

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

## Filer's Information

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Rayes, Nathalie

Ambassador to Croatia, Department of State

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
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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/ Rayes, Nathalie [electronically signed on 01/27/2023 by Rayes, Nathalie 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/ Huitema, David, Certifying Official [electronically signed on 05/17/2023 by Huitema, David in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 05/19/2023 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	Latino Victory	Washington DC, District of Columbia	PAC	President and CEO	4/2020	Present	
2	Actum	See Endnote	Los Angeles, California	Consulting	Advisory Board Member	1/2023	Present
3	Aspen Institute Latinos and Society Program	Washington, District of Columbia	Non-Profit	Advisory Board Member	4/2022	Present	
4	Planned Parenthood Action Fund	Washington, District of Columbia	Non-Profit	Board Member	4/2020	Present	
5	HOPE Binational Fellowship Advisory Group, Hispanas Organized for Political Equality	Los Angeles, California	Non-Profit	Chair	1/2016	Present	
6	Hispanic Federation	New York City, New York	Non-Profit	Board Member	12/2015	Present	
7	United States Institute of Peace	Washington, District of Columbia	Non-Profit	Board Member	8/2022	Present	

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Latino Victory, anticipated bonus	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Latino Victory	N/A		Salary/Bonus	\$311,458

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	City of Los Angeles, defined benefit plan	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	IRA Traditional	No			
4.1	MORGAN STANLEY BANK N.A.	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	DBX ETF TR XTRACK HRVST CSI	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	ISHARES MSCI EMU ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	ISHARES MSCI PAC EX-JPN ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	ISHARES S&P 500 GRWTH ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	ISHARES S&P 500 VAL ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.7	ISHARES 20+ YR TREASU BOND ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.8	ISHARES RUSSELL MIDCAP G ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	ISHARES TRUST ISHARES 1-5 YE	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.10	ISHARES MSCI INDIA ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	ISHARES CORE MSCI EMERGING	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.12	ISHARES INC MSCI JAPAN ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.13	PIMCO ENHANCED SHRT MTRT EXC	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.14	SCHWAB SHORT-TERM US TREAS	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.15	VANGUARD TOTAL BOND MARKET	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.16	VANGUARD INTERMEDIATE TERM COR	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.17	VANGUARD MID CAP VALUE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.18	VANGUARD SM CAP GROWTH ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.19	VANGUARD SM CAP VALUE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	SEP IRA	No			
5.1	MORGAN STANLEY BANK N.A.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Latino Victory, 401(k) plan	No			
6.1	JPMorgan SmartRetirement 2040 Fund - Class R2	Yes	\$50,001 - \$100,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Latino Victory	Washington DC, District of Columbia	I am entitled to receive an annual year-end bonus based on my performance in calendar year 2022. I will receive this payment in February 2023.	12/2022
2	City of Los Angeles	Los Angeles, California	I will continue to participate in this defined benefit plan.	4/1999

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Latino Victory	Washington D.C., District of Columbia	I will continue to participate in this defined contribution plan.	5/2020

