Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Becerra, Xavier

Secretary, Department of Health & Human Services

Report Year: 2024

Other Federal Government Positions Held During the Preceding 12 Months:
None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Becerra, Xavier [electronically signed on 08/12/2024 by Becerra, Xavier in Integrity.gov] - Filer received a 90 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Hall, Randall, Certifying Official [electronically signed on 09/03/2024 by Hall, Randall in Integrity.gov]

Other review conducted by
/s/ Hall, Randall, Ethics Official [electronically signed on 09/03/2024 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 10/02/2024 by Granahan, Megan in Integrity.gov]

Data Revised 09/03/2024

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	California Public Employees' Retirement System (CalPERS) Pension, 401(a) defined benefit plan (value not readily ascertainable)	N/A			None (or less than $201)
2	State of California, 457(b) plan	No			
2.1	Savings Plus Program Target Date Fund 2020, Pre-Tax	Yes	$50,001 - $100,000		None (or less than $201)
3	State of California, 401(k) plan	No			
3.1	Savings Plus Program Target Date Fund 2020	Yes	$50,001 - $100,000		None (or less than $201)
4	Filer's IRA	No			
4.1	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	$1,001 - $15,000		None (or less than $201)
4.2	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	$1,001 - $15,000		None (or less than $201)
4.3	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	$1,001 - $15,000		None (or less than $201)
4.4	Janus Henderson Enterprise Fund - Class T (JAENX)	Yes	$1,001 - $15,000		None (or less than $201)
4.5	American Funds New Perspective Fund - Class F-1 (NPFFX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	American Funds Capital World Growth & Income Fund - Class F1 (CWGFX)	Yes	$1,001 - $15,000		None (or less than $201)
4.7	iShares U.S. Real Estate ETF (IYR)	Yes	$1,001 - $15,000		None (or less than $201)
4.8	U.S. brokerage money market account (cash)	N/A	$1,001 - $15,000		None (or less than $201)
4.9	Calvert Equity Fund - Class A (CSIEX)	Yes	$1,001 - $15,000		None (or less than $201)
4.10	T. Rowe Price Global Stock Fund - I Class (TRGLX)	Yes	$1,001 - $15,000		None (or less than $201)
4.11	Madison Mid Cap Fund Class Y Shares (GTSGX)	Yes	$1,001 - $15,000		None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of California, 457(b) plan	Sacramento, California	I retain this defined contribution plan. The plan sponsor no longer makes contributions.	1/2017
2	State of California, 401(k) plan	Sacramento, California	I retain this defined contribution plan. The plan sponsor no longer makes contributions.	1/2017
3	CalPERS Pension, 401(a) defined benefit plan	Sacramento, California	I retain this defined benefit plan.	1/2017

