

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

Filer's Information

Sullivan, John Joseph

Deputy Secretary, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Foreign Relations**
-

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/ Sullivan, John Joseph [electronically signed on 03/22/2017 by Sullivan, John Joseph 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/ McManus, Katherine D, Certifying Official [electronically signed on 04/27/2017 by McManus, Katherine D in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/28/2017 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Mayer Brown LLP	Washington, District of Columbia	Law Firm	Partner	2/2012	Present
2	ConsulCapital LLP	Darien, Connecticut	Corporation	Partner	1/2012	12/2015
3	Air Force Judge Advocate General's School Foundation, Inc.	Montgomery, Alabama	Non-Profit	Board Member	3/2010	Present
4	U.S.-Iraq Business Dialogue	Washington, District of Columbia	Bilateral forum	Chairman	10/2010	12/2016

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Mayer Brown LLP (law firm)	N/A		Salary/Bonus	\$318,114
2	Vanguard Target Retirement Trust 2025 II (401K)	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Mayer Brown LLP	Washington, District of Columbia	I will not participate in this defined contribution plan after my separation.	2/2012

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Mayer Brown LLP	Washington, District of Columbia	Legal services
2	Deloitte Touche Tohmatsu Limited and the related Deloitte member firms worldwide	New York, New York	Legal services
3	Albemarle Europe Sprl	Brussels, Belgium	Legal services
4	Medtronic, Inc.	Minneapolis, Minnesota	Legal services

