

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Dellinger, Hampton Y

Assistant Attorney General, Office of Legal Policy, 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/ Dellinger, Hampton Y [electronically signed on 05/15/2023 by Dellinger, Hampton Y 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/ Jones, Kevin R, Certifying Official [electronically signed on 05/31/2023 by Jones, Kevin R in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/23/2023 by Granahan, Megan in Integrity.gov]

Data Revised 05/31/2023

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	Law Firm of Hampton Dellinger (sole proprietor)	See Endnote	N/A	client fee	\$24,000
2	Hampton's Roth IRA	No			
2.1	U.S. brokerage cash account 1	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Madison Small Cap Fund class Y (BVAOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Hampton's Rollover IRA	No			
3.1	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Fidelity Extended Market index Fund (FSMAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Fidelity 500 Index Fund (FXAIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	Gabelli Equity Income Fund class AAA (GABEX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	Oakmark International Fund Investor Class	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.6	Villere Balanced Fund Investor Class (VILLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Boies Schiller Defined Contribution Plan	No			
4.1	Fidelity Capital & Income Fund (FAGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Fidelity Contrafund (FCNKX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.3	Fidelity International Discovery Fund (FIDKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Fidelity Mid-Cap Stock Fund (FKMCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	T. Rowe Price Equity Income Fund (REIPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	T. Rowe Price Small-Cap Value Fund (PRVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Fidelity Freedom 2065 Fund (FFSDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	State of NC Defined Contribution Plan	No			
5.1	North Carolina Large Cap Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	North Carolina Stable Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	State of NC, deferred compensation plan	No			
6.1	North Carolina Large Cap Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	North Carolina Stable Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Womble Defined Contribution Plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1	Vanguard Institutional Target Retirement 2030 Fund (VTTWX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
8	Thanks for Nothing: How Willie B. Ford Saved Thanksgiving," Lulu Press (value not readily ascertainable)	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Law Firm of Hampton Dellinger	Durham, North Carolina	I closed my law firm upon confirmation. All outstanding client fees were fixed before I entered government service.	10/2021
2	Boies Schiller	Washington DC, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor has not made any contributions following my separation and will not make further contributions.	5/2013
3	State of NC	Raleigh, North Carolina	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	7/1996
4	State of NC	Raleigh, North Carolina	I will continue to participate in this deferred compensation plan.	8/1996
5	Womble	Winston-Salem, North Carolina	I will continue to participate in this defined contribution plan. The plan sponsor has not made any contributions following my separation and will not make further contributions.	8/2004

