



UNITED STATES DEPARTMENT OF COMMERCE
Office of the General Counsel

Washington, D.C. 20230

June 9, 2021

Mr. Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, NW
Suite 500
Washington DC, 20005

Dear Mr. Rounds:

The purpose of this letter is to forward the attached amendment to Wilbur Ross's termination financial disclosure report, dated May 20, 2021. As indicated in Mr. Ross's attached letter dated June 9, 2021, the reason for the amendment is that he mistakenly entered the date of termination as 01/19/2021, when in fact it should have been 01/20/2021.

As the Alternate Designated Agency Ethics official of the Department of Commerce, I have reviewed the updated information contained in the amendment and continue to believe that Mr. Ross is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

GAYE

WILLIAMS

Gaye Williams

Alternate Designated Agency Ethics Official

Digitally signed by

GAYE WILLIAMS

Date: 2021.06.09

19:16:21 -05'00'

Attachment

June 9, 2021

Gaye Williams
Alternate Designated Agency Ethics Official
U.S. Department of Commerce
1401 Constitution Avenue, N.W.
Washington, D.C. 20230

Re: Amendment to Financial Disclosure Report of Wilbur Ross

Dear Ms. Williams

The purpose of this letter is to correct an inadvertent error in the financial disclosure report that I signed on May 20, 2021. Specifically, on the Filer Information page, I mistakenly listed my date of termination as 01/19/2021. However, the correct date should be 01/20/2021. The picture below reflects the correct information.

Termination Report | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001) (Updated July 2020)

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

Filer's Information

Ross, Wilbur

Secretary of Commerce, Department of Commerce

Date of Termination: 01/20/2021

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/ Ross, Wilbur [electronically signed on 05/20/2021 by Ross, Wilbur in Integrity.gov] - Filer received a 90 day filing extension.

I understand that this amendment will be attached to my financial disclosure report and released upon request with that report.

Sincerely,



Wilbur L. Ross

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

Filer's Information

Ross, Wilbur

Secretary of Commerce, Department of Commerce

Date of Termination: 01/19/2021

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/ Ross, Wilbur [electronically signed on 05/20/2021 by Ross, Wilbur in Integrity.gov] - Filer received a 90 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/ Maggi, David, Certifying Official [electronically signed on 05/25/2021 by Maggi, David in Integrity.gov]

Other review conducted by

/s/ Jacobi, Will, Ethics Official [electronically signed on 05/21/2021 by Jacobi, Will in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/07/2021 by Granahan, Megan in Integrity.gov]

