

## Executive Branch Personnel

### Public Financial Disclosure Report (OGE Form 278e)

#### Filer's Information

---

Nyhus, Roger

Ambassador to Barbados, the Federation of St. Kitts and Nevis, Saint Lucia, Antigua and Barbuda, the Commonwealth of Dominica, Grenada, and Saint Vincent and the Grenadines, Department of State

---

Other Federal Government Positions Held During the Preceding 12 Months:

None

---

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
- 

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/ Nyhus, Roger [electronically signed on 09/15/2022 by Nyhus, Roger 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/ Huitema, David, Certifying Official [electronically signed on 11/16/2022 by Huitema, David in Integrity.gov]

---

Other review conducted by

---

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 11/22/2022 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	Nyhus Holdings, Inc.	Seattle, Washington	Corporation	Director, President, Secretary, and Treasurer	12/2018	Present
2	Nyhus Communications, LLC	Seattle, Washington	Limited Liability Company	CEO and Manager	12/2018	6/2022
3	Nyhus Communications, LLC 401(k) Profit Sharing Plan	Seattle, Washington	Trust	Trustee	1/2008	6/2022
4	Downtown Seattle Association	Seattle, Washington	Business Association	Board Member	9/2009	6/2022
5	Downtown Seattle Association	Seattle, Washington	Business Association	Executive Committee Member	9/2017	6/2022
6	Seattle Metropolitan Chamber of Commerce	Seattle, Washington	Business Association	Board Member	6/2016	6/2021
7	Plymouth Housing Capital Campaign	Seattle, Washington	Non-Profit	Committee Member	1/2018	1/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Nyhus Holdings, Inc. (Owned 97.5% of Nyhus Communications LLC). See Endnote	No		Business Income	\$3,041,998
1.1	Nyhus Communications, LLC (public relations, public affairs, communication, and marketing firm) See Endnote	N/A	None (or less than \$1,001)	Salary/Bonus and Capital Gains	\$1,853,416

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	Note from Desautel Hege, Inc. (from sale of Nyhus Communications)	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
2	IRA	No			
2.1	U.S. Brokerage Account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	AMG Yacktman Focused Fund Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Artisan Mid Cap Fund Advisor Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Amana Growth Fund Institutional CI	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	Carillon Scout Mid Cap Fd CI 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Cohen & Steers Realty Shares Fd CI 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	Pear Tree Polaris Foreign Value Small Cap Fd - Institutional Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	Vanguard Wellesley Income Fd - Admiral Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.9	IShares Tr MSCI EAFE Minimum Volatility Factor ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Vanguard Small-Cap Value ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Wisdomtree TR Intl Hedged Quality Divid Growth Fd	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	Baron Real Estate Fund Institutional Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Janus Henderson Balanced Fund Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.14	Manning & Napier Pro-Blend Maximum-Term Series Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.15	Paradigm Select Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	Parnassus Core Equity Fund Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.17	PIMCO Stockplus International Fund Class 1-2 (US Dollar Hedged)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	PIMCO Real Return Fund Class 1-2	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.19	PIMCO Income Fund Class 1-2	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.20	T Rowe Price International Discovery	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	T Rowe Price Spectrum Moderate Growth Allocation Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.22	First TR Exchange Fd Dow Jones Internet Index Fd	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	Vanguard Consumer Discretionary ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	Wisdomtree Tr Emerging Mkts Ex-State-Owned Enterprises Fd	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	Diamond Hill All Cap Select Fund Class I Shares (DHLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	SPDR Gold Shares (GLD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	DH Puget Sound, LLC 401(k) Plan	See Endnote	No		
3.1	American Funds - The Growth Fund of America-R3	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	American Funds - New Perspective Fund-R3	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3	American Funds - Fundamental Investors-R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	American Funds - Capital World Growth and Income-R3	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.5	American Funds - The Income Fund of America-R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.6	American Funds - American Balanced Fund-R3	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.7	American Funds - The Bond Fund of America-R3	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	DH Puget Sound, LLC 401(k) Profit Sharing Plan	Seattle, Washington	I will continue to participate in the defined contribution plan. The plan sponsor will no longer make contributions.	1/2008

