

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

Filer's Information

Santoro, Karen

Designated Agency Ethics Official, National Science Foundation

Report Year: 2021

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/ Santoro, Karen [electronically signed on 05/17/2021 by Santoro, Karen in Integrity.gov] - Filer received a 30 day filing extension.

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/ Clay, Robin, Certifying Official [electronically signed on 05/21/2021 by Clay, Robin in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 05/25/2021 by Granahan, Megan in Integrity.gov]

Data Revised 05/21/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Santoro Grandchildren Trust	Cleveland, Ohio	Trust	trustee	1/2007	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	FBB/Charles Schwab Rollover IRA	See Endnote			
1.1	AbbVie, Inc. (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	Baxter International, Inc. (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.9	Berkshire Hathaway Inc. (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	Church & Dwight Co., Inc. (CHD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Clorox Co (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Eli Lilly & Co. (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	H&R Block, Inc. (HRB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Iberdrola SA (IBDSF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.18	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.19	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	The Este Lauder Companies, Inc. (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	Linde Plc (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Lowe's Corporation (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.24	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	NIKE, Inc. (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.28	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.29	The PNC Financial Services Group, Inc. (PNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	Progressive Corp. (PGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	Roper Technologies, Inc. (ROP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	salesforce.com, inc. (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	Sony Corporation ADR (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	The TJX Cos., Inc. (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.37	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.38	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.39	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.40	Xcel Energy, Inc. (XEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.41	Hasbro Inc. 11/19/2026; 3.550%; Call 9/19/2026	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.42	iShares Barclays Aggregate Bond Fund (AGG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.43	iShares Barclays TIPS Bond Fund (TIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.44	iShares iBonds Dec 2022 Term Corporate ETF (IBDN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.45	iShares iBonds Dec 2023 Term Corporate ETF (IBDO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.46	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.47	iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.48	iShares iBonds Dec 2026 Term Corporate ETF (IBDR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.49	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.50	iShares US Preferred Index (PFF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.51	SPDR Bloomberg Barclays Short Term High Yield Bond ETF (SJNK)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.52	SPDR Bloomberg Barclays Convertible Securities ETF (CWB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.53	Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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	AFL-CIO	N/A		salary	
2	Charles Schwab IRA				
2.1	Clorox	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Intel Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Johnson & Johnson	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Lowes Companies	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Microsoft	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Nike	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	Pfizer	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Raytheon Technologies (RTX)	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
2.9	Verizon	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	ishares TR Barclays Bond Fund 3-7 r Treasury Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Alphabet Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Apple Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.13	Danaher	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	PNC Financial Services	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	United Health Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	Visa	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	ishares 7-10 yr Treasury Bond ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	SPDR Barclays CNV Securities ETF (CWB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.19	iShares Core US Aggregate Bond ETF (AGG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.20	iShares iBOXX Investment Grade Bond ETF (LQD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.21	iShares Tips Bond ETF (TIPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	iShares US Preferred ETF (PFF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	NextEra Energy Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	TJX Companies	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	American Tower Corp REIT	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	iShares Core S&P Mid Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.27	ishares Russell 2000 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.28	SPDR Bloomberg Barclay Short Term High Yld Bond ETF (SJNK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.29	Accenture PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.30	Berkshire Hathaway B	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	Church & Dwight Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.32	Honeywell	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.33	PepsiCo Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.34	Wells Fargo & Company 5.7% PFD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.35	