

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cook, Lisa D

Governor, Board of Governors of the Federal Reserve System

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

Governor, Board of Governors of the Federal Reserve System (5/2022 - Present)

Advisory Board Member, NSF (1/2021 - 5/2022) See endnote

Visiting Scholar, U.S. Patent and Trademark Office (12/2020 - 5/2022) See endnote

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/ Cook, Lisa D [electronically signed on 05/25/2023 by Cook, Lisa D in Integrity.gov] - Filer received a 10 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/ Croston, Sean, Certifying Official [electronically signed on 06/16/2023 by Croston, Sean in Integrity.gov]

Other review conducted by

/s/ O'Connor, Anne C, Ethics Official [electronically signed on 06/16/2023 by O'Connor, Anne C in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/21/2023 by Granahan, Megan in Integrity.gov]

Data Revised 06/16/2023

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	<p>(06/16/2023, O'Connor, Anne C): Comments from the Filer:</p> <p>For the initial financial disclosure report filed on December 1, 2021, I reported the incorrect length of time for my leave of absence, incorrect amounts for earned and investment income, insurance income based on a death distribution, and inadvertently left off income from several assets that I did not hold at the time of filing, and reported the incorrect term for one of my mortgages. The entries below reflect the correct amounts and explanations. OGE instructed me to add these amendments to my current annual form.</p> <p>Part 1 Entry for Federal Reserve Bank of Chicago: Position held is Member, Academic Advisory Council, from 5/2021 to 12/2021</p> <p>Part 2 Entry for Federal Home Loan Bank of Indianapolis: Update income amount to \$107,000 Entry for Michigan State University Salary: Update income amount to \$249,708 and add endnote: "As part of my MSU employment, I was also the Director of the American Economic Association Summer Program from 2/1018-1/2021" For entries Teachers Retirement System of GA, defined benefit plan (beneficiary) and Employee's Retirement System of GA, defined benefit plan (beneficiary): Add endnote "The amount stated is the correct amount for the reporting period. The actual amount of the monthly payment is adjusted on an annual and ad hoc basis." For entry National Bureau of Economic Research Grant: Income amount should be updated to \$22,114. For entry FRB Chicago Visiting Scholar: Income amount should be updated to \$23,362. For entry Spelman College: Income amount should be updated to \$15,350. For entry U.S. Patent and Trademark Office: Income amount should be updated to \$8,833.</p> <p>Part 3 For entry Michigan State University: Status and Terms should be updated to state "I will take a three-year unpaid leave of absence from the University, which may be extended."</p> <p>Part 6 For entry Ishares Midcap 400 Index Fund: Update income amount to \$1,001-\$2,500 For entry Lord Abbett Short Duration Income CI: Update income amount to None (or less than \$201) For entry Blackrock Emerging Markets Fd Inc Insl: Update income amount to \$201-\$1,000 For entry First Tr ETF Rising Divd Ach: Update income amount to \$201-\$1,000. For entry Schwab US Broad Market ETF: Update income amount to \$1,001-\$2,500. For entry Schwab US Large-Cap Growth ETF: Update income amount to \$1,001-\$2,500. For entry Vanguard Specialized Funds Div App ETF: Update income amount to \$201-\$1,000. For entry Vanguard Index Fds Vanguard Value ETF: Update Income amount to \$201-\$1,000. For entry Select Sector SPDR Tr Financial: Update income amount to \$201-\$1,000. For entry Health Care Select Sector SPDR: Update income amount to None (or less than \$201).</p> <p>The following assets were inadvertently omitted from my report # Description EIF Value Income Type Income Amount 1.19 PGIM Total Return Bond CI Z (PDBZX) YES None (or less than \$1,001) \$201-\$1,000</p>

