
3.1	2045 Retirement Date Fund R2		\$100,001 - \$250,000		None (or less than \$201)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	San Francisco Day School	N/A		salary	
2	TIAA 403b Plan				
2.1	TIAA 403b Plan - Guaranteed Assets	Yes	\$15,001 - \$50,000		
2.2	TIAA 403b Plan - Equities	Yes	\$250,001 - \$500,000		
2.3	TIAA 403b Plan - Real Estate	Yes	\$1,001 - \$15,000		
2.4	TIAA 403b Plan - Fixed Income	Yes	\$15,001 - \$50,000		
2.5	TIAA 403b Plan - Money Market	Yes	\$15,001 - \$50,000		

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Bank of America Checking Account (cash)	No	\$15,001 - \$50,000		None (or less than \$201)
2	Bank of America Checking Account (cash)	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Capital One Savings	No	\$15,001 - \$50,000	Interest	None (or less than \$201)
4	CalSTRS (California State Teachers Retirement System)				
4.1	Defined Benefit	Yes	\$1,001 - \$15,000		
4.2	Defined Benefit Supplement	Yes	\$1,001 - \$15,000		
5	MetLife 401k Plan				
5.1	Invesco Global Equity Portfolio	Yes	\$1,001 - \$15,000		
5.2	Aggregate Bond Index Portfolio	Yes	\$1,001 - \$15,000		
5.3	Morgan Stanley Discovery Portfolio	Yes	\$1,001 - \$15,000		
5.4	T. Rowe Price Large Cap Growth Portfolio	Yes	\$1,001 - \$15,000		
5.5	T. Rowe Price Small Cap Growth Portfolio	Yes	\$1,001 - \$15,000		
6	Equitable 403b Plan				
6.1	Equitable 403b Plan - International Stocks/Global	Yes	\$1,001 - \$15,000		
6.2	Equitable 403b Plan - Large Cap	Yes	\$1,001 - \$15,000		
7	529 Plan #1				
7.1	UTALX	Yes	\$100,001 - \$250,000		
8	529 Plan #2				
8.1	UTAIX	Yes	\$100,001 - \$250,000		
9	Bernstein Retirement Account	No	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	AB EMERGING MARKETS PORT[1]	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.2	ABBOTT LABORATORIES	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
9.3	ABBVIE INC	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.4	ADOBE INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.5	ALLEGION PLC	No	\$1,001 - \$15,000		None (or less than \$201)
9.6	ALPHABET INC-CL C	No	\$15,001 - \$50,000		None (or less than \$201)
9.7	AMAZON.COM INC	No	\$50,001 - \$100,000		None (or less than \$201)
9.8	AMDOCS LTD	No	\$1,001 - \$15,000		None (or less than \$201)
9.9	AMERICAN CAMPUS COMMUNITIES	No	\$1,001 - \$15,000		None (or less than \$201)
9.10	AMERICAN FINANCIAL GROUP INC	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.11	AMERICAN TOWER CORP	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.12	AMPHENOL CORP-CL A	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.13	ANALOG DEVICES INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.14	ANTHEM INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.15	APPLE INC	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.16	APTIV PLC	No	\$15,001 - \$50,000		None (or less than \$201)
9.17	AUTOMATIC DATA PROCESSING	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.18	AUTOZONE INC	No	\$15,001 - \$50,000		None (or less than \$201)
9.19	BANK OF AMERICA CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.20	BERNSTEIN CALIFORNIA MUNICIPAL PORTFOLIO[1]	No	\$250,001 - \$500,000	Bonds	
9.21	BERNSTEIN INTERNATIONAL SMALL CAP PORTFOLIO - SCB[1]	No	\$50,001 - \$100,000	Bonds	
9.22	BERNSTEIN INTERNATIONAL STRATEGIC EQUITIES PORTFOLIO[1]	No	\$250,001 - \$500,000	Bonds	
9.23	BOOZ ALLEN HAMILTON HOLDINGS	No	\$1,001 - \$15,000		None (or less than \$201)
9.24	BROADCOM INC	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.25	C.H. ROBINSON WORLDWIDE INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.26	CARTER'S INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.27	CDW CORP/DE	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
9.28	CME GROUP INC	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.29	COCA-COLA CO/THE	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.30	COLGATE-PALMOLIVE CO	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.31	COMCAST CORP-CLASS A	No	\$1,001 - \$15,000		None (or less than \$201)
9.32	CONSTELLATION BRANDS INC-A	No	\$1,001 - \$15,000		None (or less than \$201)
