

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

Filer's Information

Washburn, Elizabeth R

Special Assistant to the President for Native Affairs, White House - Biden-Harris Administration

Date of Termination: 04/22/2022

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/ Washburn, Elizabeth R [electronically signed on 04/18/2022 by Washburn, Elizabeth R 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/ Hermanowicz, Rebecca A, Certifying Official [electronically signed on 05/16/2022 by Hermanowicz, Rebecca A in Integrity.gov]

Other review conducted by

/s/ Hermanowicz, Rebecca A, Ethics Official [electronically signed on 05/16/2022 by Hermanowicz, Rebecca A in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/16/2022

Data Revised 05/15/2022

Data Revised 05/13/2022

Data Revised 05/11/2022

Data Revised 04/18/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(04/18/2022, Washburn, Elizabeth R): The filer agreed to update the reported information if it changes before or on the indicated termination date.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	New Mexico State University	Las Cruces, New Mexico	University/College	Senior Academic Administrator	10/2020	1/2021
2	University of New Mexico -	Albuquerque, New Mexico	University/College	Compliance Counsel	3/2019	1/2021
3	El Rancho de los Golondrinas Museum -	Santa Fe, New Mexico	Non-Profit	Board member	1/2018	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New Mexico State University	N/A		Salary	\$5,000
2	SEP IRA	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.1	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	University of New Mexico Alternative Retirement Plan (defined contribution)	N/A			
3.1	TIAA Traditional	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Cref Equity Index Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Cref Stock Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	JPMorgan Small Cap Equity Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	Victory Sycamore Established Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	JPMorgan Equity Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	TIAA-CREF International Equity Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	DFA Emerging Markets Porfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	TIAA Real Estate	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	New Mexico State University 457(b)	No			
4.1	TIAA-CREF Lifecycle 2035 Fund Premier Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	University of Iowa Defined Contribution Retirement Plan	No			
5.1	TIAA Cref Lifecycle Index 2035 Fund Institutional Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	New Mexico State University, defined benefit plan (value not readily ascertainable): eligible for approximately \$50/mo. at 65	N/A			None (or less than \$201)
7	University of New Mexico 403(b)	No			
7.1	TIAA-CREF Lifecycle 2035 Fund – Retirement Class	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	University of New Mexico 457(b) Plan	No			
8.1	TIAA Traditional	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.2	Cref Growth R2	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	TIAA Real Estate	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	University of Iowa Tax Deferred Annuity Savings Plan	No			
9.1	TIAA CREF Lifecycle Index 2035 Institutional Class	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New Mexico State University	Las Cruces, New Mexico	I will continue to participate in this 457(b) defined contribution plan. The plan sponsor will not make further contributions after my separation.	11/2020
2	University of Iowa	Iowa City, Iowa	I will continue to participate in the University of Iowa Tax Deferred Annuity Savings Plan and University of Iowa Defined Contribution Retirement Plan, but the plan sponsor no longer makes contributions.	10/2018
3	University of New Mexico	Albuquerque, New Mexico	I will continue to participate in University of New Mexico Alternative Retirement Plan, University of New Mexico 403(b), and University of New Mexico 457(b) Plan, but the plan sponsor no longer makes contributions.	8/2016
4	New Mexico State University	Las Cruces, New Mexico	I will continue to participate in this defined benefit plan.	10/2020

