

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

## Filer's Information

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KOLLURI, LOPA

Principal DAS, Department of Housing and Urban Development

Date of Appointment: 02/16/2021

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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/ KOLLURI, LOPA [electronically signed on 03/04/2021 by KOLLURI, LOPA 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/ Allen, Lindsey, Certifying Official [electronically signed on 03/18/2021 by Allen, Lindsey in Integrity.gov]

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Other review conducted by

/s/ ADOUNVO, ELAN, Ethics Official [electronically signed on 03/17/2021 by ADOUNVO, ELAN in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Report Amended After Review Concluded.

Data Revised 04/23/2021

Data Revised 03/30/2021

Data Revised 03/18/2021

Data Revised 03/17/2021

Data Revised 03/10/2021

Data Revised 03/09/2021

Data Revised 03/08/2021

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(04/08/2021, Allen, Lindsey): Part 6 amended to include accounts inadvertently ommitted.

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Philadelphia Housing Authority	Philadelphia, Pennsylvania	Government	Senior Vice President & Chief Operating Officer	4/2017	2/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Philadelphia Housing Authority	N/A		Salary/Bonus	\$213,830
2	Wells Fargo Defined Contribution Plan	No			
2.1	Target Maturity T. Rowe Price Retirement I 2030 I (TRRCX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3	VOYA Defined Contribution Plan	No			
3.1	Voya Fixed Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Voya Balanced Portfolio I (IBPIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	Voya Index Plus LargeCap Portfolio I (IPLIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.4	Fidelity VIP Eqty-Income Port I (FLOLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5	Fidelity VIP Contrafund Port I (FAVCF)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
4	TIAA/CREF	Yes			
4.1	CREF Growth R1 (QCGRRX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	CREF Equity Index R1 (QCEQRX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.3	CREF Global Equities R1 (QCGLRX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5	Merill Lynch - IRA	No			
5.1	Communication Services Select Sector SPDR Fund (XLC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.2	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.3	First Trust Cloud Computing ETF (SKYY)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.4	First Trust Dow Jones Internet Index Fund (FDN)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.5	Health Care Select Sector SPDR Fund (XLV)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.6	iShares Nasdaq Biotechnology ETF (IBB)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.7	REAL ESTATE SELECT SECTOR SPDR FD SHS (XLRE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	SPDR US FINANCIAL SECTOR ETF (XLF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.10	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.12	VANGUARD INTERMDIATE-TERM CORPORATE BOND (VCIT)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.13	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.14	VANGUARD TOTAL BOND MKT (BND)	N/A	\$15,001 - \$50,000		\$2,501 - \$5,000
5.15	BANK OF AMERICA, NA RASP (IIAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.16	PROSHARES ONLINE RETAIL ETF SHS (ONLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.17	VANGUARD TOTAL INTL STK ETF (VXUS)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
5.18	SCHWAB U.S. LARGE-CAP VA ETF (SCHV)	Yes	\$100,001 - \$250,000		\$100,001 - \$1,000,000
5.19	LOOMIS SAYLES STRATEGIC INC FD CL Y (NEZYX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New Jersey Housing and Mortgage Finance Agency	Trenton, New Jersey	This retirement account is still housed at and managed by the Plan Sponsor's retirement fund manager (VOYA), but neither I nor the sponsor make contributions towards this account.	1/2003
2	Philadelphia Housing Authority	Philadelphia, Pennsylvania	This retirement account is still housed at and managed by the Plan Sponsor's retirement fund manager (Wells Fargo), but neither I nor the sponsor make contributions towards this account.	4/2017
3	Cooperative Housing Foundation	Silver Spring, Maryland	This retirement account is still housed at and managed by the Plan Sponsor's retirement fund manager (TIAA-CREF), but neither I nor the sponsor make contributions towards this account.	6/1997

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Philadelphia Housing Authority	Philadelphia, Pennsylvania	Served as the Senior Vice President & Chief Operating Officer

