Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Nies-Vogel, Karen H

Director, Office of Exporter Services, Department of Commerce

Report Year: 2024

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/ Nies-Vogel, Karen H [electronically signed on 05/15/2024 by Nies-Vogel, Karen 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).

Other review conducted by

U.S. Office of Government Ethics Certification

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Dominion Resources Inc	N/A	$1,001 - $15,000	Dividends	None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Emerson Electric Co		N/A	$100,001 - $250,000	Dividends	$5,001 - $15,000
3	Virginia Prepaid Education Program - 2006 - education fund		Yes	$15,001 - $50,000		$1,001 - $2,500
4	U of Alaska Prepaid College Savings Plan 2024 - education fund		Yes	$1,001 - $15,000		$201 - $1,000
5	Virginia 529 2024 Portfolio - education fund		Yes	$50,001 - $100,000		$2,501 - $5,000
6	US bank 1 (cash) - savings account		N/A	None (or less than $1,001)		None (or less than $201)
7	US bank 1 (cash) - checking account		N/A	$1,001 - $15,000		None (or less than $201)
8	Vanguard UGMA Star Investor		Yes	$1,001 - $15,000		None (or less than $201)
9	Fidelity SAI High Income Bond Fund (FSHGX)		Yes	$1,001 - $15,000		$201 - $1,000
10	Fidelity International Capital Appreciation Fund (FIVFX)		Yes	$1,001 - $15,000		$1,001 - $2,500
11	United Parcel Service common stock - common stock		N/A	$100,001 - $250,000	Dividends	$5,001 - $15,000
12	TR Price MidCap Growth (RPMGX) - mutual fund		Yes	$15,001 - $50,000		$5,001 - $15,000
13	Fidelity-managed Retirement: Strategic Advisors Emerging Markets (FSAMX		Yes	$15,001 - $50,000		None (or less than $201)
14	Fidelity Strategic Advisors International Fund (FUSIX)	See Endnote	Yes	$50,001 - $100,000		$2,501 - $5,000
15	Fidelity-managed Retirement: Capital & Income (FAGIX)		Yes	None (or less than $1,001)		None (or less than $201)
16	Fidelity-managed Retirement: SAI Emerging Markets (FERGX)		Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Fidelity SAI Short Bond Fund (FZOMX)	See Endnote	Yes	$1,001 - $15,000		$1,001 - $2,500
18	Fidelity Strategic Advisors Core Income (FIWGX)		Yes	$100,001 - $250,000		$100,001 - $1,000,000
19	Fidelity SA US Total Stock (FCTDX)		Yes	$250,001 - $500,000		$5,001 - $15,000
20	Fidelity Real Estate Investment Portfolio (FRESX)		Yes	$15,001 - $50,000		$2,501 - $5,000
21	Fidelity 500 Index Fund (FXAIX)		Yes	$250,001 - $500,000		$50,001 - $100,000
22	Vanguard Wellington Fund (VWELX)		No	$50,001 - $100,000	Capital Gains	$5,001 - $15,000
23	iShares TR MSCI USA QLT FCT (QUAL)		Yes	$15,001 - $50,000		$2,501 - $5,000
24	Fidelity Intermediate Municipal Income Fund (FLTMX)		Yes	$15,001 - $50,000		None (or less than $201)
25	Fidelity SAI Municipal Income Fund (FSMNX)		Yes	$15,001 - $50,000		$1,001 - $2,500
26	Fidelity Conservative Income Municipal Bond Fund Institutional Class Shares (FMNDX)		Yes	$15,001 - $50,000		$1,001 - $2,500
27	Fidelity Limited Term Municipal Income Fund (FSTFX)		Yes	$1,001 - $15,000		$201 - $1,000
28	Fidelity Blue Chip Growth Fund (FBGRX)		Yes	$1,001 - $15,000		$2,501 - $5,000
29	Fidelity Overseas Fund (FOSFX)		Yes	$1,001 - $15,000		$1,001 - $2,500
30	Fidelity Magellan Fund (FMAGX)		Yes	$1,001 - $15,000		None (or less than $201)
31	Fidelity Stock Selector All Cap (FDSSX)		Yes	$15,001 - $50,000		$2,501 - $5,000
32	Fidelity Large Cap Stock Fund (FLCSX)		Yes	$1,001 - $15,000		$1,001 - $2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	Vanguard Small-Cap Index Fund ETF Shares (VB)		Yes	$100,001 - $250,000		$15,001 - $50,000
