

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

Filer's Information

Anderson, James Herbert

Assistant Secretary (Strategy, Plans, and Capabilites), Department of Defense

Other Federal Government Positions Held During the Preceding 12 Months:

Vice President of Academic Affairs, Marine Corps University (7/2015 - Present)

Dean of Academics, Marine Corps University (7/2012 - 7/2015)

Names of Congressional Committees Considering Nomination:

- **Committee on Armed Services**
-

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/ Anderson, James Herbert [electronically signed on 03/20/2018 by Anderson, James Herbert 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/ Vetter, Ruth, Certifying Official [electronically signed on 04/13/2018 by Vetter, Ruth in Integrity.gov]

Other review conducted by

/s/ Vetter, Ruth, Ethics Official [electronically signed on 04/13/2018 by Vetter, Ruth in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/20/2018 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Bryce Michael Anderson Memorial Foundation	Clifton, Virginia	Non-Profit	President	8/2006	11/2017
2	Family Trust #2	Clifton, Virginia	Trust	Trustee	1/1984	Present
3	Family Trust #3	Clifton, Virginia	Trust	Trustee	1/2002	Present
4	Family Trust #4	Clifton, Virginia	Trust	Co-trustee	7/2001	Present
5	Palo Duro Resource Play Joint Venture	Floyd County, Texas	Joint Venture	General Partner	10/2014	2/2018
6	Family Trust #5	Clifton, Virginia	Trust	Trustee	1/2006	Present
7	Family Trust #6	Clifton, Virginia	Trust	Trustee	6/2009	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Energy Fund Investor Shares	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	Vanguard Small-Cap Index Fund Admiral Shares	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3	"Leading Dynamic Seminars" Palgrave (value not readily ascertainable)	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	USAA Precious Metals and Minerals Fund (USAGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2	USAA Emerging Markets Fund (USEMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	USAA Small Cap Stock Fund (USCAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Alphabet, Inc CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	3D Systems Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Dodge & Cox Stock Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
4	Prosper Funding LLC	See Endnote	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5	Palo Duro Resource Play Joint Venture (Development of oil well in Floyd County, Texas.		N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Family Trust #1		No			
6.1	Bank of America Private Wealth Management Dividend Income Common Trust Fund		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.2	Columbia Contrarian Core Fund		Yes	\$50,001 - \$100,000		None (or less than \$201)
6.3	Select Sector SPDR TR FINANCIAL SHS BEN INT		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.4	Touchstone Sands Capital Select Growth C		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.5	Bank of America Private Wealth Management Mid Cap Growth CTF		Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.6	Vanguard REIT ETF		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.7	Vanguard Mid-Cap Value ETF		Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.8	iShares Russell 2000 Index		Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.9	Ishares Russell 2000 Growth ETF		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.10	Bank of America Private Wealth Management Emerging Markets Stock Common Trust Fund		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.11	BlackRock Strategic Income Opps Instl		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.12	Powershares DB Commodity Index Tracking Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	Bank of America Private Wealth Management Interm Term Tax Ex Bond CTF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.14	Columbia AMT-Free Virginia Intermediate Muni Bond	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.15	Vanguard FTSE Developed Markets ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.16	U.S. bank account #1 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
7	Family Trust #2	No			
7.1	Citigroup Inc	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
7.2	Endeavour Silver Corp (EXK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.3	General Electric Co	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
7.4	Exxon Mobil Corp	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7.5	Royal Dutch Shell ADR	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
7.6	Verizon Communications Inc	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
7.7	Intel Corporation - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.8	Illinois Tool Works Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.9	Consolidated Edison Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.10	Corning Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.11	Dominion Energy Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.12	RPM International INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.13	3M Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.14	Intl Business Machines Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.15	PG&E Corporation	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.16	Xylem Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.17	Goldman Sachs Group Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.18	Sysco Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.19	KHC	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.20	Ford Motor Co. (F), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.21	Ford Motor Co. (F)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7.22	JP Morgan Chase & Co	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7.23	AT&T Inc	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8	Family Trust #3	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.1	AT&T Inc	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
8.2	Johnson & Johnson	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.3	Eaton Corp plc	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.4	Invesco Ltd	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
8.5	Medtronic Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.6	Adobe Systems Inc	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.7	Air Products and Chemicals Inc	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.8	Alphabet, Inc CL A	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.9	Amazon.com, Inc. - Common Stock	N/A	\$250,001 - \$500,000		None (or less than \$201)
8.10	Apple Inc. - Common Stock	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