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	California Health Care Foundation (health care philanthropy)	N/A		Director Fees	
2	University of California, Davis	N/A		Salary	
3	University of California, 401(a) plan	No			
3.1	UC Pathway Fund 2030	Yes	$100,001 - $250,000		None (or less than $201)
4	University of California, 403(b) plan	No			
4.1	UC Pathway Fund 2020	Yes	$100,001 - $250,000		None (or less than $201)
5	University of California, 457(b) plan	No			
5.1	UC Pathway Fund 2020	Yes	$100,001 - $250,000		None (or less than $201)
6	George Washington University Retirement Plan for Faculty & Staff, 401(a) plan	No			
6.1	TIAA Traditional	N/A	$100,001 - $250,000		None (or less than $201)
7	George Washington University Supplemental Retirement Plan, 403(b) plan	No			
7.1	TIAA-CREF Money Market Fund - Institutional Class (TCIXX)	Yes	$50,001 - $100,000		None (or less than $201)
8	USC Medical Center, 457(b) plan	No			
8.1	Vanguard Target Retirement 2030 Fund (VTHRX)	Yes	$15,001 - $50,000		None (or less than $201)
9	USC Medical Center, 401(a) plan	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	TIAA Traditional		N/A	$100,001 - $250,000		None (or less than $201)
10	USC Medical Center, 403(b) plan		No			
10.1	TIAA Traditional		N/A	$100,001 - $250,000		None (or less than $201)
10.2	Allspring Short Duration Government Bond Fund - Class R6 (MSDRX)		Yes	$50,001 - $100,000		None (or less than $201)
11	Valley Medical Group, 401(k) plan		No			
11.1	Vanguard Treasury Money Market Fund - Investor Class (VUSXX)	See Endnote	Yes	$100,001 - $250,000		None (or less than $201)
12	Virginia Hospital Center, 403(b) plan		No			
12.1	Vanguard Target Retirement 2030 Fund (VTHRX)		Yes	$100,001 - $250,000		None (or less than $201)
13	Virginia Hospital Center, 401(k) plan		No			
13.1	Vanguard Target Retirement 2035 Fund (VTTHX)		Yes	$50,001 - $100,000		None (or less than $201)
14	Washington Hospital Center, deferred compensation savings plan		No			
14.1	iShares U.S. Aggregate Bond Index Fund - Class K (WFBIX)		Yes	$15,001 - $50,000		None (or less than $201)
15	Washington Hospital Center, 403(b) plan		No			
15.1	Principal Fixed Account (Washington Hospital Center MedStar GIBC)		N/A	$15,001 - $50,000		None (or less than $201)
15.2	Empower Annuity Insurance Co. Guaranteed Long-Term Fund		Yes	$15,001 - $50,000		None (or less than $201)
16	Spouse's IRA #1		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.1	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	$1,001 - $15,000		None (or less than $201)
16.2	PIMCO Active Bond Exchange-Traded Fund (BOND)	Yes	$1,001 - $15,000		None (or less than $201)
16.3	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	$1,001 - $15,000		None (or less than $201)
16.4	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	$1,001 - $15,000		None (or less than $201)
16.5	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	$1,001 - $15,000		None (or less than $201)
16.6	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	$1,001 - $15,000		None (or less than $201)
16.7	Janus Hernderson Enterprise Fund - Class T (JAENX)	Yes	$1,001 - $15,000		None (or less than $201)
16.8	American Funds New Perspective Fund - Class F-1 (NPFFX)	Yes	$1,001 - $15,000		None (or less than $201)
16.9	American Funds Capital World Growth & Income Fund - Class F-1 (CWGFX)	Yes	$1,001 - $15,000		None (or less than $201)
16.10	iShares U.S. Real Estate ETF (IYR)	Yes	$1,001 - $15,000		None (or less than $201)
16.11	U.S. brokerage money market account (cash)	N/A	$1,001 - $15,000		None (or less than $201)
16.12	Calvert Equity Fund - Class A (CSIEX)	Yes	$1,001 - $15,000		None (or less than $201)
16.13	T. Rowe Price Global Stock Fund - I Class (TRGLX)	Yes	$1,001 - $15,000		None (or less than $201)
16.14	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.15	SPDR Bloomberg 3-12 Month T-Bill ETF (BILS)	Yes	$1,001 - $15,000		None (or less than $201)
