

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

## Filer's Information

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Ladjevardian, Sima Jandaghi

Regional Director, Region VI (Dallas), Department of Health & Human Services

Date of Appointment: 12/06/2021

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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/ Ladjevardian, Sima Jandaghi [electronically signed on 10/19/2021 by Ladjevardian, Sima Jandaghi 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/ Olesh, Stanley, Certifying Official [electronically signed on 02/17/2022 by Olesh, Stanley in Integrity.gov]

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Other review conducted by

/s/ Olesh, Stanley, Ethics Official [electronically signed on 02/17/2022 by Olesh, Stanley in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 02/17/2022

Data Revised 01/18/2022

Data Revised 12/06/2021

Data Revised 10/26/2021

Data Revised 10/25/2021

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(12/06/2021, Olesh, Stanley): 10/21 - IR started -- SO
N/A	N/A	General	(12/06/2021, Olesh, Stanley): 11/17/21 -- IR completed - precleared-- SO
N/A	N/A	General	(12/06/2021, Olesh, Stanley): 11/23 - signed EA rec'd -- SO
N/A	N/A	General	(01/18/2022, Olesh, Stanley): 12/22/21 - CD granted by OGE -- SO
N/A	N/A	General	(02/17/2022, Olesh, Stanley): 2/16/22 - filer confirmed divestitures are completed except for 3, which shall be completed before the March 6 deadline -- SO

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Ladjevardian & Associates, PLLC	See Endnote	Houston, Texas	Solo Legal Practice	Manager	5/2018	1/2020
2	Maple Stone, Inc.		Houston, Texas	Corporation	Consultant	11/2018	12/2021
3	Museum of Fine Arts Houston		Houston, Texas	Non-Profit	Trustee	6/2009	Present
4	Every Texan		Austin, Texas	Non-Profit	Director	1/2018	11/2021
5	Houston Women Commission		Houston	City of Houston commission	Director	8/2021	12/2021
6	Atelier SSL, LLC	See Endnote	Houston, Texas	Limited Liability Company	Member and Director	2/2014	12/2021
7	Society of Iranian-American Women for Education (SIAWE)		Houston, Texas	Non-Profit	Director	6/2001	12/2021
8	AAPI Victory Alliance		San Francisco, California	Non-Profit	Director	6/2021	12/2021
9	National Asian Pacific American Women's Forum		Chicago, Illinois	Non-Profit	Director	10/2021	12/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ladjevardian & Associates, PLLC (solo legal practice)	N/A	None (or less than \$1,001)		None (or less than \$201)
2	Maple Stone, Inc. (wholesale and distributor of natural stone)	N/A	\$5,000,001 - \$25,000,000	Consulting Fees	\$165,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Atelier SSL, LLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Promissory Note, Maple Stone, Inc. (wholesale and distributor of natural stone)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Ladjevardian & Associates, PLLC	Houston, Texas	I have not actively practiced law since January of 2020. If someone contacts me seeking legal representation I refer them to another attorney.	1/2020

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Maple Stone, Inc.	Houston, Texas	Consulting

