

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

## Filer's Information

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**Jayne, Thomas**

Member, Railroad Retirement Board

Report Year: 2020

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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/ Jayne, Thomas [electronically signed on 04/18/2020 by Jayne, Thomas 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/ Dadabo, Marguerite P., Certifying Official [electronically signed on 05/13/2020 by Dadabo, Marguerite P. in Integrity.gov]**

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Other review conducted by

**/s/ Dadabo, Marguerite P., Ethics Official [electronically signed on 05/13/2020 by Dadabo, Marguerite P. in Integrity.gov]**

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U.S. Office of Government Ethics Certification

Data Revised 05/19/2020

Data Revised 05/12/2020

Data Revised 04/21/2020

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Central Institute for the Deaf	See Endnote	St. Louis, Missouri	Non-Profit	Member of Board of Managers	6/1991	Present
2	BNSF Railway Company		Fort Worth, Texas	Corporation	Senior general attorney	8/2011	1/2019

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CVX - Chevron Corporation	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
2	C - Citigroup Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3	JPM - J.P. Morgan Chase	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4	PG - The Proctor & Gamble Company	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5	USB - U.S. Bancorp	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6	VZ - Verizon Communications	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7	Vanguard Fixed Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8	Vanguard Target Retirement 2015 Trust Plus	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Vanguard Institutional 500 Index Trust	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10	Vanguard Institutional 500 Index Trust	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11	HIBIX, VIRTUS NEWFLEET LOW I	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12	PIFZX, PGIM SHORT-TERM CORP Z	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
13	PTSHX, PIMCO SHORT TERM FD INST	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
14	MSFT, MICROSOFT CORP	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
15	LOW, LOWES COMPANIES INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16	BDX, BECTON DICKINSON & CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17	MDT, MEDTRONIC PLC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18	GD, GENL DYNAMICS CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19	ADP, AUTOMATIC DATA	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20	NEE, NEXTERA ENERGY INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
21	JNJ, JOHNSON & JOHNSON	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
22	AFL, AFLAC INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	ITW, ILLINOIS TOOL WORKS INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	VFC, V F CORPORATION	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
25	ABT, ABBOTT LABORATORIES	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
26	AMGN, AMGEN INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
27	ADI, ANALOG DEVICES INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
28	SYU, SYSCO CORPORATION	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
29	MMM, 3M CO	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
30	PAYX, PAYCHEX INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
31	ACN, ACCENTURE PLC IRELAND	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
32	CB, CHUBB LTD	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
33	CLX, CLOROX COMPANY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
34	PSX, PHILLIPS 66	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
35	WMT, WALMART INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
36	EMR, EMERSON ELECTRIC CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
37	BLK, BLACKROCK INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
38	APD, AIR PRODUCTS & CHEMICALS	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
39	WEC, WEC ENERGY GROUP INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
40	FDS, FACTSET RESEARCH SYSTEMS	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
41	MCD, MCDONALDS CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	PEP, PEPSICO INCORPORATED	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
43	NKE, NIKE INC CLASS B	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
44	TGT, TARGET CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
45	XOM, EXXON MOBIL CORP	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
46	CL, COLGATE-PALMOLIVE CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
47	T, AT & T INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
48	NVS, NOVARTIS AG	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
49	PII, POLARIS INDS INC	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
50	EV, EATON VANCE CORP NON VTG	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
51	FVD, FIRST TR VALUE LINE ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
52	LALDX, Lord Abbett Short Duration Income A	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
53	ABALX, American Balanced Fund CL A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
54	CAIBX, CAPITAL INCOME BLDR CL A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
55	AMECX, American Funds Income Fund of America	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
56	U.S. bank account (cash)	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
57	Rental of home	No	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
58	Bank of America Corp (BAC)	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
59	American Tower Corp A (AMT)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
60	Apple Inc. (AAPL)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
61	Comcast Corp (CMCSA)	No	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
62	Linde (LIN)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
63	Raytheon (RTX) See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64	United Health Care (UNH)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
65	WABTEC (WAB) See Endnote	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
66	BNSF Railway Company, defined benefit plan (value not readily ascertainable) monthly payments of \$1041 per month	N/A	\$15,001 - \$50,000	Monthly pension payments	\$1,041

