

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Horowitz, Michael E

Inspector General, Department of Justice, Department of Justice

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/ Horowitz, Michael E [electronically signed on 05/14/2023 by Horowitz, Michael E 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/ Hirschfield, Martha, Certifying Official [electronically signed on 07/06/2023 by Hirschfield, Martha in Integrity.gov]

Other review conducted by

/s/ Hirschfield, Martha, Ethics Official [electronically signed on 06/02/2023 by Hirschfield, Martha in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/06/2023

Data Revised 06/08/2023

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
7.	21	W REV BLK: Charles Cnty MD Consolidated PUB CUSIP: 159808NP5	(07/06/2023, Hirschfield, Martha): Transaction should have been reported on a 278T. Filer was not aware this requirement applied to municipal bonds. There were no conflicts as a result, and filer has otherwise been in compliance with all financial disclosure requirements. Late fee was paid on 6/27/2023
7.	22	W REV BLK: Harford Cnty REF BDS CUSIP: 412487LJ7	(07/06/2023, Hirschfield, Martha): See line 21.
7.	23	W REV BLK: Prince Georges Cnty MD GO Consolidated CUSIP: 7417015F9	(07/06/2023, Hirschfield, Martha): See line 21.
7.	24	W REV BLK: University MD SYS Auxiliary FAC CUSIP: 9144026P2	(07/06/2023, Hirschfield, Martha): See line 21.
7.	25	W REV BLK: Washington Cnty MD REF BDS CUSIP: 9377513F0	(07/06/2023, Hirschfield, Martha): See line 21.

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: Fidelity Total Market Index Fund (FSKAX) Formerly, Fidelity Spartan Total Market Index (FSTVX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	IRRL: Fidelity Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	IRRL: Fidelity ContraFund (FCNTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4	IRRL: Fidelity Total Market Index Fund (FSKAX) Formerly, Fidelity Spartan Total Market Index (FSTVX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	IRRL: Akre Focus Fund INSTL (AKRIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
6	IRA: Fidelity ContraFund (FCNTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
7	IRRL: iShares Core S&P Total US Stock Market ETF (ITOT)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	Roth IRA: Fidelity Government Cash Reserves	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Roth IRA: iShares Core S&P Total US Stock Market ETF (ITOT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	IRRL: iShares TR BlackRock Ultra Short ETF (ICSH)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	IRRL: iShares TR 0-3 MNTH Treasury Bill ETF (SGOV)	Yes	None (or less than \$1,001)		None (or less than \$201)
12	IRRL: JP Morgan Exchange-Trades Ultra Short Inc (JPST)	Yes	\$250,001 - \$500,000		None (or less than \$201)
13	Roth IRA: iShares TR 0-3 MNTH Treasury Bill ETF (SGOV)	Yes	None (or less than \$1,001)		None (or less than \$201)
14	IRRL: SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
15	IRA: Fidelity Government Cash Reserves	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Roth IRA: SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	IRRL: Lazard Global Listed Infrastructure Instl (GLIFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
18	IRRL: Schwab US Dividend Equity ETF (SCHD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	IRRL: iShares TR Short Treasury Bond ETF (SHV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
20	Roth IRA: Schwab US Dividend Equity ETF (SCHD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	Roth IRA: iShares TR Short Treasury Bond ETF (SHV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
22	IRA: Schwab US Dividend Equity ETF (SCHD)	Yes	\$1,001 - \$15,000		None (or less than \$201)

