

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

## Filer's Information

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Phillips, John Jake

Deputy White House Counsel, Legal Adviser to the National Security Council, Deputy Assistant to the President, White House - Biden-Harris Administration

Date of Appointment: 02/04/2022

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Phillips, John R [electronically signed on 03/07/2022 by Phillips, John R in Integrity.gov]

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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/ Olorunnipa, Funmi, Certifying Official [electronically signed on 03/17/2022 by Olorunnipa, Funmi in Integrity.gov]

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Other review conducted by

/s/ Hermanowicz, Rebecca A, Ethics Official [electronically signed on 03/17/2022 by Hermanowicz, Rebecca A in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 03/16/2022

Data Revised 03/15/2022

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Boeing Company	Arlington, Virginia	Corporation	Vice President and Assistant General Counsel	4/2016	2/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Boeing Company, restricted stock units	N/A	None (or less than \$1,001)	Income amount reflects value of restricted stock units distributed to filer upon separation from Boeing.	\$1,285,327
2	The Boeing Company	See Endnote	N/A	Salary/Bonus	\$1,261,638
3	The Boeing Company, 401(k) Plan	No			
3.1	Balanced Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	S&P 500 Index Fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3.3	International Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	Russell 2000 Index Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.5	International Companies Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Boeing Executive Supplemental Savings Plan See Endnote	N/A	None (or less than \$1,001)	Income amount reflects payout of plan balance upon separation from Boeing.	\$609,904
5	The Boeing Company	N/A		Payout of unused PTO at time of separation.	\$93,230
6	The Boeing Company	N/A		Bonus payment for 2021.	\$499,701

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Boeing Company	Arlington, Virginia	Pursuant to a standard separation agreement consistent with prior practice with my former employer signed prior to my assuming the duties of my government position, I received the following after separating from the company: (1) unvested RSUs vested on a pro rata basis, based on time of service during the vesting period; (2) the balance of the Executive Supplemental Savings Plan; and (3) annual bonus for 2021.	2/2022
2	The Boeing Company	Chicago, Illinois	I will continue to participate in this defined contribution plan; however plan sponsor will not make contributions after my separation.	2/2009

