

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

Filer's Information

Ferriero, David S

Archivist of the United States, National Archives and Records Administration

Report Year: 2017

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/ Ferriero, David S [electronically signed on 05/10/2017 by Ferriero, David S 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/ Runkel, Christopher M, Certifying Official [electronically signed on 07/07/2017 by Runkel, Christopher M in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 07/13/2017 by Skalla, Daniel L in Integrity.gov]

Data Revised 07/12/2017

Data Revised 07/07/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	White House Historical Association	Washington, District of Columbia	Non-Profit	Ex officio director	11/2009	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity Government Cash Reserves Fund FDRXX See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	New York State/Local Retirement System - Defined Benefit Plan See Endnote	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New York State/Local Retirement System; State Comptroller	Albany, New York	Defined Benefit Plan. Current value not readily ascertainable. Filer will receive \$1,556/month once he applies for benefits; this is the plan administrator's estimate based on end of prior NYC employment in September 2009.	9/2004
2	Duke University	Durham, North Carolina	Defined contribution plan, 403(b)	1/1996

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 North Carolina at Chapel Hill/UNC-TV		N/A		Salary	
2	Fidelity Rollover IRA - FDIC Insured Deposit at Fifth Third Bank		Yes	\$50,001 - \$100,000		None (or less than \$201)
3	TIAA-CREF Defined Contribution Plans	See Endnote	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
3.1	TIAA Traditional		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.2	CREF Stock Fund CI R2		Yes	\$250,001 - \$500,000		None (or less than \$201)
3.3	CREF Money Market Fund CI R3		Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	Vanguard Target Retirement 2010 Fund Inv Class VTENX	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.5	Vanguard Instl Trgt Retire 2010 Instl VIRTX	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.6	Vanguard Instl Trgt Retire 2015 Instl VITVX	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Art Collection - Works on paper, oils, canvas		N/A	\$250,001 - \$500,000		None (or less than \$201)
2	Merrill Lynch Bank Deposit Program	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Bank of America Preferred Deposit Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
4	SLM Corporation Preferred Shares Stock SLM		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5	Archer Daniels Midland Company Stock ADM		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6	AT&T Inc. Stock T		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7	Blackstone Group L.P. Stock BX		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8	Broadcom Limited Stock AVGO	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
9	Chevron Corporation Stock CVX		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10	Cincinnati Bell Inc. Preferred Series B Stock CBBPRB		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	Constellation Brands, Inc. Stock STZ		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12	Disney Company Stock DIS		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13	Dow Chemical Company Stock DOW	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
14	Eaton Corporation PLC Stock ETN		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
15	Energy Transfer Partners, LP Stock ETP		No	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16	Honeywell International Inc. Stock HON		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17	Johnson and Johnson Services, Inc. Stock JNJ		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
18	Magellan Midstream Partners, L.P. Stock MMP		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Motorola Solutions, Inc. Stock MSI		No	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
20	Nestle Stock NSRGY		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
21	Nike, Inc. Stock, CI B NKE	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
22	Pfizer, Inc. Stock PFE		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23	Proctor and Gamble Company Stock PG		No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
24	Quintiles Transnational Holdings, Inc. Stock Q	See Endnote	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
25	Thermo Fisher Scientific Inc.		No	\$15,001 - \$50,000		None (or less than \$201)
26	UGI Corporation Stock UGI		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
27	Ventas, Inc. (REIT) Stock VTR	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
28	Verizon Communications Inc. Stock VZ		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
29	BB&T Bank eSavings Account		No	\$15,001 - \$50,000		None (or less than \$201)
30	Starbucks Corporation Stock SBUX		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
31	UnitedHealth Group Inc. Stock UNH		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
32	CD - Bank of India, New York, NY	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
33	American Water Works Company, Inc. Stock AWK	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
34	Brown-Forman Corporation, CI B Stock BFB	See Endnote	No	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
35	Dominion Resources, Inc. Stock D	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
36	Edwards Lifesciences Corporation Stock EW	See Endnote	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
