

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Bronin, Sara

Chair, Advisory Council on Historic Preservation

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Energy and Natural Resources
-

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/ Bronin, Sara [electronically signed on 05/06/2021 by Bronin, Sara 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/ Marques, Javier, Certifying Official [electronically signed on 07/14/2021 by Marques, Javier in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 07/16/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Connecticut School of Law	See Endnote	Hartford, Connecticut	University/College	Thomas F. Gallivan Chair of Real Property Law	8/2006	Present
2	Yale School of Architecture	See Endnote	New Haven, Connecticut	University/College	Visiting Professor	1/2021	Present
3	University of Pennsylvania Stuart Weitzman School of Design Kleinman Center for Energy Policy - Philadelphia, Pennsylvania		Philadelphia, Pennsylvania	University/College	Visiting Scholar	9/2020	Present
4	Paris 1 Pantheon-Sorbonne University Law School		Paris, Outside U.S.	University/College	Visiting Professor	11/2019	11/2019
5	Latinos in Heritage Conservation		Tucson, Arizona	Non-Profit	Board Member - uncompensated	4/2020	Present
6	Voladizo LLC		Hartford, Connecticut	Corporation	Managing Member	4/2012	Present
7	Connecticut Trust for Historic Preservation, Inc. (DBA Preservation Connecticut)	See Endnote	Hamden, Connecticut	Non-Profit	Board Member - uncompensated	5/2013	Present
8	Connecticut Trust for Historic Preservation Revolving Fund, Inc.		Hamden, Connecticut	Non-Profit	Secretary - uncompensated	5/2013	Present
9	Regional Plan Association - DesegregateCT (Fiscal Sponsorship Arrangement)	See Endnote	New York, New York	Non-Profit	Founder/Lead Organizer of DesegregateCT - uncompensated	11/2020	Present
10	City of Hartford Planning & Zoning Commission		Hartford, Connecticut	City Commission	Chair - uncompensated	10/2013	7/2020
11	City of Hartford Energy Improvement District		Hartford, Connecticut	City Commission	Chair - uncompensated	7/2017	4/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of Connecticut School of Law	N/A		Salary	\$267,362
2	Yale School of Architecture	N/A		Salary	\$25,000
3	University of Pennsylvania Stuart Weitzman School of Design Kleinman Center for Energy Policy	N/A		Salary	\$6,000
4	Voladizo LLC (Sole-Member LLC that I use for consulting engagements.)	N/A	\$15,001 - \$50,000	Various consulting activities, including speaker fees.	\$70,823
4.1	Ontario Good Roads Association - February 24, 2021	N/A		Honorarium.	\$1,000
4.2	American Planning Association - Rhode Island Chapter - April 30, 2021	N/A		Honorarium.	\$350
5	SEP Account	No			
5.1	CPXIX COHEN & STEERS PREFERRED SEC & INCOME FD CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	DEMIX DELAWARE EMERGING MARKETS FD CL INSTL	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Delaware Small Cap Core Fund Institutional Class (DCCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	DDVIX DELAWARE VALUE FUND INSTL CL	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.5	SGIIX FIRST EAGLE GLOBAL FUND CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	MEURX FRANKLIN MUTUAL EUROPEAN FD CL Z	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	LSGRX LOOMIS SAYLES GROWTH FUND CL Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	LDLFX LORD ABBETT SHORT DURATION INCOME FD CL F	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	MEIIX MFS VALUE FD CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	PDBZX PGIM TOTAL RETURN BOND FUND CL Z	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	PCBIX PRINCIPAL MIDCAP FUND CLASS I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	TINGX THORNBURG INTERNATIONAL GROWTH FUND CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	State of Connecticut 403(b)	No			
6.1	Connecticut Stable Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Vanguard Inflation-Protected Securities Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	Vanguard Total Bond Market Index Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	Calvert Bond Fund Class I	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	Metropolitan West Total Return Bond Fund Plan Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	American Funds American Mutual Fund Class R-6	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	Vanguard Institutional Index Fund Institutional Plus Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	TIAA-CREF Large-Cap Growth Index Fund Institutional Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	JPMorgan Mid Cap Value Fund Class L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	Vanguard Mid-Cap Index Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	TIAA-CREF Small-Cap Blend Index Fund Institutional Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	TIAA-CREF International Equity Index Fund Institutional Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	American Funds EuroPacific Growth Fund Class R-6	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	Vanguard Real Estate Index Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	State of Connecticut 457(b)	No			
7.1	Connecticut Stable Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	Vanguard Inflation-Protected Securities Fund Institutional Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.3	Calvert Bond Fund Class I	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	Metropolitan West Total Return Bond Fund Plan Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	American Funds American Mutual Fund Class R-6	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.6	Vanguard Institutional Index Fund Institutional Plus Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.7	TIAA-CREF Large-Cap Growth Index Fund Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.8	JPMorgan Mid Cap Value Fund Class L	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.9	Vanguard Mid-Cap Index Fund Institutional Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.10	TIAA-CREF Small-Cap Blend Index Fund Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.11	TIAA-CREF International Equity Index Fund Institutional Class	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.12	American Funds EuroPacific Growth Fund Class R-6	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.13	Vanguard Real Estate Index Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	State of Connecticut Alternate Retirement Program	No			
8.1	Connecticut Stable Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	Vanguard Inflation-Protected Securities Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	Calvert Bond Fund Class I	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.4	Metropolitan West Total Return Bond Fund Plan Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.5	American Funds American Mutual Fund Class R-6	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.6	Vanguard Institutional Index Fund Institutional Plus Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.7	TIAA-CREF Large-Cap Growth Index Fund Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.8	JPMorgan Mid Cap Value Fund Class L	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.9	Vanguard Mid-Cap Index Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.10	TIAA-CREF Small-Cap Blend Index Fund Institutional Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.11	TIAA-CREF International Equity Index Fund Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.12	American Funds EuroPacific Growth Fund Class R-6	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.13	Vanguard Real Estate Index Fund Institutional Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	State of Connecticut State Employees Retirement System, defined benefit plan (value not readily ascertainable): eligible for \$3,700/mo. at age 65	N/A			None (or less than \$201)
10	National Trust for Historic Preservation - 03/03/2021	N/A		Honorarium.	\$250
11	Community Design Center of Rochester - 02/24/2021	N/A		Honorarium.	\$750
12	"Land Use Regulation," 2nd & 3rd ed., "Historic Preservation Law," and "Historic Preservation Law in a Nutshell," 1st & 2nd ed., LEG Inc. (value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
13	"Rathkopf's The Law of Zoning and Planning" West Publishing Corporation (value not readily ascertainable)	N/A		Rent or Royalties	\$50,001 - \$100,000
14	"Key to the City," W.W. Norton & Company Inc. (value not readily ascertainable)	N/A		Advance.	\$24,650

