

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

Filer's Information

Lord, Ellen McCausland

Under Secretary of Defense for Acquisition, Technology, and Logistics, Department of Defense

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Armed Services**
-

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/ Lord, Ellen McCausland [electronically signed on 05/04/2017 by Lord, Ellen McCausland 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/ Vetter, Ruth, Certifying Official [electronically signed on 06/30/2017 by Vetter, Ruth in Integrity.gov]

Other review conducted by

/s/ Irvine, Dani, Ethics Official [electronically signed on 06/30/2017 by Irvine, Dani in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 07/06/2017 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 | Textron Inc. | | Providence, Rhode Island | Corporation | President & CEO Textron Systems | 10/2012 | Present |
| 2 | National Defense Industrial Association | See Endnote | Washington, District of Columbia | Non-Profit | Vice- Chair & Executive Committee Member | 11/2014 | Present |
| 3 | U. S. Naval Institute Foundation | | Annapolis, Maryland | Non-Profit | Trustee | 5/2015 | Present |
| 4 | Family Trust | | Baltimore, Maryland | Trust | Co-trustee | 4/2016 | Present |
| 5 | Center for New American Security | | Washington, District of Columbia | Non-Profit | Advisor | 1/2014 | Present |
| 6 | U.S. India Business Council | | Washington, District of Columbia | Non-Profit | Board of Directors | 4/2014 | Present |

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

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-------------|-----|-------------------------|--------------|-------------------|
| 1 | Textron Inc. | | N/A | | Salary/Bonus | \$966,731 |
| 2 | Textron Inc. Long Term Incentive Plan | | No | | | |
| 2.1 | Textron Inc. (Restricted Share Units -share settled) - Unvested | See Endnote | N/A | \$500,001 - \$1,000,000 | Dividends | \$1,001 - \$2,500 |
| 2.2 | Textron Inc. (Stock Options) | | No | | | |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-------------|-----|---------------------------|-------------------------------------|---------------------------|
| 2.2.1 | Textron Inc. (Stock Options) - Vested | | N/A | \$500,001 - \$1,000,000 | Options Exercised - Ordinary Income | \$73,750 |
| 2.2.2 | Textron Inc. (Stock Options) - Unvested | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 2.3 | Textron Inc. (Restricted Share Units - cash settled) | | N/A | | Cash Payment | \$166,189 |
| 2.4 | Textron Inc. (Performance Share Units) - Unvested | See Endnote | N/A | \$500,001 - \$1,000,000 | Cash payment | \$667,997 |
| 2.5 | Textron Stock Brokerage Account (Fidelity) | See Endnote | No | | | |
| 2.5.1 | Textron Stock | | N/A | \$500,001 - \$1,000,000 | Dividends | \$1,001 - \$2,500 |
| 3 | Textron Inc. 401(k) Plans | | No | | | |
| 3.1 | Textron, Inc. 401k (Qualified) | | No | | | |
| 3.1.1 | Fidelity Diversified Intl K Mid-Cap | | Yes | \$100,001 - \$250,000 | | \$1,001 - \$2,500 |
| 3.1.2 | Fidelity Low Priced Stk K Large Cap | | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 3.1.3 | Fidelity Contrafund K | | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 3.1.4 | Vanguard Inst Index Plus | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 3.1.5 | Textron, Inc. | | N/A | \$250,001 - \$500,000 | Dividends | \$201 - \$1,000 |
| 3.1.6 | Wellington Core Bond Fund | | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.2 | Textron, Inc. 401k (Non-Qualified) | See Endnote | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 4 | Textron Inc., Defined Benefit Plan | | No | | | |
| 4.1 | Textron Inc. Defined Benefit Plan (Qualified) | | N/A | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------------|-------------|---------------------------|
| 4.2 | Textron, Inc. Defined Benefit Plan (Non-Qualified) | N/A | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 5 | IRA #1 | No | | | |
| 5.1 | EXG - EATON VANCE TAX MGD DIV EQU FD | Yes | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 5.2 | RSP - GUGGENHEIM S&P 500 EQU WEIGHT | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.3 | IJH - ISHARES S&P MIDCAP 400 INDEX | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.4 | PFF - ISHARES S&P US PFD STK IDX FD | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 5.5 | IJR - ISHARES SP SMALLCAP 600 INDEX | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5.6 | TIP -ISHARES TIPS BOND ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5.7 | QQQ- POWERSHARES QQQ TR | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5.8 | VNQ - VANGUARD REIT ETF | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 5.9 | DON - Wisdom Tree MidCap Dividend | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5.10 | DES - Wisdom Tree Small Cap Div | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5.11 | AEPFX - American Funds EuroPac Growth | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.12 | AQMIX -AQR MANAGED FUTURES STRATEGY I | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5.13 | BSIIX - BLACKROCK STRATEGIC INC OPP I | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 5.14 | CMNIX - Calamos Mkt Neutral INC I | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 5.15 | CIHIX - CULLEN INTL HIGH DIVIDEND I | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.16 | DGCIX - DELAWARE CORPORATE BOND INST | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|---------------------|-------------|---------------------------|
| 5.17 | LFREFX - Lord Abbett Flt Rt Fund | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 5.18 | NQGIX - NUVEEN NWQ GLOBAL EQUITY INC I | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 5.19 | PCRPX - PIMCO COMMOD REAL RET STRATP | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5.20 | HYSZX - PRUDENTIAL SH DUR HI YLD INC Z | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 5.21 | HIEMX - VIRTUS VONTOBEL EMRG MKT OPP I | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 5.22 | PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.23 | U.S. Brokerage Account (Cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|--|--------------------------|--|---------|
| 1 | Textron Inc. Stock Options | Providence, Rhode Island | I will exercise or forfeit my vested stock options, depending on market conditions. Pursuant to Textron's Long Term incentive Plan, my unvested stock options are not forfeited upon separation. In order to comply with Government ethics rules, my unvested stock options will vest upon separation and be settled via a lump sum cash payment using the Black-Scholes formula to calculate values as of the date granted. | 12/1995 |
| 2 | Textron Inc. Restricted Share Units | Providence, Rhode Island | Pursuant to Textron's Long Term Incentive Plan, my unvested RSUs are not forfeited upon separation. In order to comply with Government ethics rules, my unvested shares will vest upon separation and will be converted to equivalent shares of Textron stock using historical pricing. | 2/2004 |
| 3 | Textron Inc. -401k Qualified Defined Contribution Plan | Providence, Rhode Island | I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation. | 1/1984 |

