

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cook, Lisa

Governor, Federal Reserve, Board of Governors of the Federal Reserve System

Other Federal Government Positions Held During the Preceding 12 Months:

Member, Advisory Board, Social, Behavioral, and Economic Sciences, National Science Foundation (1/2021 - Present)

Visiting Scholar, US Patent and Trademark Office (12/2020 - Present)

Names of Congressional Committees Considering Nomination:

- Committee on Banking, Housing, and Urban Affairs
-

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/ Cook, Lisa [electronically signed on 12/01/2021 by Cook, Lisa 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/ Croston, Sean, Certifying Official [electronically signed on 01/14/2022 by Croston, Sean in Integrity.gov]

Other review conducted by

/s/ Croston, Sean, Ethics Official [electronically signed on 01/14/2022 by Croston, Sean in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 01/18/2022 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	Federal Home Loan Bank of Indianapolis		Indianapolis, Indiana	Federal Home Loan Bank System	Director	1/2021	Present
2	Michigan State University		East Lansing, Michigan	University/College	Professor	8/2005	Present
3	Federal Reserve Bank of Minneapolis		Minneapolis, Minnesota	Federal Reserve Bank	Opportunity and Inclusive Growth Institute Advisory Board Member	12/2017	Present
4	Rende Progress Capital	See Endnote	Grand Rapids, Michigan	Corporation	Director	9/2017	Present
5	Biden-Harris Presidential Transition Team		WASHINGTON, District of Columbia	Non-Profit	Deputy Director, Agency Review Team	11/2020	1/2021
6	American Economic Association		Nashville, Tennessee	Non-Profit	Member, Executive Committee	1/2019	Present
7	Curriculum Open-access Resources in Economics (CORE)		London UK, Outside U.S.	Trust	Trustee	1/2020	Present
8	Economic History Association		LaCrosse, Wisconsin	Non-Profit	Trustee	1/2020	Present
9	Inter-university Consortium for Political and Social Research		ANN ARBOR, Michigan	Non-Profit	Chair, National Council	3/2019	Present
10	Roosevelt Institute		New York City, New York	Non-Profit	Vice-Chair, Board of Directors	1/2014	Present
11	Institute for Research on Innovation and Science, University of Michigan		Ann Arbor, Michigan	University/College	Adjunct Research Professor	3/2015	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Spelman College		Atlanta, Georgia	University/College	Consultant	9/2018	Present
13	Federal Reserve Bank of Chicago		Chicago, Illinois	Corporation	Visiting Scholar	9/2020	11/2020
14	Regenerative Crisis Response Committee	See Endnote	WASHINGTON, District of Columbia	Non-Profit	Member	3/2021	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Federal Home Loan Bank of Indianapolis	N/A		Director's Fee	\$80,250
2	Michigan State University	N/A		Salary	\$328,639
3	Federal Reserve Bank of Minneapolis	N/A		Fees for Advisory Board of Opportunity and Inclusive Growth Institute activities	\$15,000
4	Teachers Retirement System of GA, defined benefit plan (beneficiary)	N/A		Retirement Payments (monthly)	\$256
5	Employees Retirement System of GA, defined benefit plan (beneficiary)	N/A		Retirement Payments (monthly)	\$540
6	Michigan State University	No			
6.1	Fidelity 403b	No			
6.1.1	VANG INST TR 2030	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.2	FID GROWTH CO K	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.1.3	FID SEL LEISURE	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.1.4	FIDELITY SELECT CONS STAPLES	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.1.5	FID FUND K	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.1.6	Fidelity Mid-Cap Stock Fund Class K Shares (FKMCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.1.7	Fidelity New Millennium Fund (FMILX)	Yes	None (or less than \$1,001)		None (or less than \$201)
6.1.8	Fidelity Select Retailing	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.1.9	Fidelity New Markets Income Fund (FNMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.10	Fidelity Nordic Fund (FNORX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.11	Fidelity Select IT Services	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.12	Fidelity Small Cap Discovery Fund (FSCRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.13	Fidelity Value Strategies Fund Fidelity Value Strategies Fund Shares (FSLSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.14	Fidelity Select Financial	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.15	Fidelity Canada Fund Canada Shares (FICDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.16	Fidelity Mid Cap Value Fund (FSMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.17	Fidelity Columbia Acorn Fund Institutional 3 Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.18	Fidelity Latin America Fund (FLATX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.19	Fidelity China Region Fund (FHKCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.20	Fidelity Natural Resources Portfolio (FNARX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.1.21	Fidelity Select Energy	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	TIAA 403b	No			
6.2.1	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	TIAA 457b	No			
6.3.1	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	Fidelity 457b	No			
6.4.1	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Harvard University	No			
7.1	TIAA 403b	No			
7.1.1	CREF Global Equities	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.1.2	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	TIAA 457b	No			
7.2.1	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
8	National Bureau of Economic Research	No			
8.1	401a	No			
8.1.1	Vanguard LifeStrategy Moderate Growth Fund Investor Shares (VSMGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	National Bureau of Economic Research Grant	N/A		Summer salary	\$19,749
10	FRB Chicago Visiting Scholar	N/A		Fees for visiting scholar position	\$15,322
11	Regenerative Crisis Responsive Committee advisory fees - Meetings and activities, March to December 2021	N/A		Advisory fees; funding from the Hewlett Foundation	\$30,000
12	Lakeside School speech honorarium - December 17, 2020	N/A		Honorarium	\$15,000
13	Washington Center for Equitable Growth honorarium - Workshop, August 20, 2020	N/A		Honorarium	\$13,000
14	Brookings Institution/Hamilton Project honorarium - Conference date June 17, 2020	N/A		Honorarium	\$20,000
15	Spelman College	N/A		Consulting fees	\$10,500
16	Boston FRB honorarium - October 12, 2021	N/A		Honorarium	\$5,000
17	National Center for Women in Technology Honorarium - May 28, 2021	N/A		Honorarium	\$10,000
18	University of Arizona honorarium - November 20, 2020	N/A		Honorarium	\$500
19	US Patent and Trademark Office	N/A		Independent contractor fees	\$5,761