34	Fidelity Zero International Index Fund (FZILX)	See Endnote	Yes	$100,001 - $250,000		$15,001 - $50,000
35	Fidelity SAI Low Duration Income Fund (FZOLX)		Yes	$1,001 - $15,000		$1,001 - $2,500
36	iShares Core S&P Mid-Cap ETF (IJH)		Yes	$1,001 - $15,000		None (or less than $201)
37	iShares Russell 1000 ETF (IWB)		Yes	$15,001 - $50,000		$15,001 - $50,000
38	iShares TR MSCI USA Mentm (MTUM)		Yes	$1,001 - $15,000		None (or less than $201)
39	iShares INC Core MSCI Emerging Markets (IEMG)		Yes	$1,001 - $15,000		$201 - $1,000
40	iShares TR MSCI International Value (IVLU)		Yes	$1,001 - $15,000		None (or less than $201)
41	iShares National Muni Bond ETF (MUB)		Yes	$1,001 - $15,000		None (or less than $201)
42	iShares US Treasury Bond ETF (GOVT)		Yes	$1,001 - $15,000		None (or less than $201)
43	Fidelity Advisor International Discovery Fund Class I Shares (FIADX)		Yes	$1,001 - $15,000		None (or less than $201)
44	Fidelity Emerging Markets Fund (FEMKX)		Yes	$1,001 - $15,000		$201 - $1,000
45	Fidelity Large Cap Value Enhanced Index Fund (FLVEX)		Yes	$1,001 - $15,000		None (or less than $201)
46	FidelityFidelity SAI Emerging Markets Value Index Fund (FERGX)		Yes	$1,001 - $15,000		$201 - $1,000
47	Fidelity SAI US Quality Index Fund (FUQIX)		Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48	Fidelity Blue Chip Value Fund (FBCVX)	Yes	$1,001 - $15,000		None (or less than $201)
49	Fidelity SAI Tax-Free Bond Fund (FSAJX)	Yes	$15,001 - $50,000		$15,001 - $50,000
50	Fidelity SAI Inflation-Focused Fund (FIFGX)	Yes	$1,001 - $15,000		None (or less than $201)
51	Fidelity Government Money Market Fund (SPAXX)	N/A	$50,001 - $100,000		None (or less than $201)
52	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	N/A	$50,001 - $100,000		$2,501 - $5,000
53	Fidelity International Index Fund (FSPSX)	Yes	$1,001 - $15,000		$1,001 - $2,500
54	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	$1,001 - $15,000		None (or less than $201)
55	Schwab FundamentalEmerging Markets Large Company Index ETF (FNDE)	Yes	None (or less than $1,001)		None (or less than $201)
56	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$1,001 - $15,000		None (or less than $201)
57	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Yes	$1,001 - $15,000		None (or less than $201)
58	iShares S&P Small-Cap 600 Growth ETF (IJT)	Yes	None (or less than $1,001)		None (or less than $201)
59	T Rowe Price Virginia Tax-Free Bond Fund (PRVAX)		$15,001 - $50,000		None (or less than $201)
60	iShares Edge MSCI Min Vol USA ETF (USMV)		$1,001 - $15,000		None (or less than $201)
61	Fidelity SAI Long-Term Treasury Bond Index Fund (FBLTX)		$1,001 - $15,000		$201 - $1,000
62	Strategic AdvisersFidelity US Total Stock Fund (FCTDX)	Yes	$250,001 - $500,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	Fidelity Advisor Strategic Income Fund Class A Shares (FSTAX)		Yes	None (or less than $1,001)		None (or less than $201)
64	Fidelity 500 Index Fund (FXAIX)		Yes	$250,001 - $500,000		$50,001 - $100,000
65	Fidelity Capital & Income Fund (FAGIX)		Yes	$100,001 - $250,000		None (or less than $201)
66	Fidelity UGMA stock accounnt	See Endnote	Yes	None (or less than $1,001)		$201 - $1,000
67	US Bank 1 (checking account)		No	$1,001 - $15,000		None (or less than $201)
68	US Savings Bond		N/A	None (or less than $1,001)		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fidelity SAI Inflation-Focused Fund (FIFGX) to Fidelity Money Market Premium Class (FZDXX)	Sale	01/11/2023	$1,001 - $15,000
2	Fidelity Advisors Strategic Emerging Markets (FGOMX) to Fidelity Money Market Premium Class (FZDXX)	Sale	01/11/2023	$1,001 - $15,000
