

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

### Filer's Information

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**Shanahan, Patrick Michael**

Acting Secretary of Defense, Department of Defense

Date of Termination: 06/23/2019

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Other Federal Government Positions Held During the Preceding 12 Months:

Deputy Secretary of Defense (7/2017 - 1/2019)

Acting Secretary of Defense (1/2019 - 6/2019)

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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/ Shanahan, Patrick Michael [electronically signed on 07/24/2019 by Shanahan, Patrick Michael in Integrity.gov] - Filer received a 2 day filing extension.**

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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/ Thompson, Scott F, Certifying Official [electronically signed on 09/23/2019 by Thompson, Scott F in Integrity.gov]**

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Other review conducted by

**/s/ Thompson, Scott F, Ethics Official [electronically signed on 09/23/2019 by Thompson, Scott F in Integrity.gov]**

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 10/25/2019 by Granahan, Megan in Integrity.gov]

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Data Revised 09/23/2019

Data Revised 08/01/2019

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Boeing Company	Chicago, Illinois	Corporation	Senior Vice President	3/1985	7/2017
2	The University of Washington	Seattle, Washington	University/College	Officer, Board of Regents	1/2012	7/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Boeing Company Retirement Benefits				
1.1	The Boeing Company - term life insurance premium payments	See Endnote	N/A	Life Insurance Payments	\$3,652
1.2	The Boeing Company - Defined Benefit Supplemental Executive Retirement Plan (SERP)	See Endnote	N/A	Retirement Payments (annual)	\$582,218
1.3	The Boeing Company - payment of tax preparation fees	See Endnote	N/A	Tax Preparation Fees	\$4,116
2	IRA #1 (Traditional)				
2.1	Delaware Small Cap Core (DCCIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.2	Eaton Vance Atlanta Capital SMID-Cap Fd (EISMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	Loomis Sayles Growth Fund (LSGRX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Principal MidCap Fund (PCBIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.5	Vanguard Total Stock Market ETF (VTI)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.6	Diamond Hill Large Cap (DHLRX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	IRA #2 (Roth)	No			
3.1	Delaware Small Cap Core (DCCIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Eaton Vance Atlanta Capital SMID-Cap Fd (EISMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Loomis Sayles Growth Fund (LSGRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Principal MidCap Fund (PCBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	Vanguard Total Stock Market ETF (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	Diamond Hill Large Cap (DHLRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Boeing Company (Pension)	Chicago, Illinois	I will continue to participate in the Defined Benefit Supplemental Executive Retirement Plan.	3/1986
2	The Boeing Company (health insurance, life insurance, charitable matching contributions) See Endnote	Chicago, Illinois	Pursuant to company policy, I will retain health insurance coverage, charitable matching contributions for life and term life insurance coverage for life.	3/1986

#### 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

None

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Credit Union Checking Account	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2	US Money Market Accounts				
2.1	US Brokerage Money Market Account (cash) #1 (6512)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.2	U.S. Brokerage Money Market Account (cash) #2 (0934)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.3	US Brokerage Money Market Account (cash) #3 (7165)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.4	US Brokerage Money Market Account (cash) #4 (5548)	N/A	\$15,001 - \$50,000	Interest Dividends	\$1,001 - \$2,500
2.5	US Brokerage Money Market Account (cash)#5 (6595)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Brokerage Account 1 of 3 (iShares)	No			
3.1	I Shares Core Aggressive Alloc (AOA)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	I Shares Core Aggressive Alloc (AOA)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Brokerage Account 2 of 3 (Mutual Funds)		No			
4.1	DELAWARE SMALL CAP CORE (DCCIX)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.2	EATON VANCE ATLANTA CAP SMID CAP (EISMX)		Yes	\$100,001 - \$250,000		None (or less than \$201)
4.3	LOOMIS SAYLES GROWTH CL Y(LSGRX)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.4	PRINCIPAL MID CAP INSTL CL(PCBIX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
4.5	VANGUARD TOTAL STOCK MARKET (VTI)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.6	Diamond Hill Large Cap (DHLRX)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5	Brokerage Account 3 of 3 (Municipal Bonds)		No			
5.1	Oklahoma State, Bond	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
5.2	Arizona State, Bonds					
5.2.1	AZ TRANSN BRD SER A		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.3	California State Bonds					
5.3.1	CA RFDG VARIOUS PURP 2029		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.3.2	CA VARIOUS PURP DUE 2027		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.4	Chicago, Ill, Bonds					

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4.1	CHICAGO IL O HARE ARPT 2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.4.2	CHICAGO IL OHARE ARPT 2034	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.5	Colorado State, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.6	Denver, CO, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.7	District of Columbia, Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.8	Illinois State, Bonds				
5.8.1	ILLINOIS FIN AUTH CLEAN WTR 2033	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.8.2	ILLINOIS FIN AUTH UNIV CHICAGO 2026	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.8.3	ILLINOIS ST TOLL HWY 2028	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.9	Indiana State, Bonds				
5.9.1	INDIANA FIN AUTH HOSP RFDG PARKVIEW HLTH 2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.9.2	INDIANA FIN AUTH HWY REV RFDG 2024	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.10	Massachusetts State, Bonds				
5.10.1	MASS CLEAN WTR 5% DUE 02/01/34	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
5.10.2	MASS FEDL HWY REV GRANT 2027	See Endnote	N/A	Interest	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10.3	MASS BAY TRANSN 2026		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.11	New York MTA, Bonds					
5.11.1	METROPOLITAN TRAN TAX 2025		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.11.2	METROPOLITAN TRANSN AUTH 2027		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.11.3	METRO NY TRANS AUTH 2035		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.12	Michigan State, Bond		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.13	Nebraska State, Bond		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.14	NEW YORK STATE, BONDS					
5.14.1	NEW YORK ST TWY AUTH 2030		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.14.2	NEW YORK ST DORM SALES TAX REV 2024	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
5.14.3	NEW YORK DORM SALES TAX REV 2026		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
5.14.4	METRO NY TRANS AUTH 2025		N/A	\$15,001 - \$50,000	Interest Capital Gains	\$201 - \$1,000
5.14.5	NY NY SUBSER G3 2042		N/A	\$250,001 - \$500,000		None (or less than \$201)
5.14.6	NY ST DORM AUTH PERS 2032		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
5.15	OREGON STATE, BONDS					



