

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

## Filer's Information

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Asselta, Jane

RD-New Jersey State Director, Department of Agriculture

Date of Appointment: 03/14/2022

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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/ Asselta, Jane [electronically signed on 04/12/2022 by Asselta, Jane 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/ Lewis, Patricia, Certifying Official [electronically signed on 04/12/2022 by Lewis, Patricia in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Asselta & Company	See Endnote	Collingswood, New Jersey	Corporation	President	5/1999	3/2022

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Asselta & Company IRA	See Endnote	No	\$15,001 - \$50,000		\$1,001 - \$2,500
1.1	ISH USD HIGH YIELD CORPORATE BOND ETF SH		No	None (or less than \$1,001)	Dividends Capital Gains Interest	None (or less than \$201)
1.2	ISHARES RUSSELL 1000 GROWTH		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.3	ISHARES RUSSELL 1000 VALUE		No	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)
1.4	ISHARES TR CORE MSCI EAF ETF		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.5	SCHWAB US SMALL-CAP ETF		No	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)
1.6	VANGUARD INTRMEDIATE-TERM CORPORATE BOND		No	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)
1.7	BLACKROCK EQTY DIVIDEND FUND INSTL		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.8	CLEARBRIDGE LARGE CAP GROWTH FUND CL I		No	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	DELAWARE SMALL CAP CORE FUND CL INSTL		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.10	EDGEWOOD GROWTH FUND CL INST		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.11	GS GQG PARTNERS INTL OPPTS FD CL INSTL		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.12	MFS VALUE FD CL I		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
1.13	OAKMARK INTL FD CL INSTITUTIONAL		No	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)
1.14	T ROWE PRICE EMERGING MARKETS STOCK FD INV CL		No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
2	Morgan Stanley Traditional Inherited IRA	See Endnote	No	\$100,001 - \$250,000		\$5,001 - \$15,000
2.1	Morgan Stanley Private Bank (BDPS)		No	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.2	PIMCO Active Bond Exchange-Traded Fund (BOND)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.3	iShares Preferred and Income Securities ETF (PFF)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.4	iShares TIPS Bond ETF (TIP)		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.5	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.6	Vanguard Index FDS S&P 500 ETF		No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.7	Delaware Value Fund Institutional Class Shares (DDVIX)		No	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	Lord Abbett Growth Leaders Fund Class I Shares (LGLIX)	No	\$15,001 - \$50,000	Capital Gains Dividends	None (or less than \$201)
3	Asselta & Company SEP	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
3.1	ISH USD HIGH YIELD CORPORATE BOND ETF SH	No	None (or less than \$1,001)	Dividends Capital Gains Interest	None (or less than \$201)
3.2	ISHARES RUSSELL 1000 GROWTH	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
3.3	ISHARES RUSSELL 1000 VALUE	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
3.4	ISHARES TR CORE MSCI EAF ETF	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
3.5	SCHWAB US SMALL-CAP ETF	No	None (or less than \$1,001)	Dividends Capital Gains Interest	None (or less than \$201)
3.6	VANGUARD INTRMDIATE-TERM CORPORATE BOND	No	None (or less than \$1,001)	Dividends Capital Gains Interest	None (or less than \$201)
3.7	BLACKROCK EQTY DIVIDEND FUND INSTL	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
3.8	CLEARBRIDGE LARGE CAP GROWTH FUND CL I	No	None (or less than \$1,001)	Dividends Capital Gains Interest	None (or less than \$201)
3.9	DELAWARE SMALL CAP CORE FUND CL INSTL	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.10	EDGEWOOD GROWTH FUND CL INST		No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
3.11	GS GQG PARTNERS INTL OPPS FD CL INSTL		No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
3.12	MFS VALUE FD CL I		No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
3.13	OAKMARK INTL FD CL INSTITUTIONAL		No	None (or less than \$1,001)	Dividends Capital Gains Interest	None (or less than \$201)
3.14	T ROWE PRICE EMERGING MARKETS STOCK FD INV CL		No	\$1,001 - \$15,000	Dividends Capital Gains Interest	None (or less than \$201)
4	Morgan Stanley Active Assets Account	See Endnote	No	\$100,001 - \$250,000		
4.1	Morgan Stanley Private Bank (BDPS)		No	\$1,001 - \$15,000	Interest	None (or less than \$201)
4.2	PIMCO Active Bond Exchange-Traded Fund (BOND)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.3	iShares Preferred and Income Securities ETF (PFF)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.4	iShares TIPS Bond ETF (TIP)		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.5	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.6	Vanguard Index FDS S&P 500 ETF		No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5	Asselta & Company Profit Sharing Plan	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	ABBOTT LABS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.2	ABBVIE INC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.3	AIR PRODUCTS&CHEM	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.4	ALIBABA GROUP HOLDING LT	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.5	ALPHABET INC SHS CL A	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.6	ALPHABET INC SHS CL C	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.7	AMAZON COM INC COM	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.8	AMERICAN TOWER REIT INC (HLDG CO) SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.9	AUTODESK INC DEL PV\$0.01	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.10	AUTOMATIC DATA PROC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.11	BEST BUY CO INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.12	BLACKROCK INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.13	BLOCK INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.14	BOEING COMPANY	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.15	BROADCOM INC	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.16	CHEVRON CORP	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.17	CISCO SYSTEMS INC COM	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.18	COMCAST CORP NEW CL A	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.19	CORNING INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.20	CROWN CASTLE REIT INC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.21	DEERE CO	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.22	DISNEY (WALT) CO COM STK	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.23	EATON CORP PLC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.24	ELI LILLY & CO	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.25	EVERSOURCE ENERGY COM	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.26	EXPEDITORS INTL WASH INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.27	FACTSET RESH SYS INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.28	HOME DEPOT INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.29	ILLINOIS TOOL WORKS INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.30	ILLUMINA INC COM	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.31	INTUITIVE SURGICAL INC NEW	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.32	ISH USD HIGH YIELD CORPORATE BOND ETF SH	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.33	ISHARES INC CORE MSCI EMERGING MKTS ETF	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.34	ISHARES RUSSELL 1000 GROWTH	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.35	ISHARES RUSSELL 1000 VALUE	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.36	ISHARES TR CORE MSCI EAF ETF	No	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
5.37	ISHARES US TREASURY BOND ETF	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.38	JPMORGAN CHASE & CO	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.39	KEURIG DR PEPPER INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.40	LOCKHEED MARTIN CORP	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.41	MARSH & MCLENNAN COS INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.42	MCDONALDS CORP COM	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.43	MEDTRONIC PLC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.44	MERCK AND CO INC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.45	META PLATFORMS INC CLASS A COMMON STOCK	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.46	MICROSOFT CORP	No	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
5.47	MONDELEZ INTERNATIONAL INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.48	MONSTER BEVERAGE SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.49	NETFLIX COM INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.50	NEXTERA ENERGY INC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.51	NOVARTIS ADR	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.52	NOVO NORDISK A S ADR	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.53	NVIDIA	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.54	ORACLE CORP \$0.01 DEL	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.55	PAYCHEX INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.56	PAYPAL HOLDINGS INC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.57	PEPSICO INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.58	PHILLIPS 66 SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.59	PNC FINCL SERVICES GROUP	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.60	PROCTER & GAMBLE CO	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.61	PROLOGIS INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.62	QUALCOMM INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.63	REALTY INCM CRP MD PV\$1. REIT	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.64	REGENERON PHARMACTCLS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.65	ROCHE HLDG LTD SPN ADR	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.66	SALESFORCE INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.67	SCHWAB US SMALL-CAP ETF	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.68	SEI INVT CO PA PV \$0.01	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.69	SEMPRA	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.70	SHOPIFY INC CL A	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.71	SPDR BLOOMBERG 1-3 MNTH T BILL ETF	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.72	STARBUCKS CORP	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.73	TESLA INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.74	TEXAS INSTRUMENTS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.75	TRUIST FINL CORP	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.76	UNITED PARCEL SVC CL B	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.77	US BANCORP	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.78	VANGUARD INTRMDIATE-TERM CORPORATE BOND	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	\$201 - \$1,000
5.79	VANGUARD MORTGAGE-BACKED SEC	No	\$1,001 - \$15,000	Dividends Capital Gains Interest	\$201 - \$1,000
5.80	VERTEX PHARMCTLS INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.81	VISA INC CL A SHRS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.82	WEC ENERGY GROUP INC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.83	WORKDAY INC CL A	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.84	YUM BRANDS INC	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.85	YUM CHINA HOLDINGS INC SHS	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.86	BLACKROCK EQTY DIVIDEND FUND INSTL	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.87	DOUBLELINE TOTAL RETURN BOND FUND CL I	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.88	EDGEWOOD GROWTH FUND CL INST	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.89	FULLER & THALER BEHVRL SMALL-CAP EQ FD CL INSTL	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.90	MFS VALUE FD CL I	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.91	PIMCO INTERNATIONAL BOND FD (USD HEDGED) I2	No	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.92	PIMCO INVESTMENT GRADE CREDIT BOND FD CL I2	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