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: Fidelity ContraFund (FCNTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2	Roth IRA: Fidelity ContraFund (FCNTX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3	SEP IRA: Fidelity ContraFund (FCNTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4	IRRL: Fidelity Total Market Index Fund (FSKAX) Formerly, Fidelity Spartan Total Market Index (FSTVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	IRRL: Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	SEP IRA: iShares Core S&P Total US Stock Market ETF (ITOT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	IRRL: iShares TR 0-3 MNTH Treasury Bill ETF (SGOV)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8	IRRL: SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9	IRRL: JP Morgan Exchange Traded FD Ultra Short Inc (JPST)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Cortina Productions, Inc.			Independent Contractor Compensation	
11	IRRL: iShares TR Short Treasury Bond ETF (SHV)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
12	SEP IRA: Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	SEP IRA: Schwab US Dividend Equity ETF (SCHD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14	Roth IRA: Schwab US Dividend Equity ETF (SCHD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15	Roth IRA: Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	IRA: Schwab US Dividend Equity ETF (SCHD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	IRA: Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity Treasury Money Market Fund (FZFX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2	Fidelity ContraFund (FCNTX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3	Fidelity Total Market Index Fund (FSKAX) Formerly, Fidelity Spartan Total Market Index (FSTVX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	SPDR S&P 500 ETF Trust (SPY)	Yes	None (or less than \$1,001)		None (or less than \$201)
5	Fidelity ContraFund (FCNTX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
6	Fidelity Total Market Index Fund (FSKAX) Formerly, Fidelity Spartan Total Market Index (FSTVX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
7	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8	Fidelity 500 Index Fund (FXAIX) Formerly, Fidelity Spartan 500 Index Advantage (FUSVX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
9	Vanguard Limited Term Tax Exempt Admiral (VMLUX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10	Fidelity Treasury Money Market Fund (FZFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	US bank accounts #1 - (money market and checking accounts)	N/A	\$50,001 - \$100,000		None (or less than \$201)
12	U.S. Savings Bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Israel Bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	U.S. Life Ins. Co. in the City of New York -- Whole Life Policy	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
15	New York State 529 College Savings Program, Growth Stock Index Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
16	New York State 529 College Savings Program, Value Stock Index Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	Maryland 529 College Savings Plan, Portfolio 2024	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	Vanguard Intermediate-Term Tax-Exempt (VWIUX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
19	U.S. bank account # 2 (UTMA -- cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
20	U.S. bank account # 3 (UTMA -- cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Fidelity Charitable Gift Fund (Fidelity Investments Money Market Government Portfolio (FRGXX))	Yes	\$50,001 - \$100,000		None (or less than \$201)
22	iShares TR 0-3 MNTH Treasury Bill ETF (SGOV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
23	iShares Russell 1000 Growth ETF (IWF)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
24	Fidelity Treasury Money Market Fund (FZFXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
25	Washington CNTY MD REF BDS SER. 2013 CUSIP: 9377513F0	N/A	None (or less than \$1,001)		\$201 - \$1,000
26	University MS SYS Auxiliary Fac CUSIP: 9144026P2	N/A	None (or less than \$1,001)		\$201 - \$1,000
27	Calvert CNTY MD GO CONS PUB IMPT BDS CUSIP: 131537K50	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
28	Carroll CNTY MD CONS PUB IMPT AND REF BDS CUSIP: 14487997F4	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
29	Anne Arundel CNTY MD GO CONS BDS SER CUSIP: 03588HFL5	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
30	Montgomery CNTY MD GO CONS PUB IMPT BDS CUSIP: 6133403H9	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
31	Maryland ST GO REF BDS SER.2015B CUSIP: 574193LG1	N/A	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	Rockville MD GO BDS SER. 2020B CUSIP: 774221GL3	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
33	Maryland ST Dept Transn Cons CUSIP: 574204E82	N/A	\$15,001 - \$50,000		\$201 - \$1,000
34	Baltimore MD Proj Rev Bds CUSIP: 05922KZE2	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
35	Washington SUBN SAN DIST MD CON PUB CUSIP: 9401575F3	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
36	Baltimore CNTY MD CTFS PARTN COPS CUSIP: 059134EH5	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
37	NY State 529 College Savings Program, Income Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
37.1	NY State 529 College Savings Program, Income Portfolio	No		cash payment	\$22,908
