

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

Filer's Information

Gitenstein, Mark H

U.S. Representative to the European Union with Rank of Ambassador, 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/ Gitenstein, Mark H [electronically signed on 05/10/2023 by Gitenstein, Mark H 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/ Green, Marcella, Certifying Official [electronically signed on 07/09/2023 by Green, Marcella in Integrity.gov]

Other review conducted by

/s/ Green, Marcella, Ethics Official [electronically signed on 07/07/2023 by Green, Marcella in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/07/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Mayer Brown LLP	See Endnote	Washington, District of Columbia	Law Firm	Senior Counsel	1/2018	7/2021
2	Alianta	See Endnote	Washington, District of Columbia	Non-Profit	Board Member	4/2013	9/2021
3	Alex Fund	See Endnote	New York City, New York	Non-Profit	Board Member	4/2013	9/2021
4	SC Fondul Proprietatea S.A.	See Endnote	Bucharest, Outside U.S.	Closed End fund organized under the laws of Romania	Board Member	4/2013	9/2021
5	TechSoup Global	See Endnote	San Francisco, California	Non-Profit	Board Member	5/2018	9/2021
6	Biden Foundation	See Endnote	Wilmington, Delaware	Non-Profit	President & Board Member	1/2016	11/2020
7	University of Washington	See Endnote	Seattle, Washington	University/College	Senior Lecturer; Co-director of Romania, Moldova, Ukraine Study Abroad	8/2019	10/2019
8	PT Fund, Inc.		Washington, District of Columbia	Non-Profit	Senior Advisor	3/2020	1/2021
9	J Street	See Endnote	Washington, District of Columbia	Non-Profit	Diplomatic Advisory Committee	3/2013	4/2019
10	Anna & Seymour Gitenstein Foundation	See Endnote	Floral, Alabama	Non-Profit	President	1/2013	9/2021

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
11	Truist Investment Services (TIS) Joint Revocable Trust	Washington, District of Columbia	Trust	Co-Trustee	11/2008	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	RBC - Traditional IRA	No			
1.1	ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	ISHARES IBOXX \$ INVESTMENT GRADE CORPORATE BOND ETF (LQD)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3	ISHARES CORE S&P SMALL-CAP E (IJR)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	INVESCO EXCHANGE TRADED FD TR FTSE RAFI 1000 (PRF)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.5	INVESCO QQQ TR UNIT SER 1 (QQQ)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.6	VANGUARD TAX-MANAGED INTL FD FTSE DEV MKT ETF (VEA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.7	VANGUARD SMALL-CAP GROWTH INDEX FUND (VBK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	VANGUARD SMALL CAP VALUE ETF (VBR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	VANGUARD MID-CAP VALUE INDEX FUND (VOE)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.10	VANGUARD MID-CAP GROWTH INDEX FUND (VOT)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.11	VANGUARD INDEX FDS VANGUARD GROWTH ETF FORMERLY VANGUARD INDEX TR VIPERS (VUG)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.12	DOUBLELINE TOTAL RETURN BOND FD CL I (DBLTX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.13	JPMORGAN HEDGED EQUITY CLASS I (JHEQX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.14	BLACKROCK STRATEGIC INCOME OPPRTSI INSTL (BSIIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.15	Western Asset Core Bond Fund Class IS Shares (WACSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.16	TCW Total Return Bond Fund Class I Shares (TGLMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.17	RBC Insured Deposit	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	RBC - Roth IRA	No			
2.1	ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	ISHARES CORE S&P SMALL-CAP E (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	ISHARES IBOX \$ INVESTMENT GRADE CORPORATE BOND ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	INVESCO EXCHANGE TRADED FD TR FTSE RAFI 1000 (PRF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	INVESCO QQQ TR UNIT SER 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	VANGUARD SMALL-CAP GROWTH INDEX FUND (VBK)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	VANGUARD SMALL CAP VALUE ETF (VBR)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.8	VANGUARD TAX-MANAGED INTL FD FTSE DEV MKT ETF (VEA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	VANGUARD MID-CAP VALUE INDEX FUND (VOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	VANGUARD MID-CAP GROWTH INDEX FUND (VOT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	VANGUARD INDEX FDS VANGUARD GROWTH ETF FORMERLY VANGUARD INDEX TR VIPERS (VUG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	BLACKROCK STRATEGIC INCOME OPPRTSI INSTL (BSIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	DOUBLELINE TOTAL RETURN BOND FD CL I (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	JPMORGAN HEDGED EQUITY CLASS I (JHEQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	VANGUARD INTL GROWTH ADMIRAL (VWILX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	Western Asset Core Bond Fund Class IS Shares (WACSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	TCW Total Return Bond Fund Class I Shares (TGLMX)	Yes			None (or less than \$201)
3	Mayer Brown LLP capital balance	See Endnote	N/A	None (or less than \$1,001)	None (or less than \$201)
4	"Matters of Principle: An Insider's Account of America's Rejection of Robert Bork's Nomination to the Supreme Court," Simon & Schuster, 1992 (value not readily ascertainable)		N/A		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Mayer Brown LLP (law firm), defined benefit plan (value not readily ascertainable)			Value not ascertainable	\$40,650

