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

Filer's Information

SHERWOOD-RANDALL, ELIZABETH

Deputy Secretary of Energy, Department of Energy

Report Year: 2015

Other Federal Government Positions Held During the Preceding 12 Months:

White House Coordinator For Defense Policy (4/2013 - 10/2014)

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/ SHERWOOD-RANDALL, ELIZABETH [electronically signed on 06/26/15 by SHERWOOD-RANDALL, ELIZABETH 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/ Beard, Susan F, Certifying Official [electronically signed on 07/31/15 by Beard, Susan F in Integrity.gov]

Other review conducted by

/s/ Hymer, Christina J, Ethics Official [electronically signed on 06/26/15 by Hymer, Christina J in Integrity.gov]

U.S. Office of Government Ethics Certification

BARBARA MULLEN-ROTH

Digitally signed by BARBARA MULLEN-ROTH
DN: c=US, o=U.S. Government, ou=Office of Government Ethics, cn=BARBARA MULLEN-ROTH, 0.9.2342.19200300.100.1.1=95491000368260
Date: 2015.11.24 18:27:08 -05'00'

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Sherwood-Randall Recovable Trust	San Francisco, California	Trust	Co-Trustee	12/2006	Present

2. Filer's Employment Assets and Income

None

3. Filer's Employment Agreements and Arrangements

None

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 and Income

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse Retirement Plan				
1.1	96121BAJ6 - WESTPAC BANKING Bond 2.15% 2016F	N/A	$1,001 - $15,000		None (or less than $201)
1.2	Artesian Resources Corporation (ARTNA)	N/A	$1,001 - $15,000		None (or less than

1.3	Commonwealth Africa FD (CAFRX)	Yes	$1,001 - $15,000		None (or less than $201)
1.4	Chase Corp (CCF)	N/A	$1,001 - $15,000		None (or less than $201)
1.5	IShares MSCI Emerging Markets Index ETF (EEM)	Yes	$1,001 - $15,000		None (or less than $201)
1.6	IShares Floating Rate Bond (FLOT)	Yes	$15,001 - $50,000		None (or less than $201)
1.7	Western Asset Global Corp Defined Opp Fd (GDO)	Yes	$1,001 - $15,000		$201 - $1,000
1.8	IShares Cohen & Steers Rlty MAJ (ICF)	Yes	$15,001 - $50,000		$201 - $1,000
1.9	Intel (INTC)	N/A	None (or less than $1,001)	Capital Gains	$201 - $1,000
1.10	IShares S&P/Citigroup 1-3 YR Intl Treasury (ISHG)	Yes	$1,001 - $15,000		None (or less than $201)
1.11	IShares S&P Global Telecom (IXP)	Yes	None (or less than $1,001)		$201 - $1,000
1.12	Metlife Inc (MET)	N/A	None (or less than $1,001)	Dividends Capital Gains	$5,001 - $15,000
1.13	Pimco Enhanced Short MAT STR Fd ETF (MINT)	Yes	$15,001 - $50,000		None (or less than $201)
1.14	SPDR Morgan Stanley Technology (MTK)	Yes	$1,001 - $15,000		None (or less than $201)
1.15	Nextera Energy Inc (NEE)	N/A	None (or less than $1,001)	Capital Gains	$1,001 - $2,500
1.16	Nestle S ADR (NSRGY)	N/A	None (or less than $1,001)	Capital Gains	$1,001 - $2,500
1.17	Protective Life Corp. (PL)	N/A	None (or less than $1,001)	Dividends Capital Gains	$15,001 - $50,000
1.18	Everest RE Group Ltd (RE)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.19	Royce Value Trust (RVT)	Yes	$15,001 - $50,000		$2,501 - $5,000
1.20	Guggenheim S&P EQ WT Healthcare (RYH)	Yes	$15,001 - $50,000		None (or less than $201)
1.21	SPDR Barclays CAP ST Term Corp	Yes	$15,001 - $50,000		$201 - $1,000
1.22	WGL Holdings (WGL)	N/A	None (or less than $1,001)	Dividends Capital Gains	$201 - $1,000
1.23	Energy Sector SPDR (XLE)	Yes	None (or less than $1,001)		$5,001 - $15,000
1.24	Consumer Staples Select SEC SPDR (XLP)	Yes	None (or less than $1,001)		$201 - $1,000
1.25	Consumer Discretionary SPDR (XLY)	Yes	$1,001 - $15,000		None (or less than $201)
1.26	Exxon Mobil Corp (XOM)	N/A	None (or less than $1,001)	Capital Gains	$201 - $1,000
1.27	Commonwealth Global Fund (CNGLX)	Yes	$1,001 - $15,000		None (or less than $201)
1.28	Owens Mortgage Investment Fund	Yes	None (or less than $1,001)		$201 - $1,000
1.29	Cranbrook Investment Realty Fund	Yes	$50,001 - $100,000		$1,001 - $2,500

