

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

Filer's Information

Emanuel, Rahm I

Ambassador to Japan, Department of State

Report Year: 2023

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/ Emanuel, Rahm I [electronically signed on 04/09/2023 by Emanuel, Rahm I in Integrity.gov]

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/ Mann, Judy, Certifying Official [electronically signed on 07/05/2023 by Mann, Judy in Integrity.gov]

Other review conducted by

/s/ Mann, Judy, Ethics Official [electronically signed on 07/05/2023 by Mann, Judy in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/02/2023 by Granahan, Megan in Integrity.gov]

Data Revised 07/17/2023

Data Revised 07/14/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	RIE Consulting,	Chicago, Illinois	Limited Liability Company	Owner	8/2019	Present
2	Filer Revocable Trust	Chicago, Illinois	Trust	Trustee	3/2021	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	U.S. investment account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.2	FIDELITY TREASURY MONEY MARKET	Yes	None (or less than \$1,001)		None (or less than \$201)
1.3	CHAMPLAIN SMALL COMPANY INSTITUTIONAL	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	FIDELITY 500 INDEX	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.5	RIVERBRIDGE GROWTH INSTITUTIONAL	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.6	VANGUARD HIGH DIVIDEND YIELD INDEX ADM	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.7	DODGE & COX INCOME	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.8	DOUBLELINE TOTAL RETURN BOND I	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	MONROE CAPITAL INCOME PLUS CORPORATION	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.10	VARIANT ALTERNATIVE INCOME INSTITUTIONAL	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2	RIE Consulting , LLC 401k Profit Sharing Plan	No			
2.1	U.S. investment account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
2.2	FIDELITY TREASURY MONEY MARKET	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3	CHAMPLAIN SMALL COMPANY INSTITUTIONAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	RIVERBRIDGE GROWTH INSTITUTIONAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	VANGUARD 500 INDEX ADMIRAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.6	VANGUARD HIGH DIVIDEND YIELD INDEX ADM	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.7	LOOMIS SAYLES STRATEGIC ALPHA Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	DODGE & COX INCOME I (DODIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	VARIANT ALTERNATIVE INCOME INSTITUTIONAL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	SEP IRA	No			
3.1	U.S. investment account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	CHAMPLAIN SMALL COMPANY INSTITUTIONAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	RIVERBRIDGE GROWTH INSTITUTIONAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	VANGUARD 500 INDEX ADMIRAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.5	VANGUARD HIGH DIVIDEND YIELD INDEX ADM	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.6	DODGE & COX INCOME	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.7	DOUBLELINE TOTAL RETURN BOND I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.8	VARIANT ALTERNATIVE INCOME INSTITUTIONAL (NICHX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.9	FIDELITY TREASURY MONEY MARKET	Yes	None (or less than \$1,001)		None (or less than \$201)
4	Roth IRA	No			
4.1	U.S. investment account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
4.2	FIDELITY TREASURY MONEY MARKET	Yes	None (or less than \$1,001)		None (or less than \$201)
4.3	VANGUARD 500 INDEX ADMIRAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.4	CHAMPLAIN SMALL COMPANY INSTITUTION (CIPNC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Riverbridge Growth Fund Institutional Class Shares (RIVBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Vanguard High Dividend Yield Index Fund Admiral Class Shares (VHYAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	DODGE & COX INCOME I (DODIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Loomis Sayles Strategic Alpha Fund Class Y Shares (LASYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	VARIANT ALTERNATIVE INCOME INSTITUTIONAL (NICHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	RIE Consulting LLC Defined Benefit Plan (William Blair)	No			
5.1	U.S. investment account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.2	FIDELITY TREASURY MONEY MARKET	Yes	None (or less than \$1,001)		None (or less than \$201)
5.3	CHAMPLAIN SMALL COMPANY INSTITUTIONAL	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	RIVERBRIDGE GROWTH INSTITUTIONAL	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	VANGUARD 500 INDEX ADMIRAL	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
5.6	VANGUARD HIGH DIVIDEND YIELD INDEX ADM	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.7	DODGE & COX INCOME	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.8	DOUBLELINE TOTAL RETURN BOND I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.9	LOOMIS SAYLES STRATEGIC ALPHA Y	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10	VARIANT ALTERNATIVE INCOME INSTITUTIONAL (NICHX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	Municipal Employee Annuity and Benefit Fund of Chicago (defined benefit plan)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7	RIE Consulting, LLC	No			
7.1	Brokerage account				
7.1.1	U.S. investment account (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
7.2	US TREASURY BILL 3/23/23	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.3	US TREASURY BILL 7/13/23	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	Dedrone Holdings Inc (protection from malicious drones) ., nonstatutory stock option (value not readily ascertainable)): 50,000 shs of common stock option \$.0001 par value per share, at \$.043 per share, exp 10/7/25	N/A			None (or less than \$201)
9	GoHealth, Inc. - vested RSUs	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	GoHealth Holdings, LLC Director Units	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	GoHealth, Inc. - common shares	N/A	\$15,001 - \$50,000		None (or less than \$201)
12	"The Nation City", Alfred A Knopf, Inc (value not readily ascertainable)	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	RIE Consulting , LLC 401k Plan	Chicago, Illinois	Filer will continue to participate in this 401k plan. No 2022 contribution was made.	12/2020
2	RIE Consulting LLC Pension Plan	Chicago, Illinois	Filer will continue to participate in this pension plan.	3/2021
3	RIE Consulting, LLC	Chicago, Illinois	This is in inactive status.	6/2019
4	Municipal Employee Annuity and Benefit Fund of Chicago(defined benefit plan)	Chicago, Illinois	Filer will continue to participate in this defined benefit plan. No benefits are being received.	5/2011

