

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Klein, Jennifer L

Gender Policy Council Co-Chair, White House - Biden-Harris Administration

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/ Klein, Jennifer L [electronically signed on 05/26/2023 by Klein, Jennifer L in Integrity.gov] - Filer received a 14 day filing extension.

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/ Blakemore, Jessica M, Certifying Official [electronically signed on 05/26/2023 by Blakemore, Jessica M in Integrity.gov]

Other review conducted by

/s/ Blakemore, Jessica M, Ethics Official [electronically signed on 05/26/2023 by Blakemore, Jessica M in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/14/2023 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA SEP	No			
1.1	SPDR S&P 500 ETF TRUST	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

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	IRA	No			
1.1	U.S. Brokerage account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	ADT CORPORATION DUE 06/15/2023 4.125%	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	CBS CORP NEW DUE 01/15/2027 2.9%	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4	CELGENE CORP SR NT DUE 08/15/2025 3.875%	N/A	None (or less than \$1,001)		None (or less than \$201)
1.5	CONSTELLATION BRANDS INC DUE 05/09/2027 3.5%	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.6	iShares Preferred and Income Securities ETF (PFF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	JOHNSON & JOHNSON SR NT DUE 03/01/2026 2.45%	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.8	TEXRON INC DUE 03/15/2027 3.65%	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.9	1.14 ISHARES CORE HIGH DIV ETF (HDV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.10	1.15 SPDR S&P 500 ETF TRUST (SPY)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.11	1.16 CALIFORNIA ST UNIV REV DUE 11/1/2037 2.57%	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.12	1.17 225,000 UNITED STATES TREASURY NOTE DUE 05/31/2024 2.5%	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2	Jupiter Intelligence Inc vested stock options	N/A	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	BROKERAGE	No			
1.1	US Bank #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.2	3M COMPANY SR UNSECURED DATED; DUE 09/19/2026 2.25% MS 19	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.3	ABBVIE INC SR NT 2.9% DUE 11/06/2022	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.4	CELGENE CORP 3.875% DUE 08/15/2025	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.5	CONSTELLATION BRANDS INC 3.70% DUE 12/06/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.6	DISTRICT COLUMBIA INCOME 4.0% DUE 12/01/2037	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.7	DISTRICT COLUMBIA UNIV 5.0% DUE 04/01/2042	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.8	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2052	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.9	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2045	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.10	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2043	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.11	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.12	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2039	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.13	G N M A PASS THRU 5% DUE 02/15/2034	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.14	GLAXOSMITHKLINE CAP PLC 2.85% DUE 05/08/2022	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.15	GOLDMAN SACHS GROUP INC 3.2% DUE 02/23/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.16	GOLDMAN SACHS