

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

### Filer's Information

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Farrar, Douglas L

Director, Office of Public Affairs, Federal Trade Commission, Federal Trade Commission

Report Year: 2024

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Farrar, Douglas L [electronically signed on 05/03/2024 by Farrar, Douglas L in Integrity.gov]

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Pankey, Lorielle L, Certifying Official [electronically signed on 06/27/2024 by Pankey, Lorielle L in Integrity.gov]

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Other review conducted by

/s/ Bannon, Craig, Ethics Official [electronically signed on 06/27/2024 by Bannon, Craig in Integrity.gov]

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Data Revised 06/27/2024

Data Revised 06/26/2024

Data Revised 06/22/2024

Data Revised 06/21/2024

Data Revised 06/03/2024

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Carnegie Endowment for International Peace, defined contribution plan:	No			
1.1	T Rowe Price Blue Chip Growth Fund, Inc (TRBCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	T Rowe Price Retirement 2050 Fund (TRRMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	IRA #1	No		cash distributions	\$45,000
2.1	Athene Holding Ltd. (ATH.PrB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Axis Capital Holdings Ltd. (AXS.PRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Ford Motor (FPRC), note	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Altria Group (MO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	AT&T (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	Bank of Nova Scotia (BNS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.7	FedEx Corp. (FDX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.8	International Business Machines (IBM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.9	International Paper (IP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Merck and Co (MRK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.11	Newmont Corporation (NEM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Pfizer inc (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	Phillips 66 SHS (PSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	RTX Corp (RTX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.15	Salesforce (CRM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.16	Sanofi ADR (SNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	Siemens (SIEGY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.18	Sony Group Corp (SONY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.19	Splunk (SPLK)	See Endnote	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.20	Tesla Inc (TSLA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.21	TJX Cos. Inc. (TJX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.22	Unilever PLC (UL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	Verizon Communications (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	iShares 0-5 Tips Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.25	Federated Hermes Government Obligations Fund (GOVXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	Adobe Inc (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	Alcon SA ACT (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	Amazon Com (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.29	Apple Inc (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.30	Aptiv PLC (APTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	ASML Hldg NV (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.32	Atlassian Corp (TEAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.33	BCE Inc (BCE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.34	Broadcom Inc (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.35	Chevron Corp (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.36	Chubb LTD (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.37	Cisco Systems Inc (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.38	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.39	Comcast Corp (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.40	Conocophillips (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.41	Crown Castle Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.42	Diageo PLC (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.43	Dow Inc (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.44	Duke Energy Corp (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.45	Eaton Corp (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.46	Eli Lilly & Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.47	Equinix Inc (EQIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.48	Exxon Mobil Corp (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.49	General Dynamics (GD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.50	Genuine Parts Co (GPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.51	Healthpeak Properties Inc. (DOC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.52	Intel Corp (INTC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.53	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.54	Intuit Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.55	Intuitive Surgical Inc (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.56	Johnson and Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.57	Johnson Controls Inter (JCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.58	JPMorgan Chase (JPM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.59	Kenvue Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.60	Estee Lauder Cos Inc (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.61	Lowe's Companies Inc (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.62	Marsh & McLennan Cos (MMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.63	Medtronic PLC (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.64	Meta Platforms Inc (META)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.65	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.66	Monster Beverage (MNST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.67	Morgan Stanley (MS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.68	Netflix Com (NFLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.69	Nextera Energy Inc (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.70	Nike Inc (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.71	Novartis ADR (NVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.72	Nvidia (NVDA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.73	Palo Alto Networks Inc (PANW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.74	Paypal Holdings (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.75	Philip Morris Intl Inc (PM)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.76	PNC Financial Services Group (PNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.77	S&P Global Inc (SPGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.78	Sherwin Williams (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.79	Stryker Corp (SYK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.80	Target Corp (TGT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.81	Thermo Fisher Scientific (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.82	Travelers Cos (TRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.83	Truist Finl Corp (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.84	Uber Technologies (UBER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.85	Union Pacific Corp (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.86	United Parcel Service (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.87	United Health Group (UNH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.88	VICI Properties, Inc. (VICI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.89	Visa Inc (V)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.90	W W Grainger Inc (GWW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.91	Workday Inc (WDAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.92	Zoetis Inc (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.93	U.S. brokerage account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Carnegie Endowment for International Peace	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	2/2019