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Maple Stone, Inc. (wholesale and distributor of natural stone) See Endnote	N/A	Over \$1,000,000	Management consulting fees	\$1,846,900
2	Promissory Note, Maple Stone, Inc. (wholesale and distributor of natural stone)	N/A	Over \$1,000,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wells Fargo Brokerage Account (1)	No			
1.1	Cash Deposit	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.2	Alerian MLP ETF (AMLPL)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.3	Apple, Inc. (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.4	Baidu, Inc. (BIDU)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.5	Banco Santander S.A. ADR (SAN)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
1.6	Bank of America Corp. (BAC)	N/A	\$1,000,001 - \$5,000,000	Dividends Capital Gains	\$100,001 - \$1,000,000
1.7	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
1.8	Citigroup, Inc. (C)	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
1.9	The Walt Disney Co. (DIS)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.10	Facebook, Inc. (FB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.11	Ford Motor Co. (F)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.12	International Business Machines Corp. (IBM)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	The Kraft Heinz Co. (KHC)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
1.14	Magellan Midstream Partners, LP (MMP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.15	Moderna, Inc. (MRNA)	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.16	Morgan Stanley & Co (MS)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$100,001 - \$1,000,000
1.17	Palantir Technologies, Inc. Class A (PLTR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.18	UBS Group AG (UBS)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
1.19	Verizon Communications, Inc. (VZ)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
1.20	BlackRock Municipal Income Trust (BFK)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.21	BlackRock Multi-Sector Income Trust (BIT)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.22	Nuveen Municipal High Income Opportunity Fund (NMZ)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.23	Nuveen Enhanced Municipal Value Fund (NEV)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.24	Nuveen Municipal Credit Income Fund (NZF)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.25	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.26	Pioneer High Income Trust (PHT)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.27	CHS, Inc. Preferred Stock (CHSCL)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.28	MetLife, Inc. (MET)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.29	Morgan Stanley DS Representing 1 1000 Fixed Floating Non Cumulative Pref Shs Series 1 (MS-I)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
1.30	PS Business Parks, 5.20% Dep Shares Cumulative Preferred Stock Series W (PSB-W))	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
1.31	Morgan Stanley Emerging Markets Domestic Debt Fund, Inc (EDD)	See Endnote	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.32	Tesla, Inc. (TSLA)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.33	JPMorgan Chase & Co   6.10% Non-Cumulative Preferred Stock, Series AA (JPM.PRG)	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
2	Fidelity Brokerage Account (1)		No			
2.1	Fidelity Government Money Market Fund (SPAXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Fidelity Money Market Fund Premium Class (FZDXX)		Yes	None (or less than \$1,001)		None (or less than \$201)
2.3	Baidu, Inc. (BIDU)		N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Banco Santander S.A. ADR (SAN)		N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.5	Ford Motor Co. (F)		N/A	\$15,001 - \$50,000		None (or less than \$201)
2.6	General Electric Co. (GE)		N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	International Business Machines Corp. (IBM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.8	Kinder Morgan, Inc. (KMI)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.9	Moderna, Inc. (MRNA)	See Endnote	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3	Merrill CMA Account (1)	No			
3.1	Bank Deposit	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Baidu, Inc. (BIDU)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.3	Banco Santander S.A. ADR (SAN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.4	Bank of America Corp. (BAC)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
3.5	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3.6	Citigroup, Inc. (C)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
3.7	Energy Transfer LP Unit (ET)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
3.8	Enterprise Products Partners LP (EPD)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
3.9	Ford Motor Co. (F)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.10	Moderna, Inc. (MRNA)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.11	Starwood Property Trust, Inc. (STWD)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	Nuveen Municipal Credit Income Fund (NZF)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
3.13	BlackRock Multi-Sector Income Trust (BIT)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.14	Nuveen Enhanced Municipal Value Fund (NEV)	See Endnote	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.15	PIMCO Dynamic Credit and Mortgage Income Fund (PCI)	See Endnote	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.16	Pioneer High Income Trust (PHT)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.17	JPMorgan Chase & Co. (JPM)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
3.18	Credit Suisse Group AG ADR (CS)	See Endnote	N/A	None (or less than \$1,001)	Dividends Interest	\$1,001 - \$2,500
3.19	BP PLC (BP)	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
3.20	iShares Preferred and Income Securities ETF (PFF)	See Endnote	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.21	iShares Mortgage Real Estate ETF (REM)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4	Wells Fargo Brokerage Account (2)		No			None (or less than \$201)
4.1	Bank Deposit		N/A	\$15,001 - \$50,000		None (or less than \$201)