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Latino Victory	Washington DC, District of Columbia	Manages day to day activities and strategic direction of Latino Victory including fundraising, communications, campaigns, and political execution.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Lundbeck	N/A		salary, bonus	
2	University of Pittsburgh Medical Center (UPMC Enterprise) (Nonprofit Health Enterprise)	N/A		consulting fees	
3	Xalud Therapeutic (Biotechnology)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	IRA Traditional	No			
4.1	DBX ETF TR XTRACK HRVST CSI	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	GLOBAL X LITHIUM & BATTERY T	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	ISHARES GLOBAL CLEAN ENERG ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	ISHARES MSCI INDIA ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	SPDR S&P KENSHO NEW ECONOMIE	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	CAMBIAR SMID INVESTOR	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.7	BLACKROCK HEALTH SCIENCE OPP I	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.8	BLACKROCK FEDFUND PREMIER	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.9	CALVERT EMERGING MARKETS EQ I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.10	POLEN GROWTH INSTITUTIONAL	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.11	ARISTOTLE INTERNATIONAL EQ I	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.12	ARISTOTLE VALUE EQUITY I	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5	Massachusetts General Hospital Academic Annuity Plan	No			
5.1	VTTHX VANG TARGET RET	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
6	Lundbeck, unvested restricted stock units	N/A	\$100,001 - \$250,000		None (or less than \$201)
7	Immunitas Therapeutics	N/A	\$1,001 - \$15,000	Dividends	\$5,001 - \$15,000
8	Sanofi, defined contribution plan	No			
8.1	T. Rowe Price Retirement Hybrid 2035 Trust (Class T12) Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential real estate, Chestnut Hill, Massachusetts	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$100,001 - \$1,000,000
2	U.S. bank # 2 (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
3	Danske Bank (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	Individual Managed Account	No			
4.1	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	Xtrackers Harvest CSI 300 China A-Shares ETF (ASHR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	ISHARES MSCI EMU ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.4	ISHARES MSCI PAC EX-JPN ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.5	ISHARES S&P 500 GRWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	ISHARES S&P 500 VAL ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.7	ISHARES 20+ YR TREASU BOND ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.8	ISHARES RUSSELL MIDCAP G ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	ISHARES TRUST ISHARES 1-5 YE	Yes	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.10	ISHARES MSCI INDIA ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	ISHARES INC MSCI JAPAN ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.12	PIMCO ENHANCED SHRT MTRT EXC	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	SCHWAB SHORT-TERM US TREAS	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.14	VANGUARD TOTAL BOND MARKET	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.15	VANGUARD FTSE EMERGING MARKETS	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.16	VANGUARD INTERMEDIATE TERM COR	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.17	VANGUARD MID CAP VALUE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.18	VANGUARD SM CAP GROWTH ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.19	VANGUARD SM CAP VALUE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Individual Brokerage Account	No			
5.1	U.S. bank #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.2	CITI 10.25% WORSTOF CONTINGENTDAILY CALLABLE MXEF RTY SPXCoupon 10.25% Mature 03/05/2025(D64XF) (tracks MXEF, RTY, SPX)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
5.3	UNITED STATES TREASURY NOTE-INFLATION INDEXEDCoupon 0.63% Mature 01/15/2024(DS2S6)	N/A	\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Individual Managed Account 2	No			
6.1	JP Morgan Growth Advantage US Large Cap, Separately Managed Account	No			
6.1.1	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.2	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.3	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.4	Quanta Services, Inc. (PWR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.5	Tesla, Inc. (TSLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.6	Mastercard, Inc. (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.7	Alphabet, Inc. (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.8	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.1.9	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	MSIM Growth US Large Cap, Separately Managed Account	No			
6.2.1	MERCADOLIBRE INC (MELI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.2	ASML HOLDING NV (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.3	Block Inc. (SQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.4	Uber Technologies, Inc. (UBER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.5	Royalty Pharma PLC Class A (RPRX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.6	The Trade Desk, Inc. (TTD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.7	Roblox Corp. Class A (RBLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.8	10X Genomics Inc. (TXG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.9	Cloudflare Inc. Class A (NET)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.10	Bill Com Holdings Inc. (BILL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.11	Zoominfo Techno Inc. (ZI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.12	Datadog Inc. Class A (DDOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.13	Doordash Inc. Class A (DASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.14	Chewy Inc. (CHWY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.15	Snowflake Inc. Class A (SNOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.16	Coupang Inc. (CPNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.17	Agilon Health Inc. (AGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.18	SHOPIFY INC (SHOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.19	Illumina, Inc. (ILMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2.20	Grab Holdings Ltd Class A (GRAB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3	Capital Group International Equity ADR Separately Managed Account	No			
6.3.1	TotalEnergies SE Sponsored ADS (TTE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.2	ESSILORLUXOTTICA ADR (ESLOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.3	STMICROELECTRONICS NV (STM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.4	SAP AG (SAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.5	IBERDROLA SA SPON ADR (IBDRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.6	AMADEUS IT GROUP S.A ADR (AMADY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.7	Nippon Telegraph & Telephone Corp (NTTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.8	SMC CORP COMMON (SMECF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.9	DBS GROUP HOLDINGS LTD SP (DBSDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.10	BRITISH AMER TOB SPON ADR (BTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3.11	LVMH MOET HENNESSY LOUIS VUITT (LVMUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.12	ASTRAZENECA PLC ADR (AZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.13	TAIWAN SMCNDCTR MFG CO LTD ADR (TSM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.14	ABB Ltd (ABB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.15	HDFC BANK LTD ADR (HDB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.16	MERCADOLIBRE INC (MELI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.17	SAFRAN SA (SAFRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.18	ASML HOLDING NV NY REG NEW (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.19	GENMAB A S ADR (GMAB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.20	CARLSBERG AS (CABGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.21	LONDON STK EXCHANGE GROUP ADR (LNSTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.22	AIA GROUP LTD SPON ADR (AAGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.23	GIVAUDAN SA ADR (GVDNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.24	KEYENCE CORP (KYCCF)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3.25	SHIN ETSU CHEM CO LTD ADR (SHECY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.26	TENCENT HLDGS LTD UNSPON ADR (TCEHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.27	HERMES INTL SCA UNSPON ADR (HESAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.28	INDUSTRIA DE DISENO TEXTIL IND (IDEXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.29	ANHEUSER BUSCH INBEV SA SPON (BUD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.30	RECKITT BENCKISER PLC SPNS ADR (RBGLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.31	KERING S A ADR NEW (PPRUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.32	TFI INTL INC (TFII)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.33	AIRBUS SE UNSPONSORED ADR (EADSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.34	L OREAL CO ADR (LRLCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.35	NESTLE SPON ADR REP REG SHR (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.36	NOVO NORDISK A/S ADR (NVO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.37	IBERDROLA SA ADR OPTDIV RTS (DL2R4)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3.38	BEIGENE LTD (BGNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Individual Brokerage Account 2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1	U.S. bank #1 (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
7.2	Apple, Inc. (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.3	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.4	Sanofi ADR (SNY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.5	Viatis Inc. (VRTS)	N/A	None (or less than \$1,001)		None (or less than \$201)
8	Individual Managed Brokerage Account	No			
8.1	Confluence US Large Cap Value	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.2	Boston Partners US Large Cap Value	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.3	Applied Equity Adv Global Concentrated	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
9	Individual Fidelity	No			
9.1	U.S. bank #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	Pfizer Inc. (PFE)	N/A	\$100,001 - \$250,000		\$50,001 - \$100,000
9.3	Viatis Inc. (VTRS)	N/A	\$1,001 - \$15,000		\$2,501 - \$5,000

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase	Credit Card	\$10,001 - \$15,000	2022	20.24	revolving
2	Bank of America	Credit Card	\$10,001 - \$15,000	2022	17.49	revolving
3	American Express	Credit Card	\$10,001 - \$15,000	2022	19.49	revolving
4	American Express	Credit Card	\$15,001 - \$50,000	2022	19.49	revolving
5	Bank of America	See Endnote	Mortgage on Personal Residence	2012	2.875%	30 years

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
1.	2	I have not yet received my first payment.
8.	5	Note: Interest rate reflects rate modification provided by Bank of America in 2022.



# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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

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

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