

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

Filer's Information

Missal, Michael

Inspector General, Department of Veterans Affairs

Report Year: 2019

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/ Missal, Michael [electronically signed on 06/27/2019 by Missal, Michael in Integrity.gov] - Filer received a 45 day filing extension.

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/ Tyler, Cynthia L, Certifying Official [electronically signed on 09/03/2019 by Tyler, Cynthia L in Integrity.gov]

Other review conducted by

/s/ Britt, Christopher, Ethics Official [electronically signed on 09/03/2019 by Britt, Christopher in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 10/04/2019 by Granahan, Megan in Integrity.gov]

Data Revised 09/03/2019

Data Revised 07/25/2019

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Montgomery County, Maryland	N/A		salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ConocoPhillips	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2	Enterprise Products Partners LTD	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3	Genesis Energy LTD	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
4	Mplx Ip	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5	Phillips	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Compass Minerals Intl	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	MFC Industrials	N/A	None (or less than \$1,001)		None (or less than \$201)
8	Royal Gold, Inc. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Wd-40	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
10	MSG Network	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Madison Square Garden Company	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	Corning Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Chatham Lodging TR	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
14	Vanguard Emerging Markets Stock Index Admiral Shares	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15	Vanguard High Dividend Yield Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	First Eagle Global Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
17	Baltimore MD Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
18	Beverly Hills Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19	Calvert County Maryland Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20	Carroll County Maryland Muni Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21	Cecil County MD Muni Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
22	Harford County MD Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
23	Local Government Infrastructure Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
24	Maryland State Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
25	Montgomery County MD Muni Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
26	New York City Muni Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
27	Washington County MD Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
28	Washington Suburban Muni Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
29	Aberdeen Emerging Markets	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
30	Amana Growth Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
31	Euro Pacific Growth 5 Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	Fidelity Blue Chip Growth	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
33	Fidelity Contra Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
34	Fidelity Growth Strategies	Yes	\$1,001 - \$15,000		\$201 - \$1,000
35	Fidelity Select Financial Services	Yes	\$1,001 - \$15,000		\$201 - \$1,000
36	Fidelity Select Gold	Yes	\$1,001 - \$15,000		\$201 - \$1,000
37	Fidelity US Bond Index	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
38	FMI Large Cap	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
39	Harbor International	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
40	Invesco American Franchise	Yes	\$1,001 - \$15,000		\$201 - \$1,000
41	MFS Emerging Market Debt	Yes	\$1,001 - \$15,000		\$201 - \$1,000
42	Moderate Model Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
43	Pimco Total Return Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
44	Vanguard FTSE All World Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
45	Vanguard Institutional Index	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
46	Vanguard Midcap IDX Institutional	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
47	VOYA Mid-Cap Opportunities	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48	Blended Income Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
49	Fidelity Cash Reserves	Yes	\$1,001 - \$15,000		
50	Vanguard Mid-Cap IDX ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
51	Vanguard Russell 3000 ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
52	Vanguard Total Stock ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
53	Vanguard Total World Stock IDX	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
54	Vanguard Capital Opportunity	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
55	Vanguard Dividend Growth	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
56	Vanguard Explorer Admiral	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
57	Vanguard Extended Market Index Admiral Shares	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
58	Vanguard FI Short Term Cp	Yes	\$50,001 - \$100,000		\$201 - \$1,000
59	Vanguard Growth Index Admiral Shares	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
60	Vanguard PRIMECAP	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