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	BNSF Railway Company	Fort Worth, Texas	I will continue to participate in this defined benefit plan.	8/2011

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	BNSF Railway Company	Fort Worth, Texas	Pursuant to standard company policy, I received a performance-based bonus for services rendered in calendar year 2018. BNSF Railway used an objective formula to calculate this bonus based on company performance through December 31, 2018. In addition, pursuant to BNSF's long term incentive plan, I received a bonus in February 2019 before taking this position based on "target numbers" set for 2016, 2017, and 2018. The target amount was set at 100% based on company performance.	1/2016

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	YMCA of Greater St. Louis	N/A		salary	
2	IRA	No			
2.1	U.S. bank account (cash)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
2.2	PJC - Piper Jaffray Cos Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	USB - US Bancorp New	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#### 6. Other Assets and Income



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US credit union account (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2	US bank account (cash)	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
3	US brokerage account (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
4	Scobie Lake LLC: residential property, Connelssville, Missouri	N/A	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	277.78 shares of BRK-A	See Endnote	Sale	02/15/2019	\$1,001 - \$15,000
2	AT&T Inc		Purchase	05/09/2019	\$1,001 - \$15,000
3	AFLAC Inc		Purchase	05/09/2019	\$1,001 - \$15,000
4	Abbott Laboratories		Purchase	05/09/2019	\$1,001 - \$15,000
5	Air Products & Chemicals Inc		Purchase	05/09/2019	\$1,001 - \$15,000
6	Amgen Inc. - Common Stock		Purchase	05/09/2019	\$1,001 - \$15,000
7	Analog Devices, Inc. - Common Stock		Purchase	05/09/2019	\$1,001 - \$15,000
8	Apple Inc. - Common Stock		Purchase	05/09/2019	\$1,001 - \$15,000
9	Automatic Data Processing, Inc. - Common Stock		Purchase	05/09/2019	\$1,001 - \$15,000
10	Becton Dickinson & Co		Sale	05/09/2019	\$1,001 - \$15,000
11	Chevron Corp		Purchase	05/09/2019	\$1,001 - \$15,000
12	BlackRock Inc		Purchase	05/09/2019	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
13	Cisco Systems, Inc. - Common Stock	See Endnote	Purchase	05/09/2019	\$1,001 - \$15,000
14	Colgate-Palmolive Co		Purchase	05/09/2019	\$1,001 - \$15,000
15	EV Energy Partners, L.P. - common units representing limited partnership interest		Purchase	05/09/2019	\$1,001 - \$15,000
16	Emerson Electric Co		Purchase	05/09/2019	\$1,001 - \$15,000
17	Clorox Co		Purchase	05/09/2019	\$1,001 - \$15,000
18	Eversource Energy		Purchase	05/09/2019	\$1,001 - \$15,000
19	Exxon Mobil Corp		Purchase	05/09/2019	\$1,001 - \$15,000
20	FACTSET RESEARCH SYSTEMS INC.		Purchase	05/09/2019	\$1,001 - \$15,000
21	General Dynamics		Purchase	05/09/2019	\$1,001 - \$15,000
22	Harris Corp		Purchase	05/09/2019	\$1,001 - \$15,000
23	Illinois Tool Works Inc		Purchase	05/09/2019	\$1,001 - \$15,000
24	Johnson & Johnson		Purchase	05/09/2019	\$1,001 - \$15,000
25	JP Morgan Chase & Co		Purchase	05/09/2019	\$1,001 - \$15,000
