Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Azar, Alex M

Secretary, Department of Health & Human Services

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:
None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Azar, Alex M [electronically signed on 06/22/2020 by Azar, Alex M in Integrity.gov] - Filer received a 45 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/ Fischmann, Elizabeth, Certifying Official [electronically signed on 07/23/2020 by Fischmann, Elizabeth in Integrity.gov]

Other review conducted by
/s/ Hall, Randall, Ethics Official [electronically signed on 07/15/2020 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/28/2020 by Granahan, Megan in Integrity.gov]

Data Revised 07/15/2020

Data Revised 06/24/2020

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/15/2020, Hall, Randall): IR 6/25/2020 RJH

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Seraphim Strategies, LLC	See Endnote	Indianapolis, Indiana	LLC	Chairman and Founder	1/2017	5/2019
2	Alex M. Azar II Trust	See Endnote	Indianapolis, Indiana	Trust	Trustee	1/2009	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA Roth	No			
1.1	iShares Core S&P 500 ETF (IVV)	Yes	$15,001 - $50,000		None (or less than $201)
1.2	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Columbia Acorn Fund (ACRNX)	Yes	$15,001 - $50,000		None (or less than $201)
1.4	Dodge & Cox International Stock Fund (DODFX)	Yes	$50,001 - $100,000		None (or less than $201)
1.5	Cash Account	N/A	$1,001 - $15,000		None (or less than $201)
1.6	Invesco S&P 500 Equal Weight ETF (RSP)	Yes	$250,001 - $500,000		None (or less than $201)
1.7	iShares Edge MSCI Minimum Volatility USA ETF (USMV)	Yes	$250,001 - $500,000		None (or less than $201)
2	IRA Rollover	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	iShares Core S&P Mid-Cap ETF (IJH)		Yes	$100,001 - $250,000		None (or less than $201)
2.2	Cash Account		N/A	$1,001 - $15,000		None (or less than $201)
2.3	Invesco S&P 500 Equal Weight ETF (RSP)		Yes	$250,001 - $500,000		None (or less than $201)
2.4	iShares Currency Hedged MSCI Emerging Markets ETF (HEEM)		Yes	$100,001 - $250,000		None (or less than $201)
2.5	PIMCO Income Fund (PIMIX)		Yes	$15,001 - $50,000		None (or less than $201)
2.6	BlackRock Strategic Income Opportunities Fund (BSIIX)		Yes	$15,001 - $50,000		None (or less than $201)
3	Eli Lilly and Company Defined Benefit Plan (Nonqualified)		N/A	$500,001 - $1,000,000		None (or less than $201)
4	Eli Lilly and Company Defined Benefit Plan (Qualified) (value not readily ascertainable): eligible for benefits at ages 55 and 65; estimated benefit for age 55 with 75% annuity for spouse is $64,577/year	See Endnote	N/A			None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Eli Lilly and Company	Indianapolis, Indiana	I retain the Eli Lilly and Company defined benefit plan, which has both qualified and unqualified components. The organization does not make any further contributions to my account. The distributions are set and defined. I am eligible to start receiving such payments at ages 55 and 65.	6/2007

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Seraphim Strategies, LLC	Indianapolis, Indiana	This LLC is dormant and inactive during the period of my appointment. Any outstanding fees were received prior to my entering Government service. LLC was administratively dissolved under Indiana law on 5/28/19.	1/2017
3	Indianapolis Airport Authority	Indianapolis, Indiana	As a former member of the Board of Directors of the Indianapolis Airport Authority, I have two parking passes for the Indianapolis Airport.	12/2012

