Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Jones-Albertus, Rebecca

Acting Deputy Assistant Secretary, Renewable Energy, Department of Energy

Report Year: 2024

Other Federal Government Positions Held During the Preceding 12 Months:

Director, Solar Energy Technologies Office, U.S. Department of Energy (11/2019 - Present) See endnote

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/ Jones-Albertus, Rebecca [electronically signed on 05/15/2024 by Jones-Albertus, Rebecca 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/ BOKHARI, ANIQUA, Certifying Official [electronically signed on 07/11/2024 by BOKHARI, ANIQUA in Integrity.gov]

Other review conducted by
/s/ BOKHARI, ANIQUA, Ethics Official [electronically signed on 07/11/2024 by BOKHARI, ANIQUA in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/11/2024

Data Revised 06/28/2024

1. Filer's Positions Held Outside United States Government

None

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

None

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	Robert Bosch 401k	No			
1.1	NT Emerging Markets	Yes	$15,001 - $50,000		None (or less than $201)
1.2	NT EXT Mkt Inx NL 4	Yes	$15,001 - $50,000		None (or less than $201)
1.3	NT S&P 500 Idz NL 4	Yes	$15,001 - $50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	TRP Struc Rsrch TR D	Yes	$50,001 - $100,000		
1.5	NT Easfe Idx NL 4	Yes	$15,001 - $50,000		
1.6	NT R1000 GR Idx NL 4	Yes	$1,001 - $15,000		
1.7	Invesco Stable Value	Yes	$1,001 - $15,000		
1.8	NT Aggr BD Idx NL 4	Yes	$15,001 - $50,000		
1.9	Eaton Vance Atlanta Capital SMID-Cap Fund Class R6 Shares (ERASX)	Yes	$1,001 - $15,000		None (or less than $201)
1.10	Acadian All Country World ex US Equity CIT F	Yes	$15,001 - $50,000		None (or less than $201)
1.11	Prudential Core Plus Bond Fund Class 5	Yes	$1,001 - $15,000		None (or less than $201)
2	University of Maryland	N/A		salary	
3	iShares Core S&P Total US Stock Market ETF (ITOT)	Yes	$15,001 - $50,000		
4	iShares Core MSCI Total International Stock ETF (IXUS)	Yes	$15,001 - $50,000		
5	FID FDM Idx 2045 IPR	Yes	$100,001 - $250,000		$2,501 - $5,000
6	Batelle	No	$1,001 - $15,000	Nonemployee Compensation	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank Account (Cash) Checking, Savings and Certificate of Deposit Accounts	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
2	D.C. College Savings Plan #1	No			
2.1	U.S. Total Stock Market Index	Yes	$1,001 - $15,000		None (or less than $201)
2.2	Non-U.S. Total Stock	Yes	$1,001 - $15,000		None (or less than $201)
3	D.C. College Savings Plan #2	No			
3.1	U.S. Total Stock Market Index	Yes	$1,001 - $15,000		None (or less than $201)
3.2	Non-U.S. Total Stock Market Index	Yes	$1,001 - $15,000		None (or less than $201)
4	Fidelity Blue Chip Growth	Yes	$15,001 - $50,000		$201 - $1,000
5	iShares Core S&P Total US Stock Market ETF (ITOT)	Yes	$100,001 - $250,000		$2,501 - $5,000
6	iShares Russell 2000 ETF (IWM)	Yes	$1,001 - $15,000		None (or less than $201)
7	iShares Core MSCI Total International Stock ETF (IXUS)	Yes	$50,001 - $100,000		$1,001 - $2,500
