

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

## Filer's Information

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Spangler, Caral E

Assistant Secretary of the Army for Financial Management and Comptroller, DoD - Department of the Army

Report Year: 2022

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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/ Spangler, Caral E [electronically signed on 04/25/2022 by Spangler, Caral E 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/ Turner, Shelley, Certifying Official [electronically signed on 05/04/2022 by Turner, Shelley in Integrity.gov]

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Other review conducted by

/s/ Sayegh, Michael E, Ethics Official [electronically signed on 05/03/2022 by Sayegh, Michael E in Integrity.gov]

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U.S. Office of Government Ethics Certification

Data Revised 05/04/2022

Data Revised 05/03/2022

Data Revised 05/02/2022

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(05/03/2022, Sayegh, Michael E): All 75 transactions listed in Part 7 of this report were properly reported on 278-T that was certified on 26 Oct 21. Copy of 278-T is attached to this report.
6.	2	Clothes and household items	(05/02/2022, Sayegh, Michael E): Filer indicates these were private sales on Ebay that totaled between \$1000 - \$2500.
6.	3	U.S. bank (cash)	(05/02/2022, Sayegh, Michael E): Filer indicates she was recently informed via her 1099-INT Statement that the interest earned on this account is under \$1000.

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	11th Hour Service		Falls Church, Virginia	Corporation	Director	1/2021	8/2021
2	Navy Federal Credit Union	See Endnote	Vienna, Virginia	Credit Union	Member of Financial Strategy Committee and Supervisory Committee	1/2010	8/2021
3	Caral E. Spangler, LLC	See Endnote	Alexandria, Virginia	Consulting	President	9/2020	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	SPTL -SPDR Series Trust Portfolio LN TSR ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	IEF - ISHARES Trust Barclays 7 10 YR ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	VCIT - Vanguard INT-Term Corp ETF	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.4	XLG - INVESCO EXCHANGE TRADED FD TR	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.5	PNQI - INVESCO EXCHANGE TRADED FD TR	Yes	\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	QQQ - INVESCO QQQ TRUST	Yes	\$250,001 - \$500,000		
1.7	EZU - MSCI EURZONE ETF	Yes	\$50,001 - \$100,000		
1.8	PICK = MSCI GBL ETF	Yes	\$15,001 - \$50,000		
1.9	EWJ - MSCI JPN ETF	Yes	\$1,001 - \$15,000		
1.10	IXN - GLOBAL TECH ETF	Yes	\$100,001 - \$250,000		
1.11	IXC - GLOBAL ENERGF ETF	Yes	\$15,001 - \$50,000		
1.12	IYF - U.S. FINLS ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	IHI - U.S. MED DVC ETF	Yes	\$15,001 - \$50,000		
1.14	EUFN - MSCI EURO FL ETF	Yes	\$15,001 - \$50,000		
1.15	KWEB - CSI CHI INTERNET ETF	Yes	\$1,001 - \$15,000		
1.16	XLV - SBI HEALTHCARE ETF	Yes	\$15,001 - \$50,000		
1.17	XLY - SBI CONS DISCR ETF	Yes	\$50,001 - \$100,000		
1.18	XLI - SBI INT-INDS ETF	Yes	\$15,001 - \$50,000		
1.19	VGK - FTSE EUROPE ETF	Yes	\$100,001 - \$250,000		
2	IRA #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	SPTL - SPDR Series Trust Portfolio LN TSR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	VOO - VANGUARD S&P 500 ETF SHS	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	VEA - VANGUARD FTSE Dev Mkt ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	IEF - ISHARES Trust Barclays 7 10 YR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	VCIT - VANGUARD INT-TERM CORP ETF	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	Caral. E. Spangler, LLC	Alexandria, Virginia	During my appointment, the LLC will remain dormant and will not advertise. I will not perform any services for the entity, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the entity while it is in inactive status.	9/2020