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	Duke University	N/A		salary	
2	UNC School of Law	N/A		salary	
3	Spouse Rollover IRA	No			
3.1	U.S. brokerage cash account 3	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Fidelity 500 Index Fund (FXAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	iShares Preferred and Income Securities ETF (pff)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Vanguard Emerging Markets Stock Index Fund ETF (vwo)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Duke University, 403(b) plan	No			
4.1	Vanguard Institutional Retirement 2035 Fund (VITFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	U.S. bank #2 (cash)	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	The Charles Schwab Corporation (SCHW)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
4	Thornburg Intermediate Municipal Fund (THIMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	PIMCO CommodityRealReturn Strategy Fund (PCRAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	BlackRock Emerging Markets Fund (MDDCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Cisco Systems, Inc. (CSCO)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
8	Amgen Inc. (AMGN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
9	Corning, Inc. (GLW)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
10	The Home Depot, Inc. (HD)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
11	Oracle Corp. (ORCL)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
12	QUALCOMM, Inc. (QCOM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
13	Target Corp. (TGT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
14	Xcel Energy, Inc. (XEL)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
15	U.S. bank #3 (cash)	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
16	U.S. Brokerage #1	No			
16.1	U.S. brokerage cash account	See Endnote	N/A		\$1,000,001 - \$5,000,000 \$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.2	Invesco Developing Markets Fund Class Y	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.3	American Funds Europacific Growth Fund Class F-2	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.4	Fidelity Advisor New Insights Fund Class I	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16.5	Vanguard REIT Index Fund Admiral Shares (VGSLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.6	Vanguard Developed Markets Index Fund Admiral Class (VTMGX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.7	Vanguard Large Cap Index Fund Admiral Shares	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16.8	Vanguard Mid-Cap Index Fund Admiral Shares	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.9	Vanguard Small-Cap Index Fund Admiral Shares	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.10	American Funds Washington Mutual Investors Fund Class F2	Yes	\$100,001 - \$250,000		\$201 - \$1,000
17	Virginia529 College Savings Plan	No			
17.1	American Balance Fund (CLBAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17.2	The Bond Fund of America (CFAAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.3	Capital World Growth and Income Fund (CWIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.4	The Growth Fund of America (CGFAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	Irrevocable life insurance trust (ILIT) See endnote	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Fidelity Government Money Market Fund (SPAXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	JPMorgan BetaBuilders Europe ETF (BBEU)	Yes	\$50,001 - \$100,000		None (or less than \$201)
21	Brown Advisory Sustainable Growth Fund Investor Class Shares (BIAWX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
22	iShares Core Dividend Growth ETF (DGRO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
23	Fidelity US Sustainability Index Fund (FITLX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
24	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
25	Fidelity 500 Index Fund (FXAIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
26	BlackRockEmerging Markets Fund, Inc Investor A Shares (MDDCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
27	PIMCO CommodityRealReturn Strategy Fund Class A Shares (PCRAX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
28	SHE - USA Gender Diversity ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
29	SPDR S&P500 ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
30	Thornburg Intermediate Municipal Fund Class A Shares (THIMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
31	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
32	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	Vanguard Real Estate Index Fund Admiral Shares (VGSLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
34	AbbVie, Inc. (ABBV)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
35	AT&T	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
36	iShares TR Core US Aggregate ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
37	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
38	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
39	VanEck Vectors AMT-Free Intermediate Municipal Index ETF (ITM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
40	Apple, Inc. (AAPL)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
41	Abbott Laboratories (ABT)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
42	Adidas AG ADR	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