Amazon	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.36	Chevron	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.37	Facebook	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.38	Roper industries	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.39	Linde, PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.40	Progressive Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.41	Xcel Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.42	Eli Lilly	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.43	Estee Lauder	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.44	Union Pacific	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.45	Salesforce Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.46	AbbVie, Inc. (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.47	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.48	Baxter International, Inc. (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.49	H&R Block, Inc. (HRB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.50	Iberdrola SA (IBDSF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.51	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.52	Sony Corporation (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.53	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.54	iShares iBonds Dec 2023 Term Corporate ETF (IBDO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.55	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.56	iShares iBonds Dec 2025 Term Corporate ETF (IBDQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.57	iShares iBonds Dec 2026 Term Corporate ETF (IBDR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.58	iShares iBonds Dec 2027 Term Corporate ETF (IBDS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.59	Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	John Hancock Venture Annuity - Lifestyle Growth Portfolio	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2	Mass Mutual Whole Life Policy	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
3	Citibank Cash Accounts	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Wells Fargo Cash Accounts	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Santoro Grandchildren Trust Hartford Leaders Access Variable Annuity				
5.1	hartford total return bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	hartford capital Appreciation	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	hartford dividend and growth	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Cme Group Inc A	Sale	03/04/2020	\$1,001 - \$15,000
2	Progressive Corp (PGR)	Purchase	03/26/2020	\$1,001 - \$15,000
3	Fortive Corp Disc	Sale	04/08/2020	\$1,001 - \$15,000
4	Roper Technologies	Purchase	04/14/2020	\$1,001 - \$15,000
5	Salesforce Com	Purchase	04/15/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
6	JP Morgan Chase & C	Sale	04/16/2020	\$1,001 - \$15,000
7	Fortive Corp Disc	Sale	04/08/2020	\$1,001 - \$15,000
8	JP Morgan Chase & C	Sale	04/16/2020	\$1,001 - \$15,000
9	Salesforce Com	Purchase	04/15/2020	\$1,001 - \$15,000
10	Intel Corp (INTC)	Purchase	04/24/2020	\$1,001 - \$15,000
11	ISHARES Russell 2000 ETF	Purchase	04/27/2020	\$1,001 - \$15,000
12	Alphabet Inc. A	Purchase	04/27/2020	\$1,001 - \$15,000
13	ISHARES Core S&P Mid Cap ETF	Purchase	04/27/2020	\$1,001 - \$15,000
14	McDonalds Corp	Purchase	04/30/2020	\$1,001 - \$15,000
15	TJX Companies	Sale	04/29/2020	\$1,001 - \$15,000
16	Adobe Inc	Purchase	05/08/2020	\$1,001 - \$15,000
17	McDonalds Corp	Purchase	04/30/2020	\$1,001 - \$15,000
18	Adobe Inc	Purchase	05/08/2020	\$1,001 - \$15,000
19	Baxter International, Inc. (BAX)	Purchase	06/24/2020	\$1,001 - \$15,000
20	Baxter International	Purchase	06/24/2020	\$1,001 - \$15,000
21	Extra Space Storage REIT	Sale	09/09/2020	\$1,001 - \$15,000
22	Church & Dwight Co (CHD)	Sale	08/26/2020	\$1,001 - \$15,000
23	Extra Space Storage REIT (EXR)	Sale	09/09/2020	\$1,001 - \$15,000
24	H&R Block, Inc. (HRB)	Purchase	09/17/2020	\$1,001 - \$15,000
25	Salesforce Com	Sale	09/23/2020	\$1,001 - \$15,000
26	Block H & R Inc	Purchase	09/01/2020	\$1,001 - \$15,000
27	Lilly Eli & Co	Purchase	09/24/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
28	Salesforce Com	Sale	09/23/2020	\$1,001 - \$15,000
29	Lilly Eli & Co. (LLY)	Purchase	09/24/2020	\$1,001 - \$15,000
30	ISHARES Preferred Income SEC ETF	Purchase	10/07/2020	\$1,001 - \$15,000
31	ISHARES IBONDS Dec 2023Term Corporate ETF	Purchase	10/07/2020	\$1,001 - \$15,000
32	ISHARES IBONDS Dec 2024 Term Corporate ETF	Purchase	10/07/2020	\$1,001 - \$15,000
33	iShares iBonds Dec 2026 Term Corporate ETF (IBDR)	Purchase	10/07/2020	\$15,001 - \$50,000
34	ISHARES IBONDS Dec 2025 Yerm Corporate ETF	Purchase	10/07/2020	\$1,001 - \$15,000
35	Shares IBOXX INVT Grade Bond ETF	Sale	10/07/2020	\$1,001 - \$15,000
36	Shares Ibonds Dec 2023 Term Corporate ETF	Purchase	10/07/2020	\$1,001 - \$15,000
37	Shares Ibonds Dec 2026 Term Coepora	Purchase	10/07/2020	\$1,001 - \$15,000
38	Shares Bonds Dec 2025 Term Corporate ETF	Sale	10/07/2020	\$1,001 - \$15,000
39	ISahres I bonds Dec 2024 Term Corporate ETF	Purchase	10/07/2020	\$1,001 - \$15,000
40	Shares I bonds Dec 2027 Term Corp ETF	Purchase	10/07/2020	\$1,001 - \$15,000
41	Sony Corp ADR	Purchase	11/05/2020	\$1,001 - \$15,000
42	Abbvie Inc	Purchase	11/10/2020	\$1,001 - \$15,000
43	Abbvie Inc	Purchase	11/10/2020	\$1,001 - \$15,000
44	U.S. Bancorp (USB)	Purchase	11/11/2020	\$1,001 - \$15,000
45	Sony Corp ADR	Purchase	11/05/2020	\$1,001 - \$15,000
46	Iberdrola S A New ORD F	Purchase	11/12/2020	\$1,001 - \$15,000
47	IBERDROLA S A New Ord F	Purchase	11/12/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
48	AbbVie, Inc. (ABBV)		Purchase	11/10/2020	\$1,001 - \$15,000
49	U.S. Bancorp (USB)		Purchase	11/11/2020	\$1,001 - \$15,000
50	SPDR BLMBRGRCLY TRM HGH ETF		Purchase	12/02/2020	\$1,001 - \$15,000
51	US Bancorp		Purchase	12/09/2020	\$1,001 - \$15,000
52	US Bancorp		Purchase	12/09/2020	\$1,001 - \$15,000
53	Hasbro Inc unsecured note coupon	See Endnote	Purchase	01/31/2020	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	Filer rolled her TSP into a managed account January, 2020
5.	2.8	Formerly reported as United Technologies - Raytheon and United Merged
7.	53	There were multiple purchases on 1/31/20 by the broker when filer set up her IRA. She inadvertently skipped this purchase. NSF has waived the 200 late filing fee for this 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 \$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).