3	Fidelity SAI US Momentum Index Fund (FUMIX) to Fidelity Money Market Premium Class (FZDXX)	Sale	01/17/2023	$1,001 - $15,000
4	Fidelity Money Market Fund Premium Class (FZDXX) Fidelity SAI Tax Free Bond Fund (FSAJX)	Purchase	01/17/2023	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
5	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity Conservative Income Municipal Bond Fund (FMNDX)		Purchase	01/17/2023	$1,001 - $15,000
6	Fidelity Magellan Fund (FMAGX) to Fidelity Money Market Premium Class (FZDXX)		Sale	02/17/2023	$1,001 - $15,000
7	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity Conservative Income Muni BD CL I (FMNDX)		Purchase	02/17/2023	$1,001 - $15,000
8	Fidelity SAI Tax-Free Bond Fund (FSAJX) to Fidelity Money Market Premium Class (FZDXX)		Sale	02/17/2023	$1,001 - $15,000
9	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity SAI Municipal Income Fund (FSMNX)		Purchase	02/17/2023	$1,001 - $15,000
10	Emerson Electric Co. (EMR)	See Endnote	Sale	03/10/2023	$1,001 - $15,000
11	Emerson Electric Co. (EMR)	See Endnote	Purchase	03/10/2023	$1,001 - $15,000
12	United Parcel Service, Inc. (UPS)	See Endnote	Sale	03/10/2023	$1,001 - $15,000
13	United Parcel Service, Inc. (UPS)	See Endnote	Purchase	03/10/2023	$1,001 - $15,000
14	Fidelity Money Market Fund Premium Class (FZDXX) to fidelity Government Cash Reserves (FDRXX)		Purchase	04/10/2023	$1,001 - $15,000
15	Strategic Advisors US total Stock (FCTDX) to Fidelity Money Market Premium Class		Sale	04/10/2023	$1,001 - $15,000
16	Vanguard 500 Index Fund Admiral Shares (VFIAX)		Sale	05/22/2023	$100,001 - $250,000
17	Fidelity 500 Index Fund (FXAIX)		Sale	05/22/2023	$100,001 - $250,000
18	Fidelity Money Market Fund PremiumStrategic Advisors Fidelity Core Income (FIWGX) Class (FZDXX) to		Purchase	05/24/2023	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
19	Strategic Advisors Fidelity Emerging Markets (FGOMX) to Fidelity Money Market Premium Class (FZDXX)		Sale	05/24/2023	$1,001 - $15,000
20	Fidelity Strategic Advisors US Total Stock (FCTDX) to Fidelity Money Market Premium Class (FZDXX)		Sale	05/24/2023	$1,001 - $15,000
21	Fidelity Money Market Fund Premium Class (FZDXX) to iShares TR MSCI USA Min Vol (USMV)		Purchase	05/24/2023	$1,001 - $15,000
22	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity LImited Term Municipal Income Fund (FSTFX)		Purchase	05/30/2023	$1,001 - $15,000
23	Fidelity SAI Municipal Income Fund (FSMNX) to Fidelity Money Market Premium Class (FZDXX)		Sale	05/30/2023	$1,001 - $15,000
24	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity SAI Tax Free Bond Fund (FSAJX)		Purchase	05/30/2023	$1,001 - $15,000
25	Fidelity Conservative Income Municipal Bond Fund Institutional Class Shares (FMNDX) to Fidelity Money Market Premium Class (FZDXX)		Sale	05/30/2023	$1,001 - $15,000
26	Fidelity Magellan Fund (FMAGX) to Fidelity Money Market Premium Class (FZDXX)		Sale	05/30/2023	$1,001 - $15,000
27	Fidelity Money Market Fund Premium Class (FZDXX) to Fidliety 500 Index Fund (FXAIX)		Purchase	05/31/2023	$100,001 - $250,000
28	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity 500 Index Fund (FXAIX)	See Endnote	Purchase	05/31/2023	$100,001 - $250,000
29	United Parcel Service, Inc. (UPS)	See Endnote	Purchase	06/01/2023	$1,001 - $15,000
30	Fidelity Money Market Fund Premium Class (FZDXX)		Sale	06/05/2023	$1,001 - $15,000
31	Emerson Electric Co. (EMR)	See Endnote	Purchase	06/09/2023	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
32	Fidelity Advisors US Total Stock (FCTDX) to Fidelity Money Market Premium Class (FZDXX)		Sale	06/27/2023	$1,001 - $15,000