4.2	Alibaba Group Holding Ltd - ADR (BABA)		N/A	\$50,001 - \$100,000		None (or less than \$201)
4.3	Apple, Inc. (AAPL)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	Baidu, Inc. (BIDU)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.5	AT&T, Inc. (T)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.6	Banco Santander S.A. ADR (SAN)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.7	Bank of America Corp. (BAC)	N/A	\$1,000,001 - \$5,000,000	Dividends Capital Gains	\$50,001 - \$100,000
4.8	Blackstone Mortgage Trust, Inc. (BXMT)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.9	Citigroup, Inc. (C)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
4.10	The Walt Disney Co. (DIS)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
4.11	Facebook, Inc. (FB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.12	Ford Motor Co. (F)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.13	International Business Machines Corp. (IBM)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.14	The Kraft Heinz Co. (KHC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.15	Magellan Midstream Partners, LP (MMP)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.16	Moderna, Inc. (MRNA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.17	Starwood Property Trust, Inc. (STWD)	See Endnote	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.18	UBS Group AG (UBS)		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.19	Verizon Communications, Inc. (VZ)		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.20	Williams Companies, Inc. (WMB)	See Endnote	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.21	BlackRock Municipal Income Trust (BFK)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.22	BlackRock Multi-Sector Income Trust (BIT)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.23	MFS High Yield Municipal Trust (CMU)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.24	Nuveen Municipal High Income Opportunity Fund (NMZ)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.25	Nuveen Enhanced Municipal Value Fund (NEV)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.26	Nuveen Municipal Credit Income Fund (NZF)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.27	Nuveen AMT-Free Municipal Credit Income Fund (NVG)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.28	JPMorgan Chase & Co   6.10% Non-Cumulative Preferred Stock, Series AA (JPM.PRG)	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
4.29	Morgan Stanley Emerging Markets Domestic Debt Fund, Inc (EDD)	See Endnote	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.30	Pioneer High Income Trust (PHT)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5	Wells Fargo Brokerage Account (3)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	American Express Co. (AXP)		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.2	American International Group, Inc. (AIG)		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.3	Apple, Inc. (AAPL)		N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.4	Baidu, Inc. (BIDU)		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5.5	Banco Santander S.A. ADR (SAN)		N/A	\$250,001 - \$500,000		None (or less than \$201)
5.6	Blackstone Mortgage Trust, Inc. (BXMT)		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
5.7	Citigroup, Inc. (C)		N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
5.8	Energy Transfer LP Unit (ET)		N/A	\$50,001 - \$100,000		None (or less than \$201)
5.9	Enterprise Products Partners LP (EPD)	See Endnote	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
5.10	Facebook, Inc. (FB)		N/A	\$250,001 - \$500,000	Capital Gains	\$2,501 - \$5,000
5.11	Ford Motor Co. (F)		N/A	\$100,001 - \$250,000		None (or less than \$201)
5.12	General Electric Co. (GE)		N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
5.13	International Business Machines Corp. (IBM)		N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
5.14	iShares Mortgage Real Estate ETF (REM)		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.15	Kinder Morgan, Inc. (KMI)		N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
5.16	The Kraft Heinz Co. (KHC)		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
5.17	Magellan Midstream Partners, LP (MMP)	See Endnote	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
5.18	Moderna, Inc. (MRNA)		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5.19	Palantir Technologies, Inc. Class A (PLTR)		N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
5.20	Phillips 66 Partners, LP (PSXP)		N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
5.21	Starwood Property Trust, Inc. (STWD)		N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
5.22	Teladoc Health, Inc. (TDOC)		N/A	\$50,001 - \$100,000		None (or less than \$201)
5.23	UBS Group AG (UBS)		N/A	\$100,001 - \$250,000		None (or less than \$201)
5.24	Williams Companies, Inc. (WMB)		N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
5.25	BlackRock Municipal Income Trust (BFK)		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.26	Nuveen Municipal High Income Opportunity Fund (NMZ)		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
5.27	Nuveen Municipal Credit Income Fund (NZF)		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
5.28	British American Tob PLC (BTI)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.29	AT&T, Inc. (T)	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
5.30	Twitter, Inc. (TWTR)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.31	BlackRock Multi-Sector Income Trust (BIT)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.32	Nuveen Quality Municipal Income Fund (NAD)	See Endnote	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.33	Nuveen Enhanced Municipal Value Fund (NEV)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.34	PIMCO Dynamic Credit and Mortgage Income Fund (PCI)	See Endnote	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
5.35	Cisco Systems, Inc. (CSCO)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
5.36	The Walt Disney Co. (DIS)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.37	Lowe`s Companies Inc. (LOW)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
