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

Filer's Information

Mabus, Ray

Secretary of the Navy, Department of the Navy

Report Year: 2016

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/ Mabus, Ray [electronically signed on 08/29/2016 by Mabus, Ray 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/ Oostburg, Paul, Certifying Official [electronically signed on 10/31/2016 by Oostburg, Paul in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification
/s/ Skalla, Daniel L, Certifying Official [electronically signed on 11/29/2016 by Skalla, Daniel L in Integrity.gov]

Data Revised 10/06/2016

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	Fusion Telecommunications International, Inc. - Common Stock	No	$1,001 - $15,000		None (or less than $201)
2	MS Public Employees Retirement System	No		Pension payment	$21,712

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	MS Public Employeees Retirement System	Jackson, Mississippi	Defined Benefit Plan from which I currently receive $21,712 which will increase 2% per year	11/2008

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	St Stephen's & St. Agnes School, Alexandria VA	No		Spouse Employment	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SCHWAB U.S. TREASURY MONEY FUND	Yes	$15,001 - $50,000		None (or less than $201)
2	AKRE FOCUS FUND I	Yes	$50,001 - $100,000		None (or less than $201)
3	DODGE & COX STOCK FUND	Yes	$50,001 - $100,000		$2,501 - $5,000
4	FMI LARGE CAP FUND	Yes	$1,001 - $15,000		$201 - $1,000
5	HOMESTEAD SMALL CAP FUND	Yes	$15,001 - $50,000		None (or less than $201)
6	MADISON MID CAP FUND	Yes	$1,001 - $15,000		$201 - $1,000
7	OAKMARK SELECT FUND	Yes	$50,001 - $100,000		$201 - $1,000
8	PRIMECAP ODYSSEY GROWTH FUND	Yes	$100,001 - $250,000		$1,001 - $2,500
9	SCHWAB U.S. BROAD MARKET ETF	Yes	$250,001 - $500,000		$1,001 - $2,500
10	SCHWAB TOTAL STOCK MARKET INDEX FUND	Yes	$50,001 - $100,000		None (or less than $201)
11	VULCAN VALUE PARTNERS FUND	Yes	$50,001 - $100,000		$5,001 - $15,000
12	DODGE & COX INTERNATIONAL FUND	Yes	$1,001 - $15,000		None (or less than $201)
13	HARDING LOEVNER INTERNATIONAL EQUITY FUND I	Yes	$1,001 - $15,000		None (or less than $201)
14	SCHWAB INTERNATIONAL INDEX FUND	Yes	$250,001 - $500,000		$5,001 - $15,000
15	TWEEDY, BROWNE GLOBAL VALUE FUND	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	THORNBURG INTERNATIONAL VALUE FUND I	Yes	None (or less than $1,001)		$201 - $1,000
17	American Express Company	No	$1,001 - $15,000		None (or less than $201)
18	AutoZone Inc	No	$250,001 - $500,000		None (or less than $201)
19	Mississippi Dev BK Madison Cnty Oct06	No	$1,001 - $15,000	Interest	$201 - $1,000
20	Hancock Holding Company - Common Stock	No	$15,001 - $50,000	Dividends	$1,001 - $2,500
21	Wells Fargo & Co	No	$1,001 - $15,000	Dividends	$201 - $1,000
22	iShares Dow Jones Select Dividend Index	Yes	$1,001 - $15,000		None (or less than $201)
23	Guggenheim S&P Equal Weight	Yes	$100,001 - $250,000		$5,001 - $15,000
24	Ishares RS 2000 Growth	Yes	$50,001 - $100,000		$201 - $1,000
25	Ishares S&P Midcap 400	Yes	$50,001 - $100,000		$201 - $1,000
26	Ishares Core S&P 500 ETF	Yes	$15,001 - $50,000		$1,001 - $2,500
27	IShares S&P 500 Growth	Yes	$50,001 - $100,000		$1,001 - $2,500
28	Powershares QQQ Trust	Yes	$100,001 - $250,000		$1,001 - $2,500
29	Vanguard Total Stock Market	Yes	$100,001 - $250,000		$5,