

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

Filer's Information

Martin, Carmel M

Deputy Assistant to the President and Domestic Policy Adviser to the Vice President, Office of the Vice President - Biden-Harris Administration

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Assistant to the President and Deputy Director for Economic Mobility DPC, Domestic Policy Council (1/2021 - 10/2022)

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/ Martin, Carmel M [electronically signed on 04/14/2023 by Martin, Carmel M 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/ Songer, Erica K, Certifying Official [electronically signed on 05/15/2023 by Songer, Erica K in Integrity.gov]

Other review conducted by

/s/ Kellner, Kenneth E, Ethics Official [electronically signed on 05/15/2023 by Kellner, Kenneth E in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/15/2023

Data Revised 05/14/2023

Data Revised - Workflow re-designation - 05/13/2023

Data Revised 05/09/2023

Data Revised 05/08/2023

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	IRA #1	No			
1.1	Fidelity Government Money Market Fund (SPAXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.2	Fidelity Contrafund (FCNTX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.3	Morgan Stanley Institutional Fund Trust International Opportunity Portfolio Class A Shares (MIOPX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2	IRA #2	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.2	Fidelity Contrafund (FCNTX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.3	Fidelity Growth Company Fund (FDGRX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.4	Morgan Stanley Institutional Fund Trust International Opportunity Portfolio Class A Shares (MIOPX)	Yes	None (or less than \$1,001)		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	Hogan Lovells US LLP (Law Firm)	N/A		Salary	
2	Law Firm Capital Account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	IRA #1	No			
3.1	Fidelity Government Cash Reserves	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4	IRA #2	No			
4.1	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.2	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5	Retirement Savings Plan	No			
5.1	Fidelity Contrafund Class K Shares (FCNKX)	Yes	Over \$1,000,000		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2	Fidelity Emerging Markets Fund Class K (FKEMX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
5.3	Fidelity Low-Priced Stock Fund Class K Shares (FLPKX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.4	Fidelity US Bond Index Fund (FXNAX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.5	Morgan Stanley Institutional Fund Trust International Opportunity Portfolio Class A Shares (MIOPX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.6	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.7	Fidelity 500 Index Fund (FXAIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.8	Fidelity Government Cash Reserves (FDRXX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.9	Goldman Sachs Stable Value Collective Trust Institutional Series Class 1	Yes	Over \$1,000,000		\$5,001 - \$15,000
5.10	Fidelity Total International Equity Fund (FTIEX)	Yes	None (or less than \$1,001)		None (or less than \$201)
6	Hogan Lovells US LLP Cash Balance Plan, cash balance pension plan	N/A	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity Government Money Market Fund (SPAXX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Fidelity Short-Term Bond Index Fund (FNSOX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
3	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
5	US based Bank #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
6	MD College Investment Plan	No			
6.1	T. Rowe Price Equity Index 500 Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
6.2	T. Rowe Price International Value Equity Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
6.3	T Rowe Price International Stock Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
6.4	T Rowe Price Overseas Stock Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