Data Revised 05/21/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	El Vedado LLC		West Palm Beach, Florida	Limited Liability Company	Sole Member	12/2005	Present
2	116 South Main Street LLC		Wilmington, Delaware	Limited Liability Company	Managing Member	1/2003	Present
3	781 5th Ave. LLC		Wilmington, Delaware	Limited Liability Company	Managing Member	1/2003	Present
4	WLRoss Family LLC	See Endnote	Palm Beach, Florida	Limited Liability Company	Managing Member	1/2019	Present
5	Ross Acquisition Corp II	See Endnote	Palm Beach, Florida	Corporation	Chairman, CEO, and President	1/2021	Present
6	Ross Holding Company LLC	See Endnote	Palm Beach, Florida	Limited Liability Company	Managing Member	1/2021	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA Traditional (Cash and U.S. Treasuries)	No	\$1,000,001 - \$5,000,000	Cash Distribution	\$68,631
1.1	cash	N/A	\$1,001 - \$15,000		
1.2	U.S. Treasuries	N/A	\$1,000,001 - \$5,000,000		
2	Roth IRA (Cash and U.S. Treasuries)	No	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	cash	N/A	\$15,001 - \$50,000		
2.2	U.S. Treasuries	N/A	\$1,000,001 - \$5,000,000		
3	U.S. Treasury Securities Broker 1 (at Citibank)	N/A	Over \$50,000,000	Interest	\$1,000,001 - \$5,000,000
4	Cash at Broker 2 (at UBS)	N/A	\$500,001 - \$1,000,000	Interest Capital Gains	\$5,001 - \$15,000
5	U.S. Treasury Securities Broker 2 (at UBS)	N/A	\$5,000,001 - \$25,000,000	Interest	\$100,001 - \$1,000,000
6	U.S. Treasury Securities Broker 3 (at Citibank)	N/A	\$25,000,001 - \$50,000,000		\$100,001 - \$1,000,000
7	U.S. Treasury Securities (at UBS)	N/A	Over \$50,000,000	Interest	\$1,000,001 - \$5,000,000
8	Cash (at JP Morgan)	N/A	\$1,000,001 - \$5,000,000	Interest Capital Gains	\$15,001 - \$50,000
9	WLR/IVZ Mortgage Recovery Associates LLC	See Endnote		Taxable Income	\$1,497,958
9.1	Invesco Mortgage Recovery Master Associates LLC	No			
9.1.1	Invesco Mortgage Recovery Offshore FeederFund, L.P.	No			
9.1.1.1	Invesco Mortgage Recovery Feeder Fund, L.P.	No			
9.1.1.1.1	Invesco Mortgage Recovery Master Fund, L.P.	No			
9.1.1.1.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote			
9.1.2	Invesco Mortgage Recovery Feeder Fund, L.P.	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1.2.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
9.1.2.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote 1	No			
9.1.3	Invesco Legacy Securities Offshore FeederFund, L.P.		No			
9.1.3.1	Invesco Legacy Securities Feeder Fund, L.P.		No			
9.1.3.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote 1	No			
9.1.4	Invesco Mortgage Recovery Master Fund, L.P.		No			
9.1.4.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	No			
9.1.5	Invesco Legacy Securities Feeder Fund, L.P.		No		Capital Gains	
9.1.5.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	No			
9.1.6	Invesco Legacy Securities Master Fund, L.P.	See Endnote	No			
9.1.7	Invesco Recovery Loans Feeder Fund, L.P.		No			
9.1.7.1	Invesco Mortgage Recovery Loans AIV,L.P.		No			
9.1.7.1.1	Invesco Mortgage Recovery Master Loans AIV 1		No			
9.1.7.1.1.1	WLR LeFrak (Northwest) LLC (real estate loans)		No			
9.1.7.1.1.2	Market Square Member LLC (real estate loans)		No			
9.1.7.1.1.3	Indiana Retail Member LLC (real estate loans)		No			
9.1.7.1.1.4	Shackleford Crossings Member LLC (real estate loan)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1.7.1.1.5	Colfin Milestone North Funding LLC (real estate loan)		No			
9.1.7.1.1.6	IMRF Hotel Member LLC (real estate loan)		No			
9.1.7.1.1.7	Park Place Apollo Investor LLC (real estate loan)		No			
9.1.7.1.1.8	IMRF Watchtower Member LLC (real estate loan)		No			
9.1.7.1.1.9	IMRF Industrial Member LLC (real estate loan)		No			
9.1.7.1.1.10	IMRF Hotel Fifth Street member LLC (real estate loan)		No			
9.1.8	Invesco Mortgage Recovery Loans Feeder Fund, L.P. (Cayman)		No			
9.1.8.1	Invesco Mortgage Recovery Loans AIV, L.P.		No			
9.1.8.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
9.1.9	Invesco Mortgage Recovery Loans AIV, L.P.		No			
9.1.9.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
9.1.10	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
9.2	WLR IV PPIP Co-Invest Offshore Feeder Fund, L.P.		No			
9.2.1	WLR IV PPIP Co-Invest, L.P.		No			
9.2.1.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
9.2.1.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3	WLR IV PPIP Co-Invest, L.P.	No			
9.3.1	Invesco Mortgage Recovery Master Fund, L.P.	No			
9.3.1.1	Invesco Legacy Securities Master Fund, L.P. See Endnote	No			
9.4	WLR IV PPIP Coinvest Loans Feeder Fund, L.P. (DE)	No			
9.4.1	WLR IV PPIP Co-Invest Loans AIV, L.P.	No			
9.4.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P. See Endnote	No			
9.5	WLR IV PPIP Coinvest Loans Feeder Fund (Cayman), L.P.	No			
9.5.1	WLR IV PPIP Co-Invest Loans AIV, L.P.	No			
9.5.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P. See Endnote	No			
9.6	WLR Whole Loan Fund, L.P. See Endnote	No			
9.7	WLR IV PPIP Co-Invest Loans AIV, L.P.	No			
9.7.1	Invesco Mortgage Recovery Master Loans AIV, L.P. See Endnote	No			
9.8	WLR/IVZ Mortgage Recovery Associates LLC -- Carried Interest See Endnote	No			
10	Bank Resource Management (cash deposits at UBS)	No	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
11	U.S. Treasury Securities (at Raymond James)	N/A	\$5,000,001 - \$25,000,000	Interest	\$100,001 - \$1,000,000
12	Cash (at UBS)	N/A	\$5,000,001 - \$25,000,000		
13	Cash (at UBS Bank)	N/A	\$100,001 - \$250,000		