8	iShares Core S&P Total US Stock Market ETF (ITOT)	Yes	$100,001 - $250,000		$1,001 - $2,500
9	iShares Russell 2000 ETF (IWM)	Yes	$15,001 - $50,000		$201 - $1,000
10	SPDR S&P 500 ETF Trust (SPY)	Yes	$50,001 - $100,000		$1,001 - $2,500
11	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Yes	$15,001 - $50,000		$1,001 - $2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	MD 529 - Portfolio 2033		Yes	$15,001 - $50,000		
13	MD 529 - Portfolio 2036	See Endnote	Yes	$15,001 - $50,000		
14	MD 529 - Portfolio 2039		Yes	$15,001 - $50,000		
15	Parnassus Endeavor Fund Investor Class Shares (PARWX)		Yes	$1,001 - $15,000		
16	FlexShares Core Select Bond Fund (BNDC)		Yes	$1,001 - $15,000		None (or less than $201)
17	Nuveen ESG Large-Cap Growth ETF (NULG)		Yes	$1,001 - $15,000		
18	Morgan Stanley Institutional Fund Trust International Advantage Portfolio Class I Shares (MFAIX)		Yes	$1,001 - $15,000		
19	iShares MSCI USA ESG Select ETF (SUSA)		Yes	$1,001 - $15,000		
20	SPDR Portfolio Mortgage Backed Bond ETF (SPMB)		Yes	$1,001 - $15,000		None (or less than $201)
21	Franklin Liberty High Yield Corporate ETF (FLHY)		Yes	$1,001 - $15,000		None (or less than $201)
22	MD 529s					
22.1	Equity Index 500 Portfolio		Yes	$15,001 - $50,000		
22.2	Extended Equity Market Index Portfolio		Yes	$1,001 - $15,000		
22.3	Global Equity Market Index Portfolio		Yes	$15,001 - $50,000		
22.4	Equity Index 500 Portfolio		Yes	$15,001 - $50,000		
22.5	Extended Equity Market Index Portfolio		Yes	$1,001 - $15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.6	Global Equity Market Index Portfolio	Yes	$1,001 - $15,000		
22.7	Equity Index 500 Portfolio	Yes	$1,001 - $15,000		
22.8	Equity Index 500 Portfolio	Yes	$1,001 - $15,000		
22.9	Equity Index 500 Portfolio	Yes	$1,001 - $15,000		
22.10	Extended Equity Market Index Portfolio	Yes	$1,001 - $15,000		
22.11	Global Equity Market Index Portfolio	Yes	$15,001 - $50,000		
23	SPDR S&P 500 ETF Trust (SPY)	Yes	$1,001 - $15,000		None (or less than $201)
24	Nuveen ESG Large-Cap Growth ETF (NULG)	Yes	$15,001 - $50,000		None (or less than $201)
25	FlexShares Core Select Bond Fund (BNDC)	Yes	$1,001 - $15,000		None (or less than $201)
26	iShares MSCI USA ESG Select ETF (SUSA)	Yes	$1,001 - $15,000		None (or less than $201)
27	Etho Climate Leadership US ETF (ETHO)	Yes	$1,001 - $15,000		None (or less than $201)
28	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Yes	$1,001 - $15,000		None (or less than $201)
29	Franklin LibertyQ US Mid Cap Equity ETF (FLQM)	Yes	$1,001 - $15,000		None (or less than $201)
30	Morgan Stanley Institutional Fund Trust International Advantage Portfolio Class I Shares (MFAIX)	Yes	$1,001 - $15,000		None (or less than $201)
31	Artisan Developing World Fund Advisor Class Shares (APDYX)	Yes	$1,001 - $15,000		None (or less than $201)
32	Parnassus Endeavor Fund Investor Class Shares (PARWX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	Nuveen ESG Small-Cap ETF (NUSC)	Yes	$1,001 - $15,000		None (or less than $201)
34	Fidelity Advisor Small Cap Value Fund Class I Shares (FCVIX)	Yes	$1,001 - $15,000		
35	Franklin Liberty High Yield Corporate ETF (FLHY)	Yes			

