

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

Filer's Information

Oberman, Martin Jay

Board Member, Surface Transportation Board

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Commerce, Science, and Transportation**
-

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/ Oberman, Martin Jay [electronically signed on 04/25/2018 by Oberman, Martin Jay 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/ Oehrle, Christopher, Certifying Official [electronically signed on 07/19/2018 by Oehrle, Christopher in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Jaffe, Seth, Certifying Official [electronically signed on 07/20/2018 by Jaffe, Seth in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Metra	Chicago, Illinois	public corporation	Board member, and Board Chairman from February, 2014 to November, 2016	10/2013	6/2017
2	Chicago Metropolitan Agency for Planning	Chicago, Illinois	government agency	board member	9/2017	Present
3	Law practice of "Martin J. Oberman"	Chicago, Illinois	Solo Legal Practice	attorney	6/1989	Present
4	Estate Trust--Martin J. Oberman	Chicago, Illinois	revocable trust	trustee	1/1998	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Law Practice of "Martin J. Oberman" (solo legal practice)	N/A		Legal fees	\$3,736,019
1.1	Contingent fee case #1	See Endnote	\$250,001 - \$500,000		None (or less than \$201)
1.2	Contingent fee case #2 (value not readily ascertainable)	N/A			None (or less than \$201)
1.3	Contingent fee case #3 (value not readily ascertainable)	N/A			None (or less than \$201)
2	Profit sharing plan for Law Practice of "Martin J. Oberman"	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	ABBOTT LABS COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.2	ALPHABET INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3	AMERICAN FINL GROUP INC OHIO COM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.4	AT&T INC COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.5	BLACKROCK CORPORATE HIGH YIELD FUND	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.6	BLACKROCK CREDIT ALLOCATION INCOME TR FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	BLACKSTONE GROUP L.P. (BX)	N/A	\$15,001 - \$50,000	partnership distribution	\$3,170
2.8	CISCO SYSTEMS INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.9	DELTA AIRLINES INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.10	DOW CHEM CO SR Note 8.550% 05/15/19	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
2.11	EBAY INC FXD RT NT 3.450% 08/01/24	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.12	HARTFORD FINL SVCS GROUP INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.13	ILLINOIS TOOL WORKS INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.14	ISHARES TR IBOXX USD INVT GRADE CORP BD ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.15	JOHNSON & JOHNSON	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.16	JP MORGAN CHASE & CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.17	U.S. Brokerage Account (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.18	MCKESSON CORP NEW NT 2.700% 12/15/22	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.19	MICROSOFT CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.20	NORFOLK SOUTHN CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.21	NUVEEN FLOATING RATE INCOME FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.22	O REILLY AUTOMOTIVE INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.23	POTASH CORP SASK INC NT 4.875% 03/30/20	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.24	POWERSHARES EXCHANGE-TRADED FD TR II SENIOR LN PORT NYSE ARCA INC	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.25	PROCTER & GAMBLE CO	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.26	PSEG PWR LLC GTD FXD RT SR NT 3.000% 06/15/21	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.27	QUALCOMM INC FXD RT NT 2.600% 01/30/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.28	ROYAL DUTCH SHELL PLC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.29	RYDER SYS INC MEDIUM TERM NTS FXD RT NT 2.650% 03/02/20	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.30	SOUTHWEST AIRLS CO	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.31	STARBUCKS CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.32	TRAVELERS COS INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.33	UNION PAC CORP	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
2.34	CHEVRON CORP	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
2.35	PACIFIC GAS & ELEC CO SR NT 8.250%	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
2.36	UNITED CONTL HLDGS INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.37	COCA COLA COMPANY	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.38	GOLDMAN SACHS GROUP INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Law Practice of "Martin J. Oberman"	Chicago, Illinois	My solo legal practice will be inactive during my appointment, and all outstanding client fees will be fixed before I enter government service.	4/2018

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Steven J. Plotkin, Esq.	Evanston, Illinois	Prior to my appointment, I will transfer to Steven J. Plotkin, Esq., a case in which I have a contingency fee interest. I will retain an interest in the fee, as stated in my agreement with Mr. Plotkin, and will receive a percentage of any recovery in the case, which will be fixed prior to my appointment.	6/2018
3	Keith L. Davidson, Esq.	Chicago, Illinois	Prior to my appointment, I will transfer to Keith L. Davidson, Esq., a case in which I have a contingency fee interest. I will retain an interest in the fee, as stated in my agreement with Mr. Davidson, and will receive a percentage of any recovery in the case, which will be fixed prior to my appointment.	6/2018

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Amanda Lessner as guardian of Thomas Reynolds	Lockport, Illinois	represented them in personal injury law suit
2	Francis and Betsy Hartigan	New York, New York	represented them in personal injury law suit
3	Arthur Susman	Chicago, Illinois	represented client in legal malpractice lawsuit
4	Cheryl Hincks	Cary, Illinois	represented client in personal injury lawsuit

