Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

MONTGOMERY, BRIAN

Deputy Secretary, Department of Housing and Urban Development

Date of Termination: 01/20/2021

Other Federal Government Positions Held During the Preceding 12 Months:

Acting Deputy Secretary/Assistant Secretary of Housing/Federal Housing Commissioner (6/2018 - 5/2020) 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/ MONTGOMERY, BRIAN [electronically signed on 02/15/2021 by MONTGOMERY, BRIAN 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/ Bohling, Gayle E, Certifying Official [electronically signed on 02/24/2021 by Bohling, Gayle E in Integrity.gov]

Other review conducted by

/s/ BELL, KEISHA, Ethics Official [electronically signed on 02/23/2021 by BELL, KEISHA in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 03/01/2021 by Granahan, Megan in Integrity.gov]

Data Revised 02/23/2021

Data Revised 02/19/2021

Data Revised 02/18/2021

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Texas Employees Retirement System Defined Benefit Plan	N/A	$15,001 - $50,000		None (or less than $201)
2	Edward Jones IRA	No	$250,001 - $500,000		
2.1	Bridge Builder Core Plus Bond	Yes	$15,001 - $50,000		None (or less than $201)
2.2	Bridge Builder Large Growth	Yes	$15,001 - $50,000		None (or less than $201)
2.3	Bridge Builder Large Value	Yes	$50,001 - $100,000		None (or less than $201)
2.4	Bridge Builder SmallMid Growth	Yes	$1,001 - $15,000		None (or less than $201)
2.5	Bridge Builder SmallMid Value	Yes	$1,001 - $15,000		None (or less than $201)
2.6	Dimensional DFA International Value Fund	Yes	$1,001 - $15,000		None (or less than $201)
2.7	Dodge & Cox Stock Fund	Yes	$1,001 - $15,000		None (or less than $201)
2.8	John Hancock Disciplined Value Mid Cap Fund CL1	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	JP Morgan US Government Money Market Fund Capital CL		Yes	$1,001 - $15,000		None (or less than $201)
2.10	MFS International Intrinsic Value Fund CL 1		Yes	$1,001 - $15,000		None (or less than $201)
2.11	Royce Premier Fund Institutional CL		Yes	$1,001 - $15,000		None (or less than $201)
2.12	T Rowe Price International Discovery Fund CL 1		Yes	$1,001 - $15,000		None (or less than $201)
2.13	Victory Sycamore Small Company Opportunity Fund Class 1		Yes	$1,001 - $15,000		None (or less than $201)
2.14	American Capital World Bond	See Endnote	Yes	$1,001 - $15,000		None (or less than $201)
2.15	American Europacific Growth Fund		Yes	$15,001 - $50,000		None (or less than $201)
2.16	Dodge & Cox Income Fund	See Endnote	Yes	$1,001 - $15,000		None (or less than $201)
2.17	PGIM High Yield		Yes	$15,001 - $50,000		None (or less than $201)
2.18	Bridge Builder Core Bond Fund (BBTBX)	See Endnote	Yes	$15,001 - $50,000		None (or less than $201)
2.19	T. Rowe Price International Stock Fund (PRIUX)		Yes	$1,001 - $15,000		
2.20	Bridge Builder International Equity (BBIEX)		Yes	$1,001 - $15,000		
3	Avanos Medical	See Endnote	N/A	None (or less than $1,001)	Dividends	None (or less than $201)
4	Fidelity Roll-over IRA		No			None (or less than $201)
4.1	T. Rowe Price Retirement 2020 (TRRBX)		Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	T. Rowe Price Retirement 2025		Yes	$15,001 - $50,000		None (or less than $201)
5	Cisco Systems		N/A	$1,001 - $15,000		None (or less than $201)
6	General Electric Co		N/A	$1,001 - $15,000		None (or less than $201)
7	Hexcel Corp		N/A	$1,001 - $15,000		None (or less than $201)
8	Johnson & Johnson		N/A	$1,001 - $15,000		None (or less than $201)
9	Kimberly Clark Corp		N/A	$1,001 - $15,000		None (or less than $201)
10	Oracle Corp		N/A	$1,001 - $15,000		None (or less than $201)
11	Pfizer		N/A	$1,001 - $15,000		None (or less than $201)
12	MFS Moderate Allocation Fund A		Yes	$1,001 - $15,000		$201 - $1,000
13	Principal IRA	See Endnote	No			
13.1	Principal LifeTime 2020 (PLFJX)	See Endnote	Yes	$250,001 - $500,000		None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Employee Retirement System of Texas	Austin, Texas	I will continue to participate in this defined benefit plan.	2/1995