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Mayer Brown LLP	Washington, District of Columbia	I will continue to participate in this defined benefit plan.	1/2018
2	Mayer Brown LLP	Washington, District of Columbia	I am entitled to health insurance coverage provided by Mayer Brown for 10 years following my retirement as an equity partner in 2009. Because I have not used this benefit continuously, I have been informed that I have approximately 3 years remaining. I am currently receiving this benefit in the form of Medicare supplement insurance from BC/BS. I intend to not take advantage of this benefit during my appointment and to sign up with the government health insurance program.	8/2009
3	Mayer Brown LLP	Washington, District of Columbia	I am entitled to estate planning, financial planning, tax planning assistance, discounts on a telephone and laptop and use of an office and staff support. These benefits will not continue upon my resignation.	3/2013

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	Residential Garage, Seattle, Washington	N/A	None (or less than \$1,001)	Rent or Royalties	\$1,001 - \$2,500
2	U.S. Bank #1 (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
3	U.S. Bank #2 (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
4	Joint Revocable Trust	See Endnote	No		
4.1	Blackrock Strategic Income Opportunities Fund (BSIIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.2	SC Fondul Propietatea S.A. GDR (PDLPF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.3	iShares Russell Mid-Cap Growth ETF (IWP)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.4	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.5	JP Morgan Hedged Equity Fund (JHEQX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.6	Blackrock National Municipal Bond Fund (MANLX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.7	Invesco FTSE RAFI 1000 ETF (PRF)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.8	SPDR S&P 500 ETF (SPY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	Schwab S&P 500 Index Fund (SWPPX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.10	Vanguard Small-Cap Index ETF (VB)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.11	Vanguard Small-Cap Growth Index ETF (VBK)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.12	Vanguard Small-Cap Value Index ETF (VBR)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.13	Vanguard Tax-Managed International Developed Markets ETF (VEA)		Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.14	Vanguard Growth Index ETF (VUG)		Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.15	Vanguard Emerging Market ETF (VWO)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.16	VANGUARD MUN BOND FUND INC (VWIUX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.17	BlackRock Systematic Multi-Strategy Fund Institutional Class Shares (BIMBX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.18	TCW Total Return Bond Fund Class I Shares (TGLMX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.19	RBC Cash Plus	See Endnote	N/A	\$100,001 - \$250,000		\$201 - \$1,000
5	E.B. Gitenstein Irrevocable Trust	See Endnote	No			
5.1	ALLSTATE CORP (ALL)		N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
5.2	ALTRIA GROUP INC (MO)		N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
5.3	AMGEN INC (AMGN)		N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	COSTCO WHOLESALE CORP (COST)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
5.5	CROWN CASTLE INTERNATIONAL CORP (CCI)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
5.6	HOME DEPOT INC (HD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
5.7	NORFOLK SOUTHERN CORP (NSC)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
5.8	ISHARES CORE S&P SMALL-CAP ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.9	EATON VANCE ATLANTA CAPITAL SMID-CAP FUND (ERASX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.10	ARTISAN INTERNATIONAL VALUE FUND (APHKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.11	VANGUARD INTERNATIONAL GROWTH FUND (VWILX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.12	VANGUARD SHORT TERM TAX-EXEMPT FUND (VWSUX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.13	Invesco S&P 500 Equal Weight ETF (RSP)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.14	iShares Russell 1000 ETF (IWB)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.15	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.16	Claim Settlement	See Endnote	N/A		None (or less than \$201)
5.17	U.S. bank (cash)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Northeast Investors (NTHEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	VA CollegeAmerica 529 Savings Plan	No			
7.1	AF COLLEGE 2027 FUND-CI 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	VA 529 CollegeAmerica Savings Plan	No			
8.1	AF COLLEGE 2027 FUND-CI 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	VA 529 CollegeAmerica Savings Plan	No			
9.1	AF COLLEGE 2024 FUND-CI 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	VA 529 CollegeAmerica Savings Plan	No			
10.1	AF COLLEGE 2030 FUND-CI 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
11	VA 529 CollegeAmerica Savings Plan	No			
11.1	AF COLLEGE 2027 FUND-CI 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
12	VA 529 CollegeAmerica Savings Plan	No			
12.1	AF COLLEGE 2036 FUND-CI 529A	Yes	\$100,001 - \$250,000		None (or less than \$201)
13	Eurovillage LLC	See Endnote	N/A	\$50,001 - \$100,000	None (or less than \$201)
14	TechSoup Global DPO Bond	See Endnote	N/A	\$15,001 - \$50,000	None (or less than \$201)
15	MONY Life Insurance, whole life (cash value)	N/A	N/A	\$15,001 - \$50,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Natural gas leases, various lessees, Custer county & Coal county, Oklahoma See Endnote on '21 filing			Rent or Royalties	\$5,001 - \$15,000