PART	#	REFERENCE	COMMENT
			1.19 PGIM Total Return Bond CI Z (PDBZX) YES None (or less than \$1,001) \$201-\$1,000 1.20 Abbott Laboratories (ABT) N/A None (or less than \$1,001) Dividends; capital gains \$2,501-\$5,000 1.21 Abbvie Inc (ABBV) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.22 Accenture PLC Ireld CI A (CAN) N/A None (or less than \$1,001) Capital gains \$2,501-\$5,000 1.23 Analog Devices Inc (ADI) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.24 Anthem Inc (ANTM) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.25 Chubb LTD (CB) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.26 Citigroup Inc New (C) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.27 Coca-Cola Co (KO) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.28 Corning Inc (GLW) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.29 Crown Castle Intl New (CCI) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.30 CVS Health Corp (CVS) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.31 Discover Finl Svcs (DFS) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.32 Encompass Health Corp (EHC) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.33 Goldman Sachs Group Inc (GS) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.34 Home Depot Inc (HD) N/A None (or less than \$1,001) Dividends; capital gains \$2,501-\$5,000 1.35 Honeywell Intl Inc (HON) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.36 Johnson & Johnson (JNJ) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.37 Maxim Integrated Prods (MXIM) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.38 Medtronic PLC (MDT) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.39 Merck & Co Inc New (MRK) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.40 Microsoft Corp (MSFT) N/A None (or less than \$1,001) Dividends; capital gains \$2,501-\$5,000 1.41 Motorola Solutions Inc (MSI) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 1.42 Nasdaq Inc (NDAQ) N/A None (or less than \$1,001) Dividends; capital gains \$2,501-\$5,000 1.43 Northern Trust Corp N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.44 Pepsico Inc (PEP) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.45 Starbucks Corp (SBUX) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.46 UPS Inc B (UPS) N/A None (or less than \$1,001) Dividends; capital gains \$1,001-\$2,500 1.47 Verizon Commns Inc (VZ) N/A None (or less than \$1,001) Dividends; capital gains \$201-\$1,000 # Description EIF Value Income Type Income Amount 8 American General Life Services N/A Inherited death distribution and interest \$11,458 Part 8: For entry Members First Mortgage: revise term from 30 years to 15 years.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Federal Home Loan Bank of Indianapolis		Indianapolis, Indiana	Federal Home Loan Bank System	Director	1/2021	5/2022
2	Michigan State University	See Endnote	East Lansing, Michigan	University/College	Professor	8/2005	Present
3	Federal Reserve Bank of Minneapolis		Minneapolis, Minnesota	Federal Reserve Bank	Opportunity and Inclusive Growth Institute Advisory Board Member	12/2017	5/2022
4	Rende Progress Capital	See Endnote	Grand Rapids, Michigan	Corporation	Member, Board of Directors	9/2017	5/2022
5	American Economic Association		Nashville, Tennessee	Non-Profit	Member, Executive Committee	1/2019	5/2022
6	Curriculum Open-access Resources in Economics (CORE)		London UK, Outside U.S.	Trust	Trustee	1/2020	5/2022
7	Economic History Association		LaCrosse, Wisconsin	Non-Profit	Trustee	1/2020	5/2022
8	Inter-university Consortium for Political and Social Research		ANN ARBOR, Michigan	Non-Profit	Chair, National Council	3/2019	5/2022
9	Roosevelt Institute		New York City, New York	Non-Profit	Vice-Chair, Board of Directors	1/2014	5/2022
10	Institute for Research on Innovation and Science, University of Michigan		Ann Arbor, Michigan	University/College	Adjunct Research Professor	3/2015	5/2022
11	Spelman College		Atlanta, Georgia	University/College	Consultant	9/2018	5/2022

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Regenerative Crisis Response Committee	See Endnote	WASHINGTON, District of Columbia	Non-Profit	Member	3/2021	4/2022
13	Federal Reserve Bank of Chicago		Chicago, Illinois	Federal Reserve Bank	Member, Board of Directors	1/2022	5/2022

