

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Rosen, Jeffrey A

Deputy Secretary, Department of Transportation

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Secretary of Transportation (5/2017 - Present)

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/ Rosen, Jeffrey A [electronically signed on 05/13/2019 by Rosen, Jeffrey A 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/ Kaleta, Judith, Certifying Official [electronically signed on 06/12/2019 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/12/2019 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/05/2019 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Jeffrey Adam Rosen Revocable Living Trust (no reportable assets)	McLean, Virginia	Trust	Trustee	12/1996	Present
2	UpOn A Bike, LLC (dissolved)	See Endnote	McLean, Virginia	Corporation	Registered Agent	11/2012 - 6/2018

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kirkland & Ellis LLP, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments (annual)	\$189,354
2	St. Paul Business Trust, defined benefit plan (value not readily ascertainable) Trust will assume majority of Kirkland's pension obligation at age 61	N/A			None (or less than \$201)
3	Vanguard Emerging Markets Stock Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Vanguard Inflation Protected Securities Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Vanguard Total International Stock Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	Vanguard Total Stock Market Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	VTSAX Vanguard Total Stock Market Index Fund	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
9	DELAWARE EMERGING MKTS FUND CL INSTL CL	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	ISHARES EDGE MSCI USA QUALITY FACTOR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	ISHARES MSCI EAFE SMALL-CAP ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	NATIXIS LOOMIS SAYLES GROWTH FUND CL Y	Yes	\$100,001 - \$250,000		None (or less than \$201)
13	VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
14	US brokerage money market account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
15	Credit Suisse Commodity Return Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	Fidelity Real Estate Index Fund (FSRNK)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	COFYX Columbia Contrarian Core Fund Institutional 3 Class	Yes	\$250,001 - \$500,000		None (or less than \$201)
18	CCALX Conestoga Small Cap Institutional Class	Yes	\$50,001 - \$100,000		None (or less than \$201)
19	HLMIX Harding Loevner International Equity Portfolio Institutional Class	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	OANIX Oakmark International Fund Class Institutional	Yes	\$15,001 - \$50,000		None (or less than \$201)
21	PCBIX Principal MidCap Fund Institutional Clas	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22	PRZIX T. Rowe Price Emerging Markets Stock Fund I Class	Yes	\$50,001 - \$100,000		None (or less than \$201)
23	FEDERAL HOME LN MTG CORP POOL #Q16644 3.5% 3/1/43	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
24	DELAWARE SMALL CAP CORE FUND CL I	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kirkland & Ellis LLP	Chicago, Illinois	I will continue to participate in this defined benefit plan. St. Paul Business Trust will assume majority of Kirkland pension obligation at age 61.	6/1982
2	Kirkland & Ellis LLP 401k	Chicago, Illinois	I continue to have holdings in this defined contribution plan, but the firm does not make any contributions after my retirement in 2017.	5/2009