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	IRA Roth	No			
1.1	iShares Core S&P 500 ETF (IVV)	Yes	$15,001 - $50,000		None (or less than $201)
1.2	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Cash Account	N/A	$1,001 - $15,000		None (or less than $201)
1.4	Invesco S&P 500 Equal Weight ETF (RSP)	Yes	$100,001 - $250,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account #1	No			
1.1	Schwab Municipal Money Fund (SWTXX)	Yes	$50,001 - $100,000		$2,501 - $5,000
1.2	iShares Core S&P 500 ETF (IVV)	Yes	$500,001 - $1,000,000		$15,001 - $50,000
1.3	iShares Core S&P Mid-Cap ETF (IJH)	Yes	$100,001 - $250,000		$2,501 - $5,000
1.4	iShares Core S&P Small-Cap ETF (IJR)	Yes	$250,001 - $500,000		$2,501 - $5,000
1.5	iShares S&P 500 Value ETF (IVE)	Yes	$500,001 - $1,000,000		$15,001 - $50,000
1.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	$500,001 - $1,000,000		$15,001 - $50,000
1.7	iShares Core MSCI Pacific ETF (IPAC)	Yes	$100,001 - $250,000		$2,501 - $5,000
1.8	iShares Currency Hedged MSCI EAFE ETF (HEFA)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.9	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	$250,001 - $500,000		$5,001 - $15,000
1.10	Loomis Sayles Bond Fund (LSBRX)	Yes	$1,001 - $15,000		None (or less than $201)
1.11	iShares S&P 500 Growth ETF (IVW)	Yes	$500,001 - $1,000,000		$5,001 - $15,000
1.12	Cash Account	N/A	$250,001 - $500,000		None (or less than $201)
2	CHET 529 Plan #1 (FBO DC #1)	No		cash distribution	$52,827
2.1	Moderate Managed Allocation 18 & Over	Yes	$100,001 - $250,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	CHET 529 Plan #2 (FBO DC #2)		No			
3.1	Moderate Managed Allocation 16		Yes	$100,001 - $250,000		None (or less than $201)
4	IN College Choice 529 Plan #1 (FBO DC #1) College Portfolio	See Endnote	No		cash distribution	$18,955
5	IN College Choice 529 Plan #2 (FBO DC #2)		No		cash distribution	$10,000
5.1	2021 Enrollment Portfolio		Yes	$250,001 - $500,000		None (or less than $201)
6	Brokerage Account #2		No			
6.1	Bloomington IN Redev Dist Tax (CUSIP: 094717BH7)		N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
6.2	Delaware Muni Elec Corp Elec Rev Bds (CUSIP: 246154BU1)		N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.3	Evansville IN Loc Pub Impt Bd (CUSIP: 299348BV3)		N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.4	Gulf Shores AL Pub Edu Bldg Auth (CUSIP: 40252NAW0)		N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.5	Illinois St Toll Hwy Auth Toll (CUSIP: 452252JV2)		N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.6	Illinois St Toll Hwy Auth Toll (CUSIP: 452252KS7)		N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.7	Indiana St Fin Auth Wastewater (CUSIP: 45505MAT3)		N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.8	Indiana St Fin Auth Wastewater (CUSIP: 45505MBJ4)		N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.9	Indiana St Fin Auth Wastewater (CUSIP: 45505MFD3)		N/A	$50,001 - $100,000	Interest	$2,501 - $5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.10	Indianapolis IN Loc Pub Impt Bd (CUSIP: 45528UAT8)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.11	Indianapolis IN Loc Pub Impt Bd (CUSIP: 45528UAV3)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.12	Indianapolis IN Loc Pub Impt Bd (CUSIP: 45528UFU0)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.13	Jackson Cnty MS Util Auth Water (CUSIP: 467319AV1)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.14	Lake Central IN Multi-Dist Sch Bldg Corp (CUSIP: 507686PP2)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.15	Laredo TX Waterworks & Sewer Sys Rev Bds (CUSIP: 517039FZ1)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.16	Las Vegas Valley NV Water Dist (CUSIP: 5178405T7)	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.17	Lee Cnty FL Tourist Dev Tax Rev Bds (CUSIP: 523520CK8)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.18	Lower CO Riv Auth Tex Rev Bds (CUSIP: 54811GLU2)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.19	Lower CO Riv Auth Tex Transmission (CUSIP: 54811BPX3)	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.20	Metropolitan Govt Nashville & Davidson Cnty TN Pub Impt Rev Bds (CUSIP: 592090FH2)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.21	Miami-Dade Cnty FL Water & Sewer Sys (CUSIP: 59334DGU2)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.22	Mt Vernon IN Sch Bldg Corp (CUSIP: 623495BP2)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.23	Olmsted Falls OH City Sch Dist (CUSIP: 681233DU3)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.24	Orlando-Orange Cnty FL Expwy Auth (CUSIP: 686543UB3)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.25	Pennsylvania St Tpk Commn Tpk Rev Bds (CUSIP: 709224HN2)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.26	Regional Transp Dist CO Ctfs of Participation (CUSIP: 75913THV9)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.27	Riverside OH Loc Sch Dist (CUSIP: 769229BJ3)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.28	Rock Hill SC Util Sys Rev Bds (CUSIP: 772249QC5)	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.29	Sandusky OH City Sch Dist (CUSIP: 800205EP7)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.30	South Carolina St Pub Svcs Auth (CUSIP: 837151HW2)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.31	South Montgomery IN Sch Bldg Corp (CUSIP: 84455RCC6)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.32	Washington St Higher Edu Facilities Auth (CUSIP: 939781Q60)	N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.33	Winton Woods City Sch Dist OH (CUSIP: 97650ECE6)	N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.34	Wppi Energy WI Pwr Supply Sys Rev Bds (CUSIP: 92937NAQ7)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.35	U.S. brokerage account (Cash)	N/A	$100,001 - $250,000		None (or less than $201)
6.36	Atlanta GA Water & Wastewater Rev Ref Bds (CUSIP: 047870NE6)	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.37	El Paso TX Comb Tax Rev Ctfs of Oblig (CUSIP: 283734F71)	N/A	$50,001 - $100,000	Interest	$2,501 - $5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.38	Indiana Muni Power Agy Power Supply Sys Rev Bds (CUSIP: 454898TX5)		N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.39	Indiana Fin Auth Edu Facilities Rev Bds (CUSIP: 45506DJ71)		N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.40	Indiana Fin Auth Edu Facilities Rev Bds (CUSIP: 45506DT62)		N/A	$50,001 - $100,000	Interest	$1,001 - $2,500
6.41	Morgan Stanley Tax-Free Daily Income Trust (DFRXX)		Yes	$100,001 - $250,000		$2,501 - $5,000
6.42	Navasota TX Sch Dist Bldg Bds (CUSIP: 639319NF5)		N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.43	New Braunfels TX Utility Sys Rev Bds (CUSIP: 642577UU2)		N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
6.44	Upper St Clair Township PA Sch Dist (CUSIP: 916507RA6)		N/A	$100,001 - $250,000	Interest	$5,001 - $15,000
6.45	Utah St Transit Auth (CUSIP: 917567CP2)		N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
6.46	Utah St Transit Auth (CUSIP: 917567CN7)		N/A	$50,001 - $100,000	Interest	$2,501 - $5,000
7	Health Savings Account		No			
7.1	U.S. bank account (Cash Account)		N/A	$1,001 - $15,000		None (or less than $201)
7.2	PIMCO Investment Grade Corporate Bond ETF		Yes	$15,001 - $50,000		$1,001 - $2,500
7.3	Vanguard Total Stock Market Index Fund Instl		Yes	$50,001 - $100,000		$1,001 - $2,500
8	Irrevocable Life Insurance Trust	See Endnote	No			
8.1	Northwestern Mutual Estate Complife Policy #1 (whole life and term hybrid product)		N/A	$50,001 - $100,000	Dividends	$2,501 - $5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	Northwestern Mutual Estate Complife #2 (whole life and term hybrid product)		N/A	$100,001 - $250,000	Dividends	$5,001 - $15,000
8.3	Northwestern Mutual Life Insurance Adjustable Complife (whole life and term hybrid product)		N/A	$250,001 - $500,000	Dividends	$5,001 - $15,000
9	SD College Choice Savings (FBO DC #1)		No			
9.1	Age-Based 9 (Ages 17 and Over) Class A		Yes	$15,001 - $50,000		None (or less than $201)
10	U.S. bank account #3 - Premier Now Account (Cash Account)		N/A	$15,001 - $50,000		None (or less than $201)
11	Irrevocable Trust	See Endnote	No			
11.1	Residential Property, Salisbury, Maryland		N/A	$100,001 - $250,000		None (or less than $201)
11.2	Undeveloped Land, Salisbury, Maryland		N/A	$15,001 - $50,000		None (or less than $201)
12	C. and A. Robert (Horse expenses)	See Endnote	N/A		Income	$4,758