61	Vanguard Small Cap Value	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
62	Vanguard Total Bond Market Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	Vanguard Wellington	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
64	Vanguard Windsor II	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
65	Cimarex Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
66	Halliburton Co Hldg Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
67	Altius Minerals	N/A	\$15,001 - \$50,000		None (or less than \$201)
68	Applied Minerals	N/A	None (or less than \$1,001)		None (or less than \$201)
69	PPG Industries Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
70	Bed Bath & Beyond Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
71	IPG Photonics Corporation - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
72	Corning Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
73	Felcor Lodging Trust	N/A	\$1,001 - \$15,000		\$201 - \$1,000
74	Ryman Hospitality	N/A	\$1,001 - \$15,000		\$201 - \$1,000
75	Vanguard REIT ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
76	Vanguard Emerging Market	Yes	\$1,001 - \$15,000		\$201 - \$1,000
77	Wisdomtree Europe ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
78	Scwab Advisor Cash Reserves	Yes	\$250,001 - \$500,000		
79	AG Energy Credit Opportunity Fund	Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
80	Alpha Keys Total Alternative Solutions 2016 LLC	Yes	\$250,001 - \$500,000		
81	Alpha Keys Strategic Partners VII	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
82	Alpha Keys Real Estate Op V	Yes	\$250,001 - \$500,000		None (or less than \$201)
83	ARES European RE IV LP	Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
84	Alpha Keys Double Black Diamond	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
85	UBS Cash Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
86	AIG Annuities Variable Polaris Choice IV	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
87	Vanguard Total Stock Market ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
88	Oppenheimer Developing Markets	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
89	Vanguard Growth Index Admiral Shares	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
90	Florida State Turnpike Muni Bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
91	North Dakota Public Finance Muni Bonds	N/A	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
92	Georgia State Muni Bonds	N/A	\$15,001 - \$50,000		\$201 - \$1,000
93	Lakewood Ohio City School Bonds	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
94	Wisconsin State Health and Education Bonds	N/A	\$15,001 - \$50,000		\$201 - \$1,000
95	King County WA bonds	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
96	Northwest, TX Independent School Bonds	N/A	\$15,001 - \$50,000		\$201 - \$1,000
97	North Carolina State Muni Bonds	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
98	Pinal County AZ Community College Bonds	N/A	\$100,001 - \$250,000		\$5,001 - \$15,000
99	New York State Environmental Bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
100	Tennessee State Bonds	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
101	NY State Environmental FACS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
102	Eagle Mtn and Saginaw TX bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
103	Houston TX Utility Bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
104	Richardson TX bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
105	Ohio State SPL Obligation bonds	N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
106	Columbus GA Water and Sewer bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
107	Wisconsin State FOR Issues	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
108	Carrollton TX bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
109	Pierce Co WA bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
110	Sandy Springs GA Public FAC bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
111	Bexar County TX FOR bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
112	Cincinnati OH bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
113	Baltimore County MD bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
114	Tarrant Regional Water District bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
115	Phoenix, AZ Civic bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
116	UBS Cash Fund	Yes	\$1,000,001 - \$5,000,000		
117	Vereit Inc	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
118	Vanguard Prime Money Market Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
119	AG Energy Partners II	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
120	Alpha Keys Asian Fund III	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
121	VIA Met Tran Auth TX	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
122	Hennepin County MN Sales bonds	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
123	Mesa AZ Utility Revenue bonds	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
124	Austin TX Indep School bonds	No	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
125	Wake County, NC bonds	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
126	Ohio State Water Development bonds	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
127	Vanguard Wellington Global	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
128	RLJ Lodging Trust	No	\$1,001 - \$15,000		None (or less than \$201)
129	iShares Currency Hedged Japan ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
