Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Dorn, Alan

Chief Counsel, Region V, Department of Health & Human Services

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:
None

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/ Dorn, Alan [electronically signed on 04/15/2023 by Dorn, Alan 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/ CardMina, Mary, Certifying Official [electronically signed on 05/19/2023 by CardMina, Mary in Integrity.gov]

Other review conducted by
/s/ Lee, Steven, Ethics Official [electronically signed on 05/09/2023 by Lee, Steven in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 04/21/2023

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(04/21/2023, Lee, Steven): I/R - 21 April 2023 (SEL)

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	Northwestern Mutual Investment Services Brokerage Account (Spouse/SEP)	No			
1.1	Dodge & Cox Income Fund (DODIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.2	EuroPacific Growth Fund Class F-2 (AEPFX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	Fidelity Advisor New Insights Fund Class I (FINSX)	Yes	$1,001 - $15,000		None (or less than $201)
1.4	Oakmark International Fund Advisor Class (OAYIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.5	MFS Value Fund Class I (MEIIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.6	New World Fund Class F-2 (NFFFX)	Yes	$1,001 - $15,000		None (or less than $201)
1.7	Northern Small Cap Value Fund (NOSGX)	Yes	$1,001 - $15,000		None (or less than $201)
1.8	Pimco Income Fund Class P (PONPX)	Yes	$1,001 - $15,000		None (or less than $201)
1.9	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)	Yes	$1,001 - $15,000		None (or less than $201)
1.10	Deutsche Enhanced Commodity Strategy Fund (SKIRX)	Yes	$1,001 - $15,000		None (or less than $201)
1.11	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.12	Goldman Sachs International Small Cap Insights Fund (GICIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.13	TIAA-CREF Bond Fund Advisor Class (TIBHX)	Yes	$1,001 - $15,000		None (or less than $201)
1.14	Baron Asset Fund (BARIX)	Yes	$1,001 - $15,000		None (or less than $201)
1.15	Principal Real Estate Securities Fund ((PIREX)	Yes	$1,001 - $15,000		None (or less than $201)
1.16	Goldman Sachs Absolute Return Tracker Fund (GJRTX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	iShares Gold Trust (IAU)	Yes	$1,001 - $15,000		None (or less than $201)
1.18	Western Asset Core Bond Fund Class I Shares (WATFX)	Yes	$1,001 - $15,000		None (or less than $201)
1.19	Goldman Sachs ETF TR TR ActiveBeta U.S. Large Cap Equity (GSLC)	Yes	$1,001 - $15,000		None (or less than $201)
1.20	iShares TR MSCI USA Value Factor ETF (VLUE)	Yes	$1,001 - $15,000		None (or less than $201)
1.21	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	$1,001 - $15,000		None (or less than $201)
1.22	iShares TR MSCI Intl Value Factor (IVLU)	Yes	$1,001 - $15,000		None (or less than $201)
1.23	Black Rock Strategic Income Opportunities Portfolio Institutional Class (BSIIX) -- PURCHASED 2/7/2022	Yes	$1,001 - $15,000		None (or less than $201)
2	Northwestern Mutual Investment Services Brokerage Account (Spouse/IRA)	No			
2.1	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)	Yes	$1,001 - $15,000		None (or less than $201)
2.2	Dodge & Cox Income Fund (DODIX)	Yes	$15,001 - $50,000		$201 - $1,000
2.3	EuroPacific Growth Fund Class F-2 (AEPFX)	Yes	$15,001 - $50,000		$201 - $1,000
2.4	Oakmark International Fund Advisor Class (OAYIX)	Yes	$15,001 - $50,000		$201 - $1,000
2.5	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.6	MFS Value Fund Class I (MEIIX)	Yes	$15,001 - $50,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	New World Fund Class F-2 (NFFX)	Yes	$15,001 - $50,000		$201 - $1,000
2.8	Northern Small Cap Value Fund (NOSGX)	Yes	$1,001 - $15,000		None (or less than $201)
2.9	Pimco Income Fund Class I-2 (PONPX)	Yes	$1,001 - $15,000		None (or less than $201)
2.10	TIAA-CREF Bond Fund Advisor Class (TIBHX)	Yes	$15,001 - $50,000		$201 - $1,000