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. brokerage firm #1	No			
2.1	U.S. investment account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	FIDELITY TREASURY MONEY MARKET	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	U.S. investment account - temporary cash holding.	N/A	None (or less than \$1,001)		None (or less than \$201)
2.4	AMERICAN CENTURY EQUITY INCOME Y	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.5	CHAMPLAIN SMALL COMPANY INSTITUTIONAL	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.6	ISHARES RUSSELL 1000 GROWTH	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
2.7	JENSEN QUALITY GROWTH I	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
2.8	SCHWAB S&P 500 INDEX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.9	SPDR S&P 500 ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2.10	VANGUARD HIGH DIVIDEND YIELD INDEX ADM	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.11	DOUBLELINE TOTAL RETURN BOND I	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
2.12	FLOSSMOOR ILL 2.000% 12/1/30 CALL 12/1/29	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
2.13	ISHARES 7 10 YEAR TREASURY BOND ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.14	LOOMIS SAYLES STRATEGIC ALPHA Y	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.15	NORTHAMPTON PA AREA SCH DIST 1.000% 10/1/27 CALL 4/1/26	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2.16	PIMCO Short Asset Investment Fund Institutional Class Shares (PAIDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.17	Vanguard Ultra-Short-Term Bond Fund Admiral Shares (VUSFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	CHAMPAIGN & VERMILLION CNTYS 3% 12/1/31	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.19	CLARENDON HILLS ILL 2% 1/1/28	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.20	COMMACK N Y UN FREE SH DIST 2% 6/15/30	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.21	DODGE & COX INCOME I	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.22	DU PAGE COOK & WILL CNTYS ILL 3% 1/1/29	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.23	EAU CLAIRE WIS 1.125% 4/1/30	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.24	GALESBUR AUGUSTA MICH CMNTY 3% 5/1/30	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.25	IOWA WESTIN CMNTY COLLEGE 2% 6/1/29	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.26	LOUISVILLE & JEFFERSON CNTY KY 2.5% 12/1/28	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.27	METROPOLITAN WTR DIST SALT 2.550 7/1/29	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.28	MILWAUKEE WIS ARA TECHNICAL 3% 6/1/23	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.29	PLATTSBURGH N Y CITY SCH DIST 2% 6/15/25	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.30	PRINCETON N J BRD ED 2.6% 1/15/31	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.31	SAN MARCOS TEX 2% 8/15/27		Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.32	ST PETERSBURG FLA PUB SVC TAX 3% 10/1/26		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.33	VIRGINIA COLLEGE BLDG AUTH VA 3% 9/1/24		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.34	WESTERN SPRINGS ILL 2% 12/1/27		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.35	WHITEHOUSE TEX 2%		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.36	VARIANT ALTERNATIVE INCOME INSTITUTIONAL		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3	Covenant Apartment Fund X, LP	See Endnote	Yes	\$250,001 - \$500,000		None (or less than \$201)
4	Southwest Value Partners Fund XXI, LP (U.S. real estate)		Yes	\$15,001 - \$50,000		None (or less than \$201)
5	U.S. brokerage firm #1		No			