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Facing History and Ourselves (Non-profit organization) 403(b) plan	No			
1.1	Vanguard Target Retirement Income (Sole asset in plan)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank Account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Brokerage Investment Account				
2.1	ALLIANCEBERNSTEIN ALL MARKET R CLASS 1(1)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.2	ALLIANCEBERNSTEIN INTL STRATEGIC CORE - ADV(1)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.3	ALLIANCEBERNSTEIN EMG MARKETS M/A-AD MULTI-ASSET PORT- ADVISOR(1)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.4	Microsoft Corp	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.5	Unitedhealth Group Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Total System Services Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	RAYTHEON COMPANY	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.8	Oracle Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	ROYAL DUTCH SHELL PLC-ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	BOOZ ALLEN HAMILTON HOLDING	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	COMCAST CORP-CLASS A	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.12	ANTHEM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	HOME DEPOT INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	TEXAS INSTRUMENTS INC	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.15	BOEING CO/THE	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	APPLE INC	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.17	TYSON FOODS INC-CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.18	PFIZER INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.19	ROSS STORES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	ALPHABET INC-CL C	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.21	FIDELITY NATIONAL FINANCIAL	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	FIDELITY NATIONAL INFORMATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	JPMORGAN CHASE & CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	MARSH & MCLENNAN COS INC	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.25	CVS HEALTH CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	MASTERCARD INC	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.27	MERCK & CO. INC.	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	INTERCONTINENTAL EXCHANGE IN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.29	GILEAD SCIENCES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.30	REPUBLIC SERVICES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	VISA INC - CLASS A SHARES	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.32	HARRIS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.33	PHILIP MORRIS INTERNATIONAL	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.34	NICE SYSTEMS LTD-SPONS ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.35	MCDONALD'S CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.36	AMDOCS LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.37	PEPSICO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.38	BRITISH AMERICAN TOB-SP ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.39	CDW CORP/DE	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.40	TORONTO-DOMINION BANK USD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.41	L3 TECHNOLOGIES INC	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.42	TJX COMPANIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.43	STARBUCKS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.44	SHERWIN-WILLIAMS CO/THE	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.45	EVEREST RE GROUP LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.46	Intuitive Surgical Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.47	AMERICAN FINANCIAL GROUP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.48	CHEVRON CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.49	SCHLUMBERGER LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.50	WALGREENS BOOTS ALLIANCE INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.51	BROWN & BROWN INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.52	CME GROUP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.53	ICON PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.54	COPART INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.55	MICHAELS COS INC/THE	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.56	FACEBOOK INC-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.57	AMERICAN ELECTRIC POWER	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.58	JOHNSON & JOHNSON	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.59	AON PLC	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.60	LAMAR ADVERTISING CO-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.61	MOTOROLA SOLUTIONS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.62	HELEN OF TROY LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.63	VALIDUS HOLDINGS LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.64	AUTOZONE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.65	GENPACT LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.66	FISERV INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.67	AVERY DENNISON CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.68	HILTON GRAND VACATIONS-WI	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.69	BRISTOL-MYERS SQUIBB CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.70	OMNICOM GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.71	WALMART INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.72	CADENCE DESIGN SYS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.73	AMEREN CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.74	COMPASS GROUP PLC-SPON ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.75	SUN COMMUNITIES INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.76	WELLS FARGO & COMPANY	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.77	PNC FINANCIAL SERVICES GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.78	SEALED AIR CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.79	ALTRIA GROUP INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.80	BEMIS COMPANY	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.81	ELI LILLY & CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.82	BERNSTEIN SHORT DUR DVFSFD MUNICIPAL PORTFOLIO	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
2.83	ALLIANCEBERNSTEIN MUNICIPAL BOND INFLATION STRATEGY CLASS 1	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
2.84	BLACK KNIGHT INC	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.85	LOCKHEED MARTIN CORP	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.86	PROGRESSIVE CORP	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.87	SCRIPPS NETWORKS INTER-CL A	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Reach Provider, Inc. (Reach Provider, Inc. is a Delaware C Corp that uses mobile communications to enhance supply chain management. It is an early-stage startup still in the concept phase and has no revenue.)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Private Bank (now CIBC Bank USA)	See Endnote	home equity line of credit	\$500,001 - \$1,000,000	2012	variable	7 years
2	Citibank		Credit Card	\$15,001 - \$50,000	2016	variable	Revolving

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	1.1	The contingent fee relates to a case that has been settled subject to court approval. Therefore, the amount and percentage contingent fee will be set by the Court. A hearing for the court to grant approval is scheduled for May 31, 2018. It is expected that the settlement and the contingent fee will be approved.
6.	3	Given the nature and stage of the company's business, I believe there is no market for our very small minority share of the company and my best estimate is that the value is well under \$1,000 at present
8.	1	No first mortgage exists on our residence, but we have the reported Home Equity Line of Credit (HELOC) from CIBC. The amount borrowed on HELOC varied from month to month. Currently, no amount is owed on the line of credit.

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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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 three 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, NW., 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).