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	American Law Institute	N/A		Work to draft Restatement of Property Law.	\$3,000
16	Bus Rapid Transit Symposium - November 19, 2020	N/A		Honorarium.	\$500
17	"Key to the City," W.W. Norton & Company Inc., anticipated advance payments	N/A	\$50,001 - \$100,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of Connecticut 403(b)	Hartford, Connecticut	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	12/2018
2	State of Connecticut 457(b)	Hartford, Connecticut	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	8/2006
3	State of Connecticut Alternate Retirement Program	Hartford, Connecticut	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	8/2006
4	State of Connecticut State Employees Retirement System	Hartford, Connecticut	I will continue to participate in this defined benefit plan.	1/2019
5	Voladizo LLC	Hartford, Connecticut	My consulting business will be inactive during my appointment and all outstanding client fees will be fixed before I enter government service.	4/2012

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of Connecticut School of Law	Hartford, Connecticut	Tenured professor of law.
2	Yale School of Architecture	New Haven, Connecticut	Visiting professor teaching a seminar course.
3	UNIVERSITY OF PENNSYLVANIA STUART WEITZMAN SCHOOL OF DESIGN KLEINMAN CENTER FOR ENERGY POLICY	Philadelphia, Pennsylvania	Visiting scholar.
4	Voladizo LLC	Hartford, Connecticut	Provide expert consulting services regarding land use and architectural issues.
5	Eric Da Silva	Newtown, Connecticut	Legal consulting (client of Voladizo LLC).
6	Seward & Kissel LLC	See Endnote New York, New York	Legal consulting (client of Voladizo LLC).