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|--|--------------------------|--|--------|
| 4 | Textron Inc. - Defined Benefit Plans | Providence, Rhode Island | I will continue to participate in both the qualified and non-qualified defined benefit plans. | 1/1984 |
| 5 | Textron, Inc. Performance Share Units | Providence, Rhode Island | My vested PSUs have been cashed out. Pursuant to Textron's Long Term Incentive Plan, my outstanding (unvested) PSUs are not forfeited upon separation. In order to comply with Government ethics rules, upon separation I will receive an accelerated lump sum cash payment calculated using actual performance data for completed fiscal years and established target performance data for future fiscal years. | 2/2004 |
| 6 | Textron Inc. -401k Non-Qualified Defined Contribution Plan | Providence, Rhode Island | Pursuant to Textron policy, I will receive a lump sum cash payment on separation. | 1/1984 |

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

| # | SOURCE NAME | CITY, STATE | BRIEF DESCRIPTION OF DUTIES |
|---|--------------|--------------------------|----------------------------------|
| 1 | Textron Inc. | Providence, Rhode Island | President & CEO, Textron Systems |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--------------------------------------|-----|---------------------|-------------|---------------------------|
| 1 | IRA #1 | No | | | |
| 1.1 | U.S. brokerage account (Cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.2 | IEI - ISHARES 3-7 YR TREASURY BD ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.3 | IVW - ISHARES S&P 500 GRWTH ETF | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 1.4 | IVE - ISHARES S&P 500 VAL ETF | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---------------------------------------|-----|--------------------|-------------|---------------------------|
| 1.5 | IJK -ISHARES S&P MID-CAP 400 G ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.6 | IJJ - ISHARES S&P MID-CAP 400 V ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.7 | DGCIX - Delaware Corp Bond | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 1.8 | CNSDX - INVESCO CONVERT SECURITIES Y | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 1.9 | LIFFX - Lord Abbett Inflation Focused | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.10 | GAFYX - NATIXIS ASG GLOBAL ALTERNAT Y | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.11 | TGBAX - Templeton Global Bond | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 1.12 | RSDYX - VICTORY INCORE LOW DUR BD Y | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 1.13 | IGLIX - Voya Global Real Estate | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|-------------------------------------|-----|-----------------------|-------------|---------------------------|
| 1 | MUAIX - MS Ultra Short Income Fund | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 2 | BABA - Alibaba | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3 | GOOGL - Alphabet | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4 | Google Inc. - Class C Capital Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5 | Amazon.com, Inc. - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|---------------------|-------------|---------------------------|
| 6 | AMT - American Tower REIT | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 7 | Apple Inc. - Common Stock | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8 | BRK'B - Berkshire Hathaway B | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9 | Biogen Idec Inc. - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 10 | Coca-Cola Co | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 11 | Colgate-Palmolive Co | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 12 | Costco Wholesale Corporation - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 13 | CVS Caremark Corp. | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 14 | Danaher Corp | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 15 | Emerson Electric Co | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 16 | FTV - Fortive Corp | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 17 | General Electric Co | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 18 | General Mills Inc | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 19 | Gilead Sciences, Inc. - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 20 | Home Depot Inc | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 21 | Johnson & Johnson | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 22 | JP Morgan Chase & Co | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 23 | Marriott International - Class A Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|---------------------|-------------|---------------------------|
