

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Ramanathan, Erik

Ambassador to Sweden, 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/ Ramanathan, Erik [electronically signed on 06/25/2021 by Ramanathan, Erik 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 10/07/2021 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 10/08/2021 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	Public Health Foundation Enterprises, Inc. dba Heluna Health	City of Industry, California	Non-Profit	Chair of Board of Directors	11/2010	Present
2	New Politics Leadership Academy	Boston, Massachusetts	Non-Profit	Chair of Board of Directors	11/2015	Present
3	Family Trust #1	Wayland, Massachusetts	Trust	Trustee	4/2019	Present
4	Family Trust #2	Wayland, Massachusetts	Trust	Trustee	4/2019	Present
5	Family Trust #3	Wayland, Massachusetts	Trust	Trustee	4/2019	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	American Beacon AHL Managed Futures Strategy Fund Class Y Shares (AHLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Blackstone Alternative Multi-Strategy Fund Class I Shares (BXMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	BNY Mellon International Stock Fund Class I Shares (DISRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	ClearBridge Small Cap Growth Fund Class I Shares (SBPYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	Cohen & Steers Global Realty Shares, Inc Class I Shares (CSSPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Hartford Dividend & Growth Fund Class I Shares (HDGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	Hartford Schroders Emerging Markets Equity Fund Class I Shares (SEMNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	John Hancock Seaport Long/Short Fund Class I Shares (JSFDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	JPMorgan Value Advantage Fund Class I Shares (JVASX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.12	Lazard International Strategic Equity Portfolio Institutional Shares (LISIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	Natixis Loomis Sayles Growth Fund Class Y Shares (LSGRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.14	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.15	MFS Mid Cap Growth Fund Class I Shares (OTCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	Neuberger Berman Intrinsic Value Fund Institutional Class Shares (NINLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	Nuance Mid Cap Value Fund Institutional Class Shares (NMVLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	Pear Tree Polaris Foreign Value Fund Institutional Shares (QFVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.19	PGIM High Yield Fund Class Z Shares (PHYZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	PIMCO CommodityRealReturn Strategy Fund Class I-2 Shares (PCRPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	PIMCO Low Duration Income Fund Class I-2 Shares (PFTPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.22	Virtus KAR Small-Cap Value Fund Class I Shares (PXQ SX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.23	Western Asset Core Plus Bond Fund Class I Shares (WACPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.24	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Harvard University Defined Contribution Retirement Plan	No			
2.1	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Harvard University	Cambridge, Massachusetts	I will continue to participate in this defined contribution plan. Neither I nor the plan sponsor will make further contributions.	10/2009