5.1	FIDELITY TREASURY MONEY MARKET		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
5.2	GoHealth Inc. Class A Common Stock (GOCO)		N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Golub Capital BDC 3, Inc		Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
7	Golub Capital Partners 9, LP		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8	SOUTHWEST VALUE PARTNERS FUND XXII (U.S. real estate)		Yes	\$100,001 - \$250,000		None (or less than \$201)
9	SOUTHWEST VALUE PARTNERS FUND XXIII (U.S. real estate)		Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Covenant Apartment Fund XI, LP	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	Linden Executives, LLC	Yes	\$50,001 - \$100,000		None (or less than \$201)
12	U.S Brokerage firm #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Family trust #1	No			
13.1	Brokerage account	No			
13.1.1	U.S. investment account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.1.2	Fidelity Treasury Money Market	Yes	None (or less than \$1,001)		None (or less than \$201)
13.1.3	Champlain Small Company Fund Institutional Shares (CIPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.1.4	Fidelity 500 Index Fund (FXAIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.1.5	iShares Core S&P US Growth ETF (IUSG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.1.6	Vanguard High Dividend Yield Index Fund Admiral Class Shares (VHYAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
13.1.7	iShares Core MSCI Europe ETF (IEUR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.1.8	Dodge & Cox Income Fund (DODIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
13.1.9	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	100,000.00 units of WhiteHouse Tex Combination Tax Rev 02.0000 2/15/2030 OCTG of Obligation Ser. 2022	Purchase	01/26/2022	\$100,001 - \$250,000
2	100,000 units of Galesburg-Augusta Michigan CMNTY SCHS GO 3% 05/01/2030 UNLTD Bldg Site BDS SER. 2022	Purchase	02/25/2022	\$100,001 - \$250,000
3	50,000 units Princeton N J BRD ED SCH BDS SER. 22BOE 2.6% 01/15/2031	Purchase	03/16/2022	\$50,001 - \$100,000
4	3,522 units of Variant Alternative Income Institutional(NICHX)	Purchase	03/15/2022	\$50,001 - \$100,000
5	3,357 units of Variant Alternative Income Institutional(NICHX)	Purchase	03/21/2022	\$50,001 - \$100,000
6	Linden Executives LLC - Series 1	Purchase	07/12/2022	\$15,001 - \$50,000
7	50,000 Champaign & Vermillion CNTYS ILL 03.00000% 12/31/2031 CMNTY High Sch Dist NO 305	Purchase	08/09/2022	\$50,001 - \$100,000
8	Linden Executives LLC - Series 1 Capital Call	Purchase	08/04/2022	\$1,001 - \$15,000
9	Linden Executives, LLC - Series 1	Purchase	09/09/2022	\$1,001 - \$15,000
10	Linden Executives, LLC - Series 1	Purchase	11/30/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2021	2.5%	30 yr fixed

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	Golub Capital Partners 9	Capital Commitment	\$15,001 - \$50,000	2014	n/a	on demand
3	Covenant Apartment Fund X	Capital Commitment	\$10,001 - \$15,000	2020	n/a	on demand
4	Southwest Value Partners Fund XXI	Capital Commitment	\$15,001 - \$50,000	2020	n/a	on demand
5	Linden Executive, LLC	Capital Commitment	\$100,001 - \$250,000	2021	n/a	on demand
6	Covenant Apartment Fund XI	Capital Commitment	\$100,001 - \$250,000	2022	n/a	on demand
7	Southwest Value Partners Fund XXII	Capital Commitment	\$50,001 - \$100,000	2021	n/a	on demand
8	Southwest Value Partners Fund XXIII	Capital Commitment	\$100,001 - \$250,000	2022	n/a	on demand

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	3	Changed to EIF given that the investment meets the requirements for EIF classification.

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).