9.33	COPART INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.34	CUBESMART	No	\$1,001 - \$15,000		None (or less than \$201)
9.35	DAVITA INC	No	None (or less than \$1,001)		None (or less than \$201)
9.36	DECKERS OUTDOOR CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.37	DOLLAR GENERAL CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.38	ELECTRONIC ARTS INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.39	ELI LILLY & CO	No	\$1,001 - \$15,000		None (or less than \$201)
9.40	ESSENT GROUP LTD	No	\$1,001 - \$15,000		None (or less than \$201)
9.41	EVEREST RE GROUP LTD	No	\$1,001 - \$15,000		None (or less than \$201)
9.42	FIDELITY NATIONAL INFO SERV	No	\$1,001 - \$15,000		None (or less than \$201)
9.43	GARMIN LTD	No	\$1,001 - \$15,000		None (or less than \$201)
9.44	GENERAC HOLDINGS INC	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.45	GENPACT LTD	No	\$1,001 - \$15,000		None (or less than \$201)
9.46	HOME DEPOT INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.47	HOULIHAN LOKEY INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.48	INTERCONTINENTAL EXCHANGE IN	No	\$1,001 - \$15,000		None (or less than \$201)
9.49	INTL FLAVORS & FRAGRANCES	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.50	IQVIA HOLDINGS INC	No	\$15,001 - \$50,000		None (or less than \$201)
9.51	JOHNSON & JOHNSON	No	\$1,001 - \$15,000		None (or less than \$201)
9.52	JPMORGAN CHASE & CO	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.53	KLA CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.54	KONINKLIJKE AHOLD-SP ADR	No	\$1,001 - \$15,000		None (or less than \$201)
9.55	L3HARRIS TECHNOLOGIES INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.56	LENNOX INTERNATIONAL INC	No	None (or less than \$1,001)		None (or less than \$201)
9.57	MARSH & MCLENNAN COS	No	\$1,001 - \$15,000		None (or less than \$201)
9.58	MASCO CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.59	MASTERCARD INC - A	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.60	MCDONALD'S CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.61	MEDTRONIC PLC	No	\$1,001 - \$15,000		None (or less than \$201)
9.62	MERCK & CO. INC.	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.63	META PLATFORMS INC-CLASS A	No	\$15,001 - \$50,000		None (or less than \$201)
9.64	MICROSOFT CORP	No	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
9.65	MOTOROLA SOLUTIONS INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.66	NIKE INC -CL B	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.67	NORTHROP GRUMMAN CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.68	NORTONLIFELOCK INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.69	NUANCE COMMUNICATIONS INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.70	O'REILLY AUTOMOTIVE INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.71	ORACLE CORP	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.72	OSHKOSH CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.73	PAYCHEX INC	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.74	PNC FINANCIAL SERVICES GROUP	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.75	PROCTER & GAMBLE CO/THE	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.76	PROGRESSIVE CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.77	REGAL REXNORD CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.78	RELIANCE STEEL & ALUMINUM	No	\$1,001 - \$15,000		None (or less than \$201)
9.79	RELX PLC - SPON ADR	No	\$1,001 - \$15,000		None (or less than \$201)
9.80	REPUBLIC SERVICES INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.81	ROBERT HALF INTL INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.82	ROCHE HOLDINGS LTD-SPONS ADR	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.83	ROSS STORES INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.84	S&P GLOBAL INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.85	SCHWAB (CHARLES) CORP	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
9.86	SEALED AIR CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.87	SERVICENOW INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.88	SHERWIN-WILLIAMS CO/THE	No	\$1,001 - \$15,000		None (or less than \$201)