16.16	Madison Mid Cap Fund Class Y Shares (GTSGX)	Yes	$1,001 - $15,000		None (or less than $201)
17	Spouse's IRA #2	No			
17.1	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	$1,001 - $15,000		None (or less than $201)
17.2	PIMCO Active Bond Exchange-Traded Fund (BOND)	Yes	$1,001 - $15,000		None (or less than $201)
17.3	PIMCO Investment Grade Corporate Bond Index ETF (CORP)	Yes	$1,001 - $15,000		None (or less than $201)
17.4	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	$15,001 - $50,000		None (or less than $201)
17.5	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	$1,001 - $15,000		None (or less than $201)
17.6	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	$1,001 - $15,000		None (or less than $201)
17.7	Janus Henderson Enterprise Fund - Class T (JAENX)	Yes	$1,001 - $15,000		None (or less than $201)
17.8	American Funds New Perspective Fund - Class F-1 (NPFFX)	Yes	$1,001 - $15,000		None (or less than $201)
17.9	American Funds Capital World Growth & Income Fund - Class F-1 (CWGFX)	Yes	$1,001 - $15,000		None (or less than $201)
17.10	iShares U.S. Real Estate ETF (IYR)	Yes	$1,001 - $15,000		None (or less than $201)
17.11	U.S. brokerage money market account (cash)	N/A	$1,001 - $15,000		None (or less than $201)
17.12	Calvert Equity Fund Class A Shares (CSIEX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.13	T Rowe PriceGlobal Stock Fund Class I Shares (TRGLX)	Yes	$1,001 - $15,000		None (or less than $201)
17.14	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	$1,001 - $15,000		None (or less than $201)
17.15	SPDR Bloomberg 3-12 Month T-Bill ETF (BILS)	Yes	$1,001 - $15,000		None (or less than $201)
17.16	Madison Mid Cap Fund Class Y Shares (GTSGX)	Yes	$1,001 - $15,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage Account	No			
1.1	Eaton Vance Floating-Rate Advantage Fund - Class A (EAFAX)	Yes	$15,001 - $50,000		$2,501 - $5,000
1.2	JPMorgan Large Cap Growth Fund - Class A (OLGAX)	Yes	$15,001 - $50,000		None (or less than $201)
1.3	American Funds Washington Mutual Investors Fund - Class F1 (WSHFX)	Yes	$15,001 - $50,000		$201 - $1,000
1.4	JPMorgan Equity Income Fund - Class A (OIEIX)	Yes	$15,001 - $50,000		$1,001 - $2,500
1.5	Janus Henderson Enterprise Fund - Class T (JAENX)	Yes	$15,001 - $50,000		$201 - $1,000
1.6	American Funds New Perspective Fund - Class F-1 (NPFFX)	Yes	$1,001 - $15,000		None (or less than $201)
1.7	American Funds Capital World Growth & Income Fund - Class F-1 (CWGFX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	iShares U.S. Real Estate ETF (IYR)	Yes	$15,001 - $50,000		$1,001 - $2,500
1.9	U.S. brokerage money market account (cash)	N/A	$100,001 - $250,000		$201 - $1,000
1.10	Calvert Equity Fund Class A Shares (CSIEX)	Yes	$15,001 - $50,000		None (or less than $201)
1.11	T Rowe PriceGlobal Stock Fund Class I Shares (TRGLX)	Yes	$15,001 - $50,000		None (or less than $201)
1.12	Madison Mid Cap Fund Class Y Shares (GTSGX)	Yes	$15,001 - $50,000		$201 - $1,000
2	U.S. credit union (cash)	N/A	$50,001 - $100,000		$201 - $1,000
3	Residential Real Estate, Monterey Park, CA	N/A	$500,001 - $1,000,000	Rent or Royalties	$15,001 - $50,000
4	Residential Real Estate, Los Angeles, CA	N/A	$1,000,001 - $5,000,000	Rent or Royalties	$50,001 - $100,000
5	Residential Real Estate, Sacramento, CA	N/A	$500,001 - $1,000,000	Rent or Royalties	$15,001 - $50,000
6	Residential Real Estate, Sacramento, CA	N/A	$500,001 - $1,000,000	Rent or Royalties	$15,001 - $50,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Filer's IRA: Parnassus Mid Cap Fund Investor Class Shares (PARMX)	Sale	02/23/2023	$1,001 - $15,000
2	Filer's IRA: Madison Mid Cap Fund Class Y Shares (GTSGX)	Purchase	02/24/2023	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
3	Spouse's UC 401(a) plan: UC Pathway 2030	See Endnote	Purchase		$15,001 - $50,000