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	BND	Purchase	11/16/2023	$1,001 - $15,000
2	BNDC	Sale	11/16/2023	$1,001 - $15,000
3	PARWX	Purchase	11/16/2023	$1,001 - $15,000
4	SPMB	Purchase	11/16/2023	$1,001 - $15,000
5	VMBS	Sale	11/16/2023	$1,001 - $15,000
6	APDYX	Sale	06/21/2023	$1,001 - $15,000
7	FCVIX	Purchase	06/21/2023	$1,001 - $15,000
8	NUSC	Purchase	06/21/2023	$1,001 - $15,000
9	PARWX	Sale	06/21/2023	$1,001 - $15,000
10	SUSA	Purchase	06/21/2023	$1,001 - $15,000
11	SPY	Sale	06/21/2023	$1,001 - $15,000
12	BNDC	Purchase	06/21/2023	$1,001 - $15,000
13	FLOT	Sale	06/21/2023	$1,001 - $15,000
14	VMBS	Purchase	06/21/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	NUSC	Purchase	05/23/2023	$1,001 - $15,000
16	SUSA	Purchase	05/23/2023	$1,001 - $15,000
17	FLQM	Purchase	05/23/2023	$1,001 - $15,000
18	NUSC	Purchase	05/16/2023	$1,001 - $15,000
19	SUSA	Purchase	05/16/2023	$1,001 - $15,000
20	FLQM	Purchase	05/16/2023	$1,001 - $15,000
21	NULG	Purchase	05/09/2023	$1,001 - $15,000
22	ETHO	Purchase	05/09/2023	$1,001 - $15,000
23	IQLT	Purchase	05/02/2023	$1,001 - $15,000
24	FCVIX	Purchase	05/02/2023	$1,001 - $15,000
25	PARWX	Purchase	04/24/2023	$1,001 - $15,000
26	MFAIX	Purchase	04/24/2023	$1,001 - $15,000
27	BNDC	Purchase	04/24/2023	$1,001 - $15,000
28	APDYX	Purchase	04/24/2023	$1,001 - $15,000
29	NULG	Purchase	04/18/2023	$1,001 - $15,000
30	MFAIX	Purchase	04/18/2023	$1,001 - $15,000
31	SUSA	Purchase	04/18/2023	$1,001 - $15,000
32	ETHO	Purchase	04/18/2023	$1,001 - $15,000
33	BNDC	Purchase	04/10/2023	$1,001 - $15,000
34	BNDC	Purchase	04/10/2023	$1,001 - $15,000
35	FLHY	Purchase	04/10/2023	$1,001 - $15,000
36	PARWX	Purchase	04/10/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	NT R1000 GR IDX NL 4	Sale	09/01/2023	$1,001 - $15,000
38	JPM SMALL CAP EQ R5	Sale	09/01/2023	$15,001 - $50,000
39	TRP STRUC RSRCH TR D	Sale	05/15/2023	$1,001 - $15,000
40	NT S&P 500 IDX NL 4	Sale	05/15/2023	$1,001 - $15,000
41	JPM SMALL CAP EQ R5	Sale	05/15/2023	$1,001 - $15,000
42	TRP STRUC RSRCH TR D	Sale	02/01/2023	$1,001 - $15,000
43	NT EAFE IDX NL 4	Sale	02/01/2023	$1,001 - $15,000
44	NT EMERGING MRKTS	Sale	02/01/2023	$1,001 - $15,000
45	ACAD ACW EX-US EQ F	Purchase	10/23/2023	$1,001 - $15,000
46	PRU CORE PL BD CL 5	Purchase	10/23/2023	$1,001 - $15,000
47	EV AC SMID CAP R6	Purchase	10/20/2023	$1,001 - $15,000
48	EV AC SMID CAP R6	Purchase	10/23/2023	$1,001 - $15,000
49	NT R1000 GR IDX NL 4	Purchase	10/23/2023	$1,001 - $15,000
50	NT EXT MKT IDX NL 4	Purchase	10/23/2023	$1,001 - $15,000
51	NT EXT MKT IDX NL 4	Purchase	09/01/2023	$15,001 - $50,000
52	TRP STRUC RSRCH TR D	Purchase	09/01/2023	$1,001 - $15,000
53	NT S&P 500 IDX NL 4	Purchase	09/01/2023	$1,001 - $15,000
54	NT AGGR BD IDX NL 4	Purchase	09/01/2023	$1,001 - $15,000
55	NT EAFE IDX NL 4	Purchase	09/01/2023	$1,001 - $15,000
56	NT R1000 GR IDX NL 4	Purchase	05/15/2023	$1,001 - $15,000
57	NT AGGR BD IDX NL 4	Purchase	05/15/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
58	NT AGGR BD IDX NL 4	Purchase	02/01/2023	$1,001 - $15,000
59	JPM SMALL CAP EQ R5	Purchase	02/01/2023	$1,001 - $15,000
60	ITOT	Sale	12/28/2023	$1,001 - $15,000
61	FBGRX	Sale	12/26/2023	$1,001 - $15,000
62	FBGRX	Sale	12/15/2023	$1,001 - $15,000
63	FBGRX	Sale	12/11/2023	$1,001 - $15,000
64	FBGRX	Sale	11/29/2023	$1,001 - $15,000
65	FBGRX	Sale	11/20/2023	$1,001 - $15,000
66	ITOT	Sale	12/15/2023	$1,001 - $15,000
67	ITOT	Sale	12/01/2023	$1,001 - $15,000
68	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	11/16/2023	$1,001 - $15,000