GROUP INC 3.5% DUE 01/23/2025	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.17	HERSHEY COMPANY 3.375% DUE 05/15/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.18	ILLINOIS FINANCE AUTH REV BNDS 5% DUE 10/01/2048	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.19	IRVING TEXAS REF IMPT GEN OBLIG 3% DUE 09/15/2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.20	iShares Preferred and Income Securities ETF (PFF)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.21	JOHNSON & JOHNSON SR NT 2.45% DUE 03/01/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.22	MARYLAND ST HEALTH & HIGHER ED 5% DUE 07/01/2023	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.23	MASSACHUSETTS ST DEV FIN AGY 5% DUE 12/01/2041	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.24	MICHIGAN ST UNIV REVS FRMLY GEN REV 5% DUE 08/15/2041	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.25	MICROSOFT CORP NT 2.875% DUE 02/06/2024	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.26	MORGAN STANLEY SR NT 3.75% DUE 02/25/2023	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.27	NEW JERSEY ST EDL FACS AUTH 4% DUE 07/01/2037	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.28	NEW YORK ST DORM AUTH REVS 5% DUE 11/01/2022	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.29	NORTH TEX MUN WTR DIST 3.125% DUE 06/01/2032	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.30	PENNSYLVANIA ST UNIV BDS SER 2015A 5% DUE 09/01/2040	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.31	PENNSYLVANIA ST UNIVG/O SER 2020 A 5% DUE 09/01/2045	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.32	PEPSICO INC SR NT 3% DUE 10/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.33	TEXAS ST GO BDS 2015 D GO 5% DUE 05/15/2040	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.34	TEXAS ST REF-SER A 5% DUE 10/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.35	TYSON FOODS INC 3.95% DUE 08/15/2024	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.36	UNIVERSITY CONN GO BDS 2015A 2.125% DUE 02/15/2024	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.37	UNIVERSITY TEX UNIV REVS REV 2012 B 5% DUE 08/15/2022	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.38	UNIVERSITY VA UNIV REVS GEN REV 4% DUE 04/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.39	WELLS FARGO & CO SR NT 3.5% DUE 03/08/2022	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.40	ISHARES CORE HIGH DIVIDEND ETF (HDV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.41	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.42	Financial Select Sector SPDR Fund (XLF)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.43	Health Care Select Sector SPDR Fund (XLV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.44	Technology Select Sector SPDR Fund (XLK)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.45	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.46	DISTRICT COLUMBIA WTR & SWR AU SR LIEN BDS DUE 10/1/2049 5%	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.47	METROPOLITAN WASH DC ARPTS AU AMT REF BDS DUE 10/01/2046 5%	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.48	METROPOLITAN WASH DC ARPTS AUTH ARPT SYS REV AND RFDG BDS SERIES 2017A DUE 10/01/2047 5%	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.49	UNIVERSITY N C CHAPEL HILL REV DUE 12/01/2036 3.327%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2	JPMORGAN BROKERAGE - DC	No			
2.1	US Bank #4 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.2	SPDR S&P 500 ETF Trust (SPY)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3	Trust #1	No			
3.1	BSV LP	N/A	\$1,000,001 - \$5,000,000	Capital Gains	\$1,000,001 - \$5,000,000
