

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

## Filer's Information

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Prabhakar, Rahul

DAS, Cybersecurity and Critical Infrastructure Protection, Department of the Treasury

Report Year: 2022

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Prabhakar, Rahul [electronically signed on 03/18/2022 by Prabhakar, Rahul in Integrity.gov]

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Sonfield, Brian, Certifying Official [electronically signed on 05/17/2022 by Sonfield, Brian in Integrity.gov]

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Other review conducted by

/s/ Plessner, Brian, Ethics Official [electronically signed on 05/17/2022 by Plessner, Brian in Integrity.gov]

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U.S. Office of Government Ethics Certification

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Amazon.com, Inc. 401(k) defined contribution plan	No			
1.1	Vanguard Institutional 500 Index Trust	Yes	\$100,001 - \$250,000		None (or less than \$201)

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## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Amazon.com, Inc. 401(k) defined contribution plan	Seattle, Washington	I will continue to participate in this defined contribution plan. The plan sponsor has not made further contributions since my separation from Amazon Web Services.	3/2017

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Amazon.com, Inc. 401(k) defined contribution plan	See Endnote	No		
1.1	Vanguard Explorer Fund Admiral Shares (VEXRX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.2	American Beacon Small Cap Value Fund R6 Class (AASRX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.3	Vanguard FTSE Social Index Fund Institutional Shares (VFTNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Vanguard Institutional 500 Index Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	State Street Large Cap Value Index Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	PIMCO Total Return Collective Trust Class II	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	Vanguard Institutional Total Bond Market Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	State Street Large Cap Growth Index Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Covington & Burling 401(k) defined contribution plan		No		
2.1	American Beacon Small Cap Value Fund Class R5 (AVFIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.2	MFS International Diversification Fund Class R4 (MDITX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	JPMorgan Emerging Markets Equity Fund Class R6 (JEMWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	T. Rowe Price QM U.S. Small-Cap Growth Equity Fund (PRDSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Vanguard Intermediate-Term Bond Index Fund Institutional Shares (VBIMX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.6	Schwab International Index Fund (SWISX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.7	Vanguard Extended Market Index Fund Institutional Shares (VIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Dodge & Cox Stock Fund (DODGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.9	JPMorgan Large Cap Growth Fund Class R6 (JLGMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.10	Vanguard Institutional Index Fund Institutional Plus Shares (VIIIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.11	Metropolitan West Total Return Bond Plan (MWTSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	Distribution of excess contribution	N/A		Cash payment	\$752
3	Amazon.com, Inc.	N/A		salary, sign-on bonus	
4	Amazon.com, Inc. (AMZN) common stock obtained through vest of restricted stock units	N/A	\$50,001 - \$100,000	cash payment	
5	Amazon.com, Inc. - unvested AMZN restricted stock units	See Endnote	N/A		None (or less than \$1,001)
6	Covington & Burling LLP			salary	

