

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Kocur, Ana

General Counsel, Railroad Retirement Board

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Kocur, Ana [electronically signed on 05/06/2021 by Kocur, Ana in Integrity.gov]

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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/ Chorle, Erhard, Certifying Official [electronically signed on 05/11/2021 by Chorle, Erhard in Integrity.gov]

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Other review conducted by

/s/ Dadabo, Marguerite P., Ethics Official [electronically signed on 05/07/2021 by Dadabo, Marguerite P. in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 05/17/2021 by Granahan, Megan in Integrity.gov]

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## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	TEK Family Trust	See Endnote	Chantilly, Virginia	Trust	Trustee	10/2019	Present

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

None

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## 3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	PRO-telligent, LLC a Tetra Tech Company (Government Contracting)	N/A		Salary, Bonus, Restricted Stock Award, 401k discretionary match	

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#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Fidelity Magellan	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Apple Computers	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
4	Chubb	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5	Cisco Systems	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6	Coca Cola	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7	IBM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8	Schlumberger	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9	Ishares MSCI Canada Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Invesco QQQ	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11	American Century Ginnie Mae Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	Pimco Emerging Market Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13	Ishares Nasdaq Biotechnology Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Vanguard High Dividend Yield Index Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	First Trust Dow Jones Internet Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Vanguard Mega Cap Value ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Tetra Tech 401(k)				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1	Tetra Tech Restricted Stock	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
17.2	Wells Fargo Advantage Core Bond I (Tetra Tech 401(k))	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.3	Franklin US Government Secs Adv (Tetra Tech 401(k))	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.4	T. Rowe Price Capital Appreciation (Tetra Tech 401(k))	Yes	\$50,001 - \$100,000		None (or less than \$201)
17.5	American Funds American Balanced R6 (Tetra Tech 401(k))	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.6	First Eagle Global I (Tetra Tech 401(k))	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.7	American Funds Capital World Gr&Inc R6 (Tetra Tech 401(k))	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.8	American Funds Growth Fund of America (Tetra Tech 401(k))	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.9	TIAA CREFF Mid-Cap Value Instl (TIMVX) (Tetra Tech 401(k))	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.10	Vanguard MidCap Growth (Tetra Tech 401K)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.11	Black Rock Global Allocation Inst (tetra Tech 401k)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.12	Mairs & Power Growth Inv. (Tetra Tech 401k)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Vanguard FTSE Emerging Markets ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Invesco S&P 500 Equal Weight RSP	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	Invesco Exchange Traded FD TR Emerging Markets Sovereign Debt	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	SPDR S&P 500	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	Vanguard Mid-Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Series I Govt Savings Bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Virginia 529 2024 Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	Virginia 529 2018 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Virginia 529 2021 Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	JFCU Checking and Savings Accounts	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
6	Mass Mutual Whole Life Insurance	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	Mass Mutual Whole Life Insurance	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	TD Ameritrade- Beneficiary IRA	See Endnote		cash distribution	\$20,880
8.1	Africa Oil Corp	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	Amicus Therapeutics, Inc. - Common Stock (FOLD)	No	\$1,001 - \$15,000		None (or less than \$201)
8.3	Aphria	No	\$1,001 - \$15,000		None (or less than \$201)
8.4	Appian Corpo	No	\$15,001 - \$50,000		None (or less than \$201)
8.5	Blackrock Cap Investment	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.6	CareDx, Inc. - Common Stock (CDNA)	No	\$1,001 - \$15,000		None (or less than \$201)