1.30	Schwab Government MMMF (SWGXX)	Yes	$15,001 - $50,000		None (or less than $201)
1.31	Ownes Realty Mortgage Inc (ORM)	Yes	None (or less than $1,001)		$201 - $1,000
1.32	Guggenheim S&P 500 Equal Weight ETF (RSP)	Yes	$100,001 - $250,000		$201 - $1,000
1.33	Schwab US Aggregate Bond ETF (SCHZ)	Yes	$50,001 - $100,000		$201 - $1,000
1.34	Schwab Fundamental US Large Co Idx (SFLNX)	Yes	$15,001 - $50,000		$1,001 - $2,500
2	SEP IRA				
2.1	14912HPM6 -Caterpillar Financial Services Corp 1.55% 9/15/16	N/A	$1,001 - $15,000		None (or less than $201)
2.2	171340AG7 - Church & Dwight Inc 3.350% 12/15/15	N/A	$1,001 - $15,000		None (or less than $201)
2.3	26054LNG4 - Dow Chemical Co 3.55% 9/15/18	N/A	$1,001 - $15,000		None (or less than $201)
2.4	273735AW0 East Montgomery County IMPT DIST 6/0% 8/15/14	N/A	None (or less than $1,001)	Interest	$201 - $1,000
2.5	61745EM81 - Morgan Stanley FLT 2023 LKD to Inflation	N/A	$1,001 - $15,000	Interest	$201 - $1,000
2.6	Boeing Co (BA)	N/A	None (or less than $1,001)	Dividends Capital Gains	$5,001 - $15,000
2.7	Blackstone Group LP (BX)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
2.8	Commonwealth Global (CNGLX)	Yes	None (or less than $1,001)		$201 - $1,000
2.9	IShares MSCI Emerging Markets ETF (EEM)	Yes	$1,001 - $15,000		None (or less than $201)
2.10	Eaton Vance Short Duration Diversified I (EVG)	Yes	$15,001 - $50,000		$201 - $1,000
2.11	IShares S&P/Citigroup Intl Treasury BD (IGOV)	Yes	$1,001 - $15,000		None (or less than $201)
2.12	IShares TR 1-3 YR Intl Treasury (ISHG)	Yes	$1,001 - $15,000		None (or less than $201)
2.13	KMG Chemicals (KMG)	N/A	None (or less than $1,001)	Dividends Capital Gains	$1,001 - $2,500
2.14	Royce Value Trust (RVT)	Yes	$15,001 - $50,000		$2,501 - $5,000
2.15	Rydex S&P 500 Equal Weight (RSP)	Yes	$15,001 - $50,000		$201 - $1,000
2.16	Schwab Government MMMF	Yes	$15,001 - $50,000		$1,001 - $2,500
2.17	iShares MSCI EAFE (EFA)	Yes	$1,001 - $15,000		None (or less than $201)
2.18	PIMCO Enhanced Short Maturity ETF (MINT)	Yes	$1,001 - $15,000		None (or less than $201)
3	Joint Trust				
3.1	542264DE3 - Lone Star College Sys TEX LTD Tax Series A 4.00% 8/15/14	N/A	None (or less than $1,001)	Interest	None (or less than $201)
3.2	IShares MSCI Emerging Markets ETF (EEM)	Yes	$1,001 - $15,000		$201 - $1,000
3.3	HSBC Holdings PLC PFD ADJ RT (HBA.PRD)	N/A	$1,001 - $15,000	Dividends	None (or less than $201)
3.4	IShares S&P Global Healthcare (IXJ)	Yes	$1,001 - $15,000		None (or less than $201)