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	The Chertoff Group (investment plans)	No			
1.1	Diamond Holdings LLC, (business services)	No			
1.1.1	Delta Risk LLC, (cyber security)	N/A	$1,001 - $15,000		None (or less than $201)
2	Chertoff Group 401(K) Plan	No			
2.1	JPMorgan Smart Retirement 2030A	Yes	$50,001 - $100,000		None (or less than $201)
2.2	JPMorgan Smart Retirement 2040A	Yes	$1,001 - $15,000		None (or less than $201)
2.3	JP Morgan Intrepid Value A	Yes	$15,001 - $50,000		None (or less than $201)
3	Edward Jones IRA #2	No			
3.1	American Fundamental Investors CLF3	Yes	$1,001 - $15,000		None (or less than $201)
3.2	American International Growth and Income CLF3	Yes	$15,001 - $50,000		None (or less than $201)
3.3	Artisan International Value Fund Advisor Class	Yes	$15,001 - $50,000		None (or less than $201)
3.4	Bridge Builder Intl Equity	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	Bridge Builder Large Growth		Yes	$15,001 - $50,000		None (or less than $201)
3.6	Bridge Builder SmallMid Growth		Yes	$1,001 - $15,000		None (or less than $201)
3.7	Bridge BuilderSmallMid Value		Yes	$15,001 - $50,000		None (or less than $201)
3.8	Delaware Small Cap Value Fund CL 1		Yes	$1,001 - $15,000		None (or less than $201)
3.9	Delaware US Growth Fund CL 1		Yes	$1,001 - $15,000		None (or less than $201)
3.10	Dodge & Cox Stock Fund		Yes	$15,001 - $50,000		None (or less than $201)
3.11	Hotchkis & Wiley Mid Cap Value Fund CL 1		Yes	$1,001 - $15,000		None (or less than $201)
3.12	Invesco Comstock Fund Class Y		Yes	$15,001 - $50,000		None (or less than $201)
3.13	JPMorgan US Government Money Market Fund Capital CL		Yes	$1,001 - $15,000		None (or less than $201)
3.14	MFS Value Fund CL 1		Yes	$15,001 - $50,000		None (or less than $201)
3.15	PIMCO Funds High Yield Fund Institutional Class		Yes	$1,001 - $15,000		None (or less than $201)
3.16	PrimeCap Odyssey Stock Fund		Yes	$1,001 - $15,000		None (or less than $201)
3.17	T Rowe Price Intenrational Discovery Fund CL 1		Yes	$1,001 - $15,000		None (or less than $201)
3.18	T Rowe Price Small Cap Value CL 1		Yes	$1,001 - $15,000		None (or less than $201)
4	Cyber Defense Labs	See Endnote	N/A		Salary	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Bridge Builder Core Bond Plus	Yes	$15,001 - $50,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia 529 College Savings Plan	No			
1.1	Portfolio 2024	Yes	$100,001 - $250,000		None (or less than $201)
2	Virginia 529 College Savings Plan	No			
2.1	Portfolio 2030	Yes	$100,001 - $250,000		None (or less than $201)
3	Single Family Rental Property, Austin TX	N/A	$250,001 - $500,000	Rent or Royalties	$15,001 - $50,000
4	U.S. bank account #1 (cash)	N/A	$1,001 - $15,000		None (or less than $201)
5	U.S. bank account #2 (cash)	N/A	$50,001 - $100,000	Interest	$201 - $1,000
6	U.S. bank account #3 (cash)	N/A	$100,001 - $250,000		$201 - $1,000
7	Investment Firm Cash Account	No	$1,000,001 - $5,000,000		$2,501 - $5,000
8	U.S. bank account #4 (cash)	N/A	$50,001 - $100,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	John Hancock Funds III Disciplined Value Mid Cap Fund Class R6 Shares (JVMRX)	Purchase	03/25/2020	$1,001 - $15,000
2	John Hancock Funds Disciplined Value Mid Cap Fund JVMRX	Sale	06/03/2020	$1,001 - $15,000
3	John Hancock Funds III Disciplined Value Mid Cap Fund Class R6 Shares (JVMRX)	Sale	09/03/2020	$1,001 - $15,000
4	DFA International Value Portfolio Institutional Class Shares (DFIVX)	Purchase	03/25/2020	$1,001 - $15,000
5	DFA International Value Portfolio Institutional Class Shares (DFIVX)	Sale	06/03/2020	$1,001 - $15,000