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	iShares Core S&P Mid-Cap ETF (IJH)	Sale	12/17/2019	$50,001 - $100,000
2	iShares Core S&P Small-Cap ETF (IJR)	Sale	12/17/2019	$250,001 - $500,000
3	BlackRock Strategic Income Opportunities Fund (BSIIX)	Purchase	12/19/2019	$15,001 - $50,000
4	iShares Currency Hedged MSCI Emerging Markets ETF (HEEM)	Purchase	12/19/2019	$100,001 - $250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
5	PIMCO Income Fund (PIMIX)		Purchase	12/19/2019	$15,001 - $50,000
6	Invesco S&P 500 Equal Weight ETF (RSP)		Purchase	12/20/2019	$250,001 - $500,000
7	Goldman Sachs Strategic Income Fund (GSZIX)		Sale	01/10/2019	$100,001 - $250,000
8	iShares S&P 500 Value ETF (IVE)		Purchase	01/11/2019	$100,001 - $250,000
9	iShares S&P 500 Value ETF (IVE)		Purchase	03/27/2019	$1,001 - $15,000
10	American Funds Growth Fund of America (GFAFX)		Sale	12/17/2019	$100,001 - $250,000
11	Columbia Contrarian Core Fund (SMGIX)		Sale	12/17/2019	$100,001 - $250,000
12	iShares S&P 500 Value ETF (IVE)		Sale	12/17/2019	$100,001 - $250,000
13	Keeley Small Cap Dividend Value Fund (KSDVX)	See Endnote	Sale	12/17/2019	$15,001 - $50,000
14	Invesco S&P 500 Equal Weight ETF (RSP)		Purchase	12/19/2019	$250,001 - $500,000
15	iShares Edge MSCI Minimum Volatility USA ETF (USMV)		Purchase	12/19/2019	$100,001 - $250,000
16	iShares Core S&P 500 ETF (IVV)		Purchase	02/11/2019	$15,001 - $50,000
17	American Funds Growth Fund of America (GFAFX)		Sale	12/17/2019	$100,001 - $250,000
18	Invesco S&P 500 Equal Weight ETF (RSP)		Purchase	12/19/2019	$100,001 - $250,000
19	CHET Moderate Managed Allocation 18 & Over - 2479		Sale	03/05/2019	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
20	CHET Moderate Managed Allocation 18 & Over - 2479	Sale	03/05/2019	$1,001 - $15,000
21	CHET Moderate Managed Allocation 18 & Over - 2479	Sale	08/26/2019	$1,001 - $15,000
22	CHET Moderate Managed Allocation 18 & Over - 2479	Sale	08/26/2019	$1,001 - $15,000
23	CHET Moderate Managed Allocation 18 & Over - 2479	Sale	11/29/2019	$15,001 - $50,000
24	CHET Moderate Managed Allocation 18 & Over - 2479	Sale	11/29/2019	$1,001 - $15,000
25	CHET Moderate Managed Allocation 15 - 2476	Sale	06/20/2019	$100,001 - $250,000
26	CHET Moderate Managed Allocation 16 - 2477	Purchase	06/20/2019	$100,001 - $250,000
27	College Choice College Portfolio	Sale	08/27/2019	$15,001 - $50,000
28	College Choice 2021 Enrollment Portfolio	Sale	01/10/2019	$1,001 - $15,000
29	iShares S&P 500 Value ETF (IVE)	Sale	12/17/2019	$15,001 - $50,000
30	Invesco S&P 500 Equal Weight ETF (RSP)	Purchase	12/31/2019	$1,001 - $15,000
31	iShares Currency Hedged MSCI Emerging Markets ETF (HEEM)	Purchase	12/31/2019	$1,001 - $15,000
32	Invesco S&P 500 Equal Weight ETF (RSP)	Purchase	12/31/2019	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	CIBC Bank	Mortgage on Personal Residence	$1,000,001 - $5,000,000	2018	3.875	30 years