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Federal Home Loan Bank of Indianapolis		N/A		Director's Fee	\$12,600
2	Michigan State University	See Endnote	N/A		Salary + Deferred Salary	\$22,242
3	Federal Reserve Bank of Minneapolis		N/A		Fees for Advisory Board of Opportunity and Inclusive Growth Institute activities	\$5,000
4	Teachers Retirement System of GA, defined benefit plan (beneficiary)	See Endnote	N/A		Retirement Payments (monthly)	\$262
5	Employees Retirement System of GA, defined benefit plan (beneficiary)	See Endnote	N/A		Retirement Payments (monthly)	\$562
6	Michigan State University		No			
6.1	Fidelity 403b		No			
6.1.1	VANG INST TR 2030		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
6.2	TIAA 403b		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2.1	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	TIAA 457b	No			
6.3.1	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	Fidelity 457b	No			
6.4.1	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Harvard University	No			
7.1	TIAA 403b	No			
7.1.1	CREF Global Equities	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.1.2	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	TIAA 457b	No			
7.2.1	Vanguard Institutional Target Retirement 2030 Fund Institutional Class Shares (VTTWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	National Bureau of Economic Research	No			
8.1	401a	No			
8.1.1	Vanguard LifeStrategy Moderate Growth Fund Investor Shares (VSMGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	National Bureau of Economic Research - April 29, 2022	N/A		Honorarium	\$4,000
10	Spelman College	N/A		Consulting fees	\$10,100
11	US Patent and Trademark Office	N/A		Independent contractor fees	\$4,395

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	University of Houston - February 16, 2022	N/A		Honorarium	\$5,000
13	UNC Greensboro - March 29, 2022	N/A		Honorarium	\$4,800
14	Databricks - February 24, 2022	N/A		Honorarium	\$5,295
15	Meijer Corp - March 3, 2022	N/A		Honorarium	\$5,000
16	Michigan State University anticipated payment (deferred salary and health savings account refund)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Federal Reserve Bank of Chicago Board of Directors	N/A		Director's fees	\$2,859

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Michigan State University See Endnote	East Lansing, Michigan	Currently taking three year unpaid leave of absence from the University, which may be extended.	12/2021
2	Teachers Retirement System of GA	Atlanta, Georgia	I will continue to participate in this defined benefit plan.	9/1986
3	Employees Retirement System of GA	Atlanta, Georgia	I will continue to participate in this defined benefit plan.	12/1998
4	Michigan State University	East Lansing, Michigan	I will continue to participate in these defined contribution plans. The plans' sponsor ceased making contributions upon my leave of absence.	8/2006
5	Harvard University	CAMBRIDGE, Massachusetts	I will continue to participate in this 457b plan, but the employer ceased making contributions upon my separation.	8/1997
6	National Bureau of Economic Research	CAMBRIDGE, Massachusetts	I will continue to participate in this defined contribution plan. The plan sponsor ceased making contributions after my separation.	3/2020

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
7	Harvard University	Cambridge, Massachusetts	I will continue to participate in the 403b plan, but the employer ceased making contributions upon my separation.	8/1997
8	Michigan State University	East Lansing, Michigan	I will receive a deferred salary payment from the University, which was announced for all non-union faculty prior to the start of my leave of absence. I also anticipate receiving a refund of my health savings account balance.	5/2022