2.11	Deutsche Enhanced Commodity Strategy Fund (SKIRX)	Yes	$1,001 - $15,000		None (or less than $201)
2.12	Goldman Sachs International Small Cap Insights Fund (GICIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.13	Fidelity Advisor New Insights Fund (FINSX)	Yes	$15,001 - $50,000		$201 - $1,000
2.14	Goldman Sachs Absolute Return Tracker Fund (GJRTX)	Yes	$1,001 - $15,000		None (or less than $201)
2.15	Baron Asset Fund (BARIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.16	Principal Real Estate Securities Fund (PIREX)	Yes	$15,001 - $50,000		$201 - $1,000
2.17	iShares Gold Trust (IAU)	Yes	$1,001 - $15,000		None (or less than $201)
2.18	Goldman Sachs ETF TR ActiveBeta US Large Cap Equity ETF (GSLC)	Yes	$15,001 - $50,000		$201 - $1,000
2.19	iShares TR MSCI USA Value Factor ETF (VLUE)	Yes	$1,001 - $15,000		None (or less than $201)
2.20	Western Asset Core Bond Fund Class I (WATFX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.21	iShares TR MSCI Intl Value Factor ETF (IVLU)	Yes	$1,001 - $15,000		None (or less than $201)
2.22	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	$1,001 - $15,000		$201 - $1,000
2.23	Black Rock Strategic Income Opportunities Portfolio Institutional Class (BSIIX) -- PURCHASED 2/7/2022	Yes	$1,001 - $15,000		None (or less than $201)
3	W.W. Grainger, Inc. (GWW) -- Employment	N/A		Employment Severance Payment	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northwestern Mutual Whole Life Insurance	N/A	$50,001 - $100,000	Dividends	$5,001 - $15,000
2	U.S. bank account #1 (cash)	N/A	$100,001 - $250,000	Interest	$201 - $1,000
3	U.S. bank account #2 (cash)	N/A	$1,001 - $15,000	Interest	None (or less than $201)
4	U.S. bank account #3 (cash)	N/A	$100,001 - $250,000	Interest	$201 - $1,000
5	Northwestern Mutual Investment Services Brokerage Account -- Filer IRA	No			
5.1	Dodge & Cox Income Fund (DODIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.2	EuroPacific Growth Fund Class F-2 (AEPFX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	Fidelity Advisor New Insights I (FINSX)	Yes	$15,001 - $50,000		$201 - $1,000
5.4	Oakmark International (OAYIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.5	John Hancock Disciplined Value Mid-Cap Fund Class I (JVMIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.6	MFS Value Fund Class I (MEIIX)	Yes	$15,001 - $50,000		$201 - $1,000
5.7	New World Fund Class F-2 (NFFFX)	Yes	$1,001 - $15,000		None (or less than $201)
5.8	Northern Small Cap Value Fund (NOSGX)	Yes	$1,001 - $15,000		None (or less than $201)
5.9	PIMCO Income Fund (PONPX)	Yes	$1,001 - $15,000		None (or less than $201)
5.10	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)	Yes	$1,001 - $15,000		None (or less than $201)
5.11	Deutsche Enhanced Commodity Strategy Fund Insitutional Class (SKIRX)	Yes	$1,001 - $15,000		None (or less than $201)
5.12	TIAA-CREF Bond Fund (TIBHX)	Yes	$1,001 - $15,000		None (or less than $201)
5.13	Goldman Sachs International Small Cap Fund (GICIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.14	Baron Asset Fund (BARIX)	Yes	$1,001 - $15,000		None (or less than $201)
5.15	Principal Real Estate Securities Fund (PIREX)	Yes	$1,001 - $15,000		None (or less than $201)
5.16	Goldman Sachs Absolute Return Tracker Fund (GJRTX)		$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.17	Western Asset Core Bond Fund Class I (WATFX)	Yes	$1,001 - $15,000		None (or less than $201)
5.18	Goldman Sachs ETF TR TR ActiveBeta U.S. Large Cap Equity(GSLC)	Yes	$1,001 - $15,000		None (or less than $201)
5.19	iShares TR MSCI USA Value Factor ETF (VLUE)	Yes	$1,001 - $15,000		None (or less than $201)
5.20	iShares Gold Trust (IAU)	Yes	$1,001 - $15,000		None (or less than $201)
5.21	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)	Yes	$1,001 - $15,000		$201 - $1,000
5.22	iShares TR MSCI Intl. Value Factor (IVLU)	Yes	$1,001 - $15,000		$201 - $1,000
5.23	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX) -- PURCHASED 2/7/2022	Yes	$1,001 - $15,000		$201 - $1,000