6	DFA International Value Portfolio Institutional Class Shares (DFIVX)	Sale	09/03/2020	$1,001 - $15,000
7	T. Rowe Price International Discovery Fund TIDDX	Purchase	03/25/2020	$1,001 - $15,000
8	T. Rowe Price International Discovery Fund TIDDX	Purchase	09/03/2020	$1,001 - $15,000
9	Victory Sycamore Small Company Opportunity Fund VSOIX	Purchase	03/25/2020	$1,001 - $15,000
10	Bridge Builder Large Cap Value Fund (BBVLX)	Purchase	03/25/2020	$1,001 - $15,000
11	Bridge Builder Large Cap Value Fund (BBVLX)	Sale	09/03/2020	$1,001 - $15,000
12	Bridge Builder Small/Mid Cap Value Fund BBVSX	Purchase	03/25/2020	$1,001 - $15,000
13	Bridge Builder Small/Mid Cap Value Fund BBVSX	Sale	09/03/2020	$1,001 - $15,000
14	American Funds Euro Pacific Growth Fund FEUPX	Purchase	03/25/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	American Funds Euro Pacific Growth Fund FEUPX	Sale	09/03/2020	$1,001 - $15,000
16	Dodge & Cox Stock Fund DODGX	Purchase	03/25/2020	$1,001 - $15,000
17	Dodge & Cox Stock Fund DODGX	Sale	06/03/2020	$1,001 - $15,000
18	Dodge & Cox Stock Fund DODGX	Sale	09/03/2020	$1,001 - $15,000
19	Royce Premier Fund Institutional Class Shares (RPFIX)	Purchase	03/25/2020	$1,001 - $15,000
20	Royce Premier Fund Institutional Class Shares (RPFIX)	Sale	09/03/2020	$1,001 - $15,000
21	JPMorgan US Government Money Market Fund Capital Shares (OGVXX)	Purchase	03/25/2020	$1,001 - $15,000
22	JPMorgan US Government Money Market Fund Capital Shares (OGVXX)	Purchase	09/03/2020	$1,001 - $15,000
23	Bridge Builder Core Plus Bond Fund (BBCPX)	Sale	03/25/2020	$1,001 - $15,000
24	Bridge Builder Core Plus Bond Fund (BBCPX)	Purchase	09/03/2020	$1,001 - $15,000
25	Bridge Builder Large Cap Growth Fund (BBGLX)	Sale	03/25/2020	$1,001 - $15,000
26	Bridge Builder Large Cap Growth Fund (BBGLX)	Purchase	06/03/2020	$15,001 - $50,000
27	Bridge Builder Core Bond Fund (BBTBX)	Sale	03/25/2020	$1,001 - $15,000
28	Bridge Builder Core Bond Fund (BBTBX)	Purchase	09/03/2020	$1,001 - $15,000
29	American Funds Capital World Bond Fund WFBFX	Sale	03/25/2020	$1,001 - $15,000
30	American Funds Capital World Bond Fund WFBFX	Sale	06/03/2020	$1,001 - $15,000
31	Dodge & Cox Income Fund DODIX	Sale	03/25/2020	$1,001 - $15,000
32	Dodge & Cox Income Fund DODIX	Purchase	09/03/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	Dodge & Cox Income Fund DODIX	Sale	10/09/2020	$1,001 - $15,000
34	MFS International Intrinsic Value Fund Class R6 Shares (MINJX)	Sale	03/25/2020	$1,001 - $15,000
35	MFS International Intrinsic Value Fund Class R6 Shares (MINJX)	Sale	06/03/2020	$1,001 - $15,000
36	MFS International Intrinsic Value Fund Class R6 Shares (MINJX)	Sale	09/03/2020	$1,001 - $15,000
37	Bridge Builder International Equity Fund (BBIEX)	Purchase	06/03/2020	$1,001 - $15,000
38	Bridge Builder International Equity Fund (BBIEX)	Sale	09/03/2020	$1,001 - $15,000
39	PGIM High Yield Fund Class R6 Shares (PHYQX)	Purchase	06/03/2020	$1,001 - $15,000
40	PGIM High Yield Fund Class R6 Shares (PHYQX)	Sale	09/03/2020	$1,001 - $15,000
41	T Rowe Price International Stock Fund Class I Shares (PRIUX)	Purchase	06/03/2020	$1,001 - $15,000
42	T Rowe Price International Stock Fund Class I Shares (PRIUX)	Sale	09/03/2020	$1,001 - $15,000
43	Bridge Builder Small/Mid Cap Growth Fund BBGSX	Sale	09/03/2020	$1,001 - $15,000
44	Delaware Small Cap Value Fund Institutional Class Shares (DEVIX)	Purchase	03/27/2020	$1,001 - $15,000
45	Delaware Small Cap Value Fund Institutional Class Shares (DEVIX)	Sale	05/28/2020	$1,001 - $15,000