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Cooper's Ferry Partnership	N/A		Salary	
2	CBS Outdoor Group	N/A		consulting fees	
3	Merill Lynch - IRA	No			
3.1	IIAXX BANK OF AMERICA, NA RASP	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
3.2	Apple, Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends Capital Gains Interest	\$50,001 - \$100,000
4	Fidelity Investments - Defined Contribution PPlan	No			
4.1	AF Trgt Date 2035 R2	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5	State of New Jersey, defined benefit plan	N/A	\$50,001 - \$100,000		None (or less than \$201)
6	Merill Lynch - Managed IRA	No			
6.1	IIAXX BANK OF AMERICA, NA RASP	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
6.2	iShares Core High Dividend ETF (HDV)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3	PROSHARES ONLINE RETAIL ETF SHS (ONLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	Vanguard Materials Index Fund ETF Shares (VAW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	Vanguard Consumer Staples Index Fund ETF Shares (VDC)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.6	iShares Nasdaq Biotechnology ETF (IBB)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.7	SPDR US FINANCIAL SECTOR ETF (XLF)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.8	Health Care Select Sector SPDR Fund (XLV)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
6.9	Vanguard Industrials Index Fund ETF Class Shares (VIS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	VANGUARD TOTAL BOND MKT (BND)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.11	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.12	First Trust Dow Jones Internet Index Fund (FDN)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.13	First Trust Cloud Computing ETF (SKYY)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.14	Communication Services Select Sector SPDR Fund (XLC)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
6.15	VANGUARD INTRMEDIATE-TERM CORPORATE BOND (VCIT)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.16	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
6.17	VANGUARD TOTAL INTL STK ETF (VXUS)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
6.18	SCHWAB U.S. LARGE-CAP VA ETF (SCHV)	Yes	\$100,001 - \$250,000		\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.19	Real Estate SELECT SPDR	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.20	LOOMIS SAYLES STRATEGIC INC FD CL Y (NEZYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Merill Lynch - Non-Retirement Investment Account	No			
1.1	ML BANK DEPOSIT PROGRAM	N/A	\$15,001 - \$50,000		\$5,001 - \$15,000
1.2	iShares Short-Term National Muni Bond ETF (SUB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3	VANGUARD 500 INDEX FUND SHS ETF (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	COLUMBIA EMERGING MKTS CONSUMER ETF (ECON)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
1.5	iShares Core High Dividend ETF (HDV)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.6	iShares Nasdaq Biotechnology ETF (IBB)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.7	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.8	Consumer Discretionary Select Sector SPDR Fund (XLY)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.9	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	Nuveen New Jersey Quality Municipal Income Fund (NXJ)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
1.11	New Perspective Fund Class F2 Shares (ANWFX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.12	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	645918B85 NEW JERSEY ECONOMIC DEV AUTH REV SCH FACS GG OID FEB11 05.000%SEP01 2022	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
1.14	NEW JERSEY ECONOMIC DEV AUTH REV AUTH REV SCH FACS SER EE JAN11 05.000%SEP01 2021 MOODY'S: BAA1 S&P: BBB+ CUSIP: 645918ZS5	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
1.15	NEW JERSEY ST TRANSN TRFD AUTH TRANSN B NPFJ JAN05 05.500%DEC15 2020 MOODY'S: BAA1 S&P: BBB+ CUSIP: 6461355Q2	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
1.16	BRICK TWP NJ GO REF BDS2012 MAY12 04.000%NOV01 2022 MOODY'S: AA2 S&P: *** CUSIP: 107889RG4	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
1.17	NEW JERSEY ST EDL FACS AUTH REV REV REF A OID JUN11 04.000%JUL01 2023 MOODY'S: BAA1 S&P: BBB+ CUSIP: 646065U59	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
1.18	GARDEN ST NJ PRESRV TROPEN REF BDS SER A APR12 04.000%NOV01 2023 MOODY'S: A3 S&P: BBB CUSIP: 365418EH1	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
1.19	NEW JERSEY ST GO BDS DEC16 05.000%JUN01 2024 MOODY'S: A3 S&P: BBB+ CUSIP: 646039WM5	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
1.20	NEW JERSEY ST GO BDS MAY13 04.000%JUN01 2024 MOODY'S: A3 S&P: BBB+ CUSIP: 646039UF2	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.21	SP500 CLIRN ISSUER WFC (MLVOQ)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.22	SP500 STEPUP ISSUER WFC (MLUOQ)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.23	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.24	Pinterest, Inc. (PINS)	See Endnote	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
1.25	GILEAD SCIENCES INC COM (GILD)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.26	Apple, Inc. (AAPL)		N/A	\$100,001 - \$250,000	Dividends Capital Gains Interest	\$50,001 - \$100,000
1.27	ALIBABA GROUP HOLDING LT (BABA)		N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.28	ML DIRECT DEPOSIT PROGRAM		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
1.29	CASH		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
1.30	Amazon.com, Inc. (AMZN)		N/A	\$100,001 - \$250,000	Capital Gains	\$50,001 - \$100,000
1.31	Netflix, Inc. (NFLX)		N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.32	GOODRX HOLDINGS INC REG (GDRX)		N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
1.33	Mastercard, Inc. (MA)		N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
1.34	NVIDIA Corp. (NVDA)		N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
1.35	SALESFORCE COM INC (CRM)		N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.36	SQUARE INC SHS CL A (SQ)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.37	Uber Technologies, Inc. (UBER)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
2	Locale	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
3	Palantir Technologies Investment (PLNTR)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
4	529 Account #1	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.1	AMCAP Fund Class A Shares (AMCPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.2	AMCAP FUND CL C (AMPCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	CAP WORLD GRW & INC FD A (CWGIX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
4.4	INTR BD FD OF AMER A (AIBAX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
5	529 Account #2	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.1	AMCAP Fund Class A Shares (AMCPX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
5.2	CAP WORLD GRW & INC FD A (CWGIX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.3	INTR BD FD OF AMER A (AIBAX)	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
6	Uniform Gifts to Minors Act #1	No	\$15,001 - \$50,000	Capital Gains Dividends Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
6.1	ML Bank Deposit Program	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000	
6.2	Abbott Laboratories (ABT)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000	
6.3	ABBVIE INC SHS (ABBV)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000	
6.4	Cisco Systems, Inc. (CSCO)	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)	
6.5	VANGUARD TOTAL STK MKT (VTI)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500	
6.6	VANGUARD INTRMDIATE-TERM (VCIT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
6.7	VANGUARD TOTAL INTL STK (VXUS)	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
7	Uniform Gifts to Minors Act #2	No	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000	
7.1	ML Bank Deposit Program	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)	
7.2	DISNEY (WALT) CO COM STK (DIS)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500	
7.3	VANGUARD TOTAL STK MKT (VTI)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000	
7.4	VANGUARD INTRMDIATE-TERM (VCIT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
7.5	VANGUARD TOTAL INTL STK (VXUS)	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
8	U.S. Bank #1 (cash)	N/A	\$50,001 - \$100,000		\$201 - \$1,000	
9	U.S. Bank #2 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)	
10	Centerline LLC	No				
10.1	PHX 48TH BROADWAY INVESTMENT LLC	See Endnote	No	\$15,001 - \$50,000	Interest	None (or less than \$201)

## 7. Transactions

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

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## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

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

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## Endnotes

PART	#	ENDNOTE
6.	1.23	Position liquidated
6.	1.24	Position liquidated
6.	1.25	Position liquidated
6.	10.1	Home 2 suites by Hilton, Phoenix, AZ.

# 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).

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