

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

### Filer's Information

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**Muzinich, Justin**

Deputy Secretary, Department of the Treasury

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Other Federal Government Positions Held During the Preceding 12 Months:

Counselor to the Secretary of the Treasury (2/2017 - Present)

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Names of Congressional Committees Considering Nomination:

- **Committee on Finance**
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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/ Muzinich, Justin [electronically signed on 03/14/2018 by Muzinich, Justin in Integrity.gov]**

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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/ Horton, Elizabeth A, Certifying Official [electronically signed on 04/11/2018 by Horton, Elizabeth A in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/19/2018 by Apol, David in Integrity.gov]

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	New York Presbyterian Hospital		New York, New York	Hospital	Trustee	11/2006	Present
2	Friend Trust #1 (HRB)		New York, New York	Trust	Trustee	6/2016	2/2017
3	Family Trust #1	See Endnote	New York, New York	Trust	Trustee	1/2008	2/2017
4	Family Trust #2	See Endnote	New York, New York	Trust	Trustee	1/2011	8/2017
5	Family Trust #3	See Endnote	New York, New York	Trust	Trustee	1/2012	Present
6	Muzinich & Co.	See Endnote	New York, New York	Corporation	President	3/2012	2/2017
7	Muzinich & Co.	See Endnote	New York, New York	Corporation	Director	1/2004	2/2017
8	The Buckley School	See Endnote	New York, New York	K-9 Day School	Director	11/2017	Present
9	Columbia University		New York, New York	University/College	Adjunct Professor	9/2014	12/2016

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Muzinich & Co. Stock	See Endnote	N/A	None (or less than \$1,001)	Company Income	\$1,026,667

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	Muzinich & Co. Stock	N/A	None (or less than \$1,001)	Capital Gains	Over \$5,000,000
2	Muzinich & Co. Vested Stock Options	N/A	None (or less than \$1,001)	Option exercise, ordinary income.	\$11,996,936
3	IRA #1				
3.1	Fidelity Adv Growth & Income-CL T	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.2	Fidelity Adv Stock Selector Mid Cap - CL T	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	401(k)				
4.1	Franklin Income Adv	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5	IRA #2				
5.1	U.S. bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.2	Equinix, Inc. (EQIX)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
5.3	Mastercard (MA)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
5.4	PowerShares QQQ Trust, Series 1 (QQQ)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.5	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Muzinich & Co.	New York, New York	I will continue to participate in Muzinich & Co.'s 401(k) plan. No contributions will be made by my former employer.	1/2004
2	Muzinich & Co.	New York, New York	Muzinich & Co. agreed to purchase a portion of my stock options for a fixed fee based on a third party valuation. Sale is complete and payment has been made in full. The remainder of my vested stock options in Muzinich & Company has been cancelled.	12/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Muzinich & Company	New York, New York	President of Muzinich & Company.
2	Columbia University	New York, New York	Adjunct Professor

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Columbia University	N/A		Wages	