69	FlexShares Core Select Bond Fund (BNDC)	Sale	11/16/2023	$1,001 - $15,000
70	Parnassus Endeavor Fund Investor Class Shares (PARWX)	Purchase	11/16/2023	$1,001 - $15,000
71	SPDR Portfolio Mortgage Backed Bond ETF (SPMB)	Purchase	11/16/2023	$1,001 - $15,000
72	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Sale	11/16/2023	$1,001 - $15,000
73	Artisan Developing World Fund Advisor Class Shares (APDYX)	Sale	06/21/2023	$1,001 - $15,000
74	Fidelity Advisor Small Cap Value Fund Class I Shares (FCVIX)	Purchase	06/21/2023	$1,001 - $15,000
75	Nuveen ESG Small-Cap ETF (NUSC)	Purchase	06/21/2023	$1,001 - $15,000
76	Parnassus Endeavor Fund Investor Class Shares (PARWX)	Sale	06/21/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
77	iShares MSCI USA ESG Select ETF (SUSA)	Purchase	06/21/2023	$1,001 - $15,000
78	SPDR S&P 500 ETF Trust (SPY)	Sale	06/21/2023	$1,001 - $15,000
79	FlexShares Core Select Bond Fund (BNDC)	Purchase	06/21/2023	$1,001 - $15,000
80	iShares Floating Rate Bond ETF (FLOT)	Sale	06/21/2023	$1,001 - $15,000
81	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Purchase	06/21/2023	$1,001 - $15,000
82	Nuveen ESG Small-Cap ETF (NUSC)	Purchase	05/23/2023	$1,001 - $15,000
83	iShares MSCI USA ESG Select ETF (SUSA)	Purchase	05/23/2023	$1,001 - $15,000
84	Franklin LibertyQ US Mid Cap Equity ETF (FLQM)	Purchase	05/23/2023	$1,001 - $15,000
85	Nuveen ESG Small-Cap ETF (NUSC)	Purchase	05/16/2023	$1,001 - $15,000
86	iShares MSCI USA ESG Select ETF (SUSA)	Purchase	05/16/2023	$1,001 - $15,000
87	Franklin LibertyQ US Mid Cap Equity ETF (FLQM)	Purchase	05/16/2023	$1,001 - $15,000
88	Nuveen ESG Large-Cap Growth ETF (NULG)	Purchase	05/09/2023	$1,001 - $15,000
89	Etho Climate Leadership US ETF (ETHO)	Purchase	05/09/2023	$1,001 - $15,000
90	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	05/02/2023	$1,001 - $15,000
91	Fidelity Advisor Small Cap Value Fund Class I Shares (FCVIX)	Purchase	05/02/2023	$1,001 - $15,000
92	Parnassus Endeavor Fund Investor Class Shares (PARWX)	Purchase	04/24/2023	$1,001 - $15,000
93	Morgan Stanley Institutional Fund Trust International Advantage Portfolio Class I Shares (MFAIX)	Purchase	04/24/2023	$1,001 - $15,000
94	FlexShares Core Select Bond Fund (BNDC)	Purchase	04/24/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
95	Artisan Developing World Fund Advisor Class Shares (APDYX)	Purchase	04/24/2023	$1,001 - $15,000
96	Nuveen ESG Large-Cap Growth ETF (NULG)	Purchase	04/18/2023	$1,001 - $15,000
97	Morgan Stanley Institutional Fund Trust International Advantage Portfolio Class I Shares (MFAIX)	Purchase	04/18/2023	$1,001 - $15,000
98	iShares MSCI USA ESG Select ETF (SUSA)	Purchase	04/18/2023	$1,001 - $15,000
99	Etho Climate Leadership US ETF (ETHO)	Purchase	04/18/2023	$1,001 - $15,000
100	FlexShares Core Select Bond Fund (BNDC)	Purchase	04/10/2023	$1,001 - $15,000
101	FlexShares Core Select Bond Fund (BNDC)	Purchase	04/10/2023	$1,001 - $15,000
102	Franklin Liberty High Yield Corporate ETF (FLHY)	Purchase	04/10/2023	$1,001 - $15,000
103	Parnassus Endeavor Fund Investor Class Shares (PARWX)	Purchase	04/10/2023	$1,001 - $15,000
104	Northern Trust Collective Russell 1000 Growth Index Fund DC Non-Lending Tier Four	Sale	09/01/2023	$1,001 - $15,000
105	JPMorgan Small Cap Equity Fund	Sale	09/01/2023	$15,001 - $50,000
106	T. Rowe Price Structured Research Common Trust Fund Class D	Sale	05/15/2023	$1,001 - $15,000