8.11	Bank of America Corp	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.12	The Bank of New York Mellon Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.13	Biogen Idec Inc. - Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.14	Cigna Corporation	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.15	Caterpillar Inc	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
8.16	Chevron Corp	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.17	Walt Disney Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.18	Enbridge Inc	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
8.19	Exelon Corp	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.20	Facebook, Inc. - Class A Common Stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.21	Gilead Sciences, Inc. - Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.22	Hershey Foods Corp	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.23	Home Depot Inc	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
8.24	Intercontinentalexchange Group	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.25	Kimberly-Clark	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.26	Lam Resh Corp	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.27	Marathon Petroleum Corp.	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.28	Mondelez International, Inc. - Class A Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.29	Newmont Mining Corp	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.30	PPG Industries Inc	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.31	PepsiCo Inc	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
8.32	Pfizer Inc	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
8.33	Procter & Gamble	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.34	Regions Financial Corp	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.35	Salesforce.Com Inc	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.36	Schlumberger Ltd	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.37	Taiwan Semiconductor Mfg Co Ltd ADR	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.38	The Travelers Companies, Inc	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.39	United Technologies Corp	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.40	Verizon Communications Inc	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
8.41	Visa Inc	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
8.42	Wells Fargo and Company	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.43	BNY Mellon Emerging Markets Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.44	iShares MSCI EAFE Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.45	Dreyfus High Yield Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.46	Newport News VA (Bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
8.47	Virginia ST CmwltH Transprtn (Bond)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.48	Prince William Cnty VA Svc Aut (Bond)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.49	Virginia College Bldg Auth VA Edl (Bond)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.50	Richmond VA Public Utility Rev (Bond)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.51	U.S. bank #1 CRA money market account (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
8.52	Microsoft Corporation - Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.53	Exxon Mobil Corp	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
8.54	JP Morgan Chase & Co	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.55	Intel Corporation - Common Stock	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
9	Virginia 529 Plan	No			
9.1	American Funds AMCAP 529A	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.2	American Funds American Mutual 529A	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
9.3	American Funds Capital World G/I A	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
9.4	American Funds New World 529C	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.5	American Funds SMALLCAP World 529C	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10	Family Trust #4	No			
10.1	Pan American Silver Corp. - Common Stock (PAAS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.1.1	Pan American Silver Corp. (PAAS), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.2	Tata Motors LTD ADR	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.3	Dow Dupont	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.4	Microsoft Corporation - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.5	Total SA ADR	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.6	Johnson & Johnson	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
10.7	Citigroup Inc. (C), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.8	Ford Motor Co. (F)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.9	Citigroup Inc	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.10	General Electric Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.11	JP Morgan Chase & Co	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.11.1	JP Morgan Chase & Co closed position for written call option.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
10.11.2	JP Morgan Chase & Co closed position for written call option.	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
10.12	AT&T Inc	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.13	Endeavour Silver Corp (EXK)	N/A	\$100,001 - \$250,000		None (or less than \$201)
10.13.1	Endeavour Silver Corp. (EXK) closed position for written call options	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
11	Citigroup Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12	AT&T Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13	Johnson & Johnson	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14	Pan American Silver Corp. - Common Stock (PAAS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	Wells Fargo and Company	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16	Dow Dupont	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17	Family Trust #5	No			
17.1	Vanguard Morgan Growth Fund Admiral Shares	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
18	Family Trust #6	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.1	Dodge & Cox Global Stock Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
19	Alphabet, Inc CL C	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	US Bank Account Child #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	US Bank Account Child #2 (cash)	N/A	\$1,001 - \$15,000		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	Capital One Mortgage	Mortgage on Personal Residence	\$100,001 - \$250,000	2004	3.125%	30 years
2	Wells Fargo Bank	Exercised Line of Credit	\$100,001 - \$250,000	2008	3.75%	20 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	4	Peer-to-peer lending. No individual loan in excess of \$50.

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).