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	University of Iowa	N/A		salary, bonus	
2	National Conference of Bar Examiners	N/A		consulting fees	
3	SEP IRA	No			
3.1	MFAM Small-Cap Growth ETF (Mfms)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Invesco China Technology ETF (Cqqq)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	Invesco China Technology ETF (CQQQ)	No	\$15,001 - \$50,000		None (or less than \$201)
3.4	MFAM Small-Cap Growth ETF (MFMS)	No	\$15,001 - \$50,000		None (or less than \$201)
3.5	Global X FinTech ETF (FINX)	No	\$1,001 - \$15,000		None (or less than \$201)
3.6	iShares Global Clean Energy ETF (ICLN)	No	\$1,001 - \$15,000		None (or less than \$201)
3.7	ARK Innovation ETF (ARKK)	No	\$15,001 - \$50,000		None (or less than \$201)
3.8	iShares MSCI Emerging Markets ex China ETF (EMXC)	No	\$1,001 - \$15,000		None (or less than \$201)
3.9	iShares Core US REIT ETF (USRT)	No	\$1,001 - \$15,000		None (or less than \$201)
3.10	WisdomTree Cloud Computing Fund (WCLD)	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	ARK Next Generation Internet ETF (ARKW)	No	\$15,001 - \$50,000		None (or less than \$201)
3.12	Invesco NASDAQ Next Gen 100 ETF (QQQJ)	No	\$1,001 - \$15,000		None (or less than \$201)
4	University of Iowa Tax Deferred Annuity Savings Plan	No			
4.1	TIAA Lifecycle Index 2030 Fund Institutional Class	Yes	\$250,001 - \$500,000		None (or less than \$201)
5	University of Iowa 457(b) Deferred Compensation Plan	No			
5.1	TIAA-CREF Lifecycle Index 2040 Fund Inst Class	Yes	\$250,001 - \$500,000		None (or less than \$201)
6	University of New Mexico Pension defined benefit plan (value not readily ascertainable): eligible for approximately \$1200/mo. at 65	N/A			None (or less than \$201)
7	Carnegie Corp of NY Foundation Reviewed Grant Applications - Jan 2021	N/A	\$1,001 - \$15,000	honorarium	\$2,500
8	"Gaming and Gambling Law," WoltersKluwer (value unascertainable)	N/A			None (or less than \$201)
9	University of Iowa Defined Contribution Retirement Plan	No			
10	TIAA-CREF Lifecycle Index 2030 Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
11	Crowe and Dunley Consulting Services/Expert Witness Work	N/A	\$15,001 - \$50,000	Salary for Consulting Services/Expert Witness Work	\$24,000
12	Tribal Settlement Fund (TAFT)	N/A	\$15,001 - \$50,000	Serving as a director for this settlement fund	\$30,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Graton Rancheria Consulting Services/Expert Witness Work	N/A	\$15,001 - \$50,000	Consulting Services/Expert Witness Work	\$20,000
14	Cabazon Band of Mission Indians	N/A	\$1,001 - \$15,000	Consulting Services/Expert Witness Work	\$11,000
15	Federal Reserve Bank Research	N/A	\$15,001 - \$50,000	Academic research work	\$15,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Nuveen Quality Municipal Income Fund (NAD)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3	U.S. bank #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	U.S. bank #4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	USAA 529 Accounts for Children	No			
5.1	Very conservative portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	Aggressive portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Preservation of capital portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	UBS US Small Cap Growth Fund Class A Shares (BNSCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	MFAM Small-Cap Growth ETF (MFMS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Proshares Short Dow30 (DOG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	SPDR S&P Oil & Gas Exploration & Production ETF (XOP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	BlackRock MuniAssets Fund, Inc (MUA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	iShares MSCIEmerging Markets ETF (EEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	iShares MSCI Canada ETF (EWC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	BlackRock Debt Strategies Fund, Inc (DSU)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