107	NORTHERN TRUST COLLECTIVE S&P 500 INDEX FUND - DC - NON LENDING - TIER 4	Sale	05/15/2023	$1,001 - $15,000
108	JPMorgan Small Cap Equity Fund	Sale	05/15/2023	$1,001 - $15,000
109	T. Rowe Price Structured Research Common Trust Fund Class D	Sale	02/01/2023	$1,001 - $15,000
110	Northern Trust EAFE Index Fund - DC - Non-Lending - Tier Four	Sale	02/01/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
111	Northern Trust Custom Emerging Markets Fund	Sale	02/01/2023	$1,001 - $15,000
112	Acadian All Country World ex US Equity CIT F	Purchase	10/23/2023	$1,001 - $15,000
113	Prudential Core Plus Bond Fund Class 5	Purchase	10/23/2023	$1,001 - $15,000
114	Eaton Vance Atlanta Capital SMID-Cap Fund Class R6	Purchase	10/20/2023	$1,001 - $15,000
115	Eaton Vance Atlanta Capital SMID-Cap Fund Class R6	Purchase	10/23/2023	$1,001 - $15,000
116	Northern Trust Collective Russell 1000 Growth Index Fund DC Non-Lending Tier Four	Purchase	10/23/2023	$1,001 - $15,000
117	Northern Trust Collective Extended Equity Market Index Fund - DC - Non-Lending - Tier Four	Purchase	10/23/2023	$1,001 - $15,000
118	Northern Trust Collective Extended Equity Market Index Fund - DC - Non-Lending - Tier Four	Purchase	09/01/2023	$15,001 - $50,000
119	T. Rowe Price Structured Research Common Trust Fund Class D	Purchase	09/01/2023	$1,001 - $15,000
120	NORTHERN TRUST COLLECTIVE S&P 500 INDEX FUND - DC - NON LENDING - TIER 4	Purchase	09/01/2023	$1,001 - $15,000
121	Northern Trust Aggregate Bond Index Fund - Non-Lending - Tier Four	Purchase	09/01/2023	$1,001 - $15,000
122	Northern Trust EAFE Index Fund - DC - Non-Lending - Tier Four	Purchase	09/01/2023	$1,001 - $15,000
123	Northern Trust Collective Russell 1000 Growth Index Fund DC Non-Lending Tier Four	Purchase	05/15/2023	$1,001 - $15,000
124	Northern Trust Aggregate Bond Index Fund - Non-Lending - Tier Four	Purchase	05/15/2023	$1,001 - $15,000
125	Northern Trust Aggregate Bond Index Fund - Non-Lending - Tier Four	Purchase	02/01/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
126	JPMorgan Small Cap Equity Fund Class R5 Shares (JSERX)	Purchase	02/01/2023	$1,001 - $15,000
127	iShares Core S&P Total US Stock Market ETF (ITOT)	Sale	12/28/2023	$1,001 - $15,000
128	Fidelity Blue Chip Growth Fund (FBGRX)	Sale	12/26/2023	$1,001 - $15,000
129	Fidelity Blue Chip Growth Fund (FBGRX)	Sale	12/15/2023	$1,001 - $15,000
130	Fidelity Blue Chip Growth Fund (FBGRX)	Sale	12/11/2023	$1,001 - $15,000
131	Fidelity Blue Chip Growth Fund (FBGRX)	Sale	11/29/2023	$1,001 - $15,000
132	Fidelity Blue Chip Growth Fund (FBGRX)	Sale	11/20/2023	$1,001 - $15,000
133	iShares Core S&P Total US Stock Market ETF (ITOT)	Sale	12/15/2023	$1,001 - $15,000
134	iShares Core S&P Total US Stock Market ETF (ITOT)	Sale	12/01/2023	$1,001 - $15,000
135	Vanguard Target Retirement Fund	Sale	03/03/2023	$50,001 - $100,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
Filer's Information	1	Holding two roles concurrently from March 2023 to present
6.	13	found error in prior year that listed 2030 instead of 2036 as the year

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 $480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $480 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 $192 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. § 13101 et seq., as amended by the Representative Louise McIntosh Slaughter 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 13989 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.

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