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	King & Spalding LLP	N/A		Partnership profits distributions.	
2	King & Spalding LLP (401K)	No			
2.1	Schwab Moderate Strategic Portfolio	Yes	Over \$1,000,000		None (or less than \$201)
2.2	Third Avenue Focused Credit Instl	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Galliard Retirement Income Fund 35	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	King & Spalding LLP (capital account)	N/A	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley BANK DEPOSIT PROGRAM (cash account)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	SPDR S&P 500 ETF TRUST	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3	VANGUARD GROWTH ETF (VUG)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4	VANGUARD VALUE ETF INDEX (VTV)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
5	VANGUARD SM CAP GROWTH ETF (VBK)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	VANGUARD SM CAP VALUE ETF (VBR)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
8	VIRTUS INSIGHT EMERG MKTS I (HIEMX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9	LORD ABBETT SHT DURATION INC (LDLFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10	VANGUARD SHORT-TERM GOV BD (VSBSX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11	WELLS FARGO STRAT MUNI BD I (STRIX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
12	WELLS FARGO STRAT MUNI BD ADM (VMPYX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
13	DOUBLELINE TOTAL RETURN BOND FUND (DBLTX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
14	ISHARES CORE U.S. AGGREGATE BOND FUND (AGG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
15	BLACKROCK TOTAL RET I (MAHQX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	PIMCO INCOME P (PONPX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	FIRST TRUST NORTH AMERICAN ENERGY INFRASTRUCTURE FUND (EMLP)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
18	AQR MANAGED FUTURES STRATEGY I (AQMIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
19	DREYFUS GLOBAL REAL RETURN I (DRRIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
20	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
21	AQR STYLE PREMIA ALTERNATIVE I (QSPIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
22	JOHN HANCOCK SEAPORT I (JSFDX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
23	HSBC MARKET LINKED SECURITY CDON SX5E	N/A	\$100,001 - \$250,000		None (or less than \$201)
24	ISHARES MSCI JAPAN ETF (EWJ)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
25	VANGUARD FTSE EUROPE ETF (VGK)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
26	PIMCO ENHANCED SHRT MTRT EXC (MINT)	Yes	None (or less than \$1,001)		\$201 - \$1,000
27	ANGEL OAK MULTI STRAT (ANGLX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
28	FRANKLIN MUTUAL FIN SERV (TFSIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
29	ISHARES CORE MSCI EMERGING (IEMG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
30	Capital One - (cash account)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
31	M&T Bank Market Advantage Account (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
32	PNC Bank Premium Money Market Account (cash account)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	PNC Bank (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	PNC Bank Premium Money Market (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	PNC Bank (cash account)	N/A	None (or less than \$1,001)		None (or less than \$201)
36	SunTrust Bank Money Market Account (cash account)	N/A	\$250,001 - \$500,000		None (or less than \$201)
37	Wells Fargo Bank (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
38	Oppenheimer & Co. Inc. (cash account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
39	AMG MANAGERS MONTAG & CALDWELL GROWTH FD (MCGFX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
40	AMG SOUTHERNSUN SMALL CAP-INV FD (SSSFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
41	ANNE ARUNDEL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
42	ANNE ARUNDEL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
43	AUSTIN TEX TX (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
44	BARON PARTNERS FD (BPTRX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
45	CARROLL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
46	CAUSEWAY INTERNATIONAL VALUE FUND (CIVVX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
47	CHARLES CNTY MD (bonds)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
48	COLUMBUS OHIO (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49	CULLEN HIGH DIVIDEND EQUITY FD (CHDEX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
50	FRISCO TX (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
51	HARDING LOEVNER INTL EQUITY FD INVESTOR CL OPEN END	Yes	\$100,001 - \$250,000		None (or less than \$201)
52	HOWARD CNTY MD (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
53	KING CNTY WASH SCH DIST NO 405 (bonds)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
54	LOOMIS SAYLES BD FD INSTITUTIONAL (LSDBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
55	MARYLAND ST (bonds)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
56	MARYLAND ST (bonds)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
57	MARYLAND ST TRANSN AUTH (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
58	NORTH DAKOTA PUB FIN AUTH (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
59	OHIO ST WTR DEV AUTH (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
60	POPLAR FOREST PARTNERS FUND INSTL (PFPFX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
61	PRINCE GEORGES CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62	SAN ANTONIO TEX WTR REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
63	SEATTLE WASH MUN LT & PWR REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
64	SUSA REGISTERED FUND LLC	Yes	\$250,001 - \$500,000		None (or less than \$201)
65	T ROWE PRICE MID CAP GROWTH FUND INC ADVISOR CL (PMACX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
66	TEXAS A & M UNIV PERM UNIV FD (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