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.15.1	OREGON ST RFDG ARTICLE XI 2027		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.16	Virginia State, Bonds					
5.16.1	FAIRFAX CNTY VA SWR 2026		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.16.2	FAIRFAX CNTY VA SWR 2029		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.16.3	VIRGINIA CLLG BLDG V EDL FACS REV 21ST CENY CLLG & EQUIP 2028		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
5.16.4	VIRGINIA RES AUTH INFRA REV 11/01/22	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
5.16.5	VIRGINIA RES AUTH INFRA 2024		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.16.6	VIRGINIA ST PUB BLDG AUTH 2024 #1	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
5.16.7	VIRGINIA ST PUB BLDG AUTH 2024 #2	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
5.16.8	VIRGINIA ST PUB BLDG AUTH 2026		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.16.9	VIRGINIA ST RES AUTH INFRA REV #1 2024		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.16.10	VIRGINIA ST RES AUTH CLEAN WTR REV RFDG REVLVG 2024		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.16.11	VIRGINIA ST RES AUTH INFRA REV 2026		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.16.12	VIRGINIA ST RES AUTH INFRA REV A 2027		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.16.13	VIRGINIA COMMLTH TRANS FEDL 2025		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.17	CAPE FEAR PUB UTIL A NC WTR & SWR SYS		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.18	MARYLAND ST ST & LOC FACS BOND 2029		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.19	MINNESOTA STATE BOND	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
5.20	NEW JERSEY ST TPK AUTH BOND 2025		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.21	OHIO STATE, BONDS					
5.21.1	OHIO ST CAP FAC LSE APPROP ADMIN BLDG BOND 2024		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.21.2	OHIO ST COMM SCHS SER A 2026		N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
5.21.3	OHIO ST HIGHER ED 2028		N/A	\$100,001 - \$250,000	Interest Capital Gains	\$5,001 - \$15,000
5.22	MISSOURI ST HLTH & EDL BOND 2029		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.23	Texas State Bonds					
5.23.1	TARRANT CNTY TX CULTURAL ED 2028		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.23.2	AUSTIN TX WTR & WSTW SYS BOND		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.23.3	COMAL TX SCH DIST BOND		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.23.4	NORTH TX TWY AUTH 2030		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.23.5	SAN ANTONIO TX ELEC GAS BOND		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.23.6	UNIVERSITY TX BOND 2025	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.23.7	NORTH TX TWY AUTH 5% DUE 01/01/24	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.24	Washington State Bonds				
5.24.1	Energy NW WA (Bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
5.24.2	WASHINGTON STATE BOND VAQARIUS PURP 2029	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	MASS FEDL HWY REV GRANT 2027	Sale	06/12/2019	\$15,001 - \$50,000
2	NY NY SUBSER G3 2042	Purchase	06/07/2019	\$250,001 - \$500,000
3	MINNESOTA STATE BOND	Sale	06/06/2019	\$250,001 - \$500,000
4	OKLAHOMA STATE, BOND	Sale	05/02/2019	\$15,001 - \$50,000
5	VIRGINIA ST PUB BLDG AUTH 2021 #1	Sale	03/19/2019	\$15,001 - \$50,000
6	VIRGINIA ST PUB BLDG AUTH 2024 #2	Sale	03/03/2019	\$15,001 - \$50,000
7	METRO NY TRANS AUTH 2035	Purchase	02/25/2019	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	NORTH TX TWY AUTH 2030	Sale	02/15/2019	\$100,001 - \$250,000
9	NEW YORK ST DORM SALES TAX REV 2024	Sale	02/12/2019	\$15,001 - \$50,000
10	NEW YORK ST DORM AUT 2032	Purchase	02/01/2019	\$100,001 - \$250,000
11	VIRGINIA REST AUTH INFRA REV 11/01/22	Sale	01/23/2019	\$50,001 - \$100,000
12	OHIO ST COMM SCHS SER A 2026	Sale	01/15/2019	\$50,001 - \$100,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM	
1	Goldman Sachs Bank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2018	4.00%	30 Years	
2	Goldman Sachs Bank	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2013	2.6%	30 Years

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
2.	1.1	Term life insurance policy is not reportable
2.	1.2	2018 annual and 2019 YTD (Jan - June 23, 2019)
2.	1.3	One time benefit for the tax year of departure (2017); no future tax preparation fees will be paid by The Boeing Company.
3.	2	Although offered, have not participated in Boeing medical or charitable gift matching since assuming DOD position.
6.	5.1	Sold 5/2/19
6.	5.10.2	Sold 6/12/19
6.	5.14.2	Sold 2/12/19
6.	5.16.4	Sold 1/23/19
6.	5.16.6	Sold 3/13/19
6.	5.16.7	Sold 3/13/19
6.	5.19	Sold 6/6/19
8.	2	Refinanced in 2018 to mortgage at Item 1

# 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).

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