46	JPMorgan US Government Money Market Fund Capital Shares (OGVXX)	Purchase	03/27/2020	$1,001 - $15,000
47	T Rowe Price Small-Cap Value Fund, Inc Class I Shares (PRVIX)	Purchase	03/27/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	Invesco Comstock Fund ICSFX	Purchase	03/27/2020	$1,001 - $15,000
49	Invesco Comstock Fund ICSFX	Sale	05/28/2020	$15,001 - $50,000
50	American Funds International Growth and Income Fund IGAIX	Purchase	03/27/2020	$1,001 - $15,000
51	MFS Value Fund Class R6 Shares (MEIKX)	Purchase	03/27/2020	$1,001 - $15,000
52	Bridge Builder Small/Mid Cap Value Fund BBVSX	Purchase	03/27/2020	$1,001 - $15,000
53	Bridge Builder Small/Mid Cap Growth Fund BBGSX	Purchase	03/27/2020	$1,001 - $15,000
54	Artisan International Value Fund Institutional Class APHKX	Purchase	03/27/2020	$1,001 - $15,000
55	Artisan International Value Fund Institutional Class APHKX	Sale	05/28/2020	$1,001 - $15,000
56	Dodge & Cox Stock Fund DODGX	Purchase	03/27/2020	$1,001 - $15,000
57	Bridge Builder Small/Mid Cap Growth Fund BBGSX	Purchase	03/27/2020	$1,001 - $15,000
58	Delaware US Growth Fund Institutional Class Shares (DEUIX)	Sale	03/27/2020	$1,001 - $15,000
59	T Rowe Price International Discovery Fund Class I Shares (TIDDX)	Sale	03/27/2020	$1,001 - $15,000
60	T Rowe Price International Discovery Fund Class I Shares (TIDDX)	Sale	05/28/2020	$1,001 - $15,000
61	American Funds Fundamental Investors Class F3 Shares (FUNFX)	Sale	03/27/2020	$1,001 - $15,000
62	Bridge Builder International Equity Fund (BBIEX)	Sale	03/27/2020	$1,001 - $15,000
63	Bridge Builder Core Plus Bond Fund (BBCPX)	Sale	03/27/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	Bridge Builder Core Bond Fund (BBTBX)	Sale	03/27/2020	$1,001 - $15,000
65	Bridge Builder Core Bond Fund (BBTBX)	Sale	05/28/2020	$1,001 - $15,000
66	Bridge Builder Large Cap Growth Fund (BBGLX)	Sale	03/27/2020	$1,001 - $15,000
67	Bridge Builder Large Cap Growth Fund (BBGLX)	Purchase	05/28/2020	$1,001 - $15,000
68	PIMCO High Yield Fund Institutional Class Shares (PHIYX)	Sale	03/27/2020	$1,001 - $15,000
69	Hotchkis & Wiley Mid-Cap Value Fund HWMZX	Sale	03/27/2020	$1,001 - $15,000
70	PGIM High Yield Fund PHYQX	Purchase	05/28/2020	$1,001 - $15,000
71	T Rowe Price International Stock Fund Class I Shares (PRIUX)	Purchase	05/28/2020	$1,001 - $15,000
72	Bridge Builder Large Cap Value Fund (BBVLX)	Purchase	05/28/2020	$15,001 - $50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage on Personal Residence	$500,001 - $1,000,000	2015	3.875	30

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
Filer's Information	1	In January 2019, I added the title "Acting Deputy Secretary" to my two existing job titles: "Federal Housing Commissioner/Assistant Secretary for Housing." In May 2020, I was confirmed as Deputy Secretary and soon thereafter another PAS assumed the title of Acting FHA Commissioner/Assistant Secretary of Housing.
2.	2.14	My shares in the American Capital World Bond Fund were sold June 3, 2020 and the proceeds were invested into another fund within the same IRA.
2.	2.16	My shares in the Dodge & Cox Income Fund were sold October 9, 2020 and the proceeds were reinvested into the same IRA.
2.	2.18	This fund is within my Edward Jones IRA.
2.	3	Halyard Health was rebranded as Avanos Medical in 2018.
2.	13	roll-over IRA from Collingwood 401k
2.	13.1	Underlying holding of the roll-over IRA from Collingwood 401k
5.	4	Kathleen Montgomery joined Cyber Defense Labs in November 2019 as Executive Vice President.

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).