26	LOWES COMPANIES INC		Purchase	05/09/2019	\$1,001 - \$15,000
27	Microsoft Corporation - Common Stock		Purchase	05/09/2019	\$1,001 - \$15,000
28	NextEra Energy Inc		Purchase	05/09/2019	\$1,001 - \$15,000
29	NIKE Inc B		Sale	05/09/2019	\$1,001 - \$15,000
30	NOVARTIS AG SPON ADR`		Purchase	05/09/2019	\$1,001 - \$15,000
31	PIMCO Short-Term Instl		Purchase	05/09/2019	\$1,001 - \$15,000
32	PepsiCo Inc		Purchase	05/09/2019	\$1,001 - \$15,000
33	Paychex, Inc. - Common Stock		Purchase	05/09/2019	\$1,001 - \$15,000
34	Phillips 66		Purchase	05/09/2019	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
35	McDonald's Corp		Purchase	05/09/2019	\$1,001 - \$15,000
36	Polaris Inds Inc		Purchase	05/09/2019	\$1,001 - \$15,000
37	Procter & Gamble		Purchase	05/09/2019	\$1,001 - \$15,000
38	T. Rowe Price Short-Term Bond		Purchase	05/09/2019	\$100,001 - \$250,000
39	Target Corp		Purchase	05/09/2019	\$1,001 - \$15,000
40	3M Co		Purchase	05/09/2019	\$1,001 - \$15,000
41	US Bancorp		Purchase	05/09/2019	\$1,001 - \$15,000
42	United Technologies Corp		Purchase	05/09/2019	\$1,001 - \$15,000
43	Wisconsin Energy Corp		Purchase	05/09/2019	\$1,001 - \$15,000
44	Sysco Corp		Purchase	05/09/2019	\$1,001 - \$15,000
45	Wal-Mart Stores		Purchase	05/09/2019	\$1,001 - \$15,000
46	Medtronic Inc		Purchase	05/09/2019	\$1,001 - \$15,000
47	Chubb LTD		Purchase	05/09/2019	\$1,001 - \$15,000
48	American Funds American Balanced A		Purchase	05/09/2019	\$100,001 - \$250,000
49	VF Corp		Purchase	05/09/2019	\$1,001 - \$15,000
50	Linde PLC		Purchase	05/09/2019	\$1,001 - \$15,000
51	Accenture plc		Purchase	05/09/2019	\$1,001 - \$15,000
52	Cisco Systems, Inc. - Common Stock	See Endnote	Sale	05/24/2019	\$1,001 - \$15,000
53	PIMCO Short-Term Instl (PTSHX)		Purchase	01/08/2020	\$50,001 - \$100,000
54	PGIM Short Term Corp Bond PIFZX		Purchase	01/08/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
55	T. Rowe Price Short-Term Bond (PRWBX)	Sale	01/08/2020	\$100,001 - \$250,000
56	Virtus Newfleet Low Duration Core Plus Bond Fund HIBIX	Purchase	01/08/2020	\$50,001 - \$100,000
57	Citigroup Inc (C)	Purchase	01/08/2020	\$15,001 - \$50,000
58	Guggenheim Enhanced Eqty Income Fnd GPM	Sale	01/07/2020	\$1,001 - \$15,000
59	Proctor & Gamble Co PG	Sale	01/07/2020	\$15,001 - \$50,000
60	Comcast Corporation - Class A Common Stock (CMCSA)	Purchase	12/11/2019	\$15,001 - \$50,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	U.S. Bank, N.A.	Mortgage on Personal Residence	\$250,001 - \$500,000	2011	2.75	5 years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

<b>PART</b>	<b>#</b>	<b>ENDNOTE</b>
1.	1	This is a volunteer (unpaid) position. Filer resigned on May 15, 2020.
2.	63	Formerly United Technologies
2.	65	Spun off from previous holding of GE.
7.	1	Liquidation of BNSF retirement account.
7.	13	This purchase was made in error by broker and will be reversed.
7.	52	Transaction from earlier in May which was executed in error by broker was reversed. No fees were charged and the original purchase price was credited to the account.

# 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 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. 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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