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	WLR/IVZ Mortgage Recovery Associates LLC	New York, New York	Prior to my confirmation, WL Ross Group LP served as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	10/2009

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	Dreyfus Cash Mgmt. Account	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
2	iShares Russell 2000 ETF	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
3	SPDR S&P 500 ETF Trust	Yes	\$5,000,001 - \$25,000,000		None (or less than \$201)
4	Palm Beach People, powerHouse Books publisher (Value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Art Collection	N/A	Over \$50,000,000		None (or less than \$201)
2	New York City Muni Rev 4	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
3	Round Rock TEX Indpt Sch Dist GO 4	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
4	North TEX TWY Auth Rev Rev 5	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5	Green Bay WIS WTR SYS Rev Rev 4	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
6	Texas St GO	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
7	Florida ST BRD EDGO5	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
8	Fort Myers FLA	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
9	Gainesville & Cnty	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
10	New York Liberty Dev Corp Liberty Rev	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
11	District of Columbia GO	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
12	Florida State Board of Ed.	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
13	Hillsborough City School Board	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	KeyWest Utility Board	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
15	Atlanta Dev. Auth. Boards-Panther	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
16	Atlanta Dev. Auth. Rev.	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
17	Indiana State Fin. Auth. - Wastewater	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
18	Wyandotee, Kansas	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
19	Michigan Fin. Auth. Rev. Hospitals	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
20	Michigan Fin. Auth. Rev.	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
21	K.C. Mo. Special Obligation	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
22	ST Charles City, MO Water	N/A	\$250,001 - \$500,000	Dividends Interest	\$5,001 - \$15,000
23	NJ EDA	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
24	NJ ST Higher Ed Assistance Authority	N/A	\$100,001 - \$250,000	Dividends Interest	\$5,001 - \$15,000
25	Clark County Nev Airport Rev Jr Sub Lien Rev.	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
26	Penn State Turnpike	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
27	Pittsburgh GO	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Fort Worth Tex SPL Tax Rev.		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
29	Harris County Tex Perm. Improvement		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
30	Houston Comm. College		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
31	Houston Texas Util.		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
32	Plano Tx. Ind. School Dist.		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
33	Richardson Tx. GO		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
34	Socorro TX		N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
35	Utah Water Fin.		N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
36	North Texas Throughway		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
37	Florida Keys AQUED Auth	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
38	Univ MI UNV	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
39	Massachusetts Water Reso.	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
40	Massachusetts Water Reso A-3-R	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
41	Illinois Fin Auth	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	Maryland St. Health & HIG	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
43	New York NY GO BDS	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
44	New York St HSG Fin AG	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
45	New York NY For Prev A-4 Loc Citib	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
46	Charlotte Mecklenburg NC	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
47	Albemarle City Va Econom	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
48	New York City NY Man WT	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
49	Ohio St HSP Knox Com Hsp	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
50	San Diego CA HSG AU MFH	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Univ MI UNV		Purchase	08/20/2020	\$1,000,001 - \$5,000,000
2	Maryland St. Health & HIG	See Endnote	Purchase	06/16/2020	\$1,000,001 - \$5,000,000
3	New York NY GO BDS		Purchase	08/20/2020	\$1,000,001 - \$5,000,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
4	New York NY For Prev A-4 Loc Citib		Purchase	08/20/2020	\$1,000,001 - \$5,000,000
5	New York City NY Man WT		Purchase	08/20/2020	\$1,000,001 - \$5,000,000
6	Ohio St HSP Knox Com Hsp	See Endnote	Purchase	08/20/2020	\$1,000,001 - \$5,000,000
7	San Diego CA HSG AU MFH		Purchase	08/24/2020	\$1,000,001 - \$5,000,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	J.P. Morgan	Guarantee of Loan to Social Club	\$500,001 - \$1,000,000	2016	N/A	Due on demand
2	First Republic Bank	Guarantee of Loan	\$250,001 - \$500,000	2019	N/A	Due on demand
3	Capital Commitments for WLR/IVZ Mortgage Recovery Associates LLC		\$250,001 - \$500,000	2009	N/A	Life of fund