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	U.S. bank account #2	N/A	\$1,000,001 - \$5,000,000	Interest	None (or less than \$201)
3	U.S. bank account #3	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
4	U.S. bank account #4	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
5	U.S. bank account #5	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
6	U.S. brokerage account #1	No			
6.1	U.S. brokerage account (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
6.2	MasterCard (MA)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
6.3	Visa (V)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
6.4	Alphabet Inc Class C (GOOG)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
6.5	Alphabet Inc Class A (GOOGL)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
6.6	PowerShares QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.7	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.8	Wells Fargo & Co. (WFC)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
7	U.S. brokerage account #2	No			None (or less than \$201)
7.1	Cash Account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Family Trust #3		N/A			
8.1	Muzinich & Co. stock		N/A	None (or less than \$1,001)	Share of Company Earnings	\$3,840,000
8.2	U.S. bank account (cash)		N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
8.3	Receivable from Family		N/A	Over \$50,000,000	Interest	\$100,001 - \$1,000,000
9	Line Intentionally Left Blank					
10	Austin Family Partners	See Endnote	No		Distributions	\$258,385
10.1	Schwab Treasury Obligations Money Fund (SNOXX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10.2	Tiger Eye Partners, LP - Receivable	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.3	Azaya Therapeutics - Nanoparticle Therapeutics		N/A	\$15,001 - \$50,000	Dividends Capital Gains Interest	None (or less than \$201)
10.4	BiO2 Medical, Inc. - Developer of Innovative Vascular Devices		N/A	\$50,001 - \$100,000	Capital Gains Dividends Interest	None (or less than \$201)
10.5	Halifax Investors II L.P.		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
10.6	Jonah Energy LLC (Oil & gas exploration and production in Wyoming and Colorado)		N/A	\$500,001 - \$1,000,000	Distributions	\$60,594
10.7	RLH Investors II, LP		No	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$5,001 - \$15,000
10.7.1	Total Woman Holdings Inc	See Endnote	N/A			
10.7.2	Avella Specialty Pharmacy	See Endnote	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7.3	RLH Bluewolf Holding, LLC	See Endnote	N/A			
10.8	RLH Investors III, LP		No	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
10.8.1	DCRX Infusion	See Endnote	N/A			
10.8.2	Bluewolf Group	See Endnote	N/A			
10.8.3	RMG Group	See Endnote	N/A			
10.8.4	Sitworx	See Endnote	N/A			
10.8.5	The Chartis Group	See Endnote	N/A			
10.9	Las Vivoritas Ltd (South Texas Ranch - Jim Hogg County)	See Endnote	N/A	Over \$1,000,000	Distributions	\$0
10.10	U.S. bank account #1 (cash)		N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
10.11	U.S. bank account #2 (cash)		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
10.12	MasterCard Inc CL A		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.13	Wells Fargo & Co. New		N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
10.14	LegacyTexas Financial Group Inc.		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.15	Microsoft Corp		N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
10.16	IP Bennett, LP (multi family real estate in Bennett, TX)		No	None (or less than \$1,001)	Distributions	\$29,386
10.17	Charles Schwab Money Market Fund		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.18	Morgan Stanley Active Assets Government Trust (AISXX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
10.19	IP Highland Park, LP (multi family real estate in Highland Park, TX)	No	None (or less than \$1,001)	Distributions	\$46,505
10.20	U.S. bank account #3 (cash)	N/A	\$50,001 - \$100,000	Interest Capital Gains	None (or less than \$201)
11	EDA Investments	See Endnote		Distributions	\$0
11.1	Altria Group Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
11.2	Anheuser-Busch InBev NV	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
11.3	British American Tobacco PLC	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
11.4	Brown Forman Corp CL A	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
11.5	Brown Forman Corp CL B	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
11.6	Cie Financiere Richemont A	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
11.7	Comcast Corp New CL A	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
11.8	Diageo PLC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
11.9	Heineken Holding NC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
11.10	JCDecaux SA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
11.11	Martin Marietta Matls Com	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.12	Nestle SA Sponsored ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
11.13	Pernod Ricard SA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
11.14	Philip Morris Intl Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
11.15	Swatch Group AG	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
11.16	Unilever NV NY Shs New	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
11.17	Anchor Bolt Fund, LP	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
11.18	Senator Global Opportunity Fund, LP	Yes	Over \$1,000,000		None (or less than \$201)
11.19	Alphabet Inc CL C	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
11.20	Apple Inc	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
11.21	Bristol Myers Squibb Com	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
11.22	Coca Cola	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
11.23	Intel Corp	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
11.24	Johnson & Johnson	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
11.25	Kinder Morgan Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.26	Merck & Co. Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
11.27	Pepsico Inc.	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
11.28	RSP Permian Inc.	N/A	None (or less than \$1,001)	Interest Capital Gains Dividends	\$5,001 - \$15,000
11.29	Shake Shack Inc. - Class A	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
11.30	IP San Antonio Station, LLC (multi family real estate in San Antonio, TX)	N/A	\$50,001 - \$100,000	Distributions	\$2,838
11.31	The Garden of the Gods LLC - Residential Real Estate Development - Colorado Springs, CO	N/A	\$250,001 - \$500,000	Distributions	\$17,218
11.32	Walmart Stores, Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
11.33	This line is intentionally left blank.				
11.34	Charles Schwab Money Market Fund	Yes	\$5,000,001 - \$25,000,000		None (or less than \$201)
12	Austin Trust #1	See Endnote		Distributions	\$176,502
12.1	Austin Family Partners	See Endnote	No	Distributions	\$176,502
12.2	EDA Investments	See Endnote	No		
13	Austin Trust #2	N/A		Distributions	\$97,374
13.1	Austin Family Partners	See Endnote	No	Distributions	\$97,374
13.2	EDA Investments	See Endnote	N/A		
14	Line Intentionally Left Blank				
15	UTMA #1				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.1	SPDR S&P 500 (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.2	U.S. bank account (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
16	UTMA #2				
16.1	U.S. bank account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
17	Family Trust #1	No		Discretionary distributions	\$4,000,000
18	Lewis and Clark LLC				
18.1	U.S. bank account (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
19	U.S. bank escrow account	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Muzinich & Co.	Note Payable	\$1,000,001 - \$5,000,000	2013	1%	9 years
2	Bank of America	Credit Card	\$15,001 - \$50,000	2017	14.24%	Revolving