15	iShares Core Growth Allocation ETF (AOR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Direxion NASDAQ-100 Equal Weighted Index Shares (QQQE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	BlackRock Corporate High Yield Fund, Inc (HYT)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
18	Motley Fool 100 Index ETF (TMFC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Vanguard Mid-Cap Value Index Fund ETF (VOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Vanguard Small-Cap Value Index Fund ETF (VBR)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Vanguard Value Index Fund ETF (VTV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	iShares Core Aggressive Allocation ETF (AOA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Affirm Holdings, Inc. (AFRM)	Sale	03/16/2021	\$1,001 - \$15,000
2	SM Energy Company (SM)	Sale	03/02/2021	\$1,001 - \$15,000
3	IDEXX Laboratories, Inc. (IDEX)	Sale	03/10/2021	\$1,001 - \$15,000
4	Semler Scientific, Inc. (SMLR)	Sale	03/24/2021	\$1,001 - \$15,000
5	NovoCure Limited (NVCR)	Sale	03/24/2021	\$1,001 - \$15,000
6	Shopify Inc. (SHOP)	Sale	03/24/2021	\$1,001 - \$15,000
7	The Bank of Nova Scotia (BNS)	Sale	03/26/2021	\$1,001 - \$15,000
8	Fiverr International Ltd. (FVRR)	Sale	03/24/2021	\$1,001 - \$15,000
9	JPMorgan Chase & Co. (JPM)	Sale	03/24/2021	\$1,001 - \$15,000
10	Laredo Petroleum, Inc. (LPI)	Sale	03/24/2021	\$1,001 - \$15,000
11	Brookfield Renewable Corporation (BEPC)	Sale	03/26/2021	\$1,001 - \$15,000
12	Airbnb, Inc. (ABNB)	Sale	03/10/2021	\$1,001 - \$15,000
13	Lemonade, Inc. (LMND)	Sale	03/10/2021	\$1,001 - \$15,000
14	BlackLine, Inc. (BL)	Sale	03/10/2021	\$1,001 - \$15,000
15	Berkshire Hathaway Inc. (BRK.B)	Sale	03/24/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	The Walt Disney Company (DIS)	Sale	03/24/2021	\$1,001 - \$15,000
17	Masimo Corp. (MASI)	Sale	03/16/2021	\$1,001 - \$15,000
18	Zynex, Inc. (ZYXI)	Sale	03/19/2021	\$1,001 - \$15,000
19	Synopsys, Inc. (SNPS)	Sale	03/24/2021	\$1,001 - \$15,000
20	WEX, Inc. (WEX)	Sale	03/24/2021	\$1,001 - \$15,000
21	NVIDIA Corp. (NVDA)	Sale	03/10/2021	\$1,001 - \$15,000
22	Match Group, Inc. (MTCH)	Sale	03/24/2021	\$1,001 - \$15,000
23	Jack Henry & Associates, Inc. (JKHY)	Sale	03/02/2021	\$1,001 - \$15,000
24	CorEnergy Infrastructure Trust, Inc. (CORR)	Sale	03/01/2021	\$1,001 - \$15,000
25	Netflix, Inc. (NFLX)	Sale	03/01/2021	\$1,001 - \$15,000
26	Invesco China Technology ETF (CQQQ)	Purchase	03/24/2021	\$1,001 - \$15,000
27	iShares Global Clean Energy ETF (ICLN)	Purchase	04/07/2021	\$1,001 - \$15,000
28	MFAM Small-Cap Growth ETF (MFMS)	Purchase	05/11/2021	\$1,001 - \$15,000
29	iShares MSCIEmerging Markets ex China ETF (EMXC)	Purchase	05/11/2021	\$1,001 - \$15,000
30	Horizon Defensive Multi-Factor Fund Advisor Class Shares (USRTX)	Purchase	06/14/2021	\$1,001 - \$15,000
31	WisdomTree Cloud Computing Fund (WCLD)	Purchase	06/14/2021	\$15,001 - \$50,000
32	ARK Next Generation Internet ETF (ARKW)	Purchase	06/14/2021	\$15,001 - \$50,000
33	iShares MSCIEmerging Markets ex China ETF (EMXC)	Sale	07/23/2021	\$1,001 - \$15,000
34	Global X FinTech ETF (FINX)	Sale	12/20/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	Nuveen Quality Municipal Income Fund (NAD)	Purchase	03/28/2022	\$15,001 - \$50,000