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	Roth IRA: Vanguard Total Stock Mkt Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	U.S. bank account #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	U.S. bank account #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	U.S. CMA account #4 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	VEMAX Vanguard Emerging Markets Stock Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	VEUSX Vanguard European Stock Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	VWEAX Vanguard High Yield Corporate Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8	VWIUX Vanguard Intermediate Term Tax Exempt Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
9	Vanguard Prime Money Market Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
10	VBTLX Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	VTIAX Vanguard Total International Stock Index Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
12	VTSAX Vanguard Total Stock Market Index Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
13	FMOXX Fidelity Tax Exempt MMF	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	FEQTX Fidelity Equity Dividend Income Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	Schwab U.S. Dividend Equity ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
16	SWSXX Schwab Cash Reserves MM	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
17	CA ST DEPT WTR RES 5%19 UTIL ELEC DUE 05/01/19	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
18	DC INCOME TAX 5%23 TAX COMB DUE 12/01/23	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19	DENTON TX 5%21 GO LTX DUE 02/15/21	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
20	FL ST B/E PUB ED 5%22 TAX EXIT DUE 06/01/22	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
21	KING CNTY WA SD #40 5%21 GO UTX DUE 12/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
22	MINNESOTA ST 5%19 GO UTX DUE 08/01/19	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23	MN PFA REVOLVING 5%23 AUTH POOL DUE 03/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
24	NY ST PWR AUTH 5%22 UTIL PWR DUE 11/15/22	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
25	NY ST URB DEV CORP 5%27 TAX SPL DUE 03/15/27	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
26	OR ST DEPT ADMN LTR 5%24 VP DUE 04/01/24	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
27	PENNSYLVANIA ST 5.375%20 GO UTX DUE 07/01/20 AS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	SANTA CLARA CA FA 4%23 BLDG LEAS DUE 02/01/23 XT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
29	UNIV CINCINNATI OH 5%25 EDUC PUB DUE 06/01/25	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
30	VA ST PUB SCH AUTH 5%24 SCH IMPT DUE 08/01/24	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
31	BERNSTEIN DIVERSIFIED MUNI PORTFOLIO (SNDPX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
32	TAX-AWARE OVERLAY A PORTFOLIO CLASS 1 (SATOX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
33	TAX-AWARE OVERLAY B PORTFOLIO CLASS 1 (SBTOX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
34	AB DISCOVERY GRWTH FUND- ADV (CHCYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
35	AB DISCOVERY VALUE FUND- ADV (ABYSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
36	BERNSTEIN EMERGING MRKTS PORTFOLIO (SNEMX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
37	BERNSTEIN TAX-MANAGED INT'L PORTFOLIO (SNIVX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
38	AB MULTI-MANAGER ALTERNATIVE FUND	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
39	WELLS FARGO ADVISORS MONEY MARKET	Yes	\$50,001 - \$100,000		None (or less than \$201)
40	AMER FDS INC FUND AMR A (AMECX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
41	CAPITAL INCOME BLDR CL A (CAIBX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	AMER FDS CAP WRLD G/I A (CWGIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
43	AMER FDS WASH MUTUAL A (AWSHX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
44	AMER FDS INVST CO AMR A (AIVSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
45	AMERICAN FDS DEV WORLD A (DWGAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
46	VA ST HSG DEV AUTH CPN 3.050% DUE 10/01/22	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
47	SMYTH CNTY VA PUB IMPT SERA G/OCPN 4.0% 11/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
48	VA ST HSG DEV AUTH 2.850% DUE 10/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
49	VA SMALL BUSI FING AUTH REV RFDG HAMPTON U	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
50	FAIRFAX CNTY VA IDA REV HC INOVA HLTH 4.0%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
51	UPPER OCCOQUAN SWR AUTH VA 3% 07/01/44	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
52	POQUOSON VA RFDG G/O 4% 02/15/25	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
53	VA CLG BLDG AUTH VA EDL FACS REV HIGH ED 4%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
54	VIRGINIA ST HSG DEV AUTH 4.000% DUE 10/01/30	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
55	VA SMALL BUSINESS FING AUTH 5.250% DUE 04/01/26	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
56	VA SMALL BUSINESS FING 4.750% DUE 04/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
57	FAIRFAX CNTY VA ECON DEV AUTH REV WIEHLE AVE	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
58	PRINCE WILLIAM CNTY VA IDA HC REV RFDG NOVANT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
59	VA ST HSG DEV AUTH RNTL HSG SER F 3.375% 10/1/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