## 9. Gifts and Travel Reimbursements

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

### Endnotes

PART	#	ENDNOTE
1.	3	Start date is approximate.
1.	4	Start date is approximate.
1.	5	Start date is approximate.
1.	6	Start date is approximate.
1.	7	Start date is approximate.
1.	8	Start date is approximate.
2.	1	This includes wages, bonuses and filer's share of company's earnings.
6.	10	This entity is owned by Austin Trust #1 (line 12), Austin Trust #2 (line 13), and the filer's spouse individually. Distributions from Austin Family Partners encompass the income listed on lines 10.1 through 10.20.
6.	10.2	The fund was originally an EIF, and this is reflected on the form. This investment has been sold and there is only a holdback payment remaining.
6.	10.7.1	Los Angeles, Calif. women's gym and spa facilities
6.	10.7.2	Phoenix, Ariz. specialty pharmacy company
6.	10.7.3	Holds an interest in Bluewolf Group, a New York software and IT consulting business
6.	10.8.1	Sunrise, Fla. intravenous nutrition company
6.	10.8.2	New York, N.Y. software and IT consulting business

PART	#	ENDNOTE
6.	10.8.3	New York, N.Y. digital advertising company
6.	10.8.4	Reston, Va. digital marketing software company
6.	10.8.5	Chicago, Ill. provider of services to hospitals
6.	10.9	Las Vivoritas Ltd. is a ranch located in South Texas use primarily for hunting. It receives a nominal amount for cattle and leases to hunters during hunting season.
6.	11	This entity is owned by Austin Trust #1 (line 12), Austin Trust #2 (line 13), and the filer's spouse individually. EDA Investments encompass the income listed on lines 11.1 through 11.34. No distributions have been made.
6.	12	Distributions to Austin Family Partners and then to Austin Trust #1.
6.	12.1	All income and value reflected in lines 10.1 through 10.20.
6.	12.2	All income and value reflected in lines 11.1 through 11.34.
6.	13.1	All income and value reflected in lines 10.1 through 10.20.
6.	13.2	All income and value reflected in lines 11.1 through 11.34.

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## **8. Liabilities**

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## **9. Gifts and Travel Reimbursements**

This section discloses:

- Gifts totaling more than \$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 three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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