3.5	Powershares Insured CALI MUNI BOND (PWZ)	Yes	$1,001 - $15,000		$201 - $1,000
3.6	Valmont Industries (VMI)	N/A	$1,001 - $15,000		None (or less than $201)
3.7	Exxon Mobil Corp (XOM)	N/A	None (or less than $1,001)	Dividends Capital Gains	$1,001 - $2,500
3.8	Schwab Government MMMF (SWGXX)	Yes	$15,001 - $50,000		None (or less than $201)
3.9	Schwab Fdmtl US Lg Co Idx (SFLNX)	Yes	$1,001 - $15,000		$201 - $1,000
4	DC UTMA 2				
4.1	171340AG7 - Church & Dwight Inc 3.35% 12/15/15	N/A	$1,001 - $15,000		None (or less than $201)
4.2	Boeing Co (BA)	N/A	None (or less than $1,001)	Dividends Capital Gains	$2,501 - $5,000
4.3	Commonwealth Global Fund (CNGLX)	Yes	$1,001 - $15,000		$201 - $1,000
4.4	Fabrinet (FN)	N/A	$1,001 - $15,000		None (or less than $201)
4.5	Western Asset Global Corp Defined OPP Fund (GDO)	Yes	$1,001 - $15,000		None (or less than $201)
4.6	Consumer Staples Select Sector SPDR (XLP)	Yes	$1,001 - $15,000		None (or less than $201)
4.7	Schwab Government MMMF (SWGXX)	Yes	$1,001 - $15,000		None (or less than $201)
4.8	iShares Core US Aggregate Bond (AGG)	Yes	$1,001 - $15,000		None (or less than $201)
4.9	Schwab US Mid-Cap ETF (SCHM)	Yes	$1,001 - $15,000		None (or less than $201)
4.10	Schwab Fdmtl US Lg Co Idx (SFLNX)	Yes	$1,001 - $15,000		$201 - $1,000
5	DC UTMA 1				
5.1	Boeing Co (BA)	N/A	None (or less than $1,001)		$2,501 - $5,000
5.2	Commonwealth Global (CNGLX)	Yes	$1,001 - $15,000		$201 - $1,000
5.3	IShares MSCI EAFE Index ETF (EFA)	Yes	$1,001 - $15,000		$201 - $1,000
5.4	Fabrinet (FN)	N/A	$1,001 - $15,000		None (or less than $201)
5.5	Western Asset Global Corp Defined OPP Fund (GDO)	Yes	$1,001 - $15,000		$201 - $1,000
5.6	IShares S&P/Citigroup 1-3 YR Intl Treasury (ISHG)	Yes	$1,001 - $15,000		None (or less than $201)
5.7	Kyocera Corp ADR (KYO)	N/A	None (or less than $1,001)		$201 - $1,000
5.8	Consumer Staples Select Sector SPDR	Yes	$1,001 - $15,000		None (or less than $201)
5.9	Schwab Government MMMF (SWGXX)	Yes	$1,001 - $15,000		None (or less than $201)
5.10	Schwab International Equity ETF (SCHF)	Yes	$1,001 - $15,000		None (or less than $201)
5.11	Schwab US Mid-Cap ETF (SCHM)	Yes	$1,001 - $15,000		None (or less than $201)