60	ARLINGTON CNTY VA IDA HSP FAC REV RFDG VA HOS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
61	VA ST HSG DEV AUTH RNTL HSG 3.950% DUE 08/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62	ROANOKE VA IDA HSP REV UNREFUND REF CARILLION	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
63	VA CLLG BLDG AUTH VA EDL FACS 4.000% DUE 09/01/30	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
64	VA ST HSG DEV AUTH RNTL HSG SER F 2.900% 10/1/20	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
65	VA ST PUB SCH AUTH RFDG 1997 RESOLUTION 3%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
66	LYNCHBURG VA ECON DEV AUTH EDL FACS REV LYNC	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
67	VA ST HSG DEV AUTH RNTL HSG SERE 4.4% 10/1/40	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
68	VA ST PUB BLDG AUTH PUB FACS REV RFDG SER C	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
69	VA ST HSG DEV AUTH RNTL HSG SER B 3% 8/1/27	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70	VIRGINIA ST PUB BLDG AUTH PUB FACS REV SER A	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
71	FAIRFAX CNTY VA INDL DEV AUTH REV RFDG INOVA H	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
72	ROANOKE VA ECON DEV AUTH HSP REV RFDG CAROLI	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
73	VA COMWLTH UNIV HLTH SYS AUTH REV GEN 4.25%	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
74	VA ST HSG DEV AUTH RNTL 4.375% DUE 12/01/31	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
75	FAIRFAX CNTY VA IDA REV HC INOVA HLTH SYS PROJ	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
76	PRINCE WILLIAM CNTY VA IDA HC RFDG NOVANT HLTH	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
77	PRINCE WILLIAM CNTY VA IDA HC REV NOVANT OBLIG	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
78	SPOTSYLVANIA CNTY VA ECON DEV AUTH PUB FAC RE	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
79	DISTRICT COLUMBIA TAX INCREMENT REV CITY MKT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
80	MAHOMET IL ALT REV SOURCE DB B/E 4.500% 01/01/34	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
81	Pacific Life Flexible Premium Indexed Adjustable Variable Life Insurance: 1-Yr High Par Indexed Account (linked to S&P 500 index)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
82	John Hancock variable life insurance:Blue Chip Growth Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
83	John Hancock variable life insurance:Midcap Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
84	U.S. bank account #5 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
85	U.S. bank account #6 (CDs)	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
86	APGYX AB Large Cap Growth Fund Advisor Class	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
87	ABVYX AB Value Fund Advisor Class	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
88	VA ST HSG DEV AUTH CMWLTH MTG 2.400% 10/1/20	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
89	JOHN HANCOCK FDS III DISCIPLINED VALUE MID CAP FUND	Yes	\$50,001 - \$100,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AB Discovery Value Fund (ABYSX)	Purchase	12/17/18	\$1,001 - \$15,000
2	AB Value Fund (ABVYX)	Purchase	12/17/18	\$15,001 - \$50,000
3	Bernstein Diversified Muni Portfolio (SNDPX)	Purchase	12/14/18	\$1,001 - \$15,000
4	Bernstein Tax-Managed International Portfolio (SNIVX)	Purchase	12/14/18	\$15,001 - \$50,000
5	Bernstein Emerging Markets Portfolio (SNEMX)	Purchase	12/14/18	\$1,001 - \$15,000
6	Tax-Aware Overlay A Portfolio Class 1 (SATOX)	Purchase	12/21/18	\$1,001 - \$15,000
7	Tax-Aware Overlay B Portfolio Class 1 (SBTOX)	Purchase	12/21/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	Glenmede Small Cap Equity Portfolio Instl Cl (GTSCX)	Purchase	2/12/18	\$1,001 - \$15,000
9	Natixis Loomis Sayles Growth Fund Cl Y (Purchase	2/12/18	\$15,001 - \$50,000
10	Oppenheimer International Growth Fund	Purchase	2/12/18	\$15,001 - \$50,000
11	Principal Midcap Blend Fund Instl Cl	Purchase	2/12/18	\$1,001 - \$15,000
12	T. Rowe Price Emerging Markets Stocks Fund Cl I	Purchase	2/12/18	\$1,001 - \$15,000
13	Conestoga Small Cap Fund Instl Cl	Purchase	9/17/18	\$50,001 - \$100,000
14	Harding Loevner Fds Inc Intl Eqty Pr	Purchase	9/17/18	\$15,001 - \$50,000
15	T. Rowe Price Emerging Mkts Stocks Fund Cl I	Purchase	9/17/18	\$15,001 - \$50,000
16	Delaware Emerging Mkts Fund Cl Instl Cl	Sale	9/17/18	\$15,001 - \$50,000
17	Delaware Small Cap Core Fund Cl I	Sale	9/17/18	\$15,001 - \$50,000
18	Glenmede Small Cap Equity Portfolio Instl Cl	Sale	9/17/18	\$50,001 - \$100,000
19	Oakmark Intl Fund Instl Cl	Sale	9/17/18	\$50,001 - \$100,000
20	Columbia Emerging Mkts Consumer ETF	Sale	9/18/18	\$1,001 - \$15,000
21	Amer Funds Cap World G/I A (CWGIX)	Purchase	12/19/18	\$1,001 - \$15,000
22	Amer Funds Inc Fund Amr A (AMECX)	Purchase	12/19/18	\$15,001 - \$50,000
23	Amer Funds Invst Co Amr A (AIVSX)	Purchase	12/20/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	Amer Funds Wash Mutual A (AWSHX)	Purchase	12/24/18	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2013	3.375%	30 years
2	Citibank	Mortgage on Personal Residence	\$50,001 - \$100,000	2013	5%	3/1 yr ARM

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	2	Spouse's LLC became inactive in 2015. It was formally dissolved in 2018, but filer, who served as registered agent, is uncertain of exact month.

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. 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 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, 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).