### 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	Urban Compass Inc.	N/A		Fees for real estate agent services.	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	TIAA-CREF Lifecycle 2045 Fund Retirement Class Shares (TFRX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank Account #1 (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	US Bank Account #2 (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Bitcoin (Coinbase)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	DC College Savings Plan	No			
4.1	2034 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	2037 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Tractor Supply Co. (TSCO)	Purchase	01/03/2023	\$1,001 - \$15,000
2	Marsh & McLennan Cos., Inc. (MMC)	Purchase	02/01/2023	\$1,001 - \$15,000
3	NextEra Energy, Inc. (NEE)	Purchase	02/10/2023	\$1,001 - \$15,000
4	Zoetis, Inc. (ZTS)	Sale	02/22/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
5	Eli Lilly & Co. (LLY)		Purchase	03/01/2023	\$1,001 - \$15,000
6	3M Co. (MMM)		Sale	03/23/2023	\$1,001 - \$15,000
7	General Dynamics Corp. (GD)		Purchase	03/23/2023	\$1,001 - \$15,000
8	Cisco Systems, Inc. (CSCO)		Purchase	03/23/2023	\$1,001 - \$15,000
9	Comcast Corp. (CMCSA)		Purchase	03/23/2023	\$1,001 - \$15,000
10	Dow, Inc. (DOW)		Purchase	03/24/2023	\$1,001 - \$15,000
11	iShares 0-5 Year TIPS Bond ETF (STIP)		Sale	04/03/2023	\$1,001 - \$15,000
12	Apple, Inc. (AAPL)		Purchase	04/12/2023	\$1,001 - \$15,000
13	Allstate	See Endnote	Sale	04/17/2023	\$1,001 - \$15,000
14	Dominion Energy, Inc. (D)	See Endnote	Sale	04/20/2023	\$1,001 - \$15,000
15	VICI Properties, Inc. (VICI)		Purchase	04/20/2023	\$1,001 - \$15,000
16	Estee Lauder Cos. (EL)		Purchase	05/04/2023	\$1,001 - \$15,000
17	Intuit, Inc. (INTU)		Purchase	05/23/2023	\$1,001 - \$15,000
18	Zoetis, Inc. (ZTS)		Sale	06/23/2023	\$1,001 - \$15,000
19	NVIDIA Corp. (NVDA)		Sale	06/27/2023	\$1,001 - \$15,000
20	Palo Alto Networks, Inc. (PANW)		Sale	07/13/2023	\$1,001 - \$15,000
21	Adobe, Inc. (ADBE)		Purchase	07/19/2023	\$1,001 - \$15,000
22	Union Pacific Corp. (UNP)		Purchase	07/26/2023	\$1,001 - \$15,000
23	Stryker Corp. (SYK)		Sale	07/27/2023	\$1,001 - \$15,000
24	Union Pacific Corp. (UNP)		Purchase	07/31/2023	\$1,001 - \$15,000
25	Eaton Corp. Plc (ETN)		Sale	07/31/2023	\$1,001 - \$15,000
26	Visa, Inc. (V)		Sale	08/11/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
27	Broadcom, Inc. (AVGO)	Sale	08/16/2023	\$1,001 - \$15,000
28	Sea Limited American Depositary Shares each representing one Class A Ordinary Share (SE)	Sale	08/21/2023	\$1,001 - \$15,000
29	META	Purchase	08/23/2023	\$1,001 - \$15,000
30	NIKE, Inc. (NKE)	Sale	09/05/2023	\$1,001 - \$15,000
31	Target Corp. (TGT)	Purchase	09/05/2023	\$1,001 - \$15,000
32	Johnson & Johnson (JNJ)	Purchase	09/07/2023	\$1,001 - \$15,000
33	Target Corp. (TGT)	Purchase	09/07/2023	\$1,001 - \$15,000
34	Kimberly-Clark Corp. (KMB)	Sale	09/07/2023	\$1,001 - \$15,000
35	Kimberly-Clark Corp. (KMB)	Sale	09/08/2023	\$1,001 - \$15,000
36	Marsh & McLennan Cos., Inc. (MMC)	Sale	09/18/2023	\$1,001 - \$15,000
37	Target Corp. (TGT)	Purchase	09/20/2023	\$1,001 - \$15,000
38	META	Purchase	09/22/2023	\$1,001 - \$15,000
39	S&P Global, Inc. (SPGI)	Sale	09/22/2023	\$1,001 - \$15,000