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	4	Only own residences, 2 & 3 dormant and have no assets.
1.	5	No assets and no income as of 1/20/21
1.	6	No assets and no income as of 1/20/21
2.	9	Cash distribution: \$58,443
2.	9.1.1.1.1.1	This fund no longer holds any underlying assets.
2.	9.1.2.1.1	This fund no longer holds any underlying assets.
2.	9.1.3.1.1	This fund no longer holds any underlying assets.
2.	9.1.4.1	This fund no longer holds any underlying assets.
2.	9.1.5.1	This fund no longer holds any underlying assets.
2.	9.1.6	This fund no longer holds any underlying assets.
2.	9.1.8.1.1	Underlying assets previously disclosed at 10.1.7.1.1
2.	9.1.9.1	Underlying assets previously disclosed at 10.1.7.1.1.
2.	9.1.10	Underlying assets previously disclosed at 10.1.7.1.1.
2.	9.2.1.1.1	This fund no longer holds any underlying assets.
2.	9.3.1.1	This fund no longer holds any underlying assets.
2.	9.4.1.1	Underlying assets previously disclosed at 10.1.7.1.1.
2.	9.5.1.1	Underlying assets previously disclosed at 10.1.7.1.1.
2.	9.6	Underlying assets previously disclosed at 10.1.7.1.1.
2.	9.7.1	Underlying assets previously disclosed at 10.1.7.1.1.
2.	9.8	Represents carried interests of General Partner in all funds disclosed within 10.1 to 10.7, including underlying funds. Income accounted for at Line 3.
6.	37	Matures 12/01/30
6.	38	Matures 09/01/35

PART	#	ENDNOTE
6.	39	Matures 04/01/36
6.	40	Matures 08/01/37
6.	41	Matures 08/01/37
6.	42	Matures 11/01/38
6.	43	Matures 07/01/43
6.	44	Matures 03/01/44
6.	45	Matures 05/01/44
6.	46	Matures 08/01/44
6.	47	Matures 01/15/48
6.	48	Matures 10/01/48
6.	49	Matures 06/15/50
6.	50	Matures 01/01/52
7.	2	Amount also includes a purchase on 9/04/2020
7.	6	Amount also includes a purchase on 9/22/2020.

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).