7. Transactions

None

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Truist Mortgage - Primary Residence	Mortgage on Personal Residence	\$250,001 - \$500,000	2020	3.375	30 years
2	Truist Mortgage - Secondary Residence	Mortgage on Personal Residence	\$250,001 - \$500,000	2020	3.375	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	1	I became a Senior Counsel at Mayer Brown on January 1 2018. I had served as Partner and Special Counsel over the prior 29 years except for my service as U.S. Ambassador to Romania
1.	2	Alianta (Alianta.org) is a US Romanian diaspora organization which I co-founded in 2013 & served as its first President. By the beginning of the reporting period I was a member of its board.
1.	3	Alex fund is a US NGO which raises money for a Romanian Roma education charity (Alexfund.org). I joined the board in 2013 and was a board member at the beginning of the reporting period.
1.	4	Fondul Proprietatea S.A. (fondulproprietatea.ro) is a closed end fund managed by Franklin Templeton which manages shareholders' (originally victims of illegal land seizures by the communist & fascist governments) investment in Romanian State Owned Enterprises.
1.	5	TechSoup Global (www.techsoup.global/) is an NGO that specializes in providing free or discounted software to NGOs world wide.
1.	6	First entry in my files of formal work with the Foundation was in January of 2016 although there may have been earlier work. The Foundation formally dissolved after the November election but it had been moribund for all of 2020.
1.	7	Filer received \$4000 in compensation from the University of Washington in 2019.
1.	9	I was an informal advisor to J Street beginning some time after I returned from Romania in the Spring of 2013. I stayed relatively active (joining calls and a few meetings) up to the beginning of the Biden campaign. I was asked to formally rejoin about a month ago and declined thinking it was inappropriate while I was being considered for a position in the Administration.
1.	10	This is a family foundation created by my father. I serve as president of a three member board consisting of my sister and our accountant. All we do is basically manage the assets (less than \$400,000) and agree on mandatory distributions. We meet several times a year by telephone.
2.	3	The filer was paid \$12,284 in a return of partner capital in Mayer Brown for the fiscal year ending 11/30/2020. As a return of capital, it was not taxable. As of filing this report, the filer's capital account with Mayer Brown is zero (\$0).
6.	4	This account is a joint account between two revocable grantor trusts (each spouse is the grantor and sole trustee for their revocable trust) held 'Tenants in Common' with each spouse being the sole primary beneficiary the other spouse's revocable trust.
6.	4.19	Cash held in brokerage account
6.	5	Irrevocable Trust is "owner" of the assets listed. Spouse is "beneficiary" & co-trustee of the trust.

PART	#	ENDNOTE
6.	5.16	Claim settlement (cash) due to third party (Truist) error executing trade instructions resulting in a taxable event within the trust. Through an error by Truist which was trustee, proceeds of sold assets were not reinvested in sufficient time to allow the Ambassador through the trust to take advantage of a certificate of divestiture, which would have delayed the trust having to pay capital gains tax until the permitted property purchased with the proceeds is sold. As a result, the Ambassador's family is subject to capital gains tax and through a negotiated settlement, the bank has agreed to absorb the cost of the capital gains tax, thus making the Ambassador and the trust whole.
6.	13	Filer owns a 1.69% interest in EuroVillage LLC, a Delaware LLC which in turns holds an equity interest in and directs the actions of Soimeni Parc SA, a Romanian stock corporation engaged in a real estate development project, Colina Noua, in Romania (Colinanoua.ro).
6.	14	This is a corporate bond that earns interest of 3.5% per year set to accrue so there is no reportable income. At the time of maturity, in 2025, the principal will be paid out as well as the accrued interest which will then be taxable income and reportable.

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).