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Nyhus Communications, LLC	Seattle, Washington	Served as founder and CEO. Oversaw 10-person company, counseled clients, led business development, engaged in civic activities.
2	5th Avenue Theatre	Seattle, Washington	Communications consulting services
3	Acclara Solutions, LLC	Houston, Texas	Communications consulting services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
4	Alaska Airlines, Inc	Seattle, Washington	Communications consulting services
5	Ardagh Glass Inc	Chicago, Illinois	Communications consulting services
6	Artist Trust	Seattle, Washington	Communications consulting services
7	Bellevue Arts Museum	Bellevue, Washington	Communications consulting services
8	Bellevue Chamber of Commerce	Bellevue, Washington	Communications consulting services
9	Big Brothers Big Sisters of Puget Sound	Seattle, Washington	Communications consulting services
10	Chihuly Studio	Seattle, Washington	Communications consulting services
11	City of Bellevue	Bellevue, Washington	Communications consulting services
12	Davis Wright Tremaine	Seattle, Washington	Communications consulting services
13	DefinedCrowd	Seattle, Washington	Communications consulting services
14	First & Goal, Inc	Renton, Washington	Communications consulting services
15	Friday Foundation	Seattle, Washington	Communications consulting services
16	Jack McCullough	Seattle, Washington	Communications consulting services
17	Joshua Green Corporation	Seattle, Washington	Communications consulting services
18	K&L Gates	Seattle, Washington	Communications consulting services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
19	Kistler-Ritso Foundation	Portolo Valley, California	Communications consulting services
20	Lane Powell PC	Seattle, Washington	Communications consulting services
21	Les Schwab	Bend, Oregon	Communications consulting services
22	M. S. Medica	Winston-Salem, North Carolina	Communications consulting services
23	Microsoft	Redmond, Washington	Communications consulting services
24	Northwest Kidney Centers	Seattle, Washington	Communications consulting services
25	Oak View Group	Los Angeles, California	Communications consulting services
26	Pacific Science Center Foundation	Seattle, Washington	Communications consulting services
27	Perkins Coie	Seattle, Washington	Communications consulting services
28	Pine Street Group	Seattle, Washington	Communications consulting services
29	Providence	Renton, Washington	Communications consulting services
30	Realogics Sotheby's International Realty	Seattle, Washington	Communications consulting services
31	Richard Hugo House	Seattle, Washington	Communications consulting services
32	Scientific Games Corporation	Las Vegas, Nevada	Communications consulting services
33	Seattle Art Museum	Seattle, Washington	Communications consulting services



#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
34	Seattle Children's Hospital	Seattle, Washington	Communications consulting services
35	Seattle University	Seattle, Washington	Communications consulting services
36	Snohomish County	Everett, Washington	Communications consulting services
37	Swedish Health Services	Seattle, Washington	Communications consulting services
38	The Hearthstone	Seattle, Washington	Communications consulting services
39	The Marshall Defense Firm, PS	Seattle, Washington	Communications consulting services
40	Trammell Crow Company	Seattle, Washington	Communications consulting services
41	U.S. Anesthesia Partners, Inc	Dallas, Texas	Communications consulting services
42	Seattle Symphony Orchestra	Seattle, Washington	Communications consulting services
43	Desautels Hege, Inc.	Spokane, Washington	Communications consulting services.