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ambarella, Inc. (AMBA)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Advanced Micro Devices Inc. (AMD)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3	Boeing Co. (BA)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
4	Blueprint Medicines Corp. (BPMC)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5	Avis Budget Group Inc. (CAR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6	Capital One Financial Group (COF)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
7	Digital Realty Trust Inc (DLR) REIT	Yes	None (or less than \$1,001)		\$201 - \$1,000
8	Group 1 Auto Inc. (GPI)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
9	Moderna Inc. (MRNA)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10	New Fortress Energy Inc. (NFE)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
11	NVIDIA Corporation (NVDA)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
12	PVH Corp. (PVH)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13	Raytheon Technologies Corporation (RTX)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
14	Synchrony Financial (SYF)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
15	Atlassian Corporation (TEAM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
16	T-Mobile US Inc. (TMUS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Twilio Inc. - Class A shares (TWLO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
18	Visa Inc. (V)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
19	Workday, Inc. (WDAY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
20	S&P Global Inc. (SPGI)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
21	Nike Inc. - Class B shares (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Coca Cola Company (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	Wabtec Corporation (WAB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Iqvia Holdings Inc. (IQV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	Oshkosh (OSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Knight-Swift Transportation (KNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	Simon Property Group (SPG) REIT	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	Thermo Fisher Scientific Inc. (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	Transdigm Group Inc (TDG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	Deere & Co (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31	Alnylam Pharmaceuticals Inc. (ALNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	UnitedHealth Group Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	LockheedMartin Corporation (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	Linde (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	Walt Disney Company (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
37	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	Humana Inc. (HUM)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
40	Vanguard Small Cap ETF (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	Vanguard Small Cap Value ETF (VBR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
42	Vanguard S&P 500 Index ETF (VOO)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
43	Vanguard Growth ETF (VUG)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
44	Vanguard Federal Money Market Fund	N/A	\$15,001 - \$50,000		None (or less than \$201)
45	Utah my529 College Savings Plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45.1	Vanguard Total Stock Market Index Fund Institutional Select Shares (VSTSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
46	U.S. bank #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
47	U.S. bank #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
48	Ally Financial, Inc. (ALLY)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
49	Alphabet, Inc. (GOOGL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
50	Apple, Inc. (AAPL)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
51	Citizens Financial Group, Inc. (CFG)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
52	Mastercard, Inc. (MA)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
53	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
54	PayPal Holdings, Inc. (PYPL)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
55	QUALCOMM, Inc. (QCOM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
56	Ferrari (RACE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
57	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
59	Rivian Automotive (RIVN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
60	Spotify (SPOT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	Tesla, Inc. (TSLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62	Northrop Grumman Corp. (NOC)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
63	Part of personal residence, Seattle, WA	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$5,001 - \$15,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	09/16/2021	\$1,001 - \$15,000
2	Vanguard S&P 500 Index Fund ETF Shares (VOO)	Purchase	09/17/2021	\$1,001 - \$15,000
3	Vanguard Growth Index Fund ETF (VUG)	Purchase	10/18/2021	\$1,001 - \$15,000
4	McDonald's Corp. (MCD)	Purchase	11/08/2021	\$1,001 - \$15,000
5	Humana Inc. (HUM)	Purchase	07/28/2021	\$1,001 - \$15,000
6	Spotify (SPOT)	Purchase	07/28/2021	\$1,001 - \$15,000
7	Lamar Advertising Company REIT (LAMR)	Sale	07/28/2021	\$1,001 - \$15,000