33	Fidelity Money Market Fund Premium Class (FZDXX) to Strategic Advisors Fidelity Core Income (FIWGX)		Purchase	06/27/2023	$1,001 - $15,000
34	Fidelity 500 Index Fund (FXAIX)	See Endnote	Purchase	07/07/2023	$1,001 - $15,000
35	Strategic Advisors Fidelity International Fund (FUSIX) to Fidelity Money Market Premium Account (FZDXX)		Sale	07/14/2023	$1,001 - $15,000
36	Fidelity Money Market Fund Premium Class (FZDXX) to Strategic Advisors Fidelity Core Income (FIWGX)		Purchase	07/14/2023	$50,001 - $100,000
37	Strategic Advisors Fidelity Emerging Markets (FGOMX) to Fidelity Money Market Premium Class (FZDXX)		Sale	07/14/2023	$1,001 - $15,000
38	Strategic Advisors Fidelity US Total Stock (FCTDX)	See Endnote	Purchase	07/14/2023	$1,001 - $15,000
39	Strategic Advisors Fidelity US Total Stock (FCTDX) to Fidelity Money Market Premium Class (FZDXX)		Sale	07/14/2023	$15,001 - $50,000
40	iShares Core S&P Mid-Cap ETF (IJH) to Fidelity Money market Premium Class (FZDXX)		Sale	07/19/2023	$1,001 - $15,000
41	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity SAI Municipal Income Fund (FSMNX)		Purchase	07/19/2023	$1,001 - $15,000
42	Fidelity Money Market Premium Class (FZDXX) to Fidelity Conservative Income Municipal Bond Fund (FMNDX)		Purchase	07/19/2023	$1,001 - $15,000
43	Fidelity Tax-Exempt Money Market Fund Premium Class (FZEXX) to Fidelity Money Market (SPRXX)		Purchase	07/20/2023	$50,001 - $100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
44	Fidelity US Bond Index Fund (FXNAX) to Fidelity Money Market Fund Premium Class (FZDXX)		Sale	07/25/2023	$100,001 - $250,000
45	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity Capital and Income (FAGIX)		Purchase	07/25/2023	$100,001 - $250,000
46	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity Magellan (FMAGX)		Purchase	08/25/2023	$1,001 - $15,000
47	United Parcel Service, Inc. (UPS)	See Endnote	Purchase	08/31/2023	$1,001 - $15,000
48	Fidelity Money Market Fund (SPRXX)		Sale	09/05/2023	$1,001 - $15,000
49	Fidelity Real Estate Investment Portfolio (FRESX)	See Endnote	Purchase	09/08/2023	$1,001 - $15,000
50	Emerson Electric Co. (EMR)	See Endnote	Purchase	09/11/2023	$1,001 - $15,000
51	Fidelity Money Market Fund (FPRXX) to TR Price VA Tax Free Bpnd (PRVAX)		Purchase	09/27/2023	$1,001 - $15,000
52	VA Municipal Bond Class A (MSVAX) to Fidelity Money Market		Sale	09/27/2023	$1,001 - $15,000
53	Fidelity Money Market (FPRXX) to TR 3 & YR Treas Bond (IEI)		Purchase	09/27/2023	$1,001 - $15,000
54	Fidelity SAI Municipal Income Fund (FSMNX) to Fidelity Money Market (FPRXX)		Sale	09/27/2023	$1,001 - $15,000
55	Fidelity Money Market (FPRXX) to Fidelity SAI Tax Free Bond Fund (FSAJX)		Purchase	09/27/2023	$1,001 - $15,000
56	Strategic Advisors Fidelity Core Income (FIWGX) to Fidelity Money Market (FRPXX)		Sale	09/27/2023	$1,001 - $15,000
57	Fidelity Money Market (FPRXX) to Fidelity Stategic Advisors US Total Stock (FCTDX)		Purchase	09/27/2023	$1,001 - $15,000
58	Fidelity Money Market (FPRXX) to Fidelity SAI Treasury Long Term Bond Index (FBLTX)		Purchase	09/27/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
59	Fidelity Money Market (FPRXX) to TR Price VA Tax Free Bond (PRVAX)	Purchase	10/06/2023	$1,001 - $15,000
60	MFS Virginia Municipal Bond Fund Class A Shares (MSVAX) to Fidelity Money Market (FPRXX)	Sale	10/06/2023	$1,001 - $15,000
61	SPDRNuveen Bloomberg Barclays High Yield Municipal Bond ETF (HYMB) to Fidelity Money Market (FPRXX)	Sale	10/06/2023	$1,001 - $15,000
62	Fidelity Limited Term Municipal Income Fund (FSTFX) to Fidelity Money Market (FPRXX)	Sale	10/06/2023	$1,001 - $15,000