3.2	BULLS MEDIA LP (0.33 OF 2/3 INTEREST)	N/A	\$250,001 - \$500,000	Capital Gains	\$100,001 - \$1,000,000
3.3	U.S. Bank #4	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
4	Trust #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	US Bank # 4 (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
4.2	CHICAGO BULLS LP (0.33 OF 2/3 INTEREST)	N/A	\$5,000,001 - \$25,000,000	Capital Gains	Over \$5,000,000
5	Trust #3	No			
5.1	US Bank # 4 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
5.2	3M COMPANY 2.25% DUE 09/19/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.3	CELGENE CORP 3.875% DUE 08/15/2025	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.4	CONSTELLATION BRANDS INC 3.7% DUE 12/06/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.5	GENERAL ELECTRIC CAPITAL 3.5% DUE 09/15/2029	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.6	J P MORGAN CHASE & CO 6.125% DUE 12/29/2049	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.7	JOHNSON & JOHNSON 2.45% DUE 03/01/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.8	JPMORGAN CHASE & CO FR 2.5% DUE 12/23/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.9	JPMORGAN CHASE FINL CO 2.95% DUE 10/01/2026	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.10	PEPSICO INC 3.0% DUE 10/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.11	TEXTRON INC 3.65% DUE 03/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.12	TYSON FOOD INC. 3.55% 06/02/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.13	WELLS FARGO 3.5% 03/08/2022	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.14	iShares Core High Dividend ETF (HDV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.15	VANGUARD TOTALSTOCK MARKET ETF (VTI)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.16	THE PENNSYLVANIA STATE UNIVER G/O SER B DUE 9/1/2034 2.459%	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
5.17	5.17 100,000 APPLE INC SR UNSECURED NOTE 1.4%DUE 08/05/2028	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.18	5.18 100,000 BERKSHIRE HATHAWAY FINANCE SR UNSECURED NOTES 1.85% DUE 03/12/2030	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.19	5.19 50,000 BRISTOL-MYERS SQUIBB CO 1.125% DUE 11/13/2027	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.20	5.26 50,000 DUKE ENERGY CORP NEW SR NOTES 3.15% DUE 08/15/2027	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.21	5.27 50,000 FEDEX CORP SR BANK NOTE 3.4% DUE 02/15/2028	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
6	Trust #5	No			
6.1	U.S. Brokerage account (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
7	Trust #6	No			
7.1	US Bank #4 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
7.2	3M COMPANY 2.25% DUE 09/19/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.3	CBS CORP NEW 2.9% 01/15/2027	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.4	CELGENE CORP 3.875% 08/15/2025	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
7.5	COLGATE-PALMOLIVE CO 1.95% DUE 02/01/2023	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.6	iShares Preferred and Income Securities ETF (PFF)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7.7	J P MORGAN CHASE & CO 6.125% DUE 12/29/2049	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.8	JOHNSON & JOHNSON 2.45% DUE 03/01/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.9	MASTERCARD INC SR NT 2.95% DUE 11/21/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.10	METLIFE INC 6.4% DUE 12/15/2036	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.11	PEPSICO INC 2.75% DUE 04/30/2025	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.12	TEXTRON INC 3.65% DUE 03/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.13	US bank (cash)	N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)