6	DC 529 2				
6.1	998912UW - Franklin Templeton Age Based Port. 13-16 Years CL C	Yes	None (or less than $1,001)		$5,001 - $15,000
6.2	Franklin Templeton Age Based Port. 13-16 Years CL S	Yes	None (or less than $1,001)		$5,001 - $15,000
6.3	iShares 2015 College Portfolio	Yes	$50,001 - $100,000		None (or less than $201)
7	DC 529 1				
7.1	998912UW - Franklin Templeton Age Based PORT. 13-16 Years CL C	Yes	None (or less than $1,001)		$5,001 - $15,000
7.2	Franklin Templeton Age Based PORT. 13-16 Years CL S	Yes	None (or less than $1,001)		$5,001 - $15,000
7.3	iShares 2018 College Portfolio	Yes	$100,001 - $250,000		None (or less than $201)
8	PBSMG Holdings, LLC, Danville, CA (33.33% interest in LLC; underlying investment in medical office building)	N/A	$15,001 - $50,000	Business income	
9	Pacific Brain & Spine Medical Group, Danville, CA (33.33% interest in medical practice)	N/A	$500,001 - $1,000,000	Spouse Salary & Business Income	
10	Owens Mortgage Investment Fund	Yes	None (or less than $1,001)		$201 - $1,000
11	Cranbrook Investment Realty Fund	Yes	$15,001 - $50,000		$1,001 - $2,500
12	Holly Mortgage Trust '04 Preferreds	Yes	$15,001 - $50,000		$1,001 - $2,500
13	Ivy Realty Trust	Yes	$1,001 - $15,000		None (or less than $201)
14	International Hotel Associates No. 7 LLC, Los Angeles, CA	Yes	$15,001 - $50,000		$1,001 - $2,500
15	Bank of America Checking/Savings	N/A	$50,001 - $100,000		None (or less than $201)
16	Spouse 401(k)				
16.1	PIMCO Total Return Fund (PTTAX)	Yes	$250,001 - $500,000		$15,001 - $50,000
16.2	JP Morgan Smart Retirement Income Fund	Yes	$15,001 - $50,000		$1,001 - $2,500
16.3	JP Morgan Smart Retirement 2035 Fund	Yes	$100,001 - $250,000		$5,001 - $15,000
16.4	Franklin Small Cap Value Fund	Yes	$15,001 - $50,000		$2,501 - $5,000
16.5	JANUS Intech US Managed Volatility Fund	Yes	$100,001 - $250,000		$15,001 - $50,000
16.6	Oppenheimer Int'l Growth Fund CL Y	Yes	$15,001 - $50,000		$201 - $1,000
17	Northwestern Mutual Whole Life Insurance	No	$100,001 - $250,000	Dividends	$5,001 - $15,000
18	Owens Realty Mortgage Inc (ORM)	Yes	$15,001 - $50,000		$201 - $1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	NEE - NEXTERA ENERGY INC	Sale	01/30/14	$1,001 - $15,000
2	NSRGY - NESTLE S A REG B ADR F1 ADR REPS 1 ORD	Sale	2/4/14	$1,001 - $15,000
3	COHU - COHU INC	Sale	2/13/14	$1,001 - $15,000
4	MINT - PIMCO ETF ENHANCED SHORT MATURITY	Purchase	5/30/14	$15,001 - $50,000
5	SCPB - SPDR BARCLAYS ETF 1-3 YEAR US CORP	Purchase	5/30/14	$1,001 - $15,000
6	FLOT - ISHARES ETF FLOATING RATE BOND ETF	Purchase	5/30/14	$15,001 - $50,000
7	RGT - ROYCE GLOBAL VALUE TR	Sale	6/13/14	$1,001 - $15,000
8	IXP - ISHARES TR GLOBAL ETF TELECOM	Sale	6/18/14	$1,001 - $15,000
9	PL - PROTECTIVE LIFE CORP	Sale	7/1/14	$15,001 - $50,000
10	ORM - OWENS REALTY MTG INC	Sale	7/17/14	$100,001 - $250,000
11	SCHZ - SCH US AGG BND ETF	Purchase	7/18/14	$50,001 - $100,000
12	RSP - GUGGENHEIM ETF S&P 500 EQUAL WT	Purchase	7/18/14	$100,001 - $250,000
13	SFLNX - SCHWAB FUNDAMENTAL US LARGE CO	Purchase	10/7/14	$15,001 - $50,000
14	XLE - SECTOR SPDR ENGY SELECT	Sale	10/6/14	$15,001 - $50,000
15	XOM - EXXON MOBIL	Sale	10/6/14	$1,001 - $15,000
16	MET - METLIFE INC	Sale	10/6/14	$1,001 - $15,000
17	INTC - INTEL CORP	Sale	10/20/14	$1,001 - $15,000
18	WGL - WGL HOLDINGS INC	Sale	10/28/14	$1,001 - $15,000
19	AFAM - ALMOST FAMILY INC	Sale	11/3/14	$1,001 - $15,000
20	Spouse 401(k)			
21	JPMorgan Smart Income Fund	Purchase	4/2/14	$1,001 - $15,000
22	SEP IRA			
23	RVT - ROYCE VALUE TRUST INC	Purchase	5/30/14	$15,001 - $50,000
24	EVG - EATON VANCE SHT DUR INCM	Purchase	5/30/14	$1,001 - $15,000
25	RSP - GUGGENHEIM ETF S&P 500 EQUAL WT	Purchase	5/30/14	$1,001 - $15,000
26	RGT - ROYCE GLOBAL VALUE TR	Sale	6/13/14	$1,001 - $15,000
27	KMG - KMG CHEMICALS INC	Sale	8/8/14	$1,001 - $15,000
28	EFA - ISHARES TR MSCI EAFE ETF	Purchase	9/19/14	$1,001 - $15,000
29	MINT - PIMCO ETF ENHANCED SHORT MATURITY	Purchase	9/19/14	$1,001 - $15,000
30	SFLNX - SCHWAB FUNDAMENTAL US LARGE CO	Purchase	10/7/14	$15,001 - $50,000
31	BA - BOEING CO	Sale	10/6/14	$15,001 - $50,000
32	DC UTMAs			
33	BA - BOEING CO	Sale	10/6/14	$1,001 - $15,000
34	KYO - KYOCERA LTD ADR FSPONSORED ADR	Sale	10/6/14	$1,001 - $15,000
35	SCHF - SCHW INTL EQ ETF	Purchase	10/20/14	$1,001 - $15,000
36	AGG - ISHARES CORE ETF AGGREGATE BOND	Purchase	10/20/14	$1,001 - $15,000
37	SCHM - SCH US MID-CAP ETF	Purchase	10/20/14	$1,001 - $15,000
38	SFLNX - SCHWAB FUNDAMENTAL US LARGE CO	Purchase	10/7/14	$1,001 - $15,000

