

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

Filer's Information

LANE, JAMES

SENIOR ADVISOR, Department of Education

Date of Appointment: 01/03/2022

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/ LANE, JAMES [electronically signed on 03/02/2022 by LANE, JAMES 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/ MITCHELL, NATHAN, Certifying Official [electronically signed on 03/30/2022 by MITCHELL, NATHAN in Integrity.gov]

Other review conducted by

/s/ MITCHELL, NATHAN, Ethics Official [electronically signed on 03/28/2022 by MITCHELL, NATHAN in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 03/28/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Virginia Department of Education/Commonwealth of Virginia	Richmond, Virginia	State Government	Superintendent of Public Instruction	6/2018	1/2022
2	Council of Chief State School Officers	Washington, District of Columbia	Non-Profit	Board Member	11/2020	1/2022
3	Virginia Early Childhood Foundation	Richmond, Virginia	Non-Profit	Ex Officio Board Member	10/2019	1/2022
4	Virginia Council on Economic Education	Richmond, Virginia	Non-Profit	Ex Officio Board Member	3/2019	1/2022
5	Council for the Accreditation of Educator Preparation	Washington, District of Columbia	Non-Profit	Board Member	6/2020	1/2022
6	Virginia Board of Education	Richmond, Virginia	State Government	Secretary	6/2018	1/2022
7	Education Commission of the States	Denver, Colorado	Non-Profit	Commissioner	6/2018	1/2022
8	Virginia Public School Authority Board of Commissioners	Richmond, Virginia	State Government	Commissioner	6/2018	1/2022
9	Virginia Association of Secondary School Principals	Richmond, Virginia	Non-Profit	Board Member	6/2018	1/2022
10	Virginia Early Childhood Advisory Committee	Richmond, Virginia	State Government	Member	6/2018	1/2022
11	Virginia Council on the Interstate Compact on Educational Opportunity for Military Children	Richmond, Virginia	State Government	Council Chairman	6/2018	1/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia Retirement System, 457 Plan: Target Date 2035 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Virginia Retirement System Member Contribution Account (Plan 1) Defined Benefit Plan	N/A	\$250,001 - \$500,000		None (or less than \$201)
3	Virginia Retirement System, 401(a) Cash Match plan: Target Date 2035 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Rollover IRA - Signature Choice (NMIS)	No			
4.1	Brown Capital Management Small Company Fund Institutional Share (BCSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Dodge & Cox Income Fund (DODIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	EuroPacific Growth Fund Class F2 Shares (AEPFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	FMI International Fund Institutional Class Share (FMIYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	iShares MSCI Eurozone ETF (EZU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	iShares Core S&P 500 ETF (IVV)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.10	John Hancock Funds III Disciplined Value Mid Cap Fund Institutional Class Shares (JVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	New World Fund, Inc Class F2 Shares (NFFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.13	PIMCO CommoditiesPLUS Strategy Fund Class I-2 Shares (PCLPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Principal Real Estate Securities Fund Institutional Class Shares (PIREX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.17	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.18	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.19	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.20	Western Asset Core Bond Fund Class I Shares (WATFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	North Carolina Retirement System Defined Benefit Plan	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Virginia Department of Education/Commonwealth of Virginia	N/A		Salary	\$256,632

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Virginia Department of Education/Commonwealth of Virginia	Richmond, Virginia	I will continue to participate in this defined benefit plan	7/2006
2	Durham Public Schools/State of North Carolina	Durham, North Carolina	I will continue to participate in this defined benefit plan	7/2000
3	Virginia Department of Education/Commonwealth of Virginia	Richmond, Virginia	I will continue to participate in two defined contribution plans. The plan sponsor will not make further contributions after my separation.	6/2018

