

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hadjiyane, Paul

General Counsel, DoD - Department of Defense Office of Inspector General

Report Year: 2022

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/ Hadjiyane, Paul [electronically signed on 05/08/2022 by Hadjiyane, Paul 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/ Kraus, William, Certifying Official [electronically signed on 05/18/2022 by Kraus, William in Integrity.gov]

Other review conducted by

/s/ Williams, Keith, Ethics Official [electronically signed on 05/18/2022 by Williams, Keith in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 05/31/2022 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Private counseling services (self-employed)	N/A		Hourly fees for mental health counseling services	
2	MaineHealth			salary, bonus	
3	MaineHealth 403B Retirement Plan				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	American Century Mid Cap Value Fund Investor Class Shares (ACMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	MFS Value Fund Class A Shares (MEIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	MetWest Total Return Bond Fund Class I Shares (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	EuroPacific Growth Fund Class A Shares (AEPGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	American Funds Fundamental Investors Class A Shares (ANCFX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.6	T Rowe Price QM US Sm-Cap Growth Eqty Fd, Inc (PRDSX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.7	Vanguard Intermediate-Term Bond Index Fund Admiral Shares (VBILX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.8	Vanguard Extended Market Index Fund Admiral Shares (VEXAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Vanguard Institutional Index Fund Institutional Plus Shares (VIIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Victory Sycamore Small Company Opportunity Fund Class A Shares (SSGSX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.11	Vanguard Developed Markets Index Fund Admiral Class Shares (VTMGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	Lincoln Stable Value sep Account (LNSXG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Harbor Capital Appreciation Fund Retirement Class Shares (HNACX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
1	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
2	Vanguard Information Technology ETF (VGT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
3	Comm Serve Sector Select SPDR (XLC)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
4	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$100,001 - \$250,000		\$201 - \$1,000	
5	IShares Edge MSCI US Momentum (MTUM)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
6	Vanguard Information Technology ETF (VGT)	Yes	\$50,001 - \$100,000		\$201 - \$1,000	
7	Intel Corp (INTC)	See Endnote	No	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
8	Johnson & Johnson (JNJ)	See Endnote	No	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
9	Rental Property, Richmond, VA	No	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000	
10	JP Morgan Equity Income C (OINCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
11	US Bank Account #5 (cash)	No	None (or less than \$1,001)	Interest	None (or less than \$201)	
12	US Bank Account #4 (cash)	No	None (or less than \$1,001)	Interest	None (or less than \$201)	
13	US Bank Account #6 (cash)	No	\$15,001 - \$50,000	Interest	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
14	US Bank Account #1 (cash)	No	\$15,001 - \$50,000	Interest	None (or less than \$201)	
15	US Bank Account #2 (cash)	No	\$15,001 - \$50,000	Interest	None (or less than \$201)	
16	US Bank Account #3 (cash)	No	\$1,001 - \$15,000	Interest	None (or less than \$201)	
17	TD Ameritrade - Deposit Account	No	None (or less than \$1,001)	Interest	None (or less than \$201)	
18	Apple, Inc. (AAPL)	See Endnote	No	\$15,001 - \$50,000	Capital Gains Dividends	None (or less than \$201)
19	crowdstrike holdings CI A (CRWD)	No	\$15,001 - \$50,000	Capital Gains Dividends	None (or less than \$201)	
20	PayPal Holdings, Inc. (PYPL)	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)	
21	iShares Core S&P US Growth ETF (IUSG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000	
22	iShares Core S&P US Growth ETF (IUSG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000	
23	Blackrock Short Maturity Bond (NEAR)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
24	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
25	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500	
26	Alphabet, Inc. (GOOGL)	See Endnote	No	\$15,001 - \$50,000	Capital Gains Dividends	None (or less than \$201)
27	Aptiv PLC (APTV)	No	\$15,001 - \$50,000	Capital Gains Dividends	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
28	The Charles Schwab Corp. (SCHW)	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)	