36	Nuveen Quality Municipal Income Fund (NAD)	Purchase	04/19/2021	\$1,001 - \$15,000
37	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Purchase	04/05/2021	\$1,001 - \$15,000
38	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Purchase	04/05/2021	\$1,001 - \$15,000
39	iShares Core Conservative Allocation ETF (AOK)	Purchase	04/05/2021	\$15,001 - \$50,000
40	iShares Core Growth Allocation ETF (AOR)	Purchase	04/05/2021	\$1,001 - \$15,000
41	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	04/07/2021	\$1,001 - \$15,000
42	iShares MSCI Emerging Markets ETF (EEM)	Purchase	04/07/2021	\$1,001 - \$15,000
43	Direxion NASDAQ-100 Equal Weighted Index Shares (QQQE)	Purchase	04/07/2021	\$1,001 - \$15,000
44	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/29/2021	\$15,001 - \$50,000
45	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Purchase	04/29/2021	\$1,001 - \$15,000
46	Motley Fool 100 Index ETF (TMFC)	Purchase	04/30/2021	\$1,001 - \$15,000
47	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Purchase	06/11/2021	\$15,001 - \$50,000
48	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	07/08/2021	\$1,001 - \$15,000
49	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Sale	07/23/2021	\$15,001 - \$50,000
50	iShares MSCI Emerging Markets ETF (EEM)	Sale	07/23/2021	\$1,001 - \$15,000
51	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Purchase	08/17/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
52	iShares Core Aggressive Allocation ETF (AOA)	Purchase		\$50,001 - \$100,000
53	iShares Core Aggressive Allocation ETF (AOA)	Sale	02/01/2022	\$15,001 - \$50,000
54	Invesco China Technology ETF (CQQQ)	Purchase	03/03/2021	\$1,001 - \$15,000
55	MFAM Small-Cap Growth ETF (MFMS)	Purchase	03/03/2021	\$1,001 - \$15,000
56	ARK Innovation ETF (ARKK)	Purchase	03/04/2022	\$15,001 - \$50,000
57	MFAM Small-Cap Growth ETF (MFMS)	Purchase	03/05/2021	\$1,001 - \$15,000
58	Global X FinTech ETF (FINX)	Purchase	03/18/2021	\$1,001 - \$15,000
59	iShares Global Clean Energy ETF (ICLN)	Purchase	03/18/2021	\$1,001 - \$15,000
60	Invesco NASDAQ Next Gen 100 ETF (QQQJ)	Purchase	03/18/2021	\$1,001 - \$15,000
61	Invesco China Technology ETF (CQQQ)	Purchase		\$1,001 - \$15,000
62	iShares Global Clean Energy ETF (ICLN)	Purchase	04/07/2021	\$1,001 - \$15,000
63	MFAM Small-Cap Growth ETF (MFMS)	Purchase	05/11/2021	\$1,001 - \$15,000
64	iShares MSCI Emerging Markets ex China ETF (EMXC)	Purchase	06/11/2021	\$1,001 - \$15,000
65	Horizon Defensive Multi-Factor Fund Advisor Class Shares (USRTX)	Purchase	06/14/2021	\$1,001 - \$15,000
66	WisdomTree Cloud Computing Fund (WCLD)	Purchase	06/14/2021	\$15,001 - \$50,000
67	ARK Next Generation Internet ETF (ARKW)	Purchase	06/14/2021	\$15,001 - \$50,000
68	Global X FinTech ETF (FINX)	Purchase	12/20/2021	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	University of Iowa College of Law	Iowa City, Iowa	My husband travels for his work at U of IA law school and is paid back for that work travel when he pays for it from personal accounts	2000
2	Law School Admission Council	New Town, Pennsylvania	My husband serves on the board of trustees for the LSAC and traveled for LSAC meetings in Miami, Denver, Phoenix.	5,000
3	University of Iowa (Yale University trip)	Iowa City, Iowa	My husband traveled to Yale for a law school talk and the University of Iowa covered the expenses for this travel.	3000
4	University of Wisconsin	Madison, Wisconsin	My husband traveled to the University of Wisconsin for a conference/talk at the law school UW covered his travel costs	500

Endnotes

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).