6.5	T. Rowe Price Limited Duration Inflation Focused Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	T Rowe Price Short-Term Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	T Rowe Price Real Assets Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
6.8	T Rowe Price U.S. Treasury Money Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
6.9	T Rowe Price Blue Chip Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	T Rowe Price Value Fund, Inc	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	MD College Investment Plan	No			
7.1	T Rowe Price Equity Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	T Rowe Price International Value	Yes	None (or less than \$1,001)		None (or less than \$201)
7.3	T Rowe Price International Stock Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
7.4	T Rowe Price Overseas	Yes	None (or less than \$1,001)		None (or less than \$201)
7.5	T Rowe Price Limited Duration Inflation	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.6	T Rowe Price Short-Term Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.7	T Rowe Price US Treasury	Yes	None (or less than \$1,001)		None (or less than \$201)
8	DC College Savings Plan	See Endnote		Interest	\$1,001 - \$2,500
8.1	Principal Protected Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.2	JPMorgan US Equity Fund Class R6 Shares (JUEMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	DC College Savings Plan	No			
9.1	Principal Protected Portfolio	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.2	JPMorgan US Equity Fund Class R6 Shares (JUEMX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
10	Trinitas Capital Management, LLC (investment in commercial bank loans)	N/A	\$100,001 - \$250,000	Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Whitestar Tactical Credit Opportunities I LLC (collateralized loan obligations)	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
12	HSQ Investors LLC (residential real estate, MD)	N/A	\$1,001 - \$15,000	Capital Gains	\$100,001 - \$1,000,000
13	UIP Onyx Invest, LLC (residential real estate, DC)	N/A	\$100,001 - \$250,000		None (or less than \$201)
14	Bancroft Investments LLC				
14.1	Green House Data Holding Company, (Cheyenne, Wyoming) LLC	N/A	\$100,001 - \$250,000		None (or less than \$201)
14.2	Fifteenfortyseven Critical Systems Realty, LLC (data center business; income not readily ascertainable)	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
15	Sundown Partners LLC	No			
15.1	Crossplane Capital Fund, L.P. (private investment fund, income not readily ascertainable)	N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
16	2008 Alba Partners, LLC (income for underlying assets not readily ascertainable)	No		Capital Gains Dividends Interest	\$2,501 - \$5,000
16.1	ABS Capital Partners VI, LP (private investment fund)	N/A	None (or less than \$1,001)		None (or less than \$201)
16.2	Camden Partners Strategic Fund IV-A, L.P. (private investment fund)	N/A	None (or less than \$1,001)		None (or less than \$201)
16.3	Camden Partners IV SPV, LP (private investment fund)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.4	U.S. Bank Account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
17	HL 2011 Investors, LLC (income for underlying assets not readily ascertainable)	See Endnote	No	Capital Gains Interest	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1	Acon Latin America Opportunities Fund IV, L.P. (private investment fund)	N/A	\$15,001 - \$50,000		
17.2	AEP 3.5 Funko AIV, LP (private investment fund)	N/A	\$1,001 - \$15,000		
17.3	AEP 3.5 Sequitur AIV, LP (private investment fund)	N/A	\$15,001 - \$50,000		
17.4	AEP 3.5 Fiesta AIV, LP (private investment fund)	N/A	None (or less than \$1,001)		
17.5	Acon Equity Partners 3.5, L.P. (private investment fund)	N/A	\$15,001 - \$50,000		
17.6	Camden Partners V-A, SPV, L.P. (private investment fund)	N/A	\$15,001 - \$50,000		
17.7	Bluestone Investment Partners LP (private investment fund)	N/A	\$1,001 - \$15,000		
17.8	US Based Bank #4 (cash)	N/A			