8.7	Ceragon Networks Ltd. - Ordinary Shares (CRNT)	No	\$1,001 - \$15,000		None (or less than \$201)
8.8	Cree, Inc. - Common Stock (CREE)	No	\$1,001 - \$15,000		None (or less than \$201)
8.9	Crispr Therapeutics	No	\$15,001 - \$50,000		None (or less than \$201)
8.10	Denali Therapeutics Inc	No	\$15,001 - \$50,000		None (or less than \$201)
8.11	Direxion Shares ETF Tr	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.12	Editas Medicine Inc	No	\$1,001 - \$15,000		None (or less than \$201)
8.13	Energy Recovery Inc	No	\$1,001 - \$15,000		None (or less than \$201)
8.14	Ericsson - ADS each representing 1 underlying Class B share (ERIC)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.15	Exelixis, Inc. - Common Stock (EXEL)	No	\$1,001 - \$15,000		None (or less than \$201)
8.16	First Solar Inc (FSLR)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.17	Funko Inc	No	\$1,001 - \$15,000		None (or less than \$201)
8.18	Gerdau SA ADR	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.19	GlaxoSmithKline ADR	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.20	Global X FDS Founder Run Co	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.21	Halozyme Therapeutics, Inc. - Common Stock (HALO)	No	\$1,001 - \$15,000		None (or less than \$201)
8.22	Ianthus Capital	No	None (or less than \$1,001)		None (or less than \$201)
8.23	Intellia Therapeutics	No	\$1,001 - \$15,000		None (or less than \$201)
8.24	Ion Geophysical	No	None (or less than \$1,001)		None (or less than \$201)
8.25	Keysight Technologies	No	\$1,001 - \$15,000		None (or less than \$201)
8.26	Kushco Holdings	No	None (or less than \$1,001)		None (or less than \$201)
8.27	Laredo Petroleum	No	None (or less than \$1,001)		None (or less than \$201)
8.28	Lundin Mining	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.29	Lynas C	No	\$1,001 - \$15,000		None (or less than \$201)
8.30	Mastec Inc	No	\$1,001 - \$15,000		None (or less than \$201)
8.31	Materialize NV ADR	No	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.32	Medpace Holdings, Inc. (MEDP)	No	\$1,001 - \$15,000		None (or less than \$201)
8.33	Micron Technology Inc (MU)	No	\$15,001 - \$50,000		None (or less than \$201)
8.34	Nightfood Holdings Inc COM	No	None (or less than \$1,001)		None (or less than \$201)
8.35	NRG Energy (NRG)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.36	Nvidia Corp (NVDA)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.37	Planet 13 Holdings	No	\$1,001 - \$15,000		None (or less than \$201)
8.38	Redfin Corporation RDFN	No	\$1,001 - \$15,000		None (or less than \$201)
8.39	Semtech Corporation - Common Stock (SMTC)	No	\$1,001 - \$15,000		None (or less than \$201)
8.40	Diversified Healthcare Trust (DHC)	See Endnote	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.41	Severn Bancorp	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.42	Softbank Group Corp	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.43	Solaredge Technologies	No	\$15,001 - \$50,000		None (or less than \$201)
8.44	Swedish Export Credit Corp	No	\$1,001 - \$15,000		None (or less than \$201)
8.45	Tanzanian Gold Corp	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.46	Tencent Music Entertainment	No	\$1,001 - \$15,000		None (or less than \$201)
8.47	Cafe Holdings Inc (COFE)	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
8.48	Turquoise Hill Res Ltd	No	\$1,001 - \$15,000		None (or less than \$201)
8.49	Texas Instruments	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.50	Upwork	No	\$1,001 - \$15,000		None (or less than \$201)
8.51	Vertex Pharmaceutical Inc (VRTX)	No	\$1,001 - \$15,000		None (or less than \$201)
8.52	Viavi Solutions	No	\$1,001 - \$15,000		None (or less than \$201)
8.53	Vivakor	No	\$1,001 - \$15,000		None (or less than \$201)
8.54	W&T Offshore Inc	No	\$1,001 - \$15,000		None (or less than \$201)
8.55	Washington Prime Group	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
8.56	Xencor, Inc. - Common Stock (XNCR)	No	\$1,001 - \$15,000		None (or less than \$201)
8.57	Insured Deposit Account	No	\$50,001 - \$100,000	Interest	None (or less than \$201)
8.58	Consumer Staples Select Sector SPDR Fund (XLP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.59	iShares Expanded Tech-Software ETF (IGV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.60	Health Care Select Sector SPDR Fund (XLV)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.61	Consumer Discretionary Select Sector SPDR Fund (XLY)		Yes	\$1,001 - \$15,000		None (or less than \$201)
8.62	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)		Yes	\$1,001 - \$15,000		None (or less than \$201)
8.63	Invesco S&P 500 Quality ETF (SPHQ)		Yes	\$1,001 - \$15,000		None (or less than \$201)
8.64	Benjamin Hill Mining Corp (MOJGF)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
8.65	Nocopi Technologies (NNUP)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
9	TEK Family Trust	See Endnote	No			
9.1	US Bank (cash account)	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.2	Interactive Brokers (cash account)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3	BB&T Bank (cash account)		N/A	\$1,001 - \$15,000		None (or less than \$201)