4	Spouse's UC 403(b) plan: UC Pathway 2020	See Endnote	Purchase		$15,001 - $50,000
5	Spouse's UC 457(b) plan: UC Pathway 2020	See Endnote	Purchase		$15,001 - $50,000
6	Spouse's GW University 403(b) plan		Sale	03/22/2023	$1,001 - $15,000
7	Spouse's GW University 403(b) plan		Purchase	03/22/2023	$1,001 - $15,000
8	Spouse's Washington Hospital Center 403(b) GIBC plan		Sale	01/06/2023	$15,001 - $50,000
9	Spouse's Washington Hospital Center 403(b) Empower Annuity Ins Co. Guaranteed LT Fund plan		Purchase	01/06/2023	$15,001 - $50,000
10	Spouse's IRA #1: SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)		Purchase	01/24/2023	$1,001 - $15,000
11	Spouse's IRA #1: iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)		Sale	01/25/2023	$1,001 - $15,000
12	Spouse's IRA #1: SPDR Bloomberg Barclays 3-12 Month T-Bill ETF (BILS)		Purchase	01/25/2023	$1,001 - $15,000
13	Spouse's IRA #1: Parnassus Mid Cap Fund Investor Class Shares (PARMX)		Sale	02/23/2023	$1,001 - $15,000
14	Spouse's IRA #1: Madison Mid Cap Fund Class Y Shares (GTSGX)		Purchase	02/24/2023	$1,001 - $15,000
15	Spouse's IRA #1: SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)		Purchase	05/11/2023	$1,001 - $15,000
16	Spouse's IRA #1: Madison Mid Cap Fund Class Y Shares (GTSGX)		Purchase	05/11/2023	$1,001 - $15,000
17	Spouse's IRA #1: Eaton Vance Floating-Rate Advantage Fund Class A Shares (EAFAX)		Sale	05/11/2023	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
18	Spouse's IRA #1: Janus Henderson Enterprise Fund Class T Shares (JAENX)	Purchase	05/11/2023	$1,001 - $15,000
19	Spouse's IRA #2: SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	01/24/2023	$1,001 - $15,000
20	Spouse's IRA #2: PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Sale	01/24/2023	$1,001 - $15,000
21	Spouse's IRA #2: iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)	Sale	01/25/2023	$1,001 - $15,000
22	Spouse's IRA #2: SPDR Bloomberg Barclays 3-12 Month T-Bill ETF (BILS)	Purchase	01/25/2023	$1,001 - $15,000
23	Spouse's IRA #2: Parnassus Mid Cap Fund Investor Class Shares (PARMX)	Sale	02/23/2023	$1,001 - $15,000
24	Spouse's IRA #2: Madison Mid Cap Fund Class Y Shares (GTSGX)	Purchase	02/24/2023	$1,001 - $15,000
25	Spouse's IRA #2: SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Purchase	05/24/2023	$1,001 - $15,000
26	Spouse's IRA #2: SPDR Bloomberg Barclays 3-12 Month T-Bill ETF (BILS)	Purchase	05/24/2023	$1,001 - $15,000
27	Spouse's IRA #2: iShares US Real Estate ETF (IYR)	Purchase	05/24/2023	$1,001 - $15,000
28	Spouse's IRA #2: Eaton Vance Floating-Rate Advantage Fund Class A Shares (EAFAX)	Sale	05/24/2023	$1,001 - $15,000
29	Spouse's IRA #2: JPMorgan Large Cap Growth Fund Class A Shares (OLGAX)	Sale	05/24/2023	$1,001 - $15,000
30	Spouse's IRA #2: American Funds Washington Mutual Investors Fund Class F1 Shares (WSHFX)	Sale	05/24/2023	$1,001 - $15,000
31	Spouse's IRA #2: Calvert Equity Fund Class A Shares (CSIEX)	Sale	05/24/2023	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
32	Spouse's IRA #2: Janus Henderson Enterprise Fund Class T Shares (JAENX)		Purchase	05/24/2023	$1,001 - $15,000
33	Spouse's IRA #2: Madison Mid Cap Fund Class Y Shares (GTSGX)		Purchase	05/24/2023	$1,001 - $15,000
34	Spouse's IRA #2: JPMorgan Equity Income Fund Class A Shares (OIEIX)		Sale	05/24/2023	$1,001 - $15,000
35	U.S. Brokerage Account: Parnassus Mid Cap Fund Investor Class Shares (PARMX)	See Endnote	Sale		$15,001 - $50,000
36	U.S, Brokerage Account: American Funds Washington Mutual Investors Fund Class F1 Shares (WSHFX)	See Endnote	Sale		$1,001 - $15,000
37	U.S. Brokerage Account: JPMorgan Equity Income Fund Class A Shares (OIEIX)	See Endnote	Sale		$1,001 - $15,000
38	U.S. Brokerage Account: American Funds Capital World Growth & Income Fund Class F1 Shares (CWGFX)	See Endnote	Sale		$1,001 - $15,000
39	U.S. Brokerage Account: Calvert Equity Fund Class A Shares (CSIEX)	See Endnote	Sale		$1,001 - $15,000