7.14	iShares Core High Dividend ETF (HDV)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.15	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7.16	THE PENNSYLVANIA STATE UNIVER G/O SER B DUE 9/1/2034 2.459%	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
7.17	7.17 50,000 BRISTOL-MYERS SQUIBB CO 1.125% DUE 11/13/2027	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.18	7.19 50,000 DUKE ENERGY CORP NEW SR NOTES 3.15% DUE 08/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.19	7.20 50,000 FEDEX CORP SR BANK NOTE 3.4% DUE 02/15/2028	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.20	7.21 100,000 PEPSICO INC SR UNSECURED NOTE 2.75% DUE 03/19/2030	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
7.21	7.23 100,000 YALE UNIV 1.482% DUE 04/15/2030	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8	Trust #1 for DC	No			
8.1	US Bank #4 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
8.2	Technology Select Sector SPDR Fund (XLK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	Trust #2 for DC	No			
9.1	US Bank #4 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
9.2	BANK AMER CORP SR 3.4% DUE 05/15/2023	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
9.3	Vanguard Growth Index Fund ETF Class Shares (VUG)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
10	US Bank #1 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
11	US Bank #1 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
12	US Bank #1 (CD)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
13	STERN INVESTMENT CO	No	None (or less than \$1,001)	PARTNERSHIP INCOME	\$289,871

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.1	CHICAGO BULLS LP (0.33 OF 1/3 INTEREST)		N/A	None (or less than \$1,001)	Capital Gains	Over \$5,000,000
13.2	BULLS MEDIA LP (0.33 OF 1/3 INTEREST)		N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
13.3	BSV LP (0.33 OF 1/3 INTEREST)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,000,001 - \$5,000,000
14	Residential Real Estate, Sun Valley, Idaho		N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
15	1.50 100,000 BEVERLY MASS GO MUN PURP LN BDS 2.0% DUE 03/15/2034		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
16	1.51 50,000 DISTRICT COLUMBIA INCOME TAX R SECD REV BDS 2019A 5.0% DUE 03/01/2044		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
17	1.52 50,000 DISTRICT COLUMBIA WASHINGTON G/O BNDS SER 2016D 5.0% DUE 06/01/2041		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
18	1.53 50,000 DISTRICT COLUMBIA WTR & SWR AU REV BDS 5.0% DUE 10/01/2052		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
19	1.54 100,000 DUKE ENERGY CAROLINAS LLC 1ST MORTGAGE BOND 2.45% DUE 08/15/2029		N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
20	1.55 100,000 FRISCO TEX INDPT SCH DIST 2.0% DUE 02/15/2034 -		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
21	1.56 100,000 MASSACHUSETTS ST COLLEGE BLDG REF-SER A 4.0% DUE 05/01/2038		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
22	1.57 100,000 MASSACHUSETTS ST DEV FIN AGY REV BNDS SER 2016A 4.0% DUE 07/15/2036		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	1.58 100,000 MASSACHUSETTS ST DEV FIN AGY REV BNDS SER 2016A 4.0% DUE 07/15/2036	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
24	1.59 100,000 MASSACHUSETTS ST DEV FIN AGY SER N 5.0% DUE 12/01/2041	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
25	1.60 100,000 MERCK & CO IN NEW SR UNSECURED 1.7% DUE 06/10/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
26	1.61 100,000 NEW YORK NY CITY TRANSITIONAL BDS 2019 S 4.0% DUE 07/15/2037	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
