



Office of  
General  
Counsel

August 10, 2022

Emory A. Rounds, III  
Director  
U.S. Office of Government Ethics  
1201 New York Avenue, N.W., Suite 500  
Washington DC 20005-3917

Dear Mr. Rounds:

I am enclosing an amendment to Colleen Shogan's nominee public financial disclosure report, signed on July 6, 2022, and a supplement to her ethics agreement, signed on July 28, 2022. Based on my review of this additional information, I continue to believe that Ms. Shogan is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

**Christopher M. Runkel** Digitally signed by Christopher M. Runkel  
Date: 2022.08.10 13:05:40 -04'00'

CHRISTOPHER M. RUNKEL  
Designated Agency Ethics Official

Enclosures

August 10, 2022

Christopher M. Runkel  
Designated Agency Ethics Official  
National Archives and Records Administration  
8601 Adelphi Road, Suite 3110  
College Park, MD 20740-6001

**Re: Amendment to Financial Disclosure Report of Colleen Shogan**

Dear Mr. Runkel:

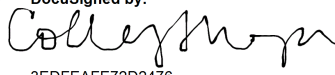
The purpose of this document is to amend my financial disclosure report signed on July 6, 2022, by correcting Part 1 of the report, Filer's Positions Held Outside United States Government, to add another position as follows:

**Part 1**

<b>Organization Name</b>	<b>City/State</b>	<b>Organization Type</b>	<b>Position Held</b>	<b>From</b>	<b>To</b>
National Capital Area Political Science Association	Washington, District of Columbia	Non-profit professional association	Council Member/Director	9/2021	Present

I understand that this supplement will be attached to my financial disclosure report and released upon request with that report.

Sincerely,

DocuSigned by:  
  
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Colleen Shogan

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Shogan, Colleen

Archivist of the United States, National Archives and Records Administration

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- Committee on Homeland Security and Governmental Affairs
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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/ Shogan, Colleen [electronically signed on 07/06/2022 by Shogan, Colleen 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/ Runkel, Christopher M, Certifying Official [electronically signed on 08/04/2022 by Runkel, Christopher M in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 08/05/2022 by Apol, David in Integrity.gov]

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	White House Historical Association	Washington, District of Columbia	Non-Profit	Senior Vice President and Director of David Rubenstein Center	2/2020	Present
2	Georgetown University	Washington, District of Columbia	University/College	Adjunct Professor	1/2008	Present
3	Women's Suffrage National Monument Foundation	Loveland, Colorado	Non-Profit	Chair of Board of Directors	6/2022	Present
4	Aspen Institute	Washington, District of Columbia	Non-Profit	Seminar leader	11/2018	Present
5	Georgetown Sands HOA	Duck, North Carolina	Home owners association	Board Member	4/2021	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	White House Historical Association	N/A		Salary/Bonus	\$408,087
2	Georgetown University	N/A		Salary	\$7,250
3	IRA	No			
3.1	JPMorgan Equity Income Fund Class I Shares (HLIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Polen Growth Fund Institutional Class Shares (POLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Federated International Equity Fund Institutional Class Shares (PIUIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Harding Loevner International Small Companies Portfolio Institutional Class Shares (HLMRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	BlackRock Real Estate Securities Fund Institutional Class Shares (BIREX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	T Rowe Price Mid-Cap Value Fund, Inc (TRMCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	BlackRock Mid-Cap Growth Equity Portfolio Institutional Shares (CMGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	AB Small Cap Growth Portfolio Advisor Class Shares (QUAYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	MFS New Discovery Value Fund Class I Shares (NDVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	BlackRock Core Bond Portfolio Institutional Shares (BFMCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Roth IRA	No			
4.1	JPMorgan Equity Income Fund Class I Shares (HLIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Polen Growth Fund Institutional Class Shares (POLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Federated International Equity Fund Institutional Class Shares (PIUIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	BlackRock Real Estate Securities Fund Institutional Class Shares (BIREX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Harding Loevner International Small Companies Portfolio Institutional Class Shares (HLMRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	T Rowe Price Mid-Cap Value Fund, Inc (TRMCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	BlackRock Mid-Cap Growth Equity Portfolio Institutional Shares (CMGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	AB Small Cap Growth Portfolio Advisor Class Shares (QUAYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	MFS New Discovery Value Fund Class I Shares (NDVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	BlackRock Core Bond Portfolio Institutional Shares (BFMCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Aspen Institute	N/A		Consulting Fees	\$6,000
6	Honoraria from George Mason University - April 2, 2022	N/A		Honorarium	\$450
7	Honoraria - Association of Research Libraries - April 29, 2021	N/A		Honorarium	\$500
8	White House Historical Association, 403(b) plan:	No			
8.1	American Funds 2040 Target Date Retirement Fund Class R6 Shs (RFGTX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	"Stabbing in the Senate," Camel Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	"Homicide in the House," Camel Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
11	"Calamity at the Continental Club," Camel Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
12	"K Street Killing," Camel Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
13	"Gore in the Garden," Camel Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
14	"Larceny at the Library," Camel Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
15	"Dead as a Duck," Camel Press (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
16	"Lethal Legacies," Camel Press (value not readily ascertainable)	N/A			None (or less than \$201)
17	"The Moral Rhetoric of American Presidents," Texas A&M Press (value not readily ascertainable)	N/A			None (or less than \$201)
18	White House Historical Association anticipated bonus	N/A	\$1,001 - \$15,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	White House Historical Association	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.	2/2020
2	White House Historical Association	Washington, District of Columbia	Pursuant to my employment agreement, I will receive a performance-based bonus for services rendered in fiscal year 2022. This bonus will be paid prior to my assuming the duties of the position of Archivist.	2/2020