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The Boeing Company	Arlington, Virginia	Provided legal services.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Hostetter Strent LLC	N/A		Partnership share	
2	401(k) Account	No			None (or less than \$201)
2.1	New World Fund, Inc Class R6 Shares (RNWGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	Nationwide Geneva Small Cap Growth Fund Institutional Service Class Shares (NWKDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	Victory Sycamore Established Value Fund Class I Shares (VEVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	JPMorgan Equity Income Fund Class R5 Shares (OIERX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.6	Putnam Growth Opportunities Fund Class Y Shares (PGOYX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.7	Baird Core Plus Bond Fund Institutional Class Shares (BCOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Hostetter Strent, LLC Capital Account	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	Spouse IRA Account	No			None (or less than \$201)
4.1	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Industrial Select Sector SPDR Fund (XLI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	Health Care Select Sector SPDR Fund (XLV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.8	Technology Select Sector SPDR Fund (XLK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.10	SPDR S&P Retail ETF (XRT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.11	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	Fidelity Total Market Index Fund (FSKAX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	IBN (ICICI Bank Limited)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Schwab US Broad Market ETF (SCHB)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6	Schwab US Dividend Equity ETF (SCHD)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7	Schwab US Large-Cap ETF (SCHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9	Fidelity Contrafund (FCNTX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	Fidelity 500 Index Fund (FXAIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	India Fund, Inc (IFN)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12	Dependent Child #1's College 529 Account	No			None (or less than \$201)
12.1	New Hampshire Portfolio 2027 (NHX202764)	Yes	\$100,001 - \$250,000		None (or less than \$201)
13	Dependent Child #2's College 529 Account	No			None (or less than \$201)
13.1	New Hampshire Portfolio 2030 (NHX203002)	Yes	\$100,001 - \$250,000		None (or less than \$201)
14	Dependent Child #3's College 529 Account	No			None (or less than \$201)
14.1	New Hampshire Portfolio 2033 (NHX203309)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Dependent Child #4's College 529 Account	No			None (or less than \$201)
15.1	New Hampshire Portfolio 2036 (NHX203606)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16	Fidelity Total Market Index Fund (FSKAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Inherited IRA Account	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17.1	3M Co. (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.2	ARK Innovation ETF (ARKK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.3	iShares Russell 2000 Growth ETF (IWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.4	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.5	Norfolk Southern Corp. (NSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.6	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.7	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.8	Target Corp. (TGT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.9	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.10	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.11	Bristol-Myers Squibb (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.12	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Child Inherited IRA	No	\$15,001 - \$50,000		None (or less than \$201)
18.1	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Child Inherited IRA	No	\$15,001 - \$50,000		None (or less than \$201)
19.1	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	Child Inherited IRA	No	\$15,001 - \$50,000		None (or less than \$201)
20.1	PepsiCo, Inc. (PEP)		\$1,001 - \$15,000		None (or less than \$201)
21	AbbVie, Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
22	Airbnb (ABNB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
23	Alphabet, Inc. (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
24	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
25	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
26	Analog Devices, Inc. (ADI)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27	Apple, Inc. (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
28	Applied Materials, Inc. (AMAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
29	ARK Innovation ETF (ARKK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
30	Best Buy Co., Inc. (BBY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31	Bank of Montreal (BMO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
32	Block Inc (SQ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
33	Booz Allen Hamilton Holding Corp. (BAH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
34	Aptiv PLC (APTV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
35	Astrazeneca Plc (AZN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
36	Automatic Data Processing, Inc. (ADP)	N/A	\$15,001 - \$50,000	Dividends Interest	\$201 - \$1,000
37	Capital One Financial Corp. (COF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
38	Caterpillar, Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
39	Cisco Systems, Inc. (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
40	Citizens Financial Group, Inc. (Rhode Island) (CFG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
41	Cummins, Inc. (CMI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	CVS Health Corp. (CVS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
43	Deere & Co. (DE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
44	Draftkings Inc (DKNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	Emerson Electric Co. (EMR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
46	Energizer Holdings, Inc. (ENR)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
47	Exxon Mobil Corp. (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
48	General Motors Co. (GM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
49	Genuine Parts Co. (GPC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
50	Gilead Sciences, Inc. (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
51	Hasbro, Inc. (HAS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
52	Hercules Capital Inc (HTGC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
53	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
54	Huntington Bancshares, Inc. (HBAN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
55	Intel Corp. (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
56	International Business Machines Corp. (IBM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
57	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
58	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
59	L3Harris Technologies, Inc. (LHX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
60	LyondellBasell Industries NV (LYB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
61	Marriott International, Inc. (MAR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
62	McCormick & Co., Inc. (MKC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
63	Medtronic Plc (MDT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
64	Merck & Co., Inc. (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
65	Microchip Technology, Inc. (MCHP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
66	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
67	Moderna Inc (MRNA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
68	Netease Inc (NTES)	N/A	\$15,001 - \$50,000		None (or less than \$201)
69	NetApp, Inc. (NTAP)	N/A	None (or less than \$1,001)		None (or less than \$201)
70	NextEra Energy, Inc. (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
71	Palo Alto Networks, Inc. (PANW)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
73	Peloton Interactive Inc (PTON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
74	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
75	Prudential Financial, Inc. (PRU)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
76	QUALCOMM, Inc. (QCOM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
77	Restaurant Brands (QSR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
78	salesforce.com, inc. (CRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
79	Target Corp. (TGT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
80	Tesla, Inc. (TSLA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
81	Texas Instruments Incorporated (TXN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
82	Truist Financial Corp (TFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
83	Uber Technologies, Inc. (UBER)	N/A	\$50,001 - \$100,000		None (or less than \$201)
84	Union Pacific Corp. (UNP)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
85	U.S. Bancorp (USB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
86	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
87	Zoominfo Technologies Inc (ZI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
88	The Walt Disney Co. (DIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
89	AT&T Inc. (T)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
90	Dunkin' Brands Group, Inc. (DNKN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
91	NortonLifelock Inc (NLOC)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
92	Royal Dutch Shell PLC ADR	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
93	Maryland College Savings Plan	No			None (or less than \$201)
93.1	Portfolio 2033 (Dependent Child #1)	Yes	\$15,001 - \$50,000		None (or less than \$201)
93.2	Portfolio 2033 (Dependent Child #2)	Yes	\$15,001 - \$50,000		None (or less than \$201)
93.3	Portfolio 2033 (Dependent Child #3)	Yes	\$15,001 - \$50,000		None (or less than \$201)
93.4	Portfolio 2036 (Dependent Child #4)	Yes	\$15,001 - \$50,000		None (or less than \$201)
94	General Electric Co. (GE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
95	Advanced Engineering Associates Internatonal, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
96	U.S. bank #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
97	Voya Multi-Manager Emerging Markets Equity Fund Class I Shares (IEMGX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
98	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
99	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
100	Reveler's Hour Restaurant	N/A	\$1,001 - \$15,000		None (or less than \$201)
101	Roth IRA	No			None (or less than \$201)
101.1	SPDR Dow Jones Industrial Average ETF Trust (DIA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
101.2	Fidelity ZERO Large Cap Index Fund (FNILX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
101.3	Schwab S&P 500 Index Fund (SWPPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
102	Fidelity Government Money Market Fund (SPAXX)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
103	SPDR Gold Shares (GLD)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
104	CrowdStrike Holdings Inc. (CRWD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
105	Boeing Co (BA)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Fidelity VISA	Credit Card	\$15,001 - \$50,000	2021	13.99	revolving
2	EdFinancial Services	Student Loan	\$15,001 - \$50,000	2003	0.75%	30 years
3	Nelnet	Student Loan	\$15,001 - \$50,000	2005	1.5%	30 years

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
2.	2	Income amount reflects all compensation for 2021 and 2022 prior to separation, including salary, bonus and value of vested stock grants distributed in 2021 (at the time of their vesting).
2.	4	Income amount reflects payout of Boeing Executive Supplemental Savings Plan balance upon separation from Boeing employment.

# 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).

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