### 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	IRA	No			
1.1	EZU - ISHARES INC MSCI Eurozone ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	XLV - SELECT Sector SPDR Trust SBI Healthcare ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	XLY - SELECT Sector SPDR Trust SBI Cons Discr ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	PICK - ISHARES Inc MSCI Gbl ETF New	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	IEF - ISHARES Trust Barclays 7 10 YR Ett	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	IHI - ISHARES Trust U.S. Med DVC ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	VCIT - Vanguard Int-Term Corp ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	QQQ - INVESCO QQQ Trust Unit Ser 1 ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	SPTL - SPDR Series Trust Portfolio LN TSR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	PNQI - INVESCO Exchange Traded FD TR NASDAQ Internt ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	XLG - INVESCO Exchange Traded FD TR S&P 500 TOP 50 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	IXC - ISHARES Trust Global Energy ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	XLI- Select Sector SPDR Trust SBI Int-Inds ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	IYF - ISHARES Trust U.S. FINLS ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.15	EWJ - iShares MSCI Japan ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	VGK - Vanguard FTSE Europe ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	IXN - ISHARES Trust Global Tech ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	EUFN - ISHARES Trust MSCI Euro FL ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account	No			
1.1	IHI - ISHARES Trust U.S. Med DVC ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	IXC - ISHARES Trust Global Energy ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	IYF - ISHARES Trust U.S. Finls ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	EWJ - ISHARES Inc MSCI JPN ETF New	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	QQQ - INVESCO QQQ Trust Unit Ser 1 ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	IXN - ISHARES Trust Global Tech ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	IEF - ISHARES Trust Barclays 7 10 YR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	SPTL - SPDR Series Trust Portfolio LN TSR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	VCIT - Vanguard Int-Term Corp ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.10	VGK - Vanguard FTSE Europe ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	EUFN - ISHARES Trust MSCI Euro FL ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	MUB - ISHARES Trust National Mun ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	XLY - Select Sector SPDR Trust SBI Cons Discr ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	XLI - Select Sector SPDR Trust SBI Int-Inds ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	XLG - INVESCO Exchange Traded FD TR S&P 500 Top 50 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	XLV - Select Sector SPDR Trust SBI Healthcare ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	PNQI - INVESCO Exchange Traded FD TR NASDAQ Internt ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	EZU - EISHARES INC MSCI Eurzone ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	PICK - SHARES INC MSCI GBL ETF New	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Clothes and household items	N/A	\$1,001 - \$15,000	Sale proceeds	\$2,256
3	U.S. bank (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500



## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	ADBE Adobe INC	Sale	09/09/2021	\$15,001 - \$50,000
2	Alphabet, Inc. (GOOGL)	Sale	09/09/2021	\$15,001 - \$50,000
3	Amazon.com, Inc. (AMZN)	Sale	09/09/2021	\$50,001 - \$100,000
4	Apple, Inc. (AAPL)	Sale	09/09/2021	\$50,001 - \$100,000
5	Eli Lilly & Co. (LLY)	Sale	09/09/2021	\$15,001 - \$50,000
6	Microsoft Corp. (MSFT)	Sale	09/09/2021	\$50,001 - \$100,000
7	Netflix, Inc. (NFLX)	Sale	09/09/2021	\$15,001 - \$50,000
8	PayPal Holdings, Inc. (PYPL)	Sale	09/09/2021	\$15,001 - \$50,000
9	salesforce.com, inc. (CRM)	Sale	09/09/2021	\$15,001 - \$50,000
10	TCEHY TENCENT HLDGS LTD ADR	Sale	09/09/2021	\$15,001 - \$50,000
11	Visa, Inc. (V)	Sale	09/09/2021	\$50,001 - \$100,000
12	ABB ABB LTD ADR	Sale	09/10/2021	\$1,001 - \$15,000
13	BABA ALIBABA GROUP HLDS LTD ADR	Sale	09/10/2021	\$1,001 - \$15,000
14	ASML ASML HOLDING N V NYS	Sale	09/10/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	Capital One Financial Corp. (COF)	Sale	09/10/2021	\$15,001 - \$50,000
16	Caterpillar, Inc. (CAT)	Sale	09/10/2021	\$1,001 - \$15,000
17	Costco Wholesale Corp. (COST)	Sale	09/10/2021	\$15,001 - \$50,000
18	The Walt Disney Co. (DIS)	Sale	09/10/2021	\$15,001 - \$50,000
19	Facebook, Inc. (FB)	Sale	09/10/2021	\$15,001 - \$50,000
20	Freeport-McMoRan, Inc. (FCX)	Sale	09/10/2021	\$15,001 - \$50,000
21	The Goldman Sachs Group, Inc. (GS)	Sale	09/10/2021	\$15,001 - \$50,000
22	Intel Corp. (INTC)	Sale	09/10/2021	\$15,001 - \$50,000
23	The Home Depot, Inc. (HD)	Sale	09/10/2021	\$15,001 - \$50,000
24	Mastercard, Inc. (MA)	Sale	09/10/2021	\$1,001 - \$15,000
25	PPRUY KERING S A ADR	Sale	09/10/2021	\$15,001 - \$50,000
26	Oracle Corp. (ORCL)	Sale	09/10/2021	\$1,001 - \$15,000
27	SAP SAP SE ADR	Sale	09/10/2021	\$1,001 - \$15,000
28	3M Co. (MMM)	Sale	09/13/2021	\$1,001 - \$15,000
29	Walmart, Inc. (WMT)	Sale	09/10/2021	\$15,001 - \$50,000
30	Abbott Laboratories (ABT)	Sale	09/13/2021	\$1,001 - \$15,000
31	Advanced Micro Devices, Inc. (AMD)	Sale	09/13/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
32	BUD ANHEUSER BUSCH INBEV SA/NV ADR	Sale	09/13/2021	\$1,001 - \$15,000
33	AZN ASTRAZENECA PLC ADR	Sale	09/13/2021	\$1,001 - \$15,000
34	BANCO BILBAO VIZCAYA ARGEN ADR (BBVA)	Sale	09/13/2021	\$1,001 - \$15,000
35	BANCO SANTANDER S.A. ADR (SAN)	Sale	09/13/2021	\$1,001 - \$15,000
36	BHP GROUP PLC SPONSORED AD ADR (BBL)	Sale	09/13/2021	\$1,001 - \$15,000
37	BNP PARIBAS ADR (BNPQY)	Sale	09/13/2021	\$1,001 - \$15,000
38	Chevron Corp. (CVX)	Sale	09/13/2021	\$1,001 - \$15,000
39	Cisco Systems, Inc. (CSCO)	Sale	09/13/2021	\$1,001 - \$15,000
40	ConocoPhillips (COP)	Sale	09/13/2021	\$1,001 - \$15,000
41	Crown Castle International Corp. (CCI)	Sale	09/13/2021	\$1,001 - \$15,000
42	CSX Corp. (CSX)	Sale	09/13/2021	\$1,001 - \$15,000
43	Danaher Corp. (DHR)	Sale	09/13/2021	\$1,001 - \$15,000
44	Edwards Lifesciences Corp. (EW)	Sale	09/13/2021	\$1,001 - \$15,000
45	FANUC CORPORATION ADR (FANUY)	Sale	09/13/2021	\$1,001 - \$15,000
46	GLAXOSMITHKLINE PLC ADR (GSK)	Sale	09/13/2021	\$1,001 - \$15,000
47	Hess Corp. (HES)	Sale	09/13/2021	\$1,001 - \$15,000
48	INTESA SANPAOLO S P A ADR (ISNPY)	Sale	09/13/2021	\$1,001 - \$15,000
49	ING GROEP N.V.ADR (ING)	Sale	09/13/2021	\$1,001 - \$15,000
50	Intuitive Surgical, Inc. (ISRG)	Sale	09/13/2021	\$1,001 - \$15,000
51	JPMorgan Chase & Co. (JPM)	Sale	09/13/2021	\$1,001 - \$15,000
52	Lam Research Corp. (LRCX)	Sale	09/13/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Medtronic Plc (MDT)	Sale	09/13/2021	\$1,001 - \$15,000
54	MURATA MFG CO LTD ADR (MRAAY)	Sale	09/13/2021	\$1,001 - \$15,000
55	Merck & Co., Inc. (MRK)	Sale	09/13/2021	\$1,001 - \$15,000
56	NESTLE S A ADR (NSRGY)	Sale	09/13/2021	\$1,001 - \$15,000
57	NextEra Energy, Inc. (NEE)	Sale	09/13/2021	\$1,001 - \$15,000
58	NIKE, Inc. (NKE)	Sale	09/13/2021	\$1,001 - \$15,000
59	NOVARTIS A G SPONSORED ADR (NVS)	Sale	09/13/2021	\$1,001 - \$15,000
60	RAYTHEON TECHNOLOGIES CORP (RTX)	Sale	09/13/2021	\$1,001 - \$15,000
61	RIO TINTO PLC ADR (RIO)	Sale	09/13/2021	\$1,001 - \$15,000
62	ROCHE HLDG LTD ADR (RHHBY)	Sale	09/13/2021	\$1,001 - \$15,000
63	ROYAL DUTCH SHELL PLC ADR (RDS/A)	Sale	09/13/2021	\$1,001 - \$15,000
64	SANDVIK AB ADR (VKY)	Sale	09/13/2021	\$1,001 - \$15,000
65	Schlumberger NV (SLB)	Sale	09/13/2021	\$1,001 - \$15,000
66	Starbucks Corp. (SBUX)	Sale	09/13/2021	\$1,001 - \$15,000
67	Stryker Corp. (SYK)	Sale	09/13/2021	\$1,001 - \$15,000
68	TAIWAN SEMICONDUCTOR MFG L ADR (TSM)	Sale	09/13/2021	\$1,001 - \$15,000
69	Thermo Fisher Scientific, Inc. (TMO)	Sale	09/13/2021	\$1,001 - \$15,000
70	TOKYO ELECTRON LTD ADR (TOELY)	Sale	09/13/2021	\$1,001 - \$15,000
71	TOTALENERGIES SE ADR (TTE)	Sale	09/13/2021	\$1,001 - \$15,000
72	TOYOTA MOTOR CORP ADR (TM)	Sale	09/13/2021	\$1,001 - \$15,000
73	UNILEVER PLC ADR (UL)	Sale	09/13/2021	\$1,001 - \$15,000
74	Union Pacific Corp. (UNP)	Sale	09/13/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
75	UnitedHealth Group, Inc. (UNH)	Sale	09/13/2021	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Navy Federal Credit Union	Mortgage on Personal Residence	\$100,001 - \$250,000	2012	3.125	30 years
2	Navy Federal Credit Union	Mortgage on Personal Residence	\$250,001 - \$500,000	2021	3	30 years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	2	These are volunteer positions. Both are unpaid.
1.	3	I established this LLC in my name last year; however, I have not used it to conduct any business or provide any services.

# 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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