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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	White House Historical Association	Washington, District of Columbia	Senior Vice President of WHHA and Director of the David M. Rubenstein National Center for White House History; supervise all educational and scholarly functions of the organization.
2	Georgetown University	Washington, District of Columbia	Adjunct professor in the Government Department; teach the American Political Development graduate seminar annually.
3	Aspen Institute	Washington, District of Columbia	Serve as a facilitator for the Socrates program focusing on the history of Congress.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Stand Together (philanthropy)	N/A		salary, bonus	
2	Rollover IRA	No			
2.1	Fidelity Biotechnology Portfolio (FBIOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Fidelity Contrafund (FCNTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	Fidelity Select Leisure Portfolio (FDLSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	Fidelity Canada Fund Canada Shares (FICDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Fidelity Medical Technology and Devices Portfolio (FSMEX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Traditional IRA	No			
3.1	iShares Russell 1000 Value ETF (IWD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	iShares Russell 1000 Growth ETF (IWF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	iShares S&P Small-Cap 600 Value ETF (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	iShares Core US REIT ETF (USRT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	iShares S&P Small-Cap 600 Growth ETF (IJT)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.8	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.9	Schwab International Small-Cap Equity ETF (SCHC)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.10	iShares Core Total USD Bond Market ETF (IUSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Stand Together, 401(k) plan:	No			
4.1	State Street Target Retirement 2055	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	State Street Target Retirement 2060	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	State Street Target Retirement 2065	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	State Street Target Retirement 2040	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.5	Mercer International Stock Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Mercer Small/Mid Cap Stock Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Mercer Large Cap Stock Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Tragedy Plus Time, LLC (video creation and video editing)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential real estate, Duck, NC	N/A	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
2	American Funds Conservative Growth and Income Portfolio	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3	American Funds Capital Income Builder	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4	American Funds Growth Fund of America Class	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5	American Funds Capital World Growth and Income Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	American Funds Small Cap World Class A	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7	American Funds Limited Term Tax Exempt Fund of America	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	American Funds Capital World Bond Class A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	Fidelity Select IT Services Portfolio (FBSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Fidelity Contrafund (FCNTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Fidelity Select Leisure Portfolio (FDLSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	Fidelity Mid-Cap Stock Fund (FMCSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Coinbase Global Inc. (COIN) (stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	Materialise NV (MTLS) (stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	PNC Financial Services Group (PNC) (stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Sapiens International Corp. NV (SPNS) (Stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Spotify Technology (SPOT) (stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Yum! Brands Inc. (YUM) (stock)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	Bitcoin (BTC) (Coinbase account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
21	Ethereum (ETH) (Coinbase account)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22	Ripple (XRP) (Coinbase account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
23	Tez (XTZ) (Coinbase account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
24	Basic Attention Token (BAT) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	Stellar Lumens (XLM) (Coinbase)	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Litecoin (LTC) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	Chainlink (LINK) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	Cardano (ADA) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	0x (ZRX) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	Solana (SOL) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	Algorand (ALGO) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	Amp (AMP) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	Telcoin (TEL) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	Sandbox (SAND) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	Theta (THETA) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
36	VeChain (VET) (Coinbase account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	Bitcoin (Coinbase Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	Ethereum (ETH) (Coinbase Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	U.S. Bank (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
40	iShares Russell 1000 Value ETF (IWD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	iShares Russell 1000 Growth ETF (IWF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
42	iShares Core MSCI Total International Stock ETF (IXUS)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
43	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
44	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
45	iShares Russell Mid-Cap Growth ETF (IWP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	Schwab International Small-Cap Equity ETF (SCHC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	iShares Russell 2000 Growth ETF (IWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
48	iShares Russell Mid-Cap Value ETF (IWS)	Yes	None (or less than \$1,001)		None (or less than \$201)
49	Schwab US REIT ETF (SCHH)	Yes	None (or less than \$1,001)		None (or less than \$201)
50	iShares Russell 2000 Value ETF (IWN)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51	iShares National Muni Bond ETF (MUB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	PNC Bank	Mortgage on Personal Residence	\$250,001 - \$500,000	2021	2.625	20 year fixed
2	U.S. Bank	Mortgage (investment/rental property)	\$100,001 - \$250,000	2019	3.625	30 year fixed
3	PNC Bank	See Endnote	Mortgage on Personal Residence	2015	4.125	30 year fixed

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
5.	5	LLC is held, but is currently inactive.
8.	3	This mortgage was paid off in 2021 when filer and spouse refinanced.



# 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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