5.38	Microsoft Corp. (MSFT)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5.39	Morgan Stanley Emerging Markets Domestic Debt Fund, Inc (EDD)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.40	Alibaba Group Holding Ltd - ADR (BABA), open position for written call option: 1,700 shares, strike \$260, exp. 1/20/23		N/A			None (or less than \$201)
5.41	Alibaba Group Holding Ltd - ADR (BABA), open position for written call option: 1,000 shares, strike \$260, exp. 1/21/22		N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.42	American International Group, Inc. (AIG), open position for written call option: 2,000 shares, strike \$45, exp. 1/21/22	N/A			None (or less than \$201)
5.43	American Express Co. (AXP), open position for written call option: 1,000 shares, strike \$195, exp. 1/20/23	N/A			None (or less than \$201)
5.44	Apple, Inc. (AAPL), open position for written call option: 1,300 shares, strike \$150, exp. 1/21/22	N/A			None (or less than \$201)
5.45	AT&T, Inc. (T), open position for written call option: 4,000 shares, strike \$32, exp. 1/21/22	N/A			None (or less than \$201)
5.46	Chevron Corp. (CVX), open position for written call option: 2,000 shares, strike \$115, exp. 1/21/22	N/A			None (or less than \$201)
5.47	Citigroup, Inc. (C), open position for written call option: 3,500 shares, strike \$90, exp. 1/21/22	N/A			None (or less than \$201)
5.48	CRISPR Therapeutics AG (CRSP), open position for written call option: 200 shares, strike \$200, exp. 1/21/22	N/A			None (or less than \$201)
5.49	The Walt Disney Co. (DIS), open position for written call option: 1,000 shares, strike \$180, exp. 1/21/22	N/A			None (or less than \$201)
5.50	Facebook, Inc. (FB), written call option: 700 shares, strike \$470, exp. 1/20/23	N/A			None (or less than \$201)
5.51	Ford Motor Co. (F), open position for written call option: 7,000 shares, strike \$18, exp. 1/21/22	N/A			None (or less than \$201)
5.52	General Electric Co. (GE), open position for written call option: 2,100 shares, strike \$15, exp. 1/21/22	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.53	International Business Machines Corp. (IBM), open position for written call option: 3,500 shares, strike \$150, exp. 1/21/22	N/A			None (or less than \$201)
5.54	The Kraft Heinz Co. (KHC), open position for written call option: 2,000 shares, strike \$50, exp. 1/21/22	N/A			None (or less than \$201)
5.55	Magellan Midstream Partners, LP (MMP), open position for written call option: 6,000 shares, strike \$52.50, exp. 1/21/22	N/A			None (or less than \$201)
5.56	Moderna, Inc. (MRNA), open position for written call option: 500 shares, strike \$450, exp. 1/20/23	N/A			None (or less than \$201)
5.57	Moderna, Inc. (MRNA), open position for written call option: 400 shares, strike \$670, exp. 1/20/23	N/A			None (or less than \$201)
5.58	Moderna, Inc. (MRNA), open position for written call option: 500 shares, strike \$250, exp. 1/20/23	N/A			None (or less than \$201)
5.59	Palantir Technologies, Inc. Class A (PLTR), open position for written call option: 2,000 shares, strike \$25, exp. 1/21/22	N/A			None (or less than \$201)
5.60	Pinterest, Inc. (PINS), open position for written call option: 300 shares, strike \$110, exp. 1/21/22	N/A			None (or less than \$201)
5.61	Starwood Property Trust, Inc. (STWD), open position for written call option: 10,000 shares, strike \$27, exp. 1/21/22	N/A			None (or less than \$201)
5.62	Teladoc Health, Inc. (TDOC), open position for written call option: 500 shares, strike \$240, exp. 1/21/22	N/A			None (or less than \$201)
5.63	Teladoc Health, Inc. (TDOC), open position for written call option: 500 shares, strike \$330, exp. 1/21/22	N/A			None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.64	Teladoc Health, Inc. (TDOC), open position for written call option: 700 shares, strike \$150, exp. 1/21/22	N/A			None (or less than \$201)
5.65	Teladoc Health, Inc. (TDOC), open position for written call option: 500 shares, strike \$200, exp. 1/21/22	N/A			None (or less than \$201)
5.66	Teladoc Health, Inc. (TDOC), open position for written call option: 700 shares, strike \$150, exp. 10/15/21	N/A			None (or less than \$201)
5.67	Williams Companies, Inc. (WMB), open position for written call option: 5,000 shares, strike \$28, exp. 1/21/22	N/A			None (or less than \$201)
5.68	Alibaba Group Holding Ltd - ADR (BABA), open position for written put option: 2,000 shares, strike \$180, exp. 1/20/23	N/A			None (or less than \$201)
5.69	Alibaba Group Holding Ltd - ADR (BABA), open position for written put option: 1,300 shares, strike \$230, exp. 6/17/22	N/A			None (or less than \$201)
5.70	American Express Co. (AXP), open position for written put option: 1,000 shares, strike \$160, exp. 1/20/23	N/A			None (or less than \$201)
5.71	Apple, Inc. (AAPL), open position for written put option: 2,000 shares, strike \$135, exp. 1/21/22	N/A			None (or less than \$201)
5.72	Baidu, Inc. (BIDU), open position for written put option: 1,000 shares, strike \$150, exp. 1/20/23	N/A			None (or less than \$201)
5.73	Boeing Co (BA), open position for written put option: 2,000 shares, strike \$200, exp. 1/21/22	N/A			None (or less than \$201)
5.74	Chevron Corp. (CVX), open position for written put option: 5,000 shares, strike \$80, exp. 1/21/22	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.75	Citigroup, Inc. (C), open position for written put option: 20,000 shares, strike \$50, exp. 1/21/22	N/A			None (or less than \$201)
5.76	Citigroup, Inc. (C), open position for written put option: 5,000 shares, strike \$70, exp. 1/20/23	N/A			None (or less than \$201)
5.77	Citigroup, Inc. (C), open position for written put option: 50,000 shares, strike \$70, exp. 1/21/22	N/A			None (or less than \$201)
5.78	The Walt Disney Co. (DIS), open position for written put option: 1,000 shares, strike \$180, exp. 1/21/22	N/A			None (or less than \$201)
5.79	Facebook, Inc. (FB), open position for written put option: 1,000 shares, strike \$290, exp. 1/21/22	N/A			None (or less than \$201)
5.80	Facebook, Inc. (FB), open position for written put option: 1,500 shares, strike \$250, exp. 1/21/22	N/A			None (or less than \$201)
5.81	Ford Motor Co. (F), open position for written put option: 15,000 shares, strike \$15, exp. 1/20/23	N/A			None (or less than \$201)
5.82	General Electric Co. (GE), open position for written put option: 20,000 shares, strike \$10, exp. 1/21/22	N/A			None (or less than \$201)