| 24 | Mastercard Inc A | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 25 | Medtronic Inc | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 26 | Merck & Co Inc | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 27 | Microsoft Corporation - Common Stock | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 28 | Monsanto Co. | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 29 | OMC - Omnicom Group | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 30 | PepsiCo Inc | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 31 | The Priceline Group Inc. - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 32 | Procter & Gamble | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 33 | Ross Stores, Inc. - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 34 | Starbucks Corporation - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 35 | Stryker Corp | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 36 | Texas Instruments Incorporated - Common Stock | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 37 | Textron Inc | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 38 | Union Pacific Corp | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 39 | United Technologies Corp | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 40 | Visa Inc | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|---------------------|-------------|---------------------------|
| 41 | Walt Disney Co | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 42 | EXG - Eaton Vance Tax Managed Dividend Fund | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 43 | FTA - First Trust Large Cap Value | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 44 | RSP - Guggenheim S&P Equal Weight | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 45 | iShares S&P GSCI Commodity-Indexed Trust | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 46 | iShares S&P MidCap 400 Growth Index | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 47 | iShares S&P MidCap 400 Index | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 48 | iShares Barclays TIPS Bond | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 49 | iShares Morningstar Small Value Index | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 50 | NML - Neuberger Berman MLP Income Fund | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 51 | BOND - Pimco Total Return Bond | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 52 | VWO - Vanguard Emerging Mkts | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 53 | VBK - Vanguard Small Cap Growth | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 54 | AQMIX - AQR Managed Futures Strategy Fund | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 55 | FABZX - Franklin K2 Alternative Strategies Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 56 | MEURX - Franklin European Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 57 | Hartford Growth Opportunities I | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------|-------------|---------------------------|
| 58 | HEOZX - Highland Long Short Equity fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 59 | IVHIX - Ivy High Income | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 60 | LFRFX - Lord Abbett Flt Rate | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 61 | NBHIX - Neuberger Berman Equity Income Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 62 | Prudential Short-Term Corporate Bd Z | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 63 | T. Rowe Price Japan | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 64 | PRNHX - T. Rowe Price New Horizons Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 65 | T. Rowe Price Summit Municipal Intm | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 66 | T. Rowe Price Tax-Free Income Inv | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 67 | T. Rowe Price Tax-Free Shrt-Interm | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 68 | PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 69 | U.S. brokerage account (cash) | N/A | \$100,001 - \$250,000 | | 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 | Morgan Stanley Home Loans | Mortgage on Personal Residence | \$500,001 - \$1,000,000 | 2015 | 3.17% | 15 years |
| 2 | Morgan Stanley Home Loans | Mortgage on Personal Residence | \$500,001 - \$1,000,000 | 2015 | 3.33% | 15 years |

9. Gifts and Travel Reimbursements

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

Endnotes

| PART | # | ENDNOTE |
|------|-----|--|
| 1. | 2 | Executive Committee beginning 11/2014 then Vice-Chair beginning 11/2015. |
| 2. | 2.1 | No vested RSUs. RSUs are settled to employee's Textron brokerage account upon vesting via shares of regular Textron stock. |
| 2. | 2.4 | No vested PSUs. PSUs are settled via cash payment upon vesting. |
| 2. | 2.5 | All Options and RSUs are settled to this account upon exercise/vesting via shares of regular Textron stock. |
| 2. | 3.2 | Book account - no underlying investments. |

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).