40	U.S. Brokerage Account: Janus Henderson Enterprise Fund Class T Shares (JAENX)		Sale	01/25/2023	$1,001 - $15,000
41	U.S. Brokerage Account: T Rowe PriceGlobal Stock Fund Class I Shares (TRGLX)	See Endnote	Sale		$1,001 - $15,000
42	U.S. Brokerage Account: New Perspective Fund Class F1 Shares (NPFFX)	See Endnote	Sale		$1,001 - $15,000
43	U.S. Brokerage Account: JPMorgan Large Cap Growth Fund Class A Shares (OLGAX)	See Endnote	Sale		$1,001 - $15,000
44	U.S. Brokerage Account: Madison Mid Cap Fund Class Y Shares (GTSGX)	See Endnote	Purchase		$15,001 - $50,000
45	U.S. Brokerage Account: Janus Henderson Enterprise Fund Class T Shares (JAENX)	See Endnote	Purchase		$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	U.S. Brokerage Account: Calvert Equity Fund Class A Shares (CSIEX)	Purchase	08/10/2023	$1,001 - $15,000
47	U.S. Brokerage Account: JPMorgan Large Cap Growth Fund Class A Shares (OLGAX)	Purchase	08/10/2023	$1,001 - $15,000
48	U.S. Brokerage Account: American Funds Washington Mutual Investors Fund Class F1 Shares (WSHFX)	Purchase	08/10/2023	$1,001 - $15,000
49	U.S. Brokerage Account: JPMorgan Equity Income Fund Class A Shares (OIEIX)	Purchase	08/10/2023	$1,001 - $15,000
50	U.S. Brokerage Account: American Funds Capital World Growth & Income Fund Class F1 Shares (CWGFX)	Purchase	08/10/2023	$1,001 - $15,000
51	U.S. Brokerage Account: T Rowe PriceGlobal Stock Fund Class I Shares (TRGLX)	Purchase	08/10/2023	$1,001 - $15,000
52	U.S. Brokerage Account: Perspective Fund Class F1 Shares (NPFFX)	Purchase	08/10/2023	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Congressional Federal Credit Union	See Endnote	Mortgage (investment/rental property)	$15,001 - $50,000	2011	2.75%	15 Years
2	Congressional Federal Credit Union	See Endnote	Mortgage (investment/rental property)	$250,001 - $500,000	2021	2.25%	10 Years
3	Congressional Federal Credit Union	See Endnote	Mortgage (investment/rental property)	$100,001 - $250,000	2021	2.25%	10 Years

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	The Atlantic	Washington, District of Columbia	Attendance at the Atlantic Festival Opening Night Dinner	$500

Endnotes

PART	#	ENDNOTE
5.	11.1	Balance includes unvested portion of asset.
7.	3	Multiple purchases of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	4	Multiple purchases of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	5	Multiple purchases of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	35	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	36	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	37	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	38	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	39	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	41	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.

PART	#	ENDNOTE
7.	42	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	43	Multiple sales of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	44	Multiple purchases of this excepted investment fund each individually within the amount category $1,001 - $15,000.
7.	45	Multiple purchases of this excepted investment fund each individually within the amount category $1,001 - $15,000.
8.	1	Property in Los Angeles, California.
8.	2	Property in Sacramento, California.
8.	3	Property in Sacramento, California.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than $480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $480 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 $192 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. § 13101 et seq., as amended by the Representative Louise McIntosh Slaughter Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13989 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE) Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

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