130	iShares Europe Development Real Estate ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
131	iShares MSCI Europe Financials ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
132	Nuveen HG Income December 2019	Yes	\$15,001 - \$50,000		\$201 - \$1,000
133	Nuveen High Income December 2	Yes	\$15,001 - \$50,000		None (or less than \$201)
134	Schwab Fundamental Emerging Markets	Yes	\$15,001 - \$50,000		\$201 - \$1,000
135	SPDR Euro Stock 50 ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
136	Sproutt Resource Holding	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
137	Vanguard FTSE Emerging Markets ETF	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
138	Vanguard Real Estate ETF	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
139	Vanguard Total Institutional Stock ETF	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
140	WisdomTree Emerging Markets HG DIV ETF	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
141	Corona Norco CA Unified School District Bonds		No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
142	Vanguard Municipal Money Market Fund		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
143	Fifth Third Bank CD		N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
144	Goldman Sachs Bank CD		N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
145	Synchrony Bank CD		N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
146	Comenity Bank CD		N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
147	Vanguard Total World Stock ETF		Yes	\$15,001 - \$50,000		\$201 - \$1,000
148	Vanguard Short Term Investment Grade Fund		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
149	Vanguard Intermediate Term Investment Grade Fund		Yes	None (or less than \$1,001)		None (or less than \$201)
150	University of Texas Revenue Bond		N/A	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
151	Via Metropolitan Transit Authority Bond	N/A	\$15,001 - \$50,000		\$201 - \$1,000
152	New York Tranistional Finance Bond	N/A	\$15,001 - \$50,000		\$201 - \$1,000
153	Keller Texas Independent School Bond	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
154	South Dakota Conservancy Bond	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
155	Wisconsin State Refunding Series 3	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
156	Herkime county NY Public Improvement Bond	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
157	Coilumbus Ohio Various Purpose Bond	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
158	Port Authority New York and New Jersey Bond	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
159	Clark County Nevada Transportation Improvement Bond	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
160	New Hampshire State Capital Improvement Bond	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
161	Wisconsin State Transportation Revenue Bond	N/A	\$15,001 - \$50,000		\$2,501 - \$5,000
162	New Hampshire State Capital Improvement Bond	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
163	Fidelity Government Cash Reseve	Yes	\$1,001 - \$15,000		\$201 - \$1,000
164	FPC Crescent Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Chester County, PA GO Bond	Purchase	01/05/18	\$50,001 - \$100,000
2	North Carolina GO Bond	Purchase	01/02/18	\$50,001 - \$100,000
3	Compass Minerals CMP	Sale	02/15/18	\$1,001 - \$15,000
4	St Louis Park , MN GO bonds	Purchase	1/23/18	\$50,001 - \$100,000
5	Guilford County, NC GO bond	Sale	03/07/18	\$15,001 - \$50,000
6	Wisconsin State Transportation Revenue Bond	Purchase	03/21/18	\$15,001 - \$50,000
7	RLJ Lodging	Sale	03/27/18	\$1,001 - \$15,000
8	Wisconsin GO Bond	Sale	4/26/18	\$100,001 - \$250,000
9	NY/NJ Port Authority Revenue Bonds	Purchase	4/26/18	\$100,001 - \$250,000
10	Northwest Washiton Electric Energy Revenue Bond	Purchase	05/10/18	\$50,001 - \$100,000
11	Cincinnati, OH general obligation bond	Sale	05/10/18	\$50,001 - \$100,000
12	Genesis Energy	Sale	09/20/18	\$1,001 - \$15,000
13	Chester County, PA revenue bond	Sale	06/27/18	\$50,001 - \$100,000
14	Keller, Texas revenue bond	Purchase	06/28/18	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	RHP Ryman Hospitality	Sale	08/14/18	\$15,001 - \$50,000
16	Bed Bath & Beyond Inc. - Common Stock	Sale	10/23/2018	\$1,001 - \$15,000
17	PP&G	Sale	10/23/2018	\$1,001 - \$15,000
18	Corning Inc	Sale	10/23/2018	\$1,001 - \$15,000
19	Corning Inc	Sale	10/23/2018	\$1,001 - \$15,000
20	Energy Transfer	Sale	12/26/2018	\$1,001 - \$15,000
21	Vanguard Short Term Investment Grade Fund	Purchase	10/22/2012	\$50,001 - \$100,000
22	University of Texas Revenue Bond	Purchase	12/11/2018	\$50,001 - \$100,000
23	Via Metropolitan Transit Authority Bond	Purchase	02/10/2017	\$15,001 - \$50,000
24	New York Transitional Finance Bond	Purchase	10/18/2018	\$15,001 - \$50,000
25	Wisconsin State Refunding Series 3	Purchase	12/14/2017	\$15,001 - \$50,000
26	Herkimer County NY Public Improvement Bond	Purchase	12/06/2018	\$100,001 - \$250,000
27	Columbus Ohio Various Purpose Bond	Purchase	10/04/2018	\$100,001 - \$250,000
28	Clark County Nevada Transportation Improvement Bond	Purchase	10/23/2018	\$15,001 - \$50,000
29	FPC Crescent Fund	Purchase	01/02/2017	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	136	inadvertently omitted from previous reports
6.	137	inadvertently omitted from previous reports
6.	138	inadvertently omitted from previous reports
6.	139	inadvertently omitted from previous report
6.	140	inadvertently omitted from previous reports

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