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	The New York Times Co. (NYT) honorarium	N/A		Honorarium, 11/18/20 guest column	\$1,000
21	Sloan Foundation grant application review fee	N/A		Grant application review fee	\$400
22	NSF SBE Advisory Board meeting per diem - May 6-7, 2021	See Endnote	N/A	Per diem	\$400
23	Smithsonian Institution honorarium - June 1, 2021	N/A		Honorarium	\$2,500
24	FRB Cleveland honorarium - February 27, 2020	N/A		Honorarium	\$5,000
25	FRB Kansas City honorarium - August 27, 2021	N/A		Honorarium	\$3,917
26	Rutgers University honorarium - October 8, 2020	N/A		Honorarium	\$1,500
27	Midwest Economics Association honorarium - October 23, 2020	N/A		Honorarium	\$2,000
28	JP Morgan Chase honorarium - July 23, 2020, October 7, 2020	N/A		Honorarium (single honorarium for two talks)	\$20,000
29	Wellesley College - November 11, 2020	N/A		Honorarium	\$3,000
30	Wharton-UPenn honorarium - October 16, 2020	N/A		Honorarium	\$2,000
31	Pomona College honorarium - November 12, 2020	N/A		Honorarium	\$300
32	University of Arizona honorarium - January 14, 2021	N/A		Honorarium	\$500
33	H. Chase Stone Lecture, Colorado College, anticipated honorarium - April 2022	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	University of Houston keynote speaker, anticipated honorarium - February 16, 2022	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	Whitman College speaker honorarium - February 10, 2021	N/A		Honorarium	\$5,000
36	UNC Greensboro Harriet Elliott Lecture, anticipated honorarium - March 29, 2022	N/A	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Michigan State University	East Lansing, Michigan	I will take a two-year unpaid leave of absence from the University, which can be extended for up to four years.	12/2021
2	Teachers Retirement System of GA	Atlanta, Georgia	I will continue to participate in this defined benefit plan.	9/1986
3	Employees Retirement System of GA	Atlanta, Georgia	I will continue to participate in this defined benefit plan.	12/1998
4	Michigan State University	East Lansing, Michigan	I will continue to participate in these defined contribution plans. The plans' sponsor will not continue to make contributions.	8/2006
5	Harvard University	CAMBRIDGE, Massachusetts	I will continue to participate in this 457b plan, but the employer ceased making contributions upon my separation.	8/1997
6	National Bureau of Economic Research	CAMBRIDGE, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	3/2020
7	Harvard University	Cambridge, Massachusetts	I will continue to participate in the 403b plan, but the employer ceased making contributions upon my separation.	8/1997