27	1.62 100,000 SCHENECTADY CNTY NY VAR PUR[BDS 2021 2.0% DUE 12/15/2033	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
28	1.63 100,000 STANFORD UNIV CALIF 1.289% DUE 06/01/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
29	1.64 50,000 TEXAS A & M UNIV REV FING SYS BDS 2021 4.0% DUE 05/15/2033	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
30	1.65 100,000 TEXAS ST DEPT HSG & CMNTY AFFA BDS 2022 A 2.2% DUE 07/01/2033	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
31	1.66 455,000 UNITED STATES TREASURY NOTE 2.5% DUE 05/31/2024	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
32	5.20 35,000 DISTRICT COLUMBIA GO BDS 2019 A GO DUE 10/15/2044 5.0%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
33	5.21 15,000 DISTRICT COLUMBIA INCOME TAX R SECD BDS 2020 C DUE 05/01/2045 5.0%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
34	5.22 75,000 DISTRICT COLUMBIA INCOME TAX R SECD REV BDS 2019A 5.0% DUE 03/01/2044	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
35	5.23 75,000 DISTRICT COLUMBIA WTR & SWR AU REV BDS 5.0% DUE 10/01/2052	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
36	5.24 25,000 DISTRICT COLUMBIA WTR & SWR AU SUB LIEN BDS 2019 5% DUE 10/01/2044	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
37	5.25 50,000 DISTRICT COLUMBIA WTR & SWR AU SUB LIEN BDS 2019 5.0% DUE 10/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
38	5.28 535,000 UNITED STATES TREASURY NOTE 2.5% DUE 05/31/2024	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
39	7.18 50,000 DISTRICT COLUMBIA WTR & SWR AU SUB LIEN BDS 2019 5.% DUE 10/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
40	7.22 380,000 UNITED STATES TREASURY NOTE 2.5% DUE 05/31/2024	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
41	10.3 95,000 UNITED STATES TREASURY NOTE 2.5% DUE 05/31/2024	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
42	11.4 150,000 UNITED STATES TREASURY NOTE 2.5% DUE 05/31/2024	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	1.54 DUKE ENERGY CAROLINAS LLC 1ST MORTGAGE BOND DUE 08/15/2029 02.450% FA 15 SOLICITED YIELD 2.357 % TO PAR CALL YIELD 2.360 % TO MATURITY CALLABLE 05/15/29 AT 100.000	Purchase	01/25/2022	\$100,001 - \$250,000
2	1.63 STANFORD UNIV CALIF DUE 06/01/2027 01.289% JD 01 SOLICITED FIMS 8690012-0001 UWEB YIELD 1.75 % TO MATURITY YIELD 1.764 % TO PAR CALL CALLABLE 04/01/27 AT 100.000	Purchase	01/25/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
3	1.60 MERCK & CO INC NEW SENIOR UNSECURED DUE 06/10/2027 01.700% JD 10 SOLICITED SOLD PURSUANT TO REGISTRATION STATEMENT OR WHERE PROSPECTUS OTHERWISE REQUIRED		Purchase	01/25/2022	\$50,001 - \$100,000
4	1.39 WELLS FARGO & CO		Sale	03/08/2022	\$15,001 - \$50,000
5	5.18 BERKSHIRE HATHAWAY FINANCE SENIOR UNSECURED NOTES DUE 3/12/2030 01.850% MS 12 SOLICITED YIELD 2.243 % TO MATURITY YIELD 2.255 % TO PAR CALL CALLABLE 12/12/29 AT 100.000	See Endnote	Purchase	01/25/2022	\$50,001 - \$100,000
6	5.17 APPLE INC SENIOR UNSECURED NOTE DUE 08/05/2028 1.4%	See Endnote	Purchase	01/25/2022	\$50,001 - \$100,000
7	5.26 DUKE ENERGY CORP NEW SENIOR NOTES DUE 08/15/2027 03.150% FA 15 SOLICITED YIELD 3.202 % TO MATURITY YIELD 3.205 % TO PAR CALL CALLABLE 05/15/27 AT 100.000	See Endnote	Purchase	03/16/2022	\$50,001 - \$100,000
8	5.27 FEDEX CORP SENIOR BANK NOTE DUE 02/15/2028 03.400% FA 15 SOLICITED YIELD 2.928 % PAR CALL YIELD 2.946 % TO MATURITY CALLABLE 11/15/27 AT 100.000	See Endnote	Purchase	03/17/2022	\$50,001 - \$100,000
9	5.19 BRISTOL-MYERS SQUIBB CO DUE 11/13/2027 01.125% MN 13 SOLICITED YIELD 2.530 % TO MATURITY YIELD 2.571 % TO PAR CALL CALLABLE 09/13/27 AT 100.000 MARK UP \$250.00	See Endnote	Purchase	03/17/2022	\$15,001 - \$50,000