9.89	STERICYCLE INC	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.90	SUN COMMUNITIES INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.91	SYSCO CORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.92	T ROWE PRICE GROUP INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.93	TAIWAN SEMICONDUCTOR-SP ADR	No	\$1,001 - \$15,000		None (or less than \$201)
9.94	TEXAS INSTRUMENTS INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.95	THERMO FISHER SCIENTIFIC INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.96	TJX COMPANIES INC	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.97	U.S. \$ CASH BALANCE	No	\$15,001 - \$50,000		None (or less than \$201)
9.98	UNITEDHEALTH GROUP INC	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
9.99	US BANCORP	No	\$1,001 - \$15,000		None (or less than \$201)
9.100	VERISK ANALYTICS INC	No	\$15,001 - \$50,000		None (or less than \$201)
9.101	VERIZON COMMUNICATIONS INC	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.102	VISA INC-CLASS A SHARES	No	\$1,001 - \$15,000		None (or less than \$201)
9.103	WALMART INC	No	\$1,001 - \$15,000		None (or less than \$201)
9.104	ZOETIS INC	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Redwood Credit Union Savings	No	\$250,001 - \$500,000	Dividends	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	NIKE INC -CL B	Purchase	10/26/2021	\$1,001 - \$15,000
2	CONSTELLATION BRANDS INC-A	Purchase	10/27/2021	\$1,001 - \$15,000
3	ABBVIE INC	Purchase	10/29/2021	\$1,001 - \$15,000
4	ELECTRONIC ARTS INC	Purchase	10/29/2021	\$1,001 - \$15,000
5	HOULIHAN LOKEY INC	Purchase	11/01/2021	\$1,001 - \$15,000
6	VERISK ANALYTICS INC	Sale	10/22/2021	\$1,001 - \$15,000
7	VERISK ANALYTICS INC	Sale	10/25/2021	\$1,001 - \$15,000
8	VERISK ANALYTICS INC	Sale	10/26/2021	\$1,001 - \$15,000
9	L3HARRIS TECHNOLOGIES INC	Sale	10/28/2021	\$1,001 - \$15,000
10	COPART INC	Sale	10/29/2021	\$1,001 - \$15,000
11	AMAZON.COM INC	Sale	10/29/2021	\$1,001 - \$15,000
12	PROGRESSIVE CORP	Sale	11/02/2021	\$1,001 - \$15,000
13	ELECTRONIC ARTS INC	Sale	11/03/2021	\$1,001 - \$15,000
14	Mastercard, Inc. (MA)	Purchase	11/17/2021	\$1,001 - \$15,000
15	Coca-Cola Consolidated, Inc. (COKE)	Sale	11/19/2021	\$1,001 - \$15,000
16	Activision Blizzard, Inc. (ATVI)	Sale	11/24/2021	\$1,001 - \$15,000
17	Citrix Systems, Inc. (CTXS)	Sale	12/02/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
18	BERNSTEIN INTERNATIONAL SMALL CAP PORTFOLIO - SCB	Purchase	12/10/2021	\$1,001 - \$15,000
19	BERNSTEIN INTERNATIONAL STRATEGIC EQUITIES PORTFOLIO	Purchase	12/10/2021	\$1,001 - \$15,000
20	BERNSTEIN INTERNATIONAL STRATEGIC EQUITIES PORTFOLIO	Purchase	12/10/2021	\$1,001 - \$15,000
21	BERNSTEIN INTERNATIONAL SMALL CAP PORTFOLIO - SCB	Purchase	12/10/2021	\$1,001 - \$15,000
22	T ROWE PRICE GROUP INC	Sale	12/15/2021	\$1,001 - \$15,000
23	ABBVIE INC	Purchase	12/20/2021	\$1,001 - \$15,000
24	BOOZ ALLEN HAMILTON HOLDINGS	Purchase	12/20/2021	\$1,001 - \$15,000
25	BROADCOM INC	Purchase	12/20/2021	\$1,001 - \$15,000
26	GENERAC HOLDINGS INC	Sale	12/21/2021	\$1,001 - \$15,000
27	HOULIHAN LOKEY INC	Purchase	12/20/2021	\$1,001 - \$15,000
28	AMAZON.COM INC	Sale	12/23/2021	\$1,001 - \$15,000
29	AMPHENOL CORP-CL A	Sale	12/23/2021	\$1,001 - \$15,000
30	AMERICAN TOWER CORP	Sale	12/23/2021	\$1,001 - \$15,000
31	APTIV PLC	Sale	12/23/2021	\$1,001 - \$15,000
32	INTL FLAVORS & FRAGRANCES	Sale	12/23/2021	\$1,001 - \$15,000
33	IQVIA HOLDINGS INC	Sale	12/23/2021	\$1,001 - \$15,000
34	NIKE INC -CL B	Sale	12/23/2021	\$1,001 - \$15,000
35	MICROSOFT CORP	Sale	12/23/2021	\$1,001 - \$15,000
36	SCHWAB (CHARLES) CORP	Sale	12/23/2021	\$1,001 - \$15,000
37	STERICYCLE INC	Sale	12/23/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	VERISK ANALYTICS INC	Sale	12/23/2021	\$1,001 - \$15,000
39	ZOETIS INC	Sale	12/23/2021	\$1,001 - \$15,000
40	GARMIN LTD	Sale	12/28/2021	\$1,001 - \$15,000
41	ADOBE INC	Sale	12/28/2021	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

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).