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Virginia Department of Education	Richmond, Virginia	Served as chief executive and agency head of the Virginia DOE.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CarMax (Used Car Sales)	N/A		salary, bonus	
2	Employee Stock Purchase Plan - CarMax	N/A	\$100,001 - \$250,000		None (or less than \$201)
3	CarMax Executive Deferred Compensation Plan	No			
3.1	Newport Group Model Portfolio Moderate/Aggressive	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1.1	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.1.2	TIAA-CREF Bond Index Fund Premier Class Shares (TBIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.3	Columbia Large Cap Index Fund Class A Shares (NEIAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.1.4	Columbia Mid Cap Index Fund Class A Shares (NTIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.5	Columbia Small Cap Index Fund Institutional Class Shares (NMSCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.6	iShares MSCI EAFE International Index Fund Investor A Shares (MDIIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	CarMax Retirement Savings Plan	No			
4.1	T. Rowe Price Retirement 2045 Tr-B	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5	CarMax Retirement Restoration Plan	No			
5.1	T Rowe Price Retirement 2035 Fund (TRRJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	CarMax, Inc. (KMX) Vested Performance Shares	N/A	\$250,001 - \$500,000		None (or less than \$201)
7	CarMax, Inc. (KMX) Unvested Performance Shares	N/A	\$250,001 - \$500,000		None (or less than \$201)
8	CarMax, Inc. (KMX) Stocks	N/A	\$15,001 - \$50,000	Capital Gains	\$100,001 - \$1,000,000
9	CarMax, vested stock options (value not readily ascertainable): 16,015 vested shares, strike \$58.38, exp. 5/2024	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	CarMax, vested stock options (value not readily ascertainable): 10,653 vested shares, strike \$63.04, exp. 5/2025	N/A			None (or less than \$201)
11	CarMax, unvested stock options (value not readily ascertainable): 3,550 unvested shares, strike \$63.04, vest 5/2022, exp. 5/2025	N/A			None (or less than \$201)
12	CarMax, vested stock options (value not readily ascertainable): 6,319 vested shares, strike \$78.61, exp. 5/2026	N/A			None (or less than \$201)
13	CarMax, unvested stock options (value not readily ascertainable): 6,318 unvested shares, strike \$78.61, half of these shares will vest on 5/2022 and other half on 5/2023, exp. 5/2026	N/A			None (or less than \$201)
14	CarMax, vested stock options (value not readily ascertainable): 3,271 vested shares, strike \$71.07, exp. 5/2027	N/A			None (or less than \$201)
15	CarMax, unvested stock options (value not readily ascertainable): 9,810 unvested shares, strike \$71.07, a third of these shares vest on 5/2022, 5/2023, and 5/2024, exp. 5/2027	N/A			None (or less than \$201)
16	CarMax, unvested stock options (value not readily ascertainable): 7,413 unvested shares, strike \$136.94, a quarter of these shares vest on 5/2022, 5/2023, 5/2024, and 5/2025, exp. 5/2028	N/A			None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential Real Estate Rental Property - Cary, NC	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	U.S. bank (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
4	Brokerage Account	No			
4.1	DODGE & COX INCOME FUND	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.2	AMERICAN FUNDS EUROPACIFIC GROWTH FUND CLASS F-2	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.3	FMI INTERNATIONAL FUND INSTITUTIONAL CLASS	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	ISHARES GOLD TR ISHARES NEW	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	ISHARES INC CORE MSCI EMERGING MKTS ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	ISHARES INC MSCI EUROZONE ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	ISHARES TR CORE MSCI EAFE ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.8	ISHARES TR CORE S&P 500 ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.9	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.10	PIMCO COMMODITIES PLUS STRATEGY FUND CLASS I-2	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
4.11	PIMCO Short Duration Municipal Income Fund Class I-2 Shares (PSDPX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.12	PRINCIPAL REAL ESTATE SECURITIES FUND CLASS I	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.13	VANGUARD INDEX FDS MID-CAP GROWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.14	VANGUARD INDEX FDS VANGUARD GROWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.15	VANGUARD INDEX FDS VANGUARD MID-CAP VALUE ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.16	VANGUARD INDEX FDS VANGUARD SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.17	VANGUARD INDEX FDS VANGUARD SMALL-CAP GROWTH ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.18	VANGUARD INDEX FDS VANGUARD VALUE ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.19	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.20	VANGUARD INTL EQUITY INDEX FDS FTSE EMERGING MKTS ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.21	WESTERN ASSET CORE BOND FUND CLASS I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.22	International Growth & Income Fund Class F2 Shares (IGFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.23	Loomis Sayles Bond Fund Institutional Class (LSBDX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.24	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.25	Xtrackers MSCI EAFE Hedged Equity ETF (DBEF)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5	Virginia 529 Plan #1	No			