10	5.13 WELLS FARGO & CO SENIOR NOTES	See Endnote	Sale	03/08/2022	\$15,001 - \$50,000
11	7.21 PEPSICO INC SENIOR UNSECURED NOTE DUE 03/19/2030 02.750% MS 19 SOLICITED YIELD 2.248% TO PAR CALL YIELD 2.261% TO MATURITY CALLABLE 12/19/29 AT 100.000	See Endnote	Purchase	01/25/2022	\$100,001 - \$250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
12	7.23 YALE UNIV DUE 04/15/2030 01.482% AO 15 SOLICITED YIELD 2.033% TO MATURITY YIELD 2.050% TO PAR CALL CALLABLE 01/15/30 AT 100.000 MARK UP \$500.00	See Endnote	Purchase	01/25/2022	\$50,001 - \$100,000
13	7.19 DUKE ENERGY CORP NEW SENIOR NOTES DUE 08/15/2027 03.150% FA 15 SOLICITED YIELD 3.202 % TO MATURITY YIELD 3.205 % TO PAR CALL CALLABLE 05/15/27 AT 100.000	See Endnote	Purchase	03/17/2022	\$50,001 - \$100,000
14	7.20 FEDEX CORP SENIOR BANK NOTE DUE 02/15/2028 03.400% FA 15 SOLICITED YIELD 2.928 % PAR CALL YIELD 2.946 % TO MATURITY CALLABLE 11/15/27 AT 100.000	See Endnote	Purchase	03/17/2022	\$50,001 - \$100,000
15	7.17 BRISTOL-MYERS SQUIBB CO DUE 11/13/2027 01.125% MN 13 SOLICITED YIELD 2.530 % TO MATURITY YIELD 2.571 % TO PAR CALL CALLABLE 09/13/27 AT 100.000 MARK UP \$250.00	See Endnote	Purchase	03/17/2022	\$15,001 - \$50,000
16	1.51 50,000 DISTRICT COLUMBIA INCOME TAX R SECD REV BDS 2019A DUE 03/01/2044 5.0%		Purchase	04/11/2022	\$50,001 - \$100,000
17	1.52 50,000 DISTRICT COLUMBIA WASHINGTON G/O BNDS SER 2016D DUE 06/01/2041 5.0%		Purchase	04/11/2022	\$50,001 - \$100,000
18	1.53 50,000 DISTRICT COLUMBIA WTR & SWR AU REV BDS A 5.0% DUE 10/01/2052		Purchase	04/13/2022	\$50,001 - \$100,000
19	1.66 455,000 UNITED STATES TREASURY NOTE DUE 05/31/2024 2.5%		Purchase	06/08/2022	\$250,001 - \$500,000
20	1.50 100,000 BEVERLY MASS GO MUN PURP LN BDS 2021 DUE 03/15/2034 2.0%		Purchase	09/14/2022	\$50,001 - \$100,000
21	1.55 100,000 FRISCO TEX INDPT SCH DIST UNLTD TAX BLDG REF BDS GO DUE 02/15/2034 2.0%		Purchase	09/14/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	1.62 100,000 SCHENECTADY CNTY NY VAR PURP BDS 2021 DUE 12/15/2033 2.0%	Purchase	09/14/2022	\$50,001 - \$100,000
23	1.65 100,000 TEXAS ST DEPT HSG & CMNTY AFFA BDS 2022 A DUE 07/01/2033 2.20%	Purchase	09/14/2022	\$50,001 - \$100,000
24	1.64 50,000 TEXAS A & M UNIV REV FING SYS BDS 2021 DUE 05/15/2033 4.0%	Purchase	09/19/2022	\$50,001 - \$100,000
25	1.57 100,000 MASSACHUSETTS ST DEV FIN AGY SER 2016A DUE 07/15/2036 4.0%	Purchase	09/19/2022	\$100,001 - \$250,000
26	1.61 100,000 NEW YORK N Y CITY TRANSITIONAL BDS 2019 S DUE 07/15/2037 4.0%	Purchase	09/19/2022	\$50,001 - \$100,000
27	1.56 100,000 MASSACHUSETTS ST COLLEGE BLDG REF-SER A DUE 05/01/2038 4.0%	Purchase	09/20/2022	\$100,001 - \$250,000
28	1.59 100,000 MASSACHUSETTS ST DEV FIN AGY REV DANA-FARBER CANCER INSTITUTE-SER N DUE 12/01/2041 5.0%	Purchase	10/19/2022	\$100,001 - \$250,000
29	1.58 100,000 MASSACHUSETTS ST DEV FIN AGY SER 2016A DUE 07/15/2036 4.0%	Purchase	11/22/2022	\$100,001 - \$250,000
30	1.3 ABBVIE INC SR NT 2.9% DUE 11/06/2022	Sale	09/15/2022	\$100,001 - \$250,000
31	1.4 CELGENE CORP 3.875% DUE 08/15/2025	Sale	04/04/2022	\$50,001 - \$100,000
32	1.6 DISTRICT COLUMBIA INCOME 4.0% DUE 12/01/2037	Sale	12/01/2022	\$15,001 - \$50,000
33	1.14 GLAXOSMITHKLINE CAP PLC 2.85% DUE 05/08/2022	Sale	05/09/2022	\$15,001 - \$50,000
34	1.15 GOLDMAN SACHS GROUP INC 3.2% DUE 02/23/2025	Sale	09/15/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	1.17 HERSHEY COMPANY 3.375% DUE 05/15/2023	Sale	09/16/2022	\$100,001 - \$250,000
36	1.22 MARYLAND ST HEALTH & HIGHER ED 5% DUE 07/01/2023	Sale	07/01/2022	\$15,001 - \$50,000
37	1.26 MORGAN STANLEY SR NT 3.75% DUE 02/25/2023	Sale	09/15/2022	\$50,001 - \$100,000
38	1.28 NEW YORK ST DORM AUTH REVS 5% DUE 11/01/2022	Sale	07/29/2022	\$15,001 - \$50,000