18	The 2015 Fund LLC (income for underlying assets not readily ascertainable)	See Endnote		Capital Gains Interest	\$15,001 - \$50,000
18.1	ACON Equity Fund IV, L.P. (private investment fund)	N/A	\$15,001 - \$50,000		
18.2	AEP IV BioMatrix AIV, LP (private investment fund)	N/A	\$1,001 - \$15,000		
18.3	Alpine Investors VI, LP (private investment fund)	N/A	\$50,001 - \$100,000		
18.4	Camden Partners Strategic Fund VI, LP (private investment fund)	N/A	\$15,001 - \$50,000		
18.5	LCM Healthcare Fund I, LP (private investment fund)	N/A	\$15,001 - \$50,000		
18.6	ABS Captial Partners VIII, LP (private investment fund)	N/A	\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.7	KSL Partners V, LP (private investment fund)	N/A	\$15,001 - \$50,000		
18.8	Mountaingate Capital Fund 1, LP (private investment fund)	N/A	\$1,001 - \$15,000		
18.9	Riverstone Global Energy & Power Fund VI, LP (private investment fund)	N/A	\$15,001 - \$50,000		
18.10	US Based Bank #4 (cash)	N/A	\$1,001 - \$15,000		
19	AIB (bank), Ireland (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	US Treasury Bills	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
21	Loan to J.T. Ray, L.L.C.	N/A	\$100,001 - \$250,000		None (or less than \$201)
22	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
23	Loan to Fifteenfourtyseven Critical Systems Realty	N/A	\$50,001 - \$100,000		None (or less than \$201)
24	Welp 1996 Trust	No			
24.1	MetLife whole life policy	N/A	\$50,001 - \$100,000		None (or less than \$201)
25	Ill ST GO Municipal Bond	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
26	NJ Transit Municipal Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
27	NY Metro Transit Authority Mun Bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
28	Osceola County FL Tran Mun Bond	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	Chicago ILL GO Municipal Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
30	Ill Fin Auth Health Serv Mun Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
31	ILL State GO Municipal Bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
32	Interval HoldCo LLC	No	\$15,001 - \$50,000	Capital Gains Interest	\$2,501 - \$5,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fidelity Short-Term Bond Index Fund (FNSOX)	Sale	01/13/2022	\$250,001 - \$500,000
2	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	01/24/2022	\$50,001 - \$100,000
3	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	05/09/2022	\$50,001 - \$100,000
4	Illinois St. GO Municipal Bond	Purchase	06/21/2022	\$100,001 - \$250,000
5	NJ St. Transit Municipal Bond	Purchase	06/21/2022	\$50,001 - \$100,000
6	Fidelity Contrafund (FCNTX)	Purchase	04/19/2022	\$1,001 - \$15,000
7	Fidelity Low-Priced Stock Fund Class K Shares (FLPKX)	Purchase	04/19/2022	\$1,001 - \$15,000
8	Goldman Sachs Stable Value Collective Trust Institutional Series Class 1	Purchase	04/19/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	Fidelity Total International Equity Fund (FTIEX)	Purchase	04/19/2022	\$1,001 - \$15,000
10	Metropolitan Transit Auth NY Municipal Bond	Purchase	06/22/2022	\$50,001 - \$100,000
11	Osceola County FL Trans Municipal Bond	Purchase	06/22/2022	\$100,001 - \$250,000
12	Pimco Interest Income	Sale	06/22/2022	\$1,001 - \$15,000
13	Vanguard International Bond Index Fund	Sale	06/22/2022	\$1,001 - \$15,000
14	Vanguard Total Bond Market Index Fund	Sale	06/22/2022	\$1,001 - \$15,000
15	PIMCO Interest Income	Sale	06/22/2022	\$1,001 - \$15,000
16	Vanguard Total International Bond Index Fund Institutional Class Shares (VTIFX)	Sale	06/22/2022	\$1,001 - \$15,000
17	Vanguard Total Bond Market	Sale	06/22/2022	\$1,001 - \$15,000
18	Vanguard Total Bond Market Index Fund Institutional Shares (VBTIX)	Sale	06/22/2022	\$1,001 - \$15,000
19	Chicago ILL GO Municipal Bond	Purchase	08/12/2022	\$15,001 - \$50,000
20	Illinois Fin Auth Health Srv Mun Bond	Purchase	08/16/2022	\$50,001 - \$100,000
21	NY Metro Trans Auth Mun Bond	Purchase	08/29/2022	\$15,001 - \$50,000
22	NY Metro Trans Auth Mun Bond	Purchase	09/01/2022	\$1,001 - \$15,000
23	NY Metro Trans Auth Mun Bond	Purchase	09/13/2022	\$15,001 - \$50,000