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

None

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account (cash) #1		N/A	\$100,001 - \$250,000		None (or less than \$201)
2	U.S. bank account (cash) #2		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	Personal loan to Mr. and Mrs. Sevilla	See Endnote	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
4	Brokerage Account #1		No			
4.1	Income Fund of America Class C Shares (IFACX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.2	Income Fund of America Class A Shares (AMECX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Nordstrom, Inc. (JWN)		N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Brokerage Account #2		No			
6.1	U.S. brokerage account (cash)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.2	AMG Yacktman Focused Fund Class I Shares (YAFIX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.3	Invesco Oppen Internatl Gro Fd Class Y Sh (OIGYX)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
6.4	Artisan Mid Cap Fund Advisor Class Shares (APDMX)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
6.5	Baron Real Estate Fund Institutional Shares (BREIX)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.6	BaronEmerging Markets Fund Institutional Class Shares (BEXIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.7	Carillon Scout Mid Cap Fund Class I Shares (UMBMX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	Cohen & Steers Realty Shares, Inc Class I Shares (CSJIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.9	FPA Crescent Fund (FPACX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
6.10	First Eagle Overseas Fund Class I Shares (SGOIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.11	JPMorgan Mid Cap Value Fund Class L Shares (FLMVX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
6.12	Franklin Small Cap Growth Fund Advisor Class Shares (FSSAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.13	Income Fund of America Class F2 Shares (AMEFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.14	Janus Henderson Balanced Fund Class I Shares (JBALX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.15	Manning & Napier Pro-Blend Maximum Term Series Class I Shares (MNHIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
6.16	Morgan Stanley Institutional Fund TrustFrontier Markets Portfolio Class I Shares (MFMIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
6.17	Paradigm Select Fund (PFSLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.18	Parnassus Core Equity Fund Institutional Shares (PRILX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.19	Pear Tree Polaris Foreign Value Small Cap Fund Institutional Class Shares (QUSIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.20	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.21	PIMCO StocksPLUS International Fund (US Dollar-Hedged) Class I-2 Shares (PIUHX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.22	PIMCO Real Return Fund Class I-2 Shares (PRLPX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
6.23	PIMCO Income Fund Class I-2 Shares (PONPX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.24	PIMCO International Bond Fund (US Dollar-Hedged) Class I-2 Shares (PFBPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.25	T Rowe PriceGlobal Technology Fund, Inc (PRGTX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.26	PRIMECAP Odyssey Stock Fund (POSKX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.27	Principal Real Estate Securities Fund Institutional Class Shares (PIREX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.28	T Rowe Price Spectrum Moderate Gro Allocation Fund (TRSGX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
6.29	Smead Value Fund Class I1 Shares (SVFFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.30	TCW Total Return Bond Fund Class I Shares (TGLMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.31	Tweedy, BrowneGlobal Value Fund (TBGVX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.32	Vanguard Wellesley Income Fund Admiral Shares (VWIAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.33	Victory Trivalent International Small-Cap Fund Class I Shares (MISIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.34	Wasatch Micro Cap Value Fund Institutional Class Shares (WGMVX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
6.35	First Trust Dow Jones Internet Index Fund (FDN)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.36	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.37	Invesco S&P 500 Equal Weight Consumer Staples ETF (RHS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.38	Invesco S&PGlobal Water Index ETF (CGW)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.39	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.40	iShares Core Aggressive Allocation ETF (AOA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.41	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.42	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.43	PIMCO Active Bond Exchange-Traded Fund (BOND)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.44	SPDR Gold Shares (GLD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.45	Vanguard Consumer Discretionary Index Fund ETF Shares (VCR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.46	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.47	Vanguard Energy Index Fund ETF Class Shares (VDE)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.48	Vanguard Health Care Index Fund ETF Class Shares (VHT)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
6.49	Vanguard Utilities Index Fund ETF Shares (VPU)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
6.50	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
6.51	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
6.52	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500	
6.53	Vanguard Extended Market Index Fund ETF Shares (VXF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
6.54	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
6.55	WisdomTree International Hedged Quality Dividend Growth Fund (IHDG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500	
6.56	Baron Focused Growth Fund Institutional Class Shares (BFGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
6.57	Diamond Hill All Cap Select Fund Class I Shares (DHLTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
6.58	Hartford Schroders International Stock Fund Class I Shares (SCIEX)	Yes	\$50,001 - \$100,000		None (or less than \$201)	
6.59	T Rowe Price Health Sciences Fund, Inc (PRHSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
6.60	T Rowe Price International Discovery Fund (PRIDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
6.61	T Rowe Price Capital Appreciation Fund (PRWCX)	Yes	\$50,001 - \$100,000		None (or less than \$201)	
6.62	William Blair Emerging Markets Small Cap Growth Fund Class I Shares (BESIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
7	Commercial/residential real estate - Seattle, WA	See Endnote	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Accordia Life - Universal Life Insurance Policy	N/A	\$100,001 - \$250,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	PNC Bank	See Endnote	Residential/Commercial	\$500,001 - \$1,000,000	2021	2.25%	15 Years
2	Nationstar Mortgage LLC	See Endnote	Residential/Commercial	\$500,001 - \$1,000,000	2014	3.875%	30 Years

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
2.	1	The Income reported does not include the salary reported for the underlying holding nor the capital gain income recognized upon the sale of the underlying holding.

PART	#	ENDNOTE
2.	1.1	Nyhus Communications, LLC was sold in June 2022.
2.	3	Previously the Nyhus Communications 401(k) plan
6.	3	Loan is related to the sale of real estate.
6.	7	This property is used as a personal residence and as a rental property. 15% of the home is used as a residential rental and 20% was used as a commercial rental. 65% of the property is used as a principal residence.
8.	1	This loan is on a property that is used as a personal residence and as a rental property. The rental portion of the home is approximately 35% of the total property.
8.	2	The loan was refinanced to mortgage at item 1 in 2021.



# 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).

---