5.83	Moderna, Inc. (MRNA), open position for written put option: 500 shares, strike \$440, exp. 1/20/23	N/A			None (or less than \$201)
5.84	Moderna, Inc. (MRNA), open position for written put option: 3,000 shares, strike \$170, exp. 1/21/22	N/A			None (or less than \$201)
5.85	Moderna, Inc. (MRNA), open position for written put option: 2,000 shares, strike \$110, exp. 1/21/22	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.86	NVIDIA Corp. (NVDA), open position for written put option: 2,000 shares, strike \$150, exp. 6/17/22	N/A			None (or less than \$201)
5.87	Nokia Corporation (NOK), open position for written put option: 20,000 shares, strike \$7, exp. 1/20/23	N/A			None (or less than \$201)
5.88	Wells Fargo & Co (WFC), open position for written put option: 10,000 shares, strike \$25, exp. 1/21/22	N/A			None (or less than \$201)
5.89	Wells Fargo & Co (WFC), open position for written put option: 10,000 shares, strike \$27.50, exp. 1/21/22	N/A			None (or less than \$201)
5.90	Ally Financial, Inc. (ALLY), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
5.91	Bank of America Corp. (BAC), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5.92	Citigroup, Inc. (C), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
5.93	Citigroup, Inc. (C), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5.94	Citigroup, Inc. (C), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
5.95	Facebook, Inc. (FB), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5.96	International Business Machines Corp. (IBM), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5.97	Intel Corp. (INTC), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5.98	Moderna, Inc. (MRNA), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.99	Moderna, Inc. (MRNA), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5.100	Moderna, Inc. (MRNA), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
5.101	Palantir Technologies, Inc. Class A (PLTR), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
5.102	Palantir Technologies, Inc. Class A (PLTR), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5.103	Quantumscape Corp (QS), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.104	Wells Fargo & Co. (WFC), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
5.105	JPMorgan Chase & Co. (JPM), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6	Wells Fargo Brokerage Account (4)	No			
6.1	Bank Deposit	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	Alibaba Group Holding Ltd - ADR (BABA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.3	Apple, Inc. (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.4	AT&T, Inc. (T)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.5	Banco Santander S.A. ADR (SAN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.6	Bank of America Corp. (BAC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.7	Citigroup, Inc. (C)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	Intel Corp. (INTC)		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6.9	JPMorgan Chase & Co. (JPM)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.10	Westinghouse Air Brake Technologies Corp. (WAB)		N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
6.11	iShares J.P. Morgan USD Emerging Markets Bond ETF (EMB)	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
7	Prosperity Bank Accounts		N/A	\$50,001 - \$100,000		None (or less than \$201)
8	Salient Natural Resource Fund, L.P.		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
9	Salient Tpp Energy Credit Fund, L.P.		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10	Teton Midstream & Resource Partners III, L.P.		Yes	\$100,001 - \$250,000		None (or less than \$201)
11	Teton Midstream Infrastructure Fund III, L.P.		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
12	Teton Natural Resource Fund V, L.P.		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
13	Teton Strategic Energy & Income Growth, L.P.		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
14	Wasatch Natural Resource Fund, L.P.		Yes	\$15,001 - \$50,000		None (or less than \$201)
15	Bintliff Holdings, Inc. (commercial property - land)		N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
16	Hardway St. Partnership, LLC	See Endnote	No			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
16.1	Property #1, commercial real estate in Houston, Texas	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500	
16.2	Property #2, commercial real estate in Houston, Texas	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500	
16.3	Property #3, commercial real estate in Houston, Texas	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500	
17	4034 La Salle Development, LLC	No				
17.1	La Salle Ave. Property, Pacific Palisades, CA	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
18	West Loop Dynamic Ventures, LTD	No				
18.1	Enduro Composites (fiberglass manufacturer in Houston, Texas)	N/A	\$100,001 - \$250,000		None (or less than \$201)	
19	RobinHood brokerage acct.	No				
19.1	Apple	N/A	\$1,001 - \$15,000		None (or less than \$201)	
19.2	Alibaba	N/A	\$1,001 - \$15,000		None (or less than \$201)	
19.3	DocuSign Inc	N/A	None (or less than \$1,001)		None (or less than \$201)	
19.4	Fastly	N/A	None (or less than \$1,001)		None (or less than \$201)	
19.5	Moderna	N/A	\$1,001 - \$15,000		None (or less than \$201)	
19.6	Powershares WilderHill Clean Energy Portfolio	N/A	\$1,001 - \$15,000		None (or less than \$201)	
19.7	Palantir Technologies	N/A	\$1,001 - \$15,000		None (or less than \$201)	
19.8	Square, Inc.	N/A	\$1,001 - \$15,000		\$201 - \$1,000	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.9	Teladoc Health Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
19.10	Healthcare Select Sector SPDR Fund	N/A	\$1,001 - \$15,000		None (or less than \$201)
19.11	Zoom Video Comm Inc	N/A	\$1,001 - \$15,000		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	Wells Fargo Brokerage Account (3)	Exercised Line of Credit	\$50,001 - \$100,000	2021	1.6%	Revolving
2	Visa	Credit Card	\$50,001 - \$100,000	2021	15.99%	Revolving
3	American Express	Credit Card	\$15,001 - \$50,000	2021	15.24%	Revolving
4	Wells Fargo Brokerage Account (2)	Exercised Line of Credit	\$250,001 - \$500,000	2021	1.6%	Revolving