24	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Purchase	08/29/2022	\$100,001 - \$250,000
25	Trinitas Capital Management, LLC	Exchange	06/30/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	Interval HoldCo LLC	Exchange	06/30/2022	\$15,001 - \$50,000
27	Ill State GO Bonds	Purchase	10/13/2022	\$100,001 - \$250,000
28	Illinois GO Municipal Bond	Purchase	11/28/2022	\$50,001 - \$100,000
29	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	09/23/2022	\$100,001 - \$250,000
30	Fidelity Contrafund Class K Shares (FCNKX)	Purchase	11/08/2022	\$1,001 - \$15,000
31	Fidelity Contrafund Class K Shares (FCNKX)	Purchase	09/16/2022	\$1,001 - \$15,000
32	Fidelity Contrafund Class K Shares (FCNKX)	Purchase	08/09/2022	\$1,001 - \$15,000
33	Fidelity Contrafund Class K Shares (FCNKX)	Purchase	04/19/2022	\$1,001 - \$15,000
34	Fidelity Contrafund Class K Shares (FCNKX)	Purchase	01/18/2022	\$1,001 - \$15,000
35	Fidelity Emerging Markets Fund Class K (FKEMX)	Purchase	11/08/2022	\$1,001 - \$15,000
36	Fidelity Emerging Markets Fund Class K (FKEMX)	Purchase	09/16/2022	\$1,001 - \$15,000
37	Fidelity Emerging Markets Fund Class K (FKEMX)	Purchase	08/09/2022	\$1,001 - \$15,000
38	Fidelity Low-Priced Stock Fund Class K Shares (FLPKX)	Purchase	09/16/2022	\$1,001 - \$15,000
39	Fidelity Low-Priced Stock Fund Class K Shares (FLPKX)	Purchase	08/09/2022	\$1,001 - \$15,000
40	Fidelity Low-Priced Stock Fund Class K Shares (FLPKX)	Purchase	04/19/2022	\$1,001 - \$15,000
41	Fidelity Low-Priced Stock Fund Class K Shares (FLPKX)	Purchase	01/18/2022	\$1,001 - \$15,000
42	GS Stable Value Inst	Purchase	04/19/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
43	GS Stable Value Inst	Purchase	01/18/2022	\$1,001 - \$15,000
44	Fidelity International Equity Fund	Purchase	04/19/2022	\$1,001 - \$15,000
45	Fidelity International Equity Fund	Purchase	01/18/2022	\$1,001 - \$15,000
46	Goldman Sachs Stable Value Collective Trust Institutional Series Class 1	Purchase	01/13/2022	\$250,001 - \$500,000
47	Fidelity International Equity Fund	Sale	06/21/2022	\$1,001 - \$15,000
48	Fidelity International Equity Fund	Sale	01/13/2022	\$1,001 - \$15,000
49	Morgan Stanley Institutional Fund Trust International Opportunity Portfolio Class A Shares (MIOPX)	Purchase	12/19/2022	\$1,001 - \$15,000
50	Morgan Stanley Institutional Fund Trust International Opportunity Portfolio Class A Shares (MIOPX)	Sale	10/05/2022	\$50,001 - \$100,000
51	Morgan Stanley Institutional Fund Trust International Opportunity Portfolio Class A Shares (MIOPX)	Sale	10/05/2022	\$50,001 - \$100,000
52	Morgan Stanley Institutional Fund Trust International Opportunity Portfolio Class A Shares (MIOPX)	Sale	10/05/2022	\$15,001 - \$50,000
53	Fidelity US Bond Index Fund (FXNAX)	Sale	01/13/2022	\$250,001 - \$500,000
54	DC College Savings Plan	Sale	09/22/2022	\$50,001 - \$100,000
55	DC College Savings Plan	Sale	11/15/2022	\$15,001 - \$50,000
56	JPMorgan US Equity Fund Class R6 Shares (JUEMX)	Purchase	09/29/2022	\$15,001 - \$50,000
57	JPMorgan US Equity Fund Class R6 Shares (JUEMX)	Purchase	09/29/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
58	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Sale	09/26/2022	\$100,001 - \$250,000
59	Vanguard 500 Index Fund ETF Shares (VOO)	Purchase	09/26/2022	\$100,001 - \$250,000
60	my529-Utah College Savings Plan	Sale	06/02/2022	\$15,001 - \$50,000
61	my529-Utah College Savings Plan	Sale	11/08/2022	\$1,001 - \$15,000
62	my529-Utah College Savings Plan	Sale	06/20/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank - Capital Loan	Personal Loan	\$500,001 - \$1,000,000	2020	Libor + 1.25%	5 years
2	Crossplane Capital, L.P.	Capital Commitment	\$15,001 - \$50,000	2019		On Demand
3	HL 2011 Investors, LLC	Capital Commitment	\$15,001 - \$50,000	2011		On Demand
4	The 2015 Fund LLC	Capital Commitment	\$50,001 - \$100,000	2015		On Demand

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	8	Plan does not break down income by asset.
6.	17	Filer does not receive a breakdown of income by sub-asset.
6.	18	Filer does not receive statements that break down income by asset.

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).