37	Enbridge Energy Partners, LP Stock EEP	See Endnote	No	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
38	General Motors Company Stock GM	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
39	JPMorgan Chase & Co. Stock JPM	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
40	Kimberly-Clark Corporation Stock KMB	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
41	Lockheed Martin Corporation Stock LMT	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
42	Microsoft Corporation Stock MSFT	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
43	NextEra Energy, Inc. Stock NEE	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
44	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
45	Realty Income Corporation Stock O	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
46	The Toronto-Dominion Bank Stock TD	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
47	Visa Inc. Cl A Stock V	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
48	3M Company Stock MMM	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
49	Bank of America Corporation Bonds; Ser 1 3.75% July 12, 2016	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
50	CD - Bank of India, New York, NY	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
51	Citigroup Inc. Bonds; 3.953% June 15, 2016	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	CD - Blue Hills Bank, Boston, MA REDEEMED	See Endnote		01/25/16	\$100,001 - \$250,000
2	Citigroup Inc. Bonds; 3.953% June 15, 2016	See Endnote	Purchase	02/23/16	\$50,001 - \$100,000
3	CD - Bank of India, New York, NY		Purchase	02/11/16	\$100,001 - \$250,000
4	Bank of America Corporation Bonds; Ser 1 3.75% July 12, 2016	See Endnote	Purchase	02/23/16	\$50,001 - \$100,000
5	CSX Corporation Stock CSX	See Endnote	Sale	02/05/16	\$1,001 - \$15,000
6	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA REDEEMED	See Endnote		02/16/16	\$100,001 - \$250,000
7	VF Corporation Stock VFC	See Endnote	Sale	02/05/16	\$15,001 - \$50,000
8	Constellation Brands, Inc. Stock STZ		Purchase	02/23/16	\$1,001 - \$15,000
9	Ventas, Inc. (REIT) Stock VTR	See Endnote	Purchase	02/23/16	\$1,001 - \$15,000
10	Visa Inc. Cl A Stock V	See Endnote	Purchase	02/23/16	\$1,001 - \$15,000
11	American Water Works Company, Inc. Stock AWK	See Endnote	Purchase	05/09/2016	\$1,001 - \$15,000
12	CD - Bank of India REDEEMED			05/11/2016	\$100,001 - \$250,000
13	NextEra Energy, Inc. Stock NEE	See Endnote	Purchase	05/09/2016	\$1,001 - \$15,000
14	Realty Income Corporation Stock O	See Endnote	Purchase	05/09/2016	\$1,001 - \$15,000
15	Quintiles Transnational Holdings, Inc. Stock Q	See Endnote	Sale	05/09/2016	\$15,001 - \$50,000
16	Celgene Corporation Stock CELG	See Endnote	Sale	07/01/16	\$1,001 - \$15,000
17	Citigroup Inc. Bonds; 3.953% - REDEEMED	See Endnote		06/15/16	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
18	Nike, Inc. Stock, CL B NKE	See Endnote	Sale	07/01/16	\$15,001 - \$50,000
19	Novo Nordisk AS ADR Stock NVO	See Endnote	Sale	07/01/16	\$1,001 - \$15,000
20	Edwards Lifesciences Corporation Stock EW	See Endnote		06/14/16	\$15,001 - \$50,000
21	General Motors Company Stock GM	See Endnote	Purchase	11/16/16	\$1,001 - \$15,000
22	Chevron Corporation Stock CVX		Purchase	11/16/16	\$1,001 - \$15,000
23	JPMorgan Chase & Co. Stock JPM		Purchase	11/16/16	\$15,001 - \$50,000
24	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Purchase	11/16/16	\$1,001 - \$15,000
25	Dow Chemical Company Stock DOW	See Endnote	Purchase	11/16/16	\$1,001 - \$15,000
26	Lockheed Martin Corporation Stock LMT		Purchase	11/16/16	\$1,001 - \$15,000
27	The Toronto-Dominion Bank Stock TD	See Endnote	Purchase	11/16/16	\$1,001 - \$15,000
28	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA		Purchase	11/25/16	\$100,001 - \$250,000
29	Magellan Midstream Partners, L.P. Stock MMP		Purchase	11/16/16	\$1,001 - \$15,000
30	Enbridge Energy Partners, L.P. Stock EEP	See Endnote	Sale	11/07/16	\$15,001 - \$50,000
31	Kimberly-Clark Corporation Stock KMB	See Endnote	Purchase	12/08/16	\$1,001 - \$15,000
32	AT&T Inc. Stock T		Purchase	12/08/16	\$1,001 - \$15,000
33	Microsoft Corporation Stock MSFT	See Endnote	Purchase	12/08/16	\$1,001 - \$15,000
34	Verizon Communications Inc. Stock VZ		Purchase	12/08/16	\$1,001 - \$15,000
35	Broadcom Limited Stock AVGO	See Endnote	Purchase	12/29/16	\$15,001 - \$50,000
36	Johnson and Johnson Services, Inc. Stock JNJ		Purchase	12/29/16	\$1,001 - \$15,000
37	3M Company Stock MMM	See Endnote	Purchase	12/29/16	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
38	UnitedHealth Group Inc. Stock UNH		Purchase	12/29/16	\$15,001 - \$50,000
39	CD - Bank of India, New York, NY		Purchase	12/30/16	\$50,001 - \$100,000
40	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA REDEEMED	See Endnote		12/27/16	\$100,001 - \$250,000
41	Dominion Resources, Inc. Stock D	See Endnote		12/08/16	\$1,001 - \$15,000
42	Edwards Lifesciences Corporation Stock EW	See Endnote		12/08/16	\$1,001 - \$15,000
43	Johnson and Johnson Services, Inc. Stock JNJ	See Endnote		12/08/16	\$1,001 - \$15,000
44	Vanguard Target Retirement 2010 Fund Inv Class VTENX	See Endnote	Sale	2016	\$100,001 - \$250,000
45	Vanguard Instl Trgt Retire 2010 Instl VIRTX	See Endnote	Purchase	2016	\$100,001 - \$250,000
46	Vanguard Instl Trgt Retire 2015 Instl VITVX	See Endnote	Purchase	2016	\$15,001 - \$50,000
47	Pfizer, Inc. Stock PFE	See Endnote		04/25/16	\$1,001 - \$15,000
48	Bank of America Corporation Bonds; Ser 1 3.75% - REDEEMED	See Endnote		07/12/16	\$50,001 - \$100,000
49	Brown-Forman Corporation, Cl B Stock BFB	See Endnote	Sale	08/01/16	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T Bank, Winston-Salem, NC	Mortgage on Personal Residence	\$100,001 - \$250,000		3.25%	ARM