43	Aluminum Corporation of China Limited American Depositary Shares (ACH)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
44	Bank of NY Mellon Corp	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
45	Cortiva Inc	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
46	CVS Health Corp. (CVS)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
47	Dow, Inc. (DOW)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
48	DuPont de Nemours, Inc. (DD)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
49	Huntsman Corp. (HUN)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
50	News Corp. (NWS)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
51	Realty Income Corp	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
52	Welltower, Inc. (WELL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Abbott Laboratories (ABT)	Sale	02/02/2022	\$15,001 - \$50,000
2	AbbVie, Inc. (ABBV)	Sale	02/02/2022	\$15,001 - \$50,000
3	Adidas	Sale	02/02/2022	\$1,001 - \$15,000
4	Aluminum Corp of China (ACH)	Sale	02/02/2022	\$1,001 - \$15,000
5	Amgen Inc. (AMGN)	Sale	02/02/2022	\$15,001 - \$50,000
6	Apple, Inc. (AAPL)	Sale	02/02/2022	\$100,001 - \$250,000
7	Apple, Inc. (AAPL)	Sale	02/02/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	AT&T	Sale	02/02/2022	\$1,001 - \$15,000
9	Baker Hughes Co (BKR)	Sale	02/02/2022	\$1,001 - \$15,000
10	BNY Mellon	Sale	02/02/2022	\$15,001 - \$50,000
11	Cisco Systems, Inc. (CSCO)	Sale	02/02/2022	\$15,001 - \$50,000
12	Corning	Sale	02/02/2022	\$15,001 - \$50,000
13	Corteva, Inc. (CTVA)	Sale	02/02/2022	\$1,001 - \$15,000
14	CVS Health Corp. (CVS)	Sale	02/02/2022	\$15,001 - \$50,000
15	Devon Energy Corp. (DVN)	Sale	02/02/2022	\$15,001 - \$50,000
16	Dow	Sale	02/02/2022	\$1,001 - \$15,000
17	DuPont de Nemours, Inc. (DD)	Sale	02/02/2022	\$1,001 - \$15,000
18	General Electric Co. (GE)	Sale	02/02/2022	\$1,001 - \$15,000
19	Huntsman Corp. (HUN)	Sale	02/02/2022	\$1,001 - \$15,000
20	Kinder Morgan, Inc. (KMI)	Sale	02/02/2022	\$1,001 - \$15,000
21	News Corp. (NWSA)	Sale	02/02/2022	\$1,001 - \$15,000
22	Oracle Corp. (ORCL)	Sale	02/02/2022	\$100,001 - \$250,000
23	QUALCOMM, Inc. (QCOM)	Sale	02/02/2022	\$50,001 - \$100,000
24	Realty Income Corp. (O)	Sale	02/02/2022	\$15,001 - \$50,000
25	Target Corp. (TGT)	Sale	02/02/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	The Charles Schwab Corp. (SCHW)	Sale	02/02/2022	\$100,001 - \$250,000
27	The Home Depot, Inc. (HD)	Sale	02/02/2022	\$100,001 - \$250,000
28	Welltower, Inc. (WELL)	Sale	02/02/2022	\$15,001 - \$50,000
29	Xcel Energy, Inc. (XEL)	Sale	02/02/2022	\$50,001 - \$100,000
30	Eaton Vance Senior Floating-Rate Trust (EFR)	Sale	02/02/2022	\$1,001 - \$15,000
31	500 Index Trust Series I (JFIVX)	Sale	07/01/2022	\$15,001 - \$50,000
32	John Hancock Bond Fund Class A Shares (JHNBX)	Sale	07/01/2022	\$15,001 - \$50,000
33	John Hancock Funds III US Quality Growth Fund Class A Shares (JSGAX)	Sale	07/01/2022	\$15,001 - \$50,000
34	John Hancock American International (JEILX)	Sale	07/01/2022	\$1,001 - \$15,000
35	John Hancock Funds II Blue Chip Growth Fund Class C Shares (JBGCX)	Sale	07/01/2022	\$15,001 - \$50,000
36	John Hancock Funds II Emerging Markets Fund Class I Shares (JEVIX)	Sale	07/01/2022	\$1,001 - \$15,000
37	John Hancock Funds II Equity Income Fund Class C Shares (JHERX)	Sale	07/01/2022	\$15,001 - \$50,000
38	JH Fundamental Large Cap Value Fund (JHVIT)	Sale	07/01/2022	\$15,001 - \$50,000
39	John Hancock High Yield Fund Class A Shares (JHHBX)	Sale	07/01/2022	\$1,001 - \$15,000
40	John Hancock Funds II Mid Cap Stock Fund Class 1 Shares (JIMSX)	Sale	07/01/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
41	John Hancock Funds II Opportunistic Fixed Income Fund Class 1 Shares (JIGDX)		Sale	07/01/2022	\$15,001 - \$50,000
42	John Hancock Funds II Real Estate Securities Fund Class 1 Shares (JIREX)		Sale	07/01/2022	\$15,001 - \$50,000
43	John Hancock Funds II Small Cap Growth Fund Class I Shares (JSJIX)		Sale	07/01/2022	\$15,001 - \$50,000
44	Amazon.com, Inc. (AMZN)	See Endnote	Sale	01/11/2022	\$15,001 - \$50,000
45	Starbucks Corp. (SBUX)		Sale	01/11/2022	\$1,001 - \$15,000
46	Target Corp. (TGT)		Sale	01/11/2022	\$15,001 - \$50,000
47	Zoom Video Communications, Inc. (ZM)		Sale	01/11/2022	\$1,001 - \$15,000
48	Netflix, Inc. (NFLX)		Sale	02/02/2022	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	One client fee (\$24,000) was fixed prior to my government start date (Nov. 2021) but was not received until Jan. 2022.
6.	16.1	The Irrevocable life insurance trust (ILIT) discussed in the Calendar Year 2021 Report and associated with John Hancock (the insurer) was converted to cash in 2022 and, along with another inheritance (from TIAA) received as cash, forms the basis of this account.
6.	18	As discussed above, this Inherited Life Insurance Trust (ILIT) was converted to cash in 2022 and held as cash in a brokerage account.
7.	44	Per Deputy DDAEO 5/31/2023: The Filer's spouse timely sold the Amazon, Starbucks, Target, and Zoom stocks on 1/11/2022, in conformity with the Filer's Ethics Agreement. The Filer reported these sales to ethics officials at the time, but inadvertently failed to list these four sales on the Periodic Transaction Report listing sales of other stocks on 2/2/2022. Upon request, and under the circumstances, the Filer was granted a waiver of the late filing fee regarding these four stocks.

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).