29	Dow, Inc. (DOW)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000	
30	Garmin Ltd. (GRMN)	See Endnote	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
31	General Motors Co. (GM)	See Endnote	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
32	Microsoft Corp. (MSFT)	See Endnote	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
33	Sea Limited ADR (SE)	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)	
34	Alerian MLP ETF (AMLP)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500	
35	ARK Innovation ETF (ARKK)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
36	Blackrock Short Maturity Bond (NEAR)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
37	Global X Lithium & Battery Tech ETF (LIT)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
38	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500	
39	Quadratic Interest Rate Volatility and Inflation Hedge ETF (IVOL)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000	
40	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500	
41	Technology Select Sector SPDR Fund (XLK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
42	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	Energy Select Sector SPDR Fund (XLE)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Dow, Inc. (DOW) See Endnote	Purchase	03/12/2021	\$1,001 - \$15,000
2	10X Genomics Inc. CL A (TXG) See Endnote	Purchase	06/16/2021	\$1,001 - \$15,000
3	Alphabet, Inc. CL A (GOOGL) See Endnote	Purchase	06/16/2021	\$1,001 - \$15,000
4	Alphabet, Inc. CL A (GOOGL)	Purchase	06/11/2021	\$1,001 - \$15,000
5	General Motors Co. (GM) See Endnote	Purchase	06/11/2021	\$1,001 - \$15,000
6	Garmin Ltd. (GRMN) See Endnote	Purchase	06/11/2021	\$1,001 - \$15,000
7	Garmin Ltd. (GRMN)	Purchase	01/12/2021	\$1,001 - \$15,000
8	Garmin Ltd. (GRMN)	Sale	02/03/2021	\$1,001 - \$15,000
9	Intuitive Surgical, Inc. (ISRG)	Sale	02/19/2021	\$1,001 - \$15,000
10	Aptiv PLC (APTV)	Purchase	02/03/2021	\$1,001 - \$15,000
11	Aptiv PLC (APTV)	Purchase	03/02/2021	\$1,001 - \$15,000
12	PayPal Holdings, Inc. (PYPL)	Purchase	03/02/2021	\$1,001 - \$15,000
13	The Charles Schwab Corp. (SCHW)	Purchase	06/11/2021	\$1,001 - \$15,000
14	10X Genomics Inc. CL A (TXG)	Purchase	06/16/2021	\$1,001 - \$15,000
15	CrowdStrike Holdings Inc. CL A (CRWD)	Purchase	06/16/2021	\$1,001 - \$15,000
16	Sea Limited ADR (SE)	Purchase	06/16/2021	\$1,001 - \$15,000
17	CrowdStrike Holdings Inc CL A (CRWD)	Purchase	06/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
18	DocuSign, Inc. (DOCU)	Purchase	08/12/2021	\$1,001 - \$15,000
19	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	01/12/2021	\$15,001 - \$50,000
20	ARK Autonomous Technology & Robotics ETF (ARKQ)	Purchase	01/12/2021	\$1,001 - \$15,000
21	iShares Silver Trust (SLV)	Sale	01/12/2021	\$15,001 - \$50,000
22	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Purchase	01/28/2021	\$1,001 - \$15,000
23	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Purchase	01/28/2021	\$15,001 - \$50,000
24	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Sale	03/02/2021	\$100,001 - \$250,000
25	iShares Core US Aggregate Bond ETF (AGG)	Sale	03/02/2021	\$15,001 - \$50,000
26	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Purchase	03/02/2021	\$50,001 - \$100,000
27	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Purchase	03/02/2021	\$50,001 - \$100,000
28	iShares Core S&P US Growth ETF (IUSG)	Sale	03/12/2021	\$15,001 - \$50,000
29	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	03/12/2021	\$15,001 - \$50,000
30	Energy Select Sector SPDR Fund (XLE)	Purchase	03/12/2021	\$15,001 - \$50,000
31	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Sale	03/12/2021	\$15,001 - \$50,000
32	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	03/12/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	iShares Core S&P Small-Cap ETF (IJR)	Purchase	03/12/2021	\$15,001 - \$50,000
34	Invesco QQQ Trust, Series 1 (QQQ)	Sale	03/25/2021	\$15,001 - \$50,000
35	Invesco QQQ Trust, Series 1 (QQQ)	Sale	03/25/2021	\$1,001 - \$15,000
36	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Purchase	03/26/2021	\$1,001 - \$15,000
37	iShares MSCI China ETF (MCHI)	Sale	04/26/2021	\$1,001 - \$15,000
38	iShares Nasdaq Biotechnology ETF (IBB)	Sale	04/29/2021	\$15,001 - \$50,000
39	iShares Core US Aggregate Bond ETF (AGG)	Sale	04/29/2021	\$50,001 - \$100,000
40	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Purchase	04/29/2021	\$1,001 - \$15,000
41	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Purchase	04/29/2021	\$50,001 - \$100,000
42	iShares Core S&P US Growth ETF (IUSG)	Sale	05/10/2021	\$15,001 - \$50,000
43	iShares MSCI China ETF (MCHI)	Sale	05/10/2021	\$15,001 - \$50,000
44	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Purchase	05/10/2021	\$15,001 - \$50,000
45	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Purchase	05/27/2021	\$1,001 - \$15,000
46	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Purchase	06/10/2021	\$1,001 - \$15,000
