

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Petsonk, Carol

Assistant Secretary, Office of Aviation and International Affairs, Department of Transportation

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Assistant Secretary of Transportation for Aviation and International Affairs (1/2021 - Present)

Acting Assistant Secretary of Transportation for Aviation and International Affairs (1/2021 - Present)

Names of Congressional Committees Considering Nomination:

- Committee on Commerce, Science, and Transportation
-

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/ Petsonk, Carol [electronically signed on 03/31/2021 by Petsonk, Carol 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/ Kaleta, Judith, Certifying Official [electronically signed on 05/30/2021 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 05/29/2021 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/08/2021 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	Environmental Defense Fund, Inc.	Washington, District of Columbia	Non-Profit	International Counsel	3/1995	1/2021
2	George Washington University	Washington, District of Columbia	University/College	Professorial Lecturer in Law	1/1995	Present
3	2814 Pleasant Valley Properties, LLC	Altoona, Pennsylvania	Corporation	Managing Partner	11/2010	Present
4	Family Trust #1	Altoona, Pennsylvania	Trust	Co-Trustee	12/1988	Present
5	Family Trust #2	Altoona, Pennsylvania	Trust	Co-Trustee	12/1996	Present
6	Family Trust #3	Altoona, Pennsylvania	Trust	Co-Trustee	6/2011	Present
7	Family Trust #4	Altoona, Pennsylvania	Trust	Co-Trustee	12/1988	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Environmental Defense Fund, Inc.	N/A		Salary	\$113,695
2	George Washington University	N/A		Salary	\$6,444
3	IRA#1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	BlackRock U.S. Government Bond Portfolio Investor A Shares (CIGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	IRA#2	No			
4.1	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	IRA#3	No			
5.1	cash (U.S. Bank)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	IRA#4	No			
6.1	Cash (U.S. Bank)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Environmental Defense Fund, Inc. 403(b) plan	No			
7.1	Lord Abbett Short Duration Income Fund Class R6 (LDLVX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
7.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
7.3	Fidelity Mid Cap Index Fund (FSMDX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.4	Fidelity Small Cap Index Fund (FSSNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Inherited IRA	No			
8.1	AB Income Fund Advisor Class Shares (ACGYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	Lord Abbett Growth Leaders Fund Class A Shares (LGLAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	Putnam Master Intermediate Income Trust (PIM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	George Washington University	Washington, District of Columbia	I will continue to teach unpaid until the end of the semester.	1/2021
2	Environmental Defense Fund, Inc.	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	3/1995

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Environmental Defense Fund, Inc.	Washington, District of Columbia	International Counsel
2	George Washington University	Washington, District of Columbia	Professorial Lecturer in Law