9.4	TD Ameritrade (cash account)		N/A	None (or less than \$1,001)		None (or less than \$201)
10	Etrade bank account		N/A	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Cresco Labs CRLBF		Sale	02/24/2020	\$1,001 - \$15,000
2	Zayo Group Holdings (ZAYO)	See Endnote	Exchange	03/10/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
3	PIMCO Emerging Markets Bond A (PAEMX)		Sale	03/13/2020	\$1,001 - \$15,000
4	OraSure Technologies, Inc. - Common Stock (OSUR)		Sale	04/07/2020	\$1,001 - \$15,000
5	Hon Hai Precision Industry		Sale	05/07/2020	\$1,001 - \$15,000
6	Managers Trust Prime Junior Silver Miners		Sale	05/27/2020	\$1,001 - \$15,000
7	The Rubicon Project, Inc. (RUBI)	See Endnote	Sale	06/16/2020	\$1,001 - \$15,000
8	Consumer Staples Select Sector SPDR Fund (XLP)		Purchase	06/16/2020	\$1,001 - \$15,000
9	iShares Expanded Tech-Software ETF (IGV)		Purchase	06/16/2020	\$1,001 - \$15,000
10	Health Care Select Sector SPDR Fund (XLV)		Purchase	06/16/2020	\$1,001 - \$15,000
11	Consumer Discretionary Select Sector SPDR Fund (XLY)		Purchase	06/16/2020	\$1,001 - \$15,000
12	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)		Purchase	06/16/2020	\$1,001 - \$15,000
13	Invesco S&P 500 Quality ETF (SPHQ)		Purchase	06/16/2020	\$1,001 - \$15,000
14	Citrix Systems, Inc. (CTXS)		Sale	06/26/2020	\$1,001 - \$15,000
15	Charlotte's Web Holdings, Inc		Sale	06/26/2020	\$1,001 - \$15,000
16	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)		Purchase	09/18/2020	\$1,001 - \$15,000
17	Invesco S&P 500 Quality ETF (SPHQ)		Purchase	09/18/2020	\$1,001 - \$15,000
18	Consumer Discretionary Select Sector SPDR Fund (XLY)		Purchase	09/17/2020	\$1,001 - \$15,000
19	iShares Expanded Tech-Software ETF (IGV)		Purchase	09/17/2020	\$1,001 - \$15,000
20	Caesars Entertainment Corp. (CZR)	See Endnote	Sale	07/22/2020	\$1,001 - \$15,000
21	Nokia OYJ ADR NOK		Sale	09/29/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
22	Sirius XM Holdings Inc. - Common Stock (SIRI)		Sale	10/01/2020	\$1,001 - \$15,000
23	Intellia Therapeutics, Inc. (NTLA)		Sale	10/19/2020	\$1,001 - \$15,000
24	Keysight Technologies, Inc. (KEYS)		Sale	10/19/2020	\$1,001 - \$15,000
25	Hexcel Corp. (HXL)		Sale	10/19/2020	\$1,001 - \$15,000
26	Denali Therapeutics, Inc. (DNLI)		Sale	11/04/2020	\$1,001 - \$15,000
27	Texas Instruments Incorporated (TXN)		Sale	11/06/2020	\$1,001 - \$15,000
28	Ionis Pharmaceuticals, Inc. (IONS)		Sale	11/05/2020	\$1,001 - \$15,000
29	Blue Bird Corporation (BLBD)		Sale	11/09/2020	\$1,001 - \$15,000
30	Eagle Bulk Shipping, Inc. (EGLE)		Sale	11/18/2020	\$1,001 - \$15,000
31	Residential Real Estate in Chantilly, VA	See Endnote	Sale	09/17/2020	\$250,001 - \$500,000
32	Virginia 529 2018 Portfolio		Sale	01/06/2020	\$1,001 - \$15,000
33	Virginia 529 2018 Portfolio		Sale	08/03/2020	\$1,001 - \$15,000
34	Putnam International Equity Y (Tetra Tech 401k)		Sale	12/16/2020	\$15,001 - \$50,000
35	Black Rock Global Allocation Inst. (Tetra Tech 401k)		Purchase	12/16/2020	\$1,001 - \$15,000
36	Mairs and Power Growth Inv. (Tetra Tech 401k)		Purchase	12/16/2020	\$1,001 - \$15,000
37	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	See Endnote	Purchase	03/27/2020	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T Bank	See Endnote	Mortgage (investment/rental property)	\$100,001 - \$250,000	2013	4.0	30 years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	1	I became the trustee upon the death of a family member.
6.	8	I acquired this beneficiary IRA upon the death of a family member in October 2019.
6.	8.40	The name was changed from Senior Housing Property Trust to Diversified Healthcare Trust (DHC).
6.	8.47	This was renamed from The Coffeesmiths Collective to Cafe Holdings Inc. (COFE).
6.	8.64	This holding was not reported in my 2020 annual report because the value at the end of the reporting period was under \$1000.
6.	8.65	This holding was not reported in my 2020 annual report because the value at the end of the reporting period was under \$1000.
6.	9	Became beneficiary upon death of family member in October 2019
6.	9.1	State Farm Bank customers were transferred to US Bank during 2020. Also, the proceeds from the sale of the Residential Real Estate in Chantilly, VA were deposited in this account.
7.	2	Private Equity buy-out
7.	7	My stock in Telaria underwent a mandatory exchange for Rubicon stock in April 2020 due to the merger of the two companies. As a result I no longer hold Telaria.

PART	#	ENDNOTE
7.	20	El Dorado Resorts merged with Caesar's Entertainment Corp which created a forced sale of my holdings. I do not recall receiving prior notice of the forced sale.
7.	31	This was part of the TEK Family Trust.
7.	37	I mistakenly reported in a 278T a purchase on 3/27/2020 of Vanguard High Dividend Yield Index Admiral Shares (VHYAX). In preparing my annual report I realized that the purchase on 3/27/2020 that I had meant to report was for Vanguard High Dividend Yield Index Fund ETF Shares (VYM), which I have reported in this item. Neither my spouse nor I ever purchased or own VHYAX.
8.	1	Mortgage on Residential Real Estate in TEK Family Trust. Property was sold on 9/17/20 and mortgage was paid in full.

# 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).

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