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	American Task Force for Lebanon	Washington, District of Columbia	Three tickets to the 30th Anniversary Gala Awards Night, on April 10, 2019, at the Fairmont Hotel.	$1,050
2	Ford’s Theatre Society	Washington, District of Columbia	Four tickets to a performance of A Christmas Carol, on December 7, 2019, at Ford’s Theatre.	$436
3	National Multiple Sclerosis Society	Washington, District of Columbia	Two tickets to the 41st Annual Ambassadors Ball, on September 9, 2019, at The Anthem.	$1,200

Endnotes

PART	#	ENDNOTE
1.	1	Pursuant to my Ethics Agreement, this entity has been dormant and inactive since January 2018. LLC was administratively dissolved under Indiana law on 5/28/19.
1.	2	This trust has not been funded and holds no assets.
2.	4	Yearly disbursement is a good faith estimate based on assumption of retirement at age 55 with annuity after death for my spouse.
6.	4	No remaining assets or value.
6.	8	This is a life insurance trust established by the filer's father. The filer is a co-beneficiary with his sister; reported values and income represent his 50% interest.

PART	#	ENDNOTE
6.	11	This trust was established by the filer's step-mother. It had not gone through probate at the time of the filer's Nominee Report. The trust is for the filer's father's benefit during his lifetime, filer is one of four equal residual beneficiaries; reported values and income represent his 25% interest.
6.	12	Income amount includes in kind payment of boarding, training, hay, horse shoes, vet bills and expenses while horse was loaned for use in equestrian competitions.
7.	13	Asset reported as Keeley Small Cap Value Fund A (KSCVX) in previous report. Asset name change due to reorganization in June 2019.

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 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 $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $390 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 $156 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.

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