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse IRA #1	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	ADMA Biologics Inc. (ADMA)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	Newmark Group Inc. (NMRK)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Agile Therapeutics Inc. (AGRX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Spouse IRA #2		No			
2.1	ADMA Biologics Inc. (ADMA)		N/A	\$15,001 - \$50,000		None (or less than \$201)
2.2	Global X MSCI Pakistan ETF (PAK)	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	PRIMECAP Odyssey Growth Fund (POGRX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Xenon Pharmaceuticals Inc. (XENE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Spouse IRA #3		No			
3.1	Vanguard Capital Opportunity Fund Investor Shares (VHCOX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Matthews Emerging Asia Fund Institutional Class (MIASX)		Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	Global X MSCI Pakistan ETF (PAK)	See Endnote	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.5	ADMA Biologics Inc (ADMA)		N/A	\$50,001 - \$100,000		None (or less than \$201)
3.6	Altimune Inc. (ALT)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.7	Baozun Inc. (BZUN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.8	HSBC Holdings PLC (HSBC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	Inhibrx Inc. (INBX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.10	Wells Fargo & Co. (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Vanguard Health Care Fund Admiral Shares (VGHAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Spouse IRA #4	No			
4.1	Standard Chartered ADR (SCBFY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.2	HSBC Holdings PLC (HSBC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.3	Fidelity® Select Software & IT Services Portfolio (FSCSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Fidelity® Select Health Care Portfolio (FSPHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.5	Wasatch Emerging Markets Small Cap Fund Institutional Class (WIEMX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.6	Matthews India Fund Institutional Class (MIDNX)	See Endnote	\$100,001 - \$250,000		None (or less than \$201)
4.7	Alibaba Group Holding Ltd - ADR (BABA)	N/A	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3	Vanguard PRIMECAP Fund Investor Shares (VPMCX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5	GeorgePutnam Balanced Fund Class A Shares (PGEOX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	Nuveen Intermediate Duration Municipal Bond Fund Class I Shares (NUVBX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	Putnam AMT-Free Municipal Fund Class A Shares (PPNAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8	Wells Fargo Omega Growth Fund Class A Shares (EKOAX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9	M&T Bank Corp. (MTB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10	Tri-Continental Corporation (TY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	2814 Pleasant Valley Properties, LLC	See Endnote	No		
11.1	U.S. Bank #1 (cash) (property management account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
11.2	Commercial real estate, Altoona, PA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
12	Trust #1 for dependent child	No			
12.1	Vanguard STAR Fund Investor Shares (VGSTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.2	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.3	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
12.4	Vanguard Emerging Markets Stock Index Fund Admiral Class Shares (VEMAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.5	Vanguard Capital Opportunity Fund Admiral Shares (VHCAX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
12.6	Vanguard Windsor II Fund Investor Shares (VWNFX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.7	Vanguard PrimeCap Core Fund Investor Shares (VPCCX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
12.8	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.9	Vanguard Health Care Fund Investor Shares (VGHCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	U.S. Bank #2 (cash) (credit union account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	JALC-DD Joint Venture (real estate)	See Endnote	No		
14.1	Commercial property, Wye Switches, PA	N/A	\$15,001 - \$50,000	Rent or Royalties	\$5,001 - \$15,000
15	Office Depot, Inc. (ODP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
16	DC 529 Account (Spouse)	No			
16.1	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	DC 529 Account	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1	DC 529 Fund 1004 DC College Savings 2025 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.2	DC 529 Fund 1009 Intermediate-Term Bond Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.3	DC 529 Fund 1013 U.S. Total Stock Market Index Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.4	DC 529 Fund 1010 U.S. Large Cap Equity Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Vanguard Health Care Fund Admiral Shares (VGHAX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
19	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20	BGC Partners, Inc. (BGCP)	N/A	\$500,001 - \$1,000,000	Dividends	\$1,001 - \$2,500
21	Inhibrx (INBX)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
22	W.P. Carey, Inc. (WPC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
23	Broadcom, Inc. (AVGO)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
24	Agile Therapeutics, Inc. (AGRX)	N/A	\$100,001 - \$250,000		None (or less than \$201)
25	Standard Chartered Bank (STAN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
26	HDFC Bank (HDB)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27	Limelight Networks, Inc. (LLNW)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	QUALCOMM, Inc. (QCOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
29	ADMA Biologics, Inc. (ADMA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
30	JD.com (JD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
31	Wells Fargo & Co. (WFC)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
32	Xenon (XENE)	N/A	\$100,001 - \$250,000		None (or less than \$201)
33	Newmark Group, Inc. (NMRK)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
34	Bristol-Myers Squibb (BMY)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
35	Ericsson (ERIC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
36	AstraZeneca (AZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
37	Vertex Pharmaceuticals, Inc. (VRTX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
38	iShares MSCI Taiwan ETF (EWT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
39	Matthews Emerging Asia Fund Institutional Class Shares (MIASX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
40	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
41	Alibaba Group Holding Ltd - ADR (BABA)	N/A	\$500,001 - \$1,000,000	Capital Gains	\$5,001 - \$15,000
42	Charter Communications, Inc. (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	Cigna Corp. (CI)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
44	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
45	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	Dow, Inc. (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
48	iShares Emerging Markets Dividend ETF (DVYE)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
49	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
50	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
51	IDACORP, Inc. (IDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
52	Intel Corp. (INTC)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
53	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
54	Kadant, Inc. (KAI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
55	KraneShares CSI China Internet ETF (KWEB)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
56	Magnite (MGNI)	N/A	\$250,001 - \$500,000		None (or less than \$201)
57	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58	Murphy USA, Inc. (MUSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
59	Global X MSCI Nigeria ETF (NGE)	See Endnote	Yes		\$5,001 - \$15,000
60	Nutrien (NTR)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
61	Oracle Corp. (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
62	Baozun (BZUN)	N/A	\$100,001 - \$250,000		None (or less than \$201)
63	Fidelity National Information Services, Inc. (FIS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
64	Pagseguro Digital LTD (PAGS)	N/A	\$250,001 - \$500,000		None (or less than \$201)
65	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000
66	Koninklijke Philips NV (PHG)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
67	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
68	iShares MSCI India Small-Cap ETF (SMIN)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
69	Stone Co. LTD CL A (STNE)	N/A	\$100,001 - \$250,000		None (or less than \$201)
70	Thermo Fisher Scientific, Inc. (TMO)	N/A	Over \$1,000,000	Dividends	\$2,501 - \$5,000
71	TRI Pointe Homes, Inc. (TPH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
72	Marriott Vacations Worldwide Corp. (VAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
73	Verizon Communications, Inc. (VZ)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
74	Janus Henderson Overseas Fund Class D Shares (JNOSX)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
75	Fidelity Government Money Market Fund (SPAXX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
76	Merrill Lynch Direct Deposit Program (cash sweep account)		Yes	\$50,001 - \$100,000		None (or less than \$201)
77	Annuity #1: MetLife Annuity (fixed payment)	See Endnote	N/A	None (or less than \$1,001)	Cash Distribution	\$8,305
78	W.P. Carey, Inc. (WPC)		N/A	\$15,001 - \$50,000		None (or less than \$201)
79	Vanguard Federal Money Market Fund (VMFXX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
80	Trust #2 for dependent child	See Endnote	No	\$100,001 - \$250,000		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	PNC Bank		Mortgage on Personal Residence	\$100,001 - \$250,000	2013	2.75%	15 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
5.	2.2	This asset was divested after this report was filed.
5.	3.4	This asset was divested after this report was filed.
5.	4.6	This asset was divested after this report was filed.
6.	11	LLC is owned by filer, spouse, and trust for dependent child.
6.	14	Filer holds a 10% interest in joint venture.
6.	59	This asset was divested after this report was filed.
6.	77	Final distribution from annuity made in 2020. No value remains.
6.	80	The sole asset in this trust is a 3/4 interest in 2814 Pleasant Valley Properties, LLC. This LLC and its holdings are reported in Part 6, Line 11.

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).