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	City of Hartford, Connecticut	N/A		salary	
2	IRA #2	No			
2.1	U.S. brokerage money market account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	PONPX PIMCO INCOME FUND CL I2	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	WIPIX WELLS FARGO CORE PLUS BOND FD CL INSTL	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	IRA #1	No			
3.1	U.S. brokerage money market account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Investment Account #1	No			
1.1	U.S. brokerage money market account (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.2	DFDIX DELAWARE SMID CAP GROWTH FUND INSTL CL	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	LSGRX LOOMIS SAYLES GROWTH FUND CL Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	TINGX THORNBURG INTERNATIONAL GROWTH FUND CL I	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	PONPX PIMCO INCOME FUND CL I2	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.6	MEIIX MFS VALUE FD CL I	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	Investment Account #2	No			
2.1	U.S. brokerage money market account (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
2.2	GM GENERAL MOTORS CO COMMON SHARES	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
2.3	FKQTX FRANKLIN FEDERAL INTERM TERM T/F INC FD CL A	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	FCTTX NUVEEN CT MUNI BD FD CL A	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	MSAVX INVESCO AMERICAN VALUE FUND CL A	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	BTT BLACKROCK MUN TARGET TERM TR	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	EQHPRA EQUITABLE HOLDINGS INC NEW MONEY SER A 05.250% PERPETUAL	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.8	FPRC FORD MOTOR COMPANY SENIOR UNSECURED NOTES 06.000% DEC 01 2059	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.9	TPRA AT&T INC CUM PREFERRED STOCK 5.00% PERP SERIES A	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.10	ALLPRI ALLSTATE CORP NON-CUM PFD STK SER I 04.750% PERPETUAL	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.11	BACPRM BANK OF AMERICA CORP NON-CUM PFD STK SER KK 5.375% PERPETUAL	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.12	PSAPRK PUBLIC STORAGE CUM PREFERRED SHARES 4.75% SR K PERPETUAL	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.13	Bank of Nova Scotia note linked to EuroStoxx 50 Index	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
2.14	Bank of America note linked to Dow Jones Industrial Average Index	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Investment Account #3	No			
3.1	OPMSX INVESCO MAIN STREET MID CAP FD CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	GHAAX VAN ECK GLOBAL RESOURCES FD CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	OIBAX INVESCO INTERNATIONAL BOND FUND CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	PONAX PIMCO INCOME FUND CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	DPDFX DELAWARE DIVERSIFIED INCOME FD CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	PGBOX JPMORGAN CORE BOND FD A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	FESGX FIRST EAGLE GLOBAL FUND CL C	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	MDLOX BLACKROCK GLOBAL ALLOCATION FD INC A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	AIIEX INVESCO INTERNATIONAL GROWTH FUND CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	ITHAX HARTFORD CAPITAL APPRECIATION FD CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	DEMAX DELAWARE EMERGING MARKETS FD CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	TWEAX AMERICAN CENTURY EQUITY INCOME FUND CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	MSAVX INVESCO AMERICAN VALUE FUND CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. bank #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	U.S. bank #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Connecticut 529 Account #1	No			
6.1	CT Aggressive Growth (Fidelity)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	Connecticut 529 Account #2	No			
7.1	CT Aggressive Growth (Fidelity)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Connecticut 529 Account #3	No			
8.1	CT Aggressive Growth (Fidelity)	Yes	\$50,001 - \$100,000		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	Liberty Bank		Mortgage on Personal Residence	\$250,001 - \$500,000	2020	3.125%	15 Years
2	Simsbury Bank (& Liberty Bank)	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2015	4.75	30 Years
3	Nelnet Loan Servicing		Student Loan	\$15,001 - \$50,000	2005	3.25	30 Years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	I have served as the Thomas F. Gallivan Chair of Real Property Law since 2016; previous positions were: PROFESSOR, 2013-2016; ASSOCIATE PROFESSOR, 2008-2013; GALLIVAN RESEARCH PROFESSOR OF LAW, 2006-2008.
1.	2	This arrangement will formally end on May 31, 2021.
1.	7	I am currently a board member. However, my previous positions were: Chair, 2018-2020; Vice Chair, 2016-2018; Board Member, 2013-present. (I was also a board member from 2008-2010, but that was noncontiguous service.)
1.	9	DesegregateCT was a loose coalition of organizations that formed in June 2020 to discuss zoning reform. In November 2020, we entered into a fiscal sponsorship arrangement with the Regional Plan Association. This entry reflects that fiscal sponsorship relationship, though my position as the founder/lead organizer is unpaid, and I have no fiduciary authority over, or legal role in, the Regional Plan Association as an organization.
4.	6	Seward & Kissel LLP is the attorney for Deutsche Bank Trust Company N.A., which is the fiduciary for the Hugh Leander Adams, Mary Trumbull Adams, and Hugh Trumbull Adams Memorial Fund, a 501(c)(3), on whose work this work was completed.
8.	2	Liberty Bank acquired Simsbury Bank in October 2019. This liability was extinguished in 2020 when we refinanced.

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).