5.1	American Balanced Fund Class 529-E Shares (CLBEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2	EuroPacific Growth Fund Class 529-E Shares (CEUEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Growth Fund of America Class 529-E Shares (CGFEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	New Economy Fund Class 529-E Shares (CNGEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	New Perspective Fund Class 529-E Shares (CNPEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	New World Fund, Inc Class 529-E Shares (CNWEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Northwestern Mutual, Whole Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Northwestern Mutual Universal Life Insurance	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	Northwestern Mutual Whole Life Insurance	N/A	None (or less than \$1,001)		None (or less than \$201)
9	Northwestern Mutual Custom Variable Universal Life Insurance	No			
9.1	Index 500 Stock Mason Street Advisors BlackRock Advisors	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.2	International Equity Mason Street Advisors Templeton Investment Counsel	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.3	Index 400 Stock Mason Street Advisors Northern Trust Investments	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.4	Global Real Estate Rusell Investment Management	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.5	Domestic Equity Mason Street Advisors Delaware	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.6	Mid Cap Value Mason Street Advisors American Century Investment Mgmt	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.7	Focused Appreciation Mason Street Advisors Loomis Sayles	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.8	Index 600 Stock Mason Street Advisors Northern Trust Investments	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.9	International Core Mason Street Advisors Massachusetts Financial Services	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.10	Emerging Markets Mason Street Advisors Aberdeen Asset Managers Limited	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Northwestern Mutual Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Northwestern Mutual Custom Variable Universal Life Insurance	No			
11.1	Index 500 Stock Mason Street Advisors BlackRock Advisors	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.2	International Equity Mason Street Advisors Templeton Investment Counsel	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	Index 400 Stock Mason Street Advisors Northern Trust Investments	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.4	Global Real Estate Rusell Investment Management	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.5	Domestic Equity Mason Street Advisors Delaware	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.6	Mid Cap Value Mason Street Advisors American Century Investment Mgmt	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.7	Focused Appreciation Mason Street Advisors Loomis Sayles	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.8	Index 600 Stock Mason Street Advisors Northern Trust Investments	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.9	International Core Mason Street Advisors Massachusetts Financial Services	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.10	Emerging Markets Mason Street Advisors Aberdeen Asset Managers Limited	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Northwestern Mutual Universal Life Insurance	N/A	\$50,001 - \$100,000		None (or less than \$201)
13	Virginia 529 Plan #2	No			
13.1	Capital Income Builder Class 529-A Shares (CIRAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.2	American Funds Fundamental Investors Class 529-A Shares (CFNAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	Growth Fund of America Class 529-A Shares (CGFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Virginia 529 Plan #3	No			
14.1	EuroPacific Growth Fund Class 529-E Shares (CEUEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.2	American Funds Fundamental Investors Class 529-E Shares (CFNEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.3	Growth Fund of America Class 529-E Shares (CGFEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.4	New Economy Fund Class 529-E Shares (CNGEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.5	New Perspective Fund Class 529-E Shares (CNPEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.6	New World Fund, Inc Class 529-E Shares (CNWEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage (investment/rental property)	\$15,001 - \$50,000	2003	3%	30 years
2	Capital One	Credit Card	\$15,001 - \$50,000	2021	13.9%	Revolving
3	Northwestern Mutual	Margin Loan on Assets	\$15,001 - \$50,000	2020	3.75%	Revolving

9. Gifts and Travel Reimbursements

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

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).