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

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	Asselta & Company Profit Sharing Plan	See Endnote	Collingswood, New Jersey	This is a retirement plan. I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	7/2001

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

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Asselta & Company	See Endnote	Collingswood, New Jersey	President of consulting company.

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

None

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kaman Corp. (KAMN)		No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2	Asselta & Company Checking Account	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Asselta & Company	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

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

### Endnotes

PART	#	ENDNOTE
1.	1	Upon accepting my position, plans were made to make the company dormant with the cash on hand, which is above \$5,000, to take care of remaining expenses to keep the company viable during its dormant status.
2.	1	Mutual Funds/Closed End Funds/UITs/ETPs. While no actual income is received, whatever income is received is put back into the account for the purpose of purchasing additional financial assets.
2.	2	Cash/Money Market/Closed End Funds/ETPs. Mandatory Retirement Distribution is paid out annually due to Age Requirements. While no actual income is received, whatever income is received is put back into the account for the purpose of purchasing additional financial assets.
2.	3	Cash/Money Market/Closed End Funds/ETPs. While no actual income is received, whatever income is received is put back into the account for the purpose of purchasing additional financial assets.
2.	4	Cash/Money Market/Closed End Funds/ETPs. In 2021, received a cash Payment of \$2,500. While no actual income is received, whatever income is received is put back into the account for the purpose of purchasing additional financial assets.
2.	5	Mutual Funds/Closed End Funds/ETPs/Equities. While no actual income is received, whatever income is received is put back into the account for the purpose of purchasing additional financial assets.
3.	1	This is a pension plan. I will receive the assets upon retirement.
4.	1	The amount, which exceeded \$5,000, was for my salary and any disbursements to operate the business.
6.	2	After filing 2021 taxes, the account will go dormant and the cash on hand, which is above \$5,000, will take care of remaining expenses to keep the company viable during its dormant status.
6.	3	Asselta & Company may receive a payment, in the form of a bonus, resulting from completion of a contract. The bonus may be paid out depending on the size of the contract. The bonus amount has not been determined and will be based on the amount of the final contract.

# 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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