8	Vanguard High Dividend Yield ETF (VYM)	Sale	08/02/2021	\$1,001 - \$15,000
9	Eastman Chemical Company (EMN)	Sale	07/28/2021	\$1,001 - \$15,000
10	Visa, Inc. (V)	Sale	09/03/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
11	Amazon.com, Inc. (AMZN)	See Endnote	Sale	08/16/2021	\$15,001 - \$50,000
12	Alphabet, Inc. (GOOGL)		Sale	09/03/2021	\$1,001 - \$15,000
13	Apple, Inc. (AAPL)		Sale	09/03/2021	\$1,001 - \$15,000
14	Mastercard, Inc. (MA)		Sale	09/03/2021	\$1,001 - \$15,000
15	Citizens Financial Group, Inc. (CFG)		Sale	09/03/2021	\$1,001 - \$15,000
16	Digital Realty Trust, Inc. (DLR)		Sale	09/03/2021	\$1,001 - \$15,000
17	PayPal Holdings, Inc. (PYPL)		Sale	09/03/2021	\$1,001 - \$15,000
18	Microsoft Corp. (MSFT)		Sale	09/03/2021	\$1,001 - \$15,000
19	S&P Global, Inc. (SPGI)		Sale	09/03/2021	\$1,001 - \$15,000
20	QUALCOMM, Inc. (QCOM)		Sale	09/03/2021	\$1,001 - \$15,000
21	Ally Financial, Inc. (ALLY)		Sale	09/03/2021	\$1,001 - \$15,000
22	Amazon.com, Inc. (AMZN)		Sale	09/03/2021	\$100,001 - \$250,000
23	Amazon.com, Inc. (AMZN)		Sale	09/03/2021	\$250,001 - \$500,000
24	Vanguard Growth Index Fund ETF (VUG)		Purchase	09/09/2021	\$1,001 - \$15,000
25	Vanguard S&P 500 Index Fund ETF (VOO)		Purchase	09/09/2021	\$1,001 - \$15,000
26	Vanguard Growth Index Fund ETF (VUG)		Purchase	09/10/2021	\$1,001 - \$15,000
27	Vanguard S&P 500 Index Fund ETF (VOO)		Purchase	09/10/2021	\$1,001 - \$15,000
28	Vanguard Growth Index Fund ETF (VUG)		Purchase	09/13/2021	\$1,001 - \$15,000
29	Vanguard Growth Index Fund ETF (VUG)		Purchase	09/16/2021	\$1,001 - \$15,000
30	Vanguard Growth Index Fund ETF (VUG)		Purchase	09/17/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	Vanguard Growth Index Fund ETF (VUG)	Purchase	09/20/2021	\$15,001 - \$50,000
32	Vanguard Growth Index Fund ETF (VUG)	Purchase	09/23/2021	\$1,001 - \$15,000
33	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	09/20/2021	\$1,001 - \$15,000
34	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	09/23/2021	\$1,001 - \$15,000
35	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	09/24/2021	\$1,001 - \$15,000
36	Vanguard Growth Index Fund ETF (VUG)	Purchase	09/24/2021	\$1,001 - \$15,000
37	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	09/30/2021	\$1,001 - \$15,000
38	Vanguard Growth Index Fund ETF (VUG)	Purchase	09/30/2021	\$1,001 - \$15,000
39	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	09/28/2021	\$1,001 - \$15,000
40	Vanguard Growth Index Fund ETF (VUG)	Purchase	09/28/2021	\$1,001 - \$15,000
41	Vanguard Growth Index Fund ETF (VUG)	Purchase	09/27/2021	\$1,001 - \$15,000
42	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	09/27/2021	\$1,001 - \$15,000
43	Vanguard Growth Index Fund ETF (VUG)	Purchase	10/08/2021	\$1,001 - \$15,000
44	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	10/04/2021	\$1,001 - \$15,000
45	Vanguard Growth Index Fund ETF (VUG)	Purchase	10/04/2021	\$1,001 - \$15,000
46	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	10/08/2021	\$1,001 - \$15,000
47	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	10/18/2021	\$1,001 - \$15,000
48	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	10/22/2021	\$1,001 - \$15,000
49	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	10/21/2021	\$1,001 - \$15,000
50	Vanguard Growth Index Fund ETF (VUG)	Purchase	10/21/2021	\$1,001 - \$15,000
51	Vanguard Growth Index Fund ETF (VUG)	Purchase	10/22/2021	\$1,001 - \$15,000
52	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	10/27/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Vanguard Growth Index Fund ETF (VUG)	Purchase	10/27/2021	\$1,001 - \$15,000
54	Vanguard Growth Index Fund ETF (VUG)	Purchase	10/29/2021	\$1,001 - \$15,000
55	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	11/01/2021	\$50,001 - \$100,000
56	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	10/29/2021	\$1,001 - \$15,000
57	Vanguard Growth Index Fund ETF (VUG)	Purchase	11/01/2021	\$15,001 - \$50,000
58	Vanguard Growth Index Fund ETF (VUG)	Purchase	11/02/2021	\$15,001 - \$50,000
59	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	11/02/2021	\$15,001 - \$50,000
60	Ferrari (RACE)	Purchase	11/08/2021	\$1,001 - \$15,000
61	Vanguard Growth Index Fund ETF (VUG)	Purchase	11/03/2021	\$1,001 - \$15,000
62	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	11/30/2021	\$1,001 - \$15,000
63	Rivian Automotive Inc. (RIVN)	Purchase	12/09/2021	\$1,001 - \$15,000
64	Vanguard S&P 500 Index Fund ETF (VOO)	Purchase	12/28/2021	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	JPMorgan Chase	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2019	3.625	30

## 9. Gifts and Travel Reimbursements

None

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### Endnotes

PART	#	ENDNOTE
5.	1	My spouse will continue to participate in this defined contribution plan. The plan sponsor has not made further contributions since my spouse's separation from Amazon.
5.	5	All unvested Amazon.com, Inc. (AMZN) restricted stock units were cancelled upon the end of my spouse's employment at Amazon on August 18, 2021.
7.	11	This sale occurred upon the vest of restricted stock units and for the purpose of covering applicable taxes.

# Summary of Contents

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

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### 6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.



## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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