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ranesh Ramanathan P.C. (Professional service corporation, my spouse is the sole shareholder)	No		salary, S Corp Income	
1.1	Kirkland & Ellis LLP Capital Account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
1.2	Kirkland & Ellis LLP (U.S. Law Firm)	N/A		partnership share	
2	Kirkland & Ellis International LLP (U.S. Law Firm)	N/A		partnership share	
3	Kirkland & Ellis International LLP Capital Account	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	Kirkland & Ellis Partners Deferred Allocation Plan	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	Kirkland & Ellis LLP, Defined Contribution Plan	No			
5.1	Dodge & Cox Stock Fund (DODGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	Vanguard Institutional Index Fund Institutional Plus Shares (VIMI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	Vanguard Mid-Cap Index Fund Investor Shares (VIMSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	Kirkland & Ellis LLP, Defined Benefit Plan	N/A	\$100,001 - \$250,000		None (or less than \$201)
7	IRA #1	No			
7.1	American Beacon AHL Managed Futures Strategy Fund Class Y Shares (AHLYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	Blackstone Alternative Multi-Strategy Fund Class I Shares (BXMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	BNY Mellon International Stock Fund Class I Shares (DISRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	ClearBridge Small Cap Growth Fund Class I Shares (SBPYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	Cohen & Steers Global Realty Shares, Inc Class I Shares (CSSPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.6	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.7	GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.8	Hartford Dividend & Growth Fund Class I Shares (HDGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.9	Hartford Schroders Emerging Markets Equity Fund Class I Shares (SEMNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.10	John Hancock Seaport Long/Short Fund Class I Shares (JSFDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.11	JPMorgan Value Advantage Fund Class I Shares (JVASX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.12	Lazard International Strategic Equity Portfolio Institutional Shares (LISIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.13	Natixis Loomis Sayles Growth Fund Class Y Shares (LSGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.14	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.15	MFS Mid Cap Growth Fund Class I Shares (OTCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.16	Neuberger Berman Intrinsic Value Fund Institutional Class Shares (NINLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.17	Nuance Mid Cap Value Fund Institutional Class Shares (NMVLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.18	Pear Tree Polaris Foreign Value Fund Institutional Shares (QFVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.19	PGIM High Yield Fund Class Z Shares (PHYZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.20	PIMCO CommodityRealReturn Strategy Fund Class I-2 Shares (PCRPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.21	PIMCO Low Duration Income Fund Class I-2 Shares (PFTPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.22	Virtus KAR Small-Cap Value Fund Class I Shares (PXQSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.23	Western Asset Core Plus Bond Fund Class I Shares (WACPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	IRA #2	No			
8.1	BCIP Trust Associates IV LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.2	U.S. Brokerage Account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.3	Bain Capital Distressed and Special Situations 2016	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8.4	Bain Capital Special Situations Asia	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	Health Savings Account (U.S. bank cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Green Lakes Business Trust	See Endnote	Yes	\$100,001 - \$250,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Green Lakes Business Trust II	See Endnote	Yes	\$100,001 - \$250,000	None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential Real Estate, Mountain Village, CO	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$50,001 - \$100,000
2	U.S. bank #1 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
3	U.S. bank #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	U.S. bank #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	Randolph Street Investment Partners, L.P. - 2018 PEF	Yes	Over \$1,000,000		None (or less than \$201)
6	Randolph Street Investment Partners, L.P. - 2018 DIF	Yes	Over \$1,000,000		\$5,001 - \$15,000
7	Randolph Street Investment Partners, L.P. - 2021 DIF	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Bain Capital Distressed and Special Situations 2013	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9	Bain Capital Distressed & Special Situations 2016	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10	Bain Capital Middle Market Credit 2014	Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
11	Bain Capital Direct Lending 2015	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Bain Capital CLO Partners	Yes	None (or less than \$1,001)		None (or less than \$201)
13	Bain Capital Fund XI	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
14	Bain Capital Europe Fund IV	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
15	Bain Capital Asia Fund II	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	Brookside Capital Partners Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17	Family Trust #2	No			
17.1	Dobie, LLC	No			
17.1.1	Residential Real Estate, Framingham, MA	N/A	\$250,001 - \$500,000		None (or less than \$201)
17.1.2	Residential Real Estate, Framingham, MA	N/A	\$100,001 - \$250,000	Rent or Royalties	\$2,501 - \$5,000
17.1.3	U.S. bank #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
18	Family Trust #3	No			
18.1	JH Life Insurance, a whole life policy	N/A	\$100,001 - \$250,000		None (or less than \$201)
18.2	Pacific Life, a whole life insurance policy	N/A	\$100,001 - \$250,000		None (or less than \$201)
19	Randolph Street Investment Partners, L.P. - 2021 PEF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Randolph Street Ventures, L.P - 2018-112	No			
20.1	Bain Capital Distressed and Special Situations 2019 (A)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Randolph Street Ventures, L.P. - 2019-15	No			
21.1	Bain Capital Life Sciences Fund II	Yes	\$15,001 - \$50,000		None (or less than \$201)
22	Randolph Street Ventures, L.P. - 2020-145	No			
22.1	Bain Capital Partnership Strategies Coinvest Fund IV	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	Randolph Street Ventures, L.P. - 2019-75	No			
23.1	Bain Capital Partnership Strategies Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	Randolph Street Ventures, L.P. - 2019-48	No			
24.1	Blackstone Tactical Opportunities Fund III	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
25	Randolph Street Ventures, L.P. - 2020-40	No			
25.1	Iron Park WIN Solutions Long/Short Fund	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
26	Randolph Street Ventures, L.P. - 2020-47	No			
26.1	Oaktree Opportunities Fund XI	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Randolph Street Ventures, L.P. - 2021-14	No			
27.1	Origami Taomo I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
28	Randolph Street Ventures, L.P. - 2018-71	No			
28.1	Sun Capital Partners VII	Yes	\$15,001 - \$50,000		None (or less than \$201)
29	Sankaty CLO Opportunities Coinvestment	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	Bain Capital High Income Partnership	Yes	None (or less than \$1,001)		\$201 - \$1,000
31	Bain Capital Public Equity Global Partners	Yes	None (or less than \$1,001)		None (or less than \$201)
32	BCIP AIV	Yes	\$1,001 - \$15,000		None (or less than \$201)
33	BCIP Associates IV	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
34	BCIP Associates V	Yes	\$15,001 - \$50,000		None (or less than \$201)
35	BCIP Quest AIV	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	BCIP Venture Associates	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
37	BCIP Venture Associates II	Yes	\$50,001 - \$100,000		\$201 - \$1,000
38	Bain Capital Holdings	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
39	CVCIGP II U.S. Employee Fund, L.P.	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
40	Citigroup Capital Partners II U.S. Employee Fund, L.P.	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	First Republic Bank	Exercised Line of Credit	\$100,001 - \$250,000	2021	3.25%	10 years
2	Citibank. N.A.	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2019	3.25%	30 years
3	BNY Mellon	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2017	3%	30 years
4	Barclays Bank	Credit Card	\$10,001 - \$15,000	2021	19.99%	Revolving
5	Citibank, N.A.	Credit Card	\$15,001 - \$50,000	2021	15.24%	Revolving
6	Citibank, N.A.	Personal Loan	\$500,001 - \$1,000,000	2019	1.36%	10 years
7	Randolph Street Investment Partners, L.P. - 2018 PEF	Uncalled Capital Commitment	\$50,001 - \$100,000	2018	N/A	N/A
8	Randolph Street Investment Partners, L.P. - 2018 DIF	Uncalled Capital Commitment	\$100,001 - \$250,000	2018	N/A	N/A
9	Randolph Street Investment Partners, L.P. - 2021 DIF	Uncalled Capital Commitment	\$500,001 - \$1,000,000	2021	N/A	N/A
10	Bain Capital Distressed and Special Situations 2019 (A)	Uncalled Capital Commitment	\$50,001 - \$100,000	2020	N/A	N/A
11	Bain Capital Fund XIII	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
12	Bain Capital Real Estate Fund II-A	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
13	Bain Capital Partnership Strategies Fund	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
14	Blackstone Tactical Opportunities Fund III	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
15	Oaktree Opportunities Fund XI	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
16	Sun Capital Partners VII	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
17	Ares Special Opportunities Fund II	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
18	Bain Capital Life Sciences Fund III	Uncalled Capital Commitment	\$50,001 - \$100,000	2020	N/A	N/A
19	Bain Capital Special Situations Asia II	Uncalled Capital Commitment	\$100,001 - \$250,000	2020	N/A	N/A
20	Iron Park Opportunistic Capital Fund (Onshore)	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
21	Thomas H. Lee Equity Fund IX	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
22	Bain Capital Japan Middle Market Fund	Uncalled Capital Commitment	\$50,001 - \$100,000	2020	N/A	N/A
23	Bain Capital Life Sciences Fund II	Uncalled Capital Commitment	\$15,001 - \$50,000	2020	N/A	N/A
24	Randolph Street Investment Partners, L.P. - 2021 PEF	Uncalled Capital Commitment	\$100,001 - \$250,000	2021	N/A	N/A

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
5.	10	this investment partnership has a portfolio of insurance policies and the S&P 500 Index tracking interests
5.	11	this investment partnership has a portfolio of insurance policies and the S&P 500 Index tracking interests

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).