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
1.	1	Dormant since January 2020; will remain inactive during Federal service
1.	6	Clothing company (minimal activity since 2019) -- SO
5.	1	Income figure is aggregate for 2019 and 2020
6.	1.27	Asset sold during reporting period.
6.	1.28	Asset sold during reporting period.
6.	1.29	Asset sold during reporting period.
6.	1.30	Asset sold during reporting period.
6.	1.31	Asset sold during reporting period.
6.	1.32	Asset sold during reporting period.
6.	1.33	Asset called during reporting period.
6.	2.9	Asset sold during reporting period.
6.	3.13	Asset sold during reporting period.
6.	3.14	Asset sold during reporting period.
6.	3.15	Asset sold during reporting period.
6.	3.16	Asset sold during reporting period.
6.	3.17	Asset sold during reporting period.
6.	3.18	Asset sold during reporting period.



PART	#	ENDNOTE
6.	3.19	Asset sold during reporting period.
6.	3.20	Asset sold during reporting period.
6.	3.21	Asset sold during reporting period.
6.	4.17	Income includes nondividend distributions.
6.	4.20	Income includes nondividend distributions
6.	4.28	Asset called during reporting period.
6.	4.29	Asset sold during reporting period.
6.	4.30	Asset sold during reporting period.
6.	5.9	Income includes partnership distributions.
6.	5.17	Income includes partnership distributions.
6.	5.28	Asset sold during reporting period.
6.	5.29	Asset sold during reporting period.
6.	5.30	Asset sold during reporting period.
6.	5.31	Asset sold during reporting period.
6.	5.32	Asset sold during reporting period.
6.	5.33	Asset sold during reporting period.
6.	5.34	Asset sold during reporting period.
6.	5.35	Asset sold during reporting period.
6.	5.36	Asset sold during reporting period.
6.	5.37	Asset sold during reporting period.
6.	5.38	Asset sold during reporting period.
6.	5.39	Asset sold during reporting period.

PART	#	ENDNOTE
6.	6.11	Asset sold during reporting period.
6.	16	Warehouse project
6.	17.1	Asset sold during reporting period.

# 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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