63	Fidelity Money Market (FPRXX) to Fidelity SAI Tax Free Bond Fund (FSAJX)	Purchase	10/06/2023	$1,001 - $15,000
64	Fidelity Money Market (FPRXX) to Fidelity Conservative Income Municipal Bond Fund (FMNDX)	Purchase	10/06/2023	$1,001 - $15,000
65	Fidelity Intermediate Municipal Income Fund (FLTMX) to Fidelity Money Market (FPRXX)	Exchange	10/06/2023	$1,001 - $15,000
66	Fidelity Money Market Fund Premium Class (FZDXX) to Fidliety Limited Term Muni Income Fund (FSTFX)	Purchase	11/08/2023	$1,001 - $15,000
67	Fidelity SAI Tax-Free Bond Fund (FSAJX) to Fidelity Money Market Premium Class (FZDXX)	Sale	11/08/2023	$1,001 - $15,000
68	Fidelity Conservative Income Municipal Bond Fund Institutional Class Shares (FMNDX) to Fidelity Money Market Premium Class (FMDXX)	Sale	11/08/2023	$1,001 - $15,000
69	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity Intermediate Muni Income (FLTMX)	Purchase	11/08/2023	$1,001 - $15,000
70	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity SA International Fund (FUSIX)	Purchase	11/16/2023	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
71	Fidelity Money Market Fund Premium Class (FZDXX) to Fidelity SA Core Income (FIWGX)		Purchase	11/16/2023	$1,001 - $15,000
72	Fidelity SA US Total Stock (FCTDX) to Fidelity Money market Premium Class (FSDXX)		Sale	11/16/2023	$1,001 - $15,000
73	United Parcel Service, Inc. (UPS)	See Endnote	Purchase	11/30/2023	$1,001 - $15,000
74	Emerson Electric Co. (EMR)	See Endnote	Purchase	12/11/2023	$1,001 - $15,000
75	T Rowe Price Mid-Cap Growth Fund, Inc (RPMGX)	See Endnote	Purchase	12/14/2023	$1,001 - $15,000
76	Fidelity ZERO International Index Fund (FZILX)	See Endnote	Purchase	12/15/2023	$1,001 - $15,000
77	Fidelity 500 Index Fund (FXAIX)	See Endnote	Purchase	12/15/2023	$1,001 - $15,000
78	VanguardGlobal Wellington Fund Investor Shares (VGWLX)	See Endnote	Purchase	12/18/2023	$1,001 - $15,000
79	Strategic AdvisersFidelity International Fund (FUSIX)	See Endnote	Purchase	12/28/2023	$1,001 - $15,000
80	Strategic AdvisersFidelity US Total Stock Fund (FCTDX)	See Endnote	Purchase	12/28/2023	$1,001 - $15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	14	stock code changed from SAHMX
6.	17	stock code changed from FSHBX
6.	34	stock code changed from FZILY
6.	66	Apple stock
7.	10	dividend
7.	11	reinvestment
7.	12	dividend
7.	13	reinvestment
7.	28	second of two purchases
7.	29	reinvestment of dividends
7.	31	reinvestment of dividends
7.	34	reinvestment
7.	38	reinvestment of dividend and long term cap gain
7.	47	dividend and reinvestment
7.	49	long term cap gain and reivestment
7.	50	dividend and reinvestment
7.	73	dividend and reinvestment
7.	74	dividend and reinvestment
7.	75	long term cap gain and reinvestment
7.	76	dividend and reinvestment
7.	77	dividends and reinvestments

PART	#	ENDNOTE
7.	78	long term cap gain and reinvestment
7.	79	dividend and reinvestment
7.	80	dividend and long-term cap gain reinvestment

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 $480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $480 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 $192 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

5 U.S.C.§ 13101 et seq., 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 5 U.S.C. §§ 13107 and § 13122(b)(1) 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 13989 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) 250 E Street, S.W., Suite 750, Washington, DC 20024-3249.

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 (that control number 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).