6	Northwestern Mutual Whole Life Insurance	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
7	Northwestern Mutual Investment Services Brokerage Account -- Joint Account				
7.1	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Yes	$1,001 - $15,000		$201 - $1,000
7.2	Cohen & Steers Real Estate Securities Fund, Inc Class I Shares (CSDIX)	Yes	$1,001 - $15,000		$201 - $1,000
7.3	iShares MSCI Eurozone ETF (EZU)	Yes	$1,001 - $15,000		$201 - $1,000
7.4	Fidelity Advisor Total Bond Fund Class I Shares (FEPIX)	Yes	$1,001 - $15,000		$201 - $1,000
7.5	FMI International Fund Institutional Class Share (FMIYX)	Yes	$1,001 - $15,000		$201 - $1,000
7.6	iShares Gold Trust (IAU)	Yes	$1,001 - $15,000		$201 - $1,000
7.7	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.8	iShares Core S&P Small-Cap ETF (IJR)	Yes	$1,001 - $15,000		$201 - $1,000
7.9	iShares Core S&P 500 ETF (IVV)	Yes	$1,001 - $15,000		$201 - $1,000
7.10	New World Fund, Inc Class F2 Shares (NFFFX)	Yes	$1,001 - $15,000		$201 - $1,000
7.11	Oakmark Select Fund Advisor Class Shares (OAYLX)	Yes	$1,001 - $15,000		$201 - $1,000
7.12	PIMCO Commodities PLUS Strategy Fund Class I-2 Shares (PCLPX)	Yes	$1,001 - $15,000		$201 - $1,000
7.13	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	$1,001 - $15,000		$201 - $1,000
7.14	Schwab Strategic International Equity ETF (SCHF)	Yes	$1,001 - $15,000		$201 - $1,000
7.15	iShares MSCI USA Value Factor ETF (VLUE)	Yes	$1,001 - $15,000		$201 - $1,000
7.16	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Yes	$1,001 - $15,000		$201 - $1,000
7.17	Western Asset Core Bond Fund Class I Shares (WATFX)	Yes	$1,001 - $15,000		$201 - $1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Black Rock Strategic Income Opportunities Portfolio Institutional Class (BSIIX) -- Spouse SEP	Purchase	02/07/2022	$1,001 - $15,000
2	Hartford World Bond Fund Class I Shares (HWDIX) -- Spouse SEP	Sale	02/07/2022	$1,001 - $15,000
3	MFS Value Fund Class I (MEIIX) -- Spouse SEP	Sale	02/07/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	TIAA-CREF Bond Advisor Class (TIBHX) -- Spouse SEP	Purchase	02/07/2022	$1,001 - $15,000
5	American Century Short Duration Inflation Protection Bond Fund Class I Shares (APOHX) -- Spouse SEP	Sale	02/07/2022	$1,001 - $15,000
6	Deutsche Enhanced Commodity Strategy Fund (SKIRX) -- Spouse SEP	Sale	10/17/2022	$1,001 - $15,000
7	John Hancock Funds III Disciplined Value Mid Cap Fund Institutional Class Shares (JVMIX) -- Spouse SEP	Sale	10/17/2022	$1,001 - $15,000
8	iShares Gold Trust (IAU) -- Spouse SEP	Sale	10/17/2022	$1,001 - $15,000
9	Western Asset Core Bond Fund Class I Shares (WATFX) -- Spouse SEP	Purchase	10/17/2022	$1,001 - $15,000
10	Dodge & Cox Income Fund (DODIX) -- Spouse SEP	Purchase	10/17/2022	$1,001 - $15,000
11	EuroPacific Growth Fund Class F2 Shares (AEPFX) -- Spouse SEP	Purchase	10/17/2022	$1,001 - $15,000
12	Black Rock Strategic Income Opportunities Portfolio Institutional Class (BSIIX) -- Spouse IRA	Purchase	02/07/2022	$1,001 - $15,000
13	Hartford World Bond Fund Class I Shares (HWDIX) -- Spouse IRA	Sale	02/07/2022	$1,001 - $15,000
14	American Century Short Duration Inflation Protection Bond Fund Class I Shares (APOHX) -- Spouse IRA	Sale	02/07/2022	$1,001 - $15,000
15	MFS Value Fund Class I (MEIIX) -- Spouse IRA	Sale	02/07/2022	$1,001 - $15,000
16	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- Spouse IRA	Purchase	02/07/2022	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
17	Rollover from W.W. Grainger, Inc. 401(k) -- Vanguard Institutional Trust Retirement 2025 Fund Institutional Shares (VRIVX) to Northwestern Mutual Investment Services Brokerage Account (Spouse IRA)	See Endnote	Exchange	03/24/2022	$15,001 - $50,000
18	Dodge & Cox Income Fund (DODIX) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
19	EuroPacific Growth Fund Class F-2 (AEPFX) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
20	MFS Value Fund Class I (MEIIX) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
21	TIAA-CREF Bond Fund Advisor Class (TIBHX) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