67	TEXAS A & M UNIV REVS (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
68	UNIVERSITY MD SYS AUXILIARY FA (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
69	UTAH ST UNIV REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
70	UTAH TRAN AUTH SALES TAX REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
71	ADVANTAGE ADVISOR XANTHUS FUND LLC	Yes	\$250,001 - \$500,000		None (or less than \$201)
72	ANNE ARUNDEL CNTY (bonds)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
73	CHARLES CNTY MD CNTY COMMRS-CONS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
74	MARYLAND ST (bonds)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
75	MARYLAND ST (bonds)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
76	MARYLAND ST DEPT TRANSN CNTY TRANS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
77	MARYLAND ST DEPT TRANS (bonds)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
78	MARYLAND ST DEPT TRANS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
79	MONTGOMERY CNTY MD (bonds)	N/A	\$100,001 - \$250,000		None (or less than \$201)
80	MONTGOMERY CNTY MD (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
81	PRINCE GEORGES CNTY MD (bonds)	N/A	\$50,001 - \$100,000		None (or less than \$201)
82	UNIV MD SYS (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
83	WASHINGTON CNTY MD (bonds)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
84	WASHINGTON SUBN SAN DIST MD (bonds)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
85	INVESCO HIGH YIELD MUNICIPAL FUND A (ACTHX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
86	INVESCO GLOBAL SMALL & MID CAP GROWTH FUND CL A (AGAAX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
87	INVESCO INTERNATIONAL GROWTH FUND CL A (AIIEX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
88	BLACKROCK HI YLD BD PORTFOLIO CLASS A (BHYAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
89	AMERICAN CAPITAL WORLD GROWTH AND INCOME FD A (CWGIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
90	HOTCHKIS AND WILEY LARGE CAP VALUE FUND A (HWLAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
91	BANK OF AMERICA, NA (RASP) (money market) (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
92	INVESCO DIVERSIFIED DIVIDEND FUND CL A (LCEAX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
93	BLACKROCK EQUITY DIVIDEND FD A (MDDVX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
94	BLACKROCK CAPITAL APPRECIATION FD, INC. A (MDFGX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
95	BLACKROCK TOTAL RETURN FUND CL A (MDHQX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
96	BLACKROCK GLOBAL ALLOCATION FD INC A (MDLOX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
97	ML BANK DEPOSIT PROGRAM (cash account)	N/A	\$250,001 - \$500,000		None (or less than \$201)
98	Bank of America Finance Note Linked to the HLX Housing Sector Index (MLYZE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
99	Swedish Export Credit Corp. Note Linked to the Russell 2000 Index (MLTXQ)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
100	Canadian Imperial Bank of Commerce Note Linked to the Russell 2000 Index (MLTXY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
101	Canadian Imperial Bank of Commerce Note Linked to the Russell 2000 Index (MLTDN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
102	Bank of America Corp. Note Linked to the S&P 500 Index (MLTVG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
103	Bank of America Corp. Note Linked to the S&P 500 Index (MLTXV)	N/A	\$50,001 - \$100,000		None (or less than \$201)
104	Canadian Imperial Bank of Commerce Note Linked to the EURO Stoxx 50 Index (MLTDZ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
105	Maine (NextGen) 529 Plan (BLRK Diversified Portfolio - 75% EQUITY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
106	Maine (NextGen) 529 Plan (BLKRK Diversified Portfolio - 75% EQUITY)	Yes	\$100,001 - \$250,000		None (or less than \$201)
107	COLUMBIA LARGE CAP GROWTH FUND III CLASS A (NFEAX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
108	NUVEEN MARYLAND QUALITY MUNICIPAL INCOME FUND (NMY)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
109	OAK RIDGE SMALL CAP GROWTH FUND CLASS A (ORIGX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
110	First Trust (Unit Investment Trust) 5935 SABRIENT BAKERS DOZEN 2016 (FHMRWX)	Yes			None (or less than \$1,001) - \$2,500
111	INVESCO EQUALLY WEIGHTED S&P FUND CLASS A (VADAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
112	INVESCO MID CAP GROWTH FUND A (VGRAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
113	BLACKSTONE CAPITAL HOLDINGS TRUST	Yes	\$100,001 - \$250,000		None (or less than \$201)
114	ACP POWER & ENERGY VI REAL ASSET TRUST CLASS A	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
115	LINCOLN MONEYGUARD II (Universal Life)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
116	First Trust (Unit Investment Trust) 5935 SABRIENT BAKERS DOZEN 2017 (FDNWFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
117	VANGUARD TOTAL INTL STOCK ETF (VXUS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
118	ISHARES NATIONAL MUNI BOND ETF (MUB)	Yes	\$50,001 - \$100,000		None (or less than \$201)
119	EATON VANCE HIGH YIELD MUNICIPAL INCOME FUND CLASS I (EIHYX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
120	VANGUARD FTSE EMERGING MARKETS (VWO)	Yes	\$100,001 - \$250,000		None (or less than \$201)
121	WELLS FARGO MUNI BOND INST (WMBIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
122	CURRENCY HEDGED MSCI EAFE (HEFA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
123	WISDOMTREE TRUST JAPAN HEDGE EQ (DXJ)	Yes	\$15,001 - \$50,000		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	Blackstone Capital Holding Trust	Capital Call	\$250,001 - \$500,000	2014		on demand
2	ACP Power and Energy VI Real Asset Trust	Capital Call	\$50,001 - \$100,000	2015		on demand

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 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.

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).