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Federal Home Loan Bank of Indianapolis	Indianapolis, Indiana	Director
2	Michigan State University	East Lansing, Michigan	Professor
3	Federal Reserve Bank of Minneapolis	Minneapolis, Minnesota	OIGI Advisory Board member, current term is 2020-2022
4	National Bureau of Economic Research	CAMBRIDGE, Massachusetts	NSF research grant administered through NBER
5	Federal Reserve Bank of Chicago	Chicago, Illinois	Visiting Scholar
6	Lakeside School	Seattle, Washington	Honorarium for talk to students
7	JP Morgan Chase Bank	New York, New York	Honorarium for series of talks
8	Spelman College	Atlanta, Georgia	Educational consulting
9	Brookings Institution	WASHINGTON, District of Columbia	Paper and conference honorarium
10	National Center for Women in Technology (NCWIT)	Boulder, Colorado	Speech honorarium
11	Regenerative Crisis Response Committee	WASHINGTON, District of Columbia	For service on the Regenerative Crisis Response Committee; funding from the Hewlett Foundation
12	Washington Center for Equitable Growth	WASHINGTON, District of Columbia	Paper and presentation honorarium

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage account	No			
1.1	ISHARES S&P MIDCAP 400 INDEX FUND	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.2	ALPHACENTRIC INCOME OPPORTUNITIES CL I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3	LORD ABBETT INTERMED TAX FREE CLASS I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	LORD ABBETT SHORT DURATION INCOME CL I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	BLACKROCK EMERGING MARKETS FD INC INSL	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	MORGAN STANLEY INTL ADVANTAGE CL I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.7	T ROWE PRICE GLOBAL MULTI SECTOR BOND I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	PGIM ETF TR ULTRA SHORT	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	PGIM TOTAL RETURN BOND CL R6	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	LEVEL RATE MULTIBANK SWEEP MANAGED	See Endnote	N/A		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	FIRST TR EXCHANGE-TRADED FD VI RISNG DIVD ACHIV	See Endnote	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
1.12	SCHWAB US BROAD MARKET ETF		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.13	SCHWAB US LARGE-CAP GROWTH ETF		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.14	VANGUARD SPECIALIZED FUNDS DIV APP ETF		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.15	VANGUARD MID-CAP VALUE INDEX FUND		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	VANGUARD INDEX FDS VANGUARD VALUE ETF FORMERLY VANGUARD INDEX TR		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.17	SELECT SECTOR SPDR TR FINANCIAL		Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
1.18	HEALTH CARE SELECT SECTOR SPDR		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2	US Bank #1 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
3	US bank #2 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
4	US bank #3 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Residential real estate sale, family estate, Milledgeville, GA		N/A	None (or less than \$1,001)	Rent or Royalties	\$15,001 - \$50,000
6	Estate of a family member (value not readily ascertainable)		N/A			None (or less than \$201)
7	Residential rental investment property, Cambridge, MA		N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM	
1	Bank Fund Staff Federal Credit Union	Mortgage (investment/rental property)	\$250,001 - \$500,000	2021	2.5	15 years	
2	Bank Fund Staff Federal Credit Union	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2021	3.25	30 years	
3	Members First Mortgage	Mortgage on Personal Residence	\$100,001 - \$250,000	2021	2.875	30 years	
4	Santander Bank	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2005	5.75	30 years
5	Nationstar Mr. Cooper	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2017	4.375	30 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	4	Rende Progress Capital is a Michigan Community Development Financial Institution (CDFI).
1.	14	The Committee's work is supported by the Hewlett Foundation.
2.	22	SBE Advisory Committee activities
6.	1.10	U.S. brokerage cash sweep account
6.	1.11	First Trust Rising Dividend Achievers ETF
8.	4	Mortgage was satisfied/refinanced into a new mortgage.
8.	5	Mortgage was satisfied/refinanced into new mortgage.

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.

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