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage account	No			
1.1	ISHARES S&P MIDCAP 400 INDEX FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	ALPHACENTRIC INCOME OPPORTUNITIES CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	LORD ABBETT INTERMED TAX FREE CLASS I	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	LORD ABBETT SHORT DURATION INCOME CL I		Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	BLACKROCK EMERGING MARKETS FD INC INSL		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	MORGAN STANLEY INTL ADVANTAGE CL I		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	T ROWE PRICE GLOBAL MULTI SECTOR BOND I		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	PGIM ETF TR ULTRA SHORT		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	U.S. brokerage sweep account		N/A	None (or less than \$1,001)		None (or less than \$201)
1.10	FIRST TR EXCHANGE-TRADED FD VI RISNG DIVD ACHIV	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.11	SCHWAB US BROAD MARKET ETF		Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.12	SCHWAB US LARGE-CAP GROWTH ETF		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	VANGUARD SPECIALIZED FUNDS DIV APP ETF		Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.14	VANGUARD MID-CAP VALUE INDEX FUND		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	VANGUARD INDEX FDS VANGUARD VALUE ETF		Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.16	HEALTH CARE SELECT SECTOR SPDR		Yes	\$1,001 - \$15,000		None (or less than \$201)
2	US bank #1 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Estate of a family member (value not readily ascertainable)	N/A			None (or less than \$201)
4	Residential rental investment property, Cambridge, MA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$50,001 - \$100,000
5	Select Sector SPDR TR Financial Sector Fund (XLF)	See Endnote	Yes	None (or less than \$1,001)	\$2,501 - \$5,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Lord Abbett Short Duration Income Fund Class I Shares (LLDYX)	Sale	05/31/2022	\$1,001 - \$15,000
2	Morgan Stanley Institutional Fund Trust International Advantage Portfolio Class I Shares (MFAIX)	Sale	05/31/2022	\$1,001 - \$15,000
3	PGIM Ultra Short Bond ETF (PULS)	Sale	05/31/2022	\$1,001 - \$15,000
4	Schwab US Broad Market ETF (SCHB)	Sale	05/31/2022	\$1,001 - \$15,000
5	Schwab US Large-Cap Growth ETF (SCHG)	Sale	05/31/2022	\$1,001 - \$15,000
6	Vanguard Value Index Fund ETF Shares (VTV)	Sale	05/31/2022	\$1,001 - \$15,000
7	Vanguard Value Index Fund ETF Shares (VTV)	Sale	12/16/2022	\$1,001 - \$15,000
8	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Sale	05/31/2022	\$1,001 - \$15,000
9	AlphaCentric Income Opportunities Fund Class I Shares (IOFIX)	Sale	06/29/2022	\$1,001 - \$15,000
10	First TR Exchange-Traded Fund (RDVY)	Sale	06/29/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
11	iShares Core S&P Mid-Cap ETF (IJH)	Sale	12/16/2022	\$1,001 - \$15,000
12	Lord Abbett Short Duration Income Fund Class I Shares (LLDYX)	Sale	12/16/2022	\$1,001 - \$15,000
13	Morgan Stanley Institutional Fund Trust International Advantage Portfolio Class I Shares (MFAIX)	Sale	12/16/2022	\$1,001 - \$15,000
14	Schwab Fundamental US Broad Market Index ETF (FNDB)	Sale	12/16/2022	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank Fund Staff Federal Credit Union	Mortgage (investment/rental property)	\$250,001 - \$500,000	2021	2.5	15 years
2	Bank Fund Staff Federal Credit Union	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2021	3.25	30 years
3	Members First Mortgage	Mortgage on Personal Residence	\$100,001 - \$250,000	2021	2.875	15 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
Filer's Information	2	Resigned 5/22 per Ethics Agreement
Filer's Information	3	Resigned 5/22 per Ethics Agreement.
1.	2	I am on a 3 year leave of absence from MSU that began on 5/16/22.
1.	4	Rende Progress Capital is a Michigan Community Development Financial Institution (CDFI). The title of this position was listed on prior reports as "Director." "Member, Board of Directors" is the accurate title.
1.	12	The Committee's work is supported by the Hewlett Foundation.
2.	2	I believe that a small portion of this amount may be some of the deferred salary and/or health savings account anticipated payment reported in line 16. I am working to get clarification from the University.
2.	4	The amount stated is the correct amount for the reporting period. The actual amount of the monthly payment is adjusted on an annual and ad hoc basis.
2.	5	The amount stated is the correct amount for the reporting period. The actual amount of the monthly payment is adjusted on an annual and ad hoc basis.
3.	1	My prior report incorrectly stated that the length of the initial term of my leave of absence was two years, not three.
6.	1.10	First Trust Rising Dividend Achievers ETF
6.	5	This asset was divested per my Ethics Agreement. However, it generated income in the reporting period before it was sold. This asset was inadvertently omitted from my prior reports but added by subsequent amendment.

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).