38	NY State 529 College Savings Program, Interest Accumulation Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
38.1	NY State 529 College Savings Program, Interest Accumulation Portfolio	No		cash payment	\$21,574
39	NY State 529 College Savings Program, Interest Accumulation Portfolio	No	\$50,001 - \$100,000		None (or less than \$201)
40	NY State 529 College Savings Program, Moderate Age-Based Option: Income Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
41	Maryland 529 College Savings Plan, US Treasury Money Market Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
42	Maryland 529 College Savings Plan, US Treasury Money Market Portfolio	Yes	\$250,001 - \$500,000		None (or less than \$201)
42.1	Maryland 529 College Savings Plan, US Treasury Money Market Portfolio	No		cash payment	\$20,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	iShares Core S&P Mid-Cap ETF (IJH)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
44	SPDR Portfolio S&P 500 Value ETF (SPYV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
45	Frederick Cnty MD GO PUB FACS BDS SER CUSIP: 35569PEQ2	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
46	Howard CNTY MD GO BDS CONS PUB IMPT CUSIP: 44256PWB2	N/A	\$15,001 - \$50,000		\$201 - \$1,000
47	Maryland ST Transn Auth Facs CUSIP: 574300MK2	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
48	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
49	Maryland 529 College Savings Plan, Portfolio for Education Today	Yes	\$15,001 - \$50,000		None (or less than \$201)
50	Maryland 529 College Savings Plan, Equity Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
51	Maryland 529 College Savings Plan, Portfolio 2027	Yes	\$50,001 - \$100,000		None (or less than \$201)
52	Maryland 529 College Savings Plan, Portfolio 2030	Yes	\$15,001 - \$50,000		None (or less than \$201)
53	Maryland 529 College Savings Plan, Portfolio 2024	Yes	\$15,001 - \$50,000		None (or less than \$201)
54	Maryland 529 College Savings Plan, Portfolio 2027	Yes	\$15,001 - \$50,000		None (or less than \$201)
55	Maryland 529 College Savings Plan, Portfolio 2030	Yes	\$15,001 - \$50,000		None (or less than \$201)
56	Charles Cnty MD Go Consolidated PUB CUSIP: 159808NP5	N/A	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
57	Harford Cnty MD Ref BDS Ser 2022 B CUSIP: 412487LJ7	N/A	\$15,001 - \$50,000		\$201 - \$1,000
58	Prince Georges Cnty MD GO Cons PUB Impt Bds CUSIP: 7417015F9	N/A	\$15,001 - \$50,000		\$201 - \$1,000
59	Southeastern Hockey Officials Assoc.			Independent Contractor Compensation	
60	Central Pennsylvania Amateur Referee Assoc			Independent Contractor Compensation	
61	U.S. Bank Account #4	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	W IRRL: iShares TR Short Treasury Bond ETF (SHV)	Purchase	11/09/2022	\$100,001 - \$250,000
2	W IRRL: iShares TR 0-3 MNTH Treasury ETF (SGOV)	Sale	11/09/2022	\$100,001 - \$250,000
3	H IRRL: Lazard Global Listed Infrastructure Instl (GLIFX)	Purchase	06/01/2022	\$50,001 - \$100,000
4	H IRRL: Schwab US Dividend Equity ETF (SCHD)	Purchase	06/01/2022	\$15,001 - \$50,000
5	H IRRL: iShares TR Short Treasury Bond ETF (SHV)	Purchase	11/09/2022	\$50,001 - \$100,000
6	H IRRL: Akre Focus Fund Instl (AKRIX)	Sale	06/01/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	H IRRL: Fidelity ContraFund (FCNTX)	Sale	06/01/2022	\$15,001 - \$50,000
8	H IRRL: iShares TR 0-3 MNTH Treasury ETF (SGOV)	Sale	11/09/2022	\$50,001 - \$100,000
9	W Roth IRA: Schwab US Dividend Equity ETF (SCHD)	Purchase	06/01/2022	\$1,001 - \$15,000
10	W Roth IRA: Fidelity ContraFund (FCNTX)	Sale	06/01/2022	\$1,001 - \$15,000
11	H Roth IRA: Schwab US Dividend Equity ETF (SCHD)	Purchase	06/01/2022	\$1,001 - \$15,000
12	H Roth: iShares TR Short Treasury Bond ETF (SHV)	Purchase	11/09/2022	\$50,001 - \$100,000
13	H Roth: Fidelity ContraFund (FCNTX)	Sale	06/01/2022	\$1,001 - \$15,000
14	H Roth IRA: iShares TR 0-3 MNTH Treasury ETF (SGOV)	Sale	11/09/2022	\$50,001 - \$100,000
15	W SEP IRA: Schwab US Dividend Equity ETF (SCHD)	Purchase	06/01/2022	\$15,001 - \$50,000
16	W SEP IRA: Fidelity ContraFund (FCNTX)	Sale	06/01/2022	\$15,001 - \$50,000
17	W IRA: Schwab US Dividend Equity ETF (SCHD)	Purchase	06/01/2022	\$1,001 - \$15,000
18	W IRA: Fidelity ContraFund (FCNTX)	Sale	06/01/2022	\$1,001 - \$15,000
19	H IRA: Schwab US Dividend Equity ETF (SCHD)	Purchase	06/01/2022	\$1,001 - \$15,000
20	H IRA: Fidelity ContraFund (FCNTX)	Sale	06/01/2022	\$15,001 - \$50,000
21	W REV BLK: Charles Cnty MD Consolidated PUB CUSIP: 159808NP5	Purchase	04/26/2022	\$15,001 - \$50,000
22	W REV BLK: Harford Cnty REF BDS CUSIP: 412487LJ7	Purchase	02/02/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	W REV BLK: Prince Georges Cnty MD GO Consolidated CUSIP: 7417015F9	Purchase	01/07/2022	\$15,001 - \$50,000
24	W REV BLK: University MD SYS Auxiliary FAC CUSIP: 9144026P2	Sale	04/01/2022	\$15,001 - \$50,000
25	W REV BLK: Washington Cnty MD REF BDS CUSIP: 9377513F0	Sale	01/03/2022	\$15,001 - \$50,000
26	H REV: iShares Core S&P Mid Cap ETF (IJH)	Sale	12/21/2022	\$100,001 - \$250,000
27	H REV: iShares TR 0-3 MNTH Treasury ETF (SGOV)	Sale	10/26/2022	\$15,001 - \$50,000
28	H REV: iShares TR 0-3 MNTH Treasury ETF (SGOV)	Sale	03/03/2022	\$100,001 - \$250,000
29	W REV: Vanguard Limited Term Tax Exempt Admiral (VMLUX)	Sale	12/21/2022	\$1,001 - \$15,000
30	W REV: SPDR S&P 500 ETF (SPY)	Sale	12/20/2022	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

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).