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	Duke University Defined Contribution Plan (403(b)) - The Fidelity Government Cash Reserves Fund is a money market fund.
2.	2	Value is not readily ascertainable. Filer will receive \$1,556/month, per Schedule C, Part II. Filer has not yet begun collecting benefits.
5.	3	Aggregates TIAA-CREF plans for former employers WGBH, Boston, MA and UNC at Chapel Hill/UNC-TV.
5.	3.4	Plan change forced by UNC retirement system during 2016. This asset was distributed between the 2 Vanguard funds listed in lines 3.5 and 3.6.
5.	3.5	Plan change forced by UNC retirement system during 2016. This fund is one of two that replaced the Vanguard Target Retirement Fund 2010 Inv Class VTENX.
5.	3.6	Plan change forced by UNC retirement system during 2016. This fund is one of two that replaced the Vanguard Target Retirement Fund 2010 Inv Class VTENX.
6.	2	Merrill Lynch's Bank Deposit Program is with Bank of America.
6.	3	Cash account. Listed for tracking purposes.
6.	8	New in 2016.
6.	13	New in 2016.
6.	21	All sold during 2016.
6.	24	All sold in 2016.
6.	27	Asset listed on 2016 form because of income earned prior to sale in 2015. Asset repurchased February 2016.
6.	32	Purchased December 2016, matures February 2017.
6.	33	New in 2016.
6.	34	All sold 2016.
6.	35	All gifted by filer's spouse. See transaction.

PART	#	ENDNOTE
6.	36	All stock was gifted at two different times in 2016. See transactions.
6.	37	All sold in 2016.
6.	38	New in 2016.
6.	39	New in 2016.
6.	40	New in 2016.
6.	41	New in 2016.
6.	42	New in 2016.
6.	43	New in 2016.
6.	44	New in 2016.
6.	45	New in 2016.
6.	46	New in 2016.
6.	47	New in 2016.
6.	48	New in 2016.
6.	49	All redeemed July 2016.
6.	50	CD purchased 2/2016 and redeemed in 5/2016.
6.	51	All redeemed June 2016.
7.	1	Purchased in 2015. <\$201 in interest earned.
7.	2	New
7.	4	New
7.	5	All sold. <\$201 in income prior to sale.
7.	6	Purchased in 2015. <\$201 in interest earned.
7.	7	All sold. <\$201 earned in income.
7.	9	New
7.	10	New
7.	11	New.

PART	#	ENDNOTE
7.	13	New.
7.	14	New.
7.	15	All sold.
7.	16	All sold. <\$201 in income prior to sale.
7.	17	All redeemed.
7.	18	All sold.
7.	19	All sold. <\$201 in income prior to sale.
7.	20	Stock was gifted.
7.	21	New.
7.	24	New.
7.	25	New.
7.	27	New.
7.	30	All sold.
7.	31	New stock.
7.	33	New stock.
7.	35	New stock.
7.	37	New stock.
7.	40	<\$201 in interest earned.
7.	41	Stock gifted by filer's spouse. Entire holdings transferred.
7.	42	Stock gifted by filer's spouse. Entire holdings transferred.
7.	43	Stock gifted by filer's spouse.
7.	44	Plan change forced by UNC retirement system during 2016. This fund was replaced by two Vanguard Institutional Target Retirement Funds offered by TIAA. Earned income amount unknown.
7.	45	Plan change forced by UNC retirement system during 2016. This fund is one of two that replaced the Vanguard Target Retirement Fund 2010 Inv Class VTENX. Earned income amount unknown.

PART	#	ENDNOTE
7.	46	Plan change forced by UNC retirement system during 2016. This fund is one of two that replaced the Vanguard Target Retirement Fund 2010 Inv Class VTENX. Earned income amount unknown.
7.	47	160 shares of stock gifted.
7.	48	All redeemed.
7.	49	All sold.

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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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.

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