40	BA - BOEING CO	Sale	10/6/14	$1,001 - $15,000
41	SCHM - SCH US MID-CAP ETF	Purchase	10/20/14	$1,001 - $15,000
42	AGG - ISHARES CORE ETF AGGREGATE BOND	Purchase	10/20/14	$1,001 - $15,000
43	Sherwood-Randall Revocable Trust			
44	SFLNX - SCHWAB FUNDAMENTAL US LARGE CO	Purchase	10/7/14	$1,001 - $15,000
45	XOM - EXXON MOBIL	Sale	10/6/14	$1,001 - $15,000
46	DC 529 Plans			
47	998912UW - FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL C (Purchased monthly Jan - Jun)		Various	$1,001 - $15,000
48	FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL S	Exchange	6/10/14	$15,001 - $50,000
49	998912UW - FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL C	Exchange	6/10/14	$15,001 - $50,000
50	998912UW - FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL C	Sale	6/30/14	$50,001 - $100,000
51	iShares 2018 College Portfolio	Purchase	7/4/14	$50,001 - $100,000
52	998912UW - FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL C (Purchased monthly Jan - Jun)	Purchase	Various	$1,001 - $15,000
53	FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL S	Exchange	6/10/14	$15,001 - $50,000
54	998912UW - FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL C	Exchange	6/10/14	$15,001 - $50,000
55	998912UW - FRANKLIN TEMPLETON AGE BASED PORT. 13-16 YEARS CL C	Sale	6/30/14	$50,001 - $100,000
56	iShares 529 2015 Portfolio	Purchase	7/7/14	$50,001 - $100,000
57	Spouse			
58	ORM - Owens Realty Mortgage Inc.	Sale	12/30/14	$15,001 - $50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Sun Trust Mortgage, Inc., Richmond, VA	Mortgage on Personal Residence	$1,000,001 - $5,000,000	2013	4.75	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE

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 and Income

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 and Income

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.

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