40	Splunk, Inc. (SPLK)	Sale	09/25/2023	\$1,001 - \$15,000
41	Boston Properties, Inc. (BXP)	Sale	10/02/2023	\$1,001 - \$15,000
42	Crown Castle International Corp. (CCI)	Purchase	10/02/2023	\$1,001 - \$15,000
43	Boston Properties, Inc. (BXP)	Sale	10/03/2023	\$1,001 - \$15,000
44	NVIDIA Corp. (NVDA)	Sale	10/04/2023	\$1,001 - \$15,000
45	Unity Software Inc. Common Stock (U)	Sale	10/16/2023	\$1,001 - \$15,000
46	Intercontinental Exchange, Inc. (ICE)	Purchase	10/19/2023	\$1,001 - \$15,000
47	NVIDIA Corp. (NVDA)	Sale	10/23/2023	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	NVIDIA Corp. (NVDA)	Sale	10/25/2023	\$1,001 - \$15,000
49	Target Corp. (TGT)	Purchase	10/25/2023	\$1,001 - \$15,000
50	DexCom, Inc. (DXCM)	Sale	10/27/2023	\$1,001 - \$15,000
51	DexCom, Inc. (DXCM)	Sale	10/30/2023	\$1,001 - \$15,000
52	Estee Lauder Cos. (EL)	Purchase	11/10/2023	\$1,001 - \$15,000
53	The PNC Financial Services Group, Inc. (PNC)	Purchase	12/08/2023	\$1,001 - \$15,000
54	Duke Energy Corp. (DUK)	Purchase	12/08/2023	\$1,001 - \$15,000
55	Truist Financial Corporation Common Stock (TFC)	Purchase	12/08/2023	\$1,001 - \$15,000
56	Siemens AG ADR	Sale	12/11/2023	\$1,001 - \$15,000
57	Broadcom, Inc. (AVGO)	Sale	12/13/2023	\$1,001 - \$15,000
58	Workday, Inc. (WDAY)	Purchase	12/13/2023	\$1,001 - \$15,000
59	VICI Properties, Inc. (VICI)	Purchase	12/14/2023	\$1,001 - \$15,000
60	Uber Technologies, Inc. (UBER)	Sale	12/14/2023	\$1,001 - \$15,000
61	salesforce.com, inc. (CRM)	Sale	12/14/2023	\$1,001 - \$15,000
62	AT&T	Purchase	12/20/2023	\$1,001 - \$15,000
63	Broadcom, Inc. (AVGO)	Sale	12/20/2023	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

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### Endnotes

PART	#	ENDNOTE
2.	2.19	On 3/18/24, Cisco acquired Splunk and Splunk stock ceased trading on NASDAQ prior to opening of trading that day. As a result, a sale of the Splunk stock occurred on 3/18/24 and it was reported on a 278-T report.
7.	13	This asset (which was held in the IRA) was not reported on the prior annual report filed in 2023 (for reporting period covering 2022) because the value was less than \$1,000 as of 12/31/22. In 2023, the value increased above \$1,000 due to market fluctuations, and then the asset was sold-off in this 2023 transaction.
7.	14	This asset (which was held in the IRA) was not reported on the prior annual report filed in 2023 (for reporting period covering 2022) because the value was less than \$1,000 as of 12/31/22. In 2023, the value increased above \$1,000 due to market fluctuations, and then the asset was sold-off in this 2023 transaction.

# 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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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

5 U.S.C. § 13101 et seq., 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 5 U.S.C. §§ 13107 and § 13122(b)(1) 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 13989 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) 250 E Street, S.W., Suite 750, Washington, DC 20024-3249.

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 (that control number 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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