22	Fidelity Advisor New Insights Fund (FINSX) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
23	Goldman Sachs Absolute Return Tracker Fund Institutional Class Shares (GJRTX) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
24	iShares Gold Trust (IAU) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
25	Western Asset Core Bond Fund Class I (WATFX) -- Spouse IRA		Purchase	03/25/2022	$1,001 - $15,000
26	Dodge & Cox Income Fund (DODIX) -- Spouse IRA		Sale	10/17/2022	$1,001 - $15,000
27	New World Fund Class F-2 (NFFX) -- Spouse IRA		Purchase	10/17/2022	$1,001 - $15,000
28	Northern Funds Small Cap Value Fund (NOSGX) -- Spouse IRA		Sale	10/17/2022	$1,001 - $15,000
29	Deutsche Enhanced Commodity Strategy Fund (SKIRX) -- Spouse IRA		Sale	10/17/2022	$1,001 - $15,000
30	Baron Asset Fund (BARIX) -- Spouse IRA		Purchase	10/17/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	iShares Gold Trust (IAU) -- Spouse IRA	Sale	10/17/2022	$1,001 - $15,000
32	Western Asset Core Bond Fund Class I (WATFX) -- Spouse IRA	Purchase	10/17/2022	$1,001 - $15,000
33	Dodge & Cox Income Fund (DODIX) -- Filer IRA	Purchase	01/11/2022	$1,001 - $15,000
34	Oakmark International (OAYIX) -- Filer IRA	Sale	01/11/2022	$1,001 - $15,000
35	John Hancock Disciplined Value Mid-Cap Fund Class I (JVMIX) -- Filer IRA	Sale	01/11/2022	$1,001 - $15,000
36	MFS Value Fund Class I -- Filer IRA	Sale	01/11/2022	$1,001 - $15,000
37	New World Fund Class F-2 (NFFFX) -- Filer IRA	Sale	01/11/2022	$1,001 - $15,000
38	Northern Funds Small Cap Value Fund (NOSGX) -- Filer IRA	Sale	01/11/2022	$1,001 - $15,000
39	TIAA-CREF Bond Fund (TIBHX) -- Filer IRA	Purchase	01/11/2022	$1,001 - $15,000
40	Principal Real Estate Securities Fund (PIREX) -- Filer IRA	Sale	01/11/2022	$1,001 - $15,000
41	Hartford World Bond Fund Class I Shares (HWDIX) -- Filer IRA	Sale	02/07/2022	$1,001 - $15,000
42	American Century Short Duration Inflation Protection Bond Fund (APOHX) -- Filer IRA	Sale	02/07/2022	$1,001 - $15,000
43	TIAA-CREF Core Bond Fund Advisor Class Shares (TIBHX) -- Filer IRA	Purchase	02/07/2022	$1,001 - $15,000
44	Dodge & Cox Income Fund (DODIX) -- Filer IRA	Sale	10/17/2022	$1,001 - $15,000
45	EuroPacific Growth Fund Class F-2 (AEPFX) -- Filer IRA	Purchase	10/17/2022	$1,001 - $15,000
46	Oakmark International (OAYIX) -- Filer IRA	Purchase	10/17/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
47	Deutsche Enhanced Commodity Strategy Fund Institutional Class Shares (SKIRX) -- Filer IRA	Sale	10/17/2022	$1,001 - $15,000
48	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX) -- Filer IRA	Purchase	02/07/2022	$1,001 - $15,000
49	Western Asset Core Bond Fund Class I Shares (WATFX) -- Filer IRA	Purchase	10/17/2022	$1,001 - $15,000
50	iShares Gold Trust (IAU) -- Filer IRA	Sale	10/17/2022	$1,001 - $15,000
51	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP) -- Joint Account	Sale	02/07/2022	$1,001 - $15,000
52	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH) -- Joint Account	Purchase	02/07/2022	$1,001 - $15,000
53	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Sale	10/17/2022	$1,001 - $15,000
54	Vanguard Total Bond Market Index Fund ETF Shares (BND) -- Joint Account	Purchase	10/17/2022	$1,001 - $15,000
55	Fidelity Advisor Total Bond Fund Class I Shares (FEPIX)	Purchase	10/17/2022	$1,001 - $15,000
56	Western Asset Core Bond Fund Class I Shares (WATFX) -- Joint Account	Purchase	10/17/2022	$1,001 - $15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
7.	17	Spouse was employed at W.W. Grainger February 2021 to September 2021 (severance payout in February 2022). W.W. Grainger, Inc. 401(k), invested in Vanguard Institutional Trust Retirement 2025 Fund Institutional Shares (VRIVX), was inadvertently omitted from 2022 OGE 278. All funds in Vanguard Institutional Trust Retirement 2025 Fund Institutional Shares (VRIVX) were rolled over to Northwestern Mutual Investment Services Spouse IRA brokerage account on March 24, 2022.

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).