39	1.37 UNIVERSITY TEX UNIV REVS REV 2012 B 5% DUE 08/15/2022	Sale	08/15/2022	\$15,001 - \$50,000
40	1.39 WELLS FARGO & CO SR NT 3.5% DUE 03/08/2022	Sale	03/08/2022	\$15,001 - \$50,000
41	1.48 METROPOLITAN WASH DC ARPTS AUTH ARPT SYS REV AND RFDG BDS SERIES 2017A DUE 10/01/2047 5%	Sale	11/22/2022	\$100,001 - \$250,000
42	5.20 35,000 DISTRICT COLUMBIA GO BDS 2019 A DUE 10/15/2044 5.0%	Purchase	04/07/2022	\$15,001 - \$50,000
43	5.21 15,000 DISTRICT COLUMBIA INCOME TAX R SECD BDS 2020 C DUE 05/01/2045 5.0%	Purchase	04/07/2022	\$15,001 - \$50,000
44	5.22 75,000 DISTRICT COLUMBIA INCOME TAX R SECD REV BDS 2019A DUE 03/01/2044 5.0%	Purchase	04/25/2022	\$50,001 - \$100,000
45	5.23 75,000 DISTRICT COLUMBIA WTR & SWR AU REV BDS DUE 10/01/2052 5.0%	Purchase	04/25/2022	\$50,001 - \$100,000
46	5.24 25,000 DISTRICT COLUMBIA WTR & SWR AU SUB LIEN BDS 2019 DUE 10/01/2044 5.0%	Purchase	04/07/2022	\$15,001 - \$50,000
47	5.25 50,000 DISTRICT COLUMBIA WTR & SWR AU SUB LIEN BDS 2019 DUE 10/01/2044 5.0%	Purchase	04/13/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	5.28 535,000 UNITED STATES TREASURY NOTE DUE 05/31/2024 2.5%	Purchase	06/08/2022	\$500,001 - \$1,000,000
49	5.3 CELGENE CORP 3.875% DUE 08/15/2025	Sale	04/04/2022	\$100,001 - \$250,000
50	7.18 50,000 DISTRICT COLUMBIA WTR & SWR AU SUB LIEN BDS 2019 DUE 10/01/2044 5.0%	Purchase	04/13/2022	\$50,001 - \$100,000
51	7.22 380,000 UNITED STATES TREASURY NOTE DUE 05/31/2024 2.5%	Purchase	06/08/2022	\$250,001 - \$500,000
52	7.4 CELGENE CORP 3.875% 08/15/2025	Sale	04/04/2022	\$50,001 - \$100,000
53	IRA 1.17 225,000 UNITED STATES TREASURY NOTE DUE 05/31/2024 2.5%	Purchase	06/08/2022	\$100,001 - \$250,000
54	TRUST #1 FOR DC			
55	10.3 95,000 UNITED STATES TREASURY NOTE DUE 05/31/2024 2.5%	Purchase	06/08/2022	\$50,001 - \$100,000
56	TRUST #2 FOR DC			
57	11.4 150,000 UNITED STATES TREASURY NOTE DUE 05/31/2024 2.5%	Purchase	06/08/2022	\$100,001 - \$250,000
58	TRUST #1			
59	3.1 BSV LP	Sale	12/12/2022	\$1,000,001 - \$5,000,000
60	3.2 BULLS MEDIA LLC	Sale	12/12/2022	\$500,001 - \$1,000,000
61	TRUST #2			
62	4.2 CHICAGO BULLS LP	Sale	12/12/2022	\$5,000,001 - \$25,000,000
63	STERN INVESTMENT COMPANY			

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	13.1 CHICAGO BULSS LP (0.33 OF 1/3 INTEREST)	Sale	12/12/2022	\$5,000,001 - \$25,000,000
65	13.2 BULLS MEDIA LLC (0.33 OF 1/3 INTEREST)	Sale	12/12/2022	\$250,001 - \$500,000
66	13.3 BSV LP (0.33 OF 1/3 INTEREST)	Sale	12/12/2022	\$1,000,001 - \$5,000,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	SERIES NN - NBA LEAGUE-WIDE CREDIT FACILITY	See Endnote	LOAN HELD BY THE 201204 GIFT TRUST	\$50,001 - \$100,000	2003	2.60% FIXED RATE	MATURING 6/7/2027
2	FLOATING RATE REVOLVER - NBA LEAGUE-WIDE CREDIT FACILITY	See Endnote	LOAN HELD BY THE 201204 GIFT TRUST	\$100,001 - \$250,000	2008	FLOATING RATE (LIBOR + 1%) REVOLVER	MATURING 6/17/2022
3	SERIES CC - NBA LEAGUE-WIDE CREDIT FACILITY	See Endnote	LOAN HELD BY THE 201204 GIFT TRUST	\$50,001 - \$100,000	2008	3.18% FIXED RATE	MATURING 6/7/2024

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	13.3	2021 BSV LP Schedule K-1 showed a loss.
7.	5	ASSET IS HELD IN TRUST #3
7.	6	ASSET IS HELD IN TRUST #3
7.	7	ASSET IS HELD IN TRUST #3
7.	8	ASSET IS HELD IN TRUST #3
7.	9	ASSET IS HELD IN TRUST #3
7.	10	ASSET IS HELD IN TRUST #3
7.	11	ASSET IS HELD IN TRUST #6
7.	12	ASSET IS HELD IN TRUST #6
7.	13	ASSET IS HELD IN TRUST #6
7.	14	ASSET IS HELD IN TRUST #6
7.	15	ASSET IS HELD IN TRUST #6
8.	1	NOT SURE ABOUT THE YEAR LOAN INCURRED.
8.	2	NOT SURE ABOUT THE YEAR LOAN INCURRED
8.	3	NOT SURE ABOUT THE YEAR LOAN INCURRED

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).