47	Quadratic Interest Rate Volatility and Inflation Hedge ETF (IVOL)	Purchase	06/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	iShares MSCI South Korea ETF (EWY)	Sale	06/15/2021	\$15,001 - \$50,000
49	Alerian MLP ETF (AMLPL)	Purchase	06/16/2021	\$1,001 - \$15,000
50	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Purchase	07/28/2021	\$1,001 - \$15,000
51	iShares Transportation Average ETF (IYT)	Sale	07/30/2021	\$15,001 - \$50,000
52	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Sale	08/02/2021	\$15,001 - \$50,000
53	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Sale	08/02/2021	\$15,001 - \$50,000
54	iShares Core S&P US Growth ETF (IUSG)	Purchase	08/06/2021	\$50,001 - \$100,000
55	Technology Select Sector SPDR Fund (XLK)	Purchase	08/06/2021	\$15,001 - \$50,000
56	iShares Core S&P Mid-Cap ETF (IJH)	Sale	08/12/2021	\$15,001 - \$50,000
57	iShares Core S&P Small-Cap ETF (IJR)	Sale	08/12/2021	\$15,001 - \$50,000
58	iShares Russell 2000 ETF (IWM)	Sale	08/12/2021	\$50,001 - \$100,000
59	Quadratic Interest Rate Volatility and Inflation Hedge ETF (IVOL)	Purchase	08/12/2021	\$50,001 - \$100,000
60	Real Estate Select Sector SPDR Fund (XLRE)	Purchase	08/12/2021	\$15,001 - \$50,000
61	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Sale	08/12/2021	\$50,001 - \$100,000
62	FlexShares MorningstarGlobal Upstream Natural Resources Index Fund (GUNR)	Sale	08/12/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
63	Global X Lithium & Battery Tech ETF (LIT)	Purchase	08/12/2021	\$1,001 - \$15,000
64	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Purchase	08/12/2021	\$1,001 - \$15,000
65	iShares iBonds Dec 2024 Term Corporate ETF (IBDP)	Purchase	08/12/2021	\$1,001 - \$15,000
66	iShares Core S&P US Growth ETF (IUSG)	Purchase	12/30/2021	\$1,001 - \$15,000
67	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	12/30/2021	\$1,001 - \$15,000
68	ARK Autonomous Technology & Robotics ETF (ARKQ)	Sale	12/30/2021	\$1,001 - \$15,000
69	Real Estate Select Sector SPDR Fund (XLRE)	Purchase	12/30/2021	\$1,001 - \$15,000
70	iShares Short Maturity Bond ETF (NEAR)	Purchase	12/30/2021	\$1,001 - \$15,000
71	iShares Short Maturity Bond ETF (NEAR)	Purchase	12/30/2021	\$1,001 - \$15,000
72	ARK Innovation ETF (ARKK)	Purchase	12/30/2021	\$15,001 - \$50,000
73	ARK Genomic Revolution ETF (ARKG)	Sale	12/30/2021	\$15,001 - \$50,000
74	Global X Lithium & Battery Tech ETF (LIT)	Purchase	12/30/2021	\$1,001 - \$15,000
75	VanEck Vectors Rare Earth/Strategic Metals ETF (REMX)	Purchase	12/30/2021	\$1,001 - \$15,000
76	MetWest Total Return Bond Fund Plan Class Shares (MWTSX)	Sale	12/13/2021	\$1,001 - \$15,000
77	Lincoln Stable Value SEP Acct Z138	Sale	12/13/2021	\$1,001 - \$15,000
78	Vanguard Intermediate-Term Bond Index Fund Institutional Plus Class Shares (VBIUX)	Sale	12/13/2021	\$1,001 - \$15,000
79	Lincoln Stable Value SEP Acct Z138	Sale	12/13/2021	\$1,001 - \$15,000
80	Lincoln Stable Value SEP Acct Z138	Sale	12/13/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
81	Vanguard Developed Markets Index Fund Institutional Shares (VTMNX)	Purchase	12/13/2021	\$1,001 - \$15,000
82	Vanguard Institutional Index Fund Institutional Plus Shares (VIIIX)	Purchase	12/13/2021	\$1,001 - \$15,000
83	EuroPacific Growth Fund Class R6 Shares (REGX)	Purchase	12/13/2021	\$1,001 - \$15,000
84	Vanguard Extended Market Index Fund Institutional Shares (VIEIX)	Purchase	12/13/2021	\$1,001 - \$15,000
85	MFS Value Fund Class R6 Shares (MEIKX)	Purchase	12/13/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Morgan Stanley	Interest-only loan from managed investment holdings	\$50,001 - \$100,000	2020	1.75	12 months
2	Quicken Loans	Mortgage (investment/rental property)	\$100,001 - \$250,000	2020	3.25	30 year

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	7	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
6.	8	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
6.	18	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
6.	26	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
6.	30	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
6.	31	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
6.	32	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.

PART	#	ENDNOTE
7.	1	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
7.	2	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
7.	3	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
7.	5	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.
7.	6	This financial interest is in a DoD Contractor (prohibited source). I do not have any current official duties relevant to this company/corporation, nor do I anticipate any such duties in the future. I understand that I am ultimately responsible for ensuring that I do not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests, or on the financial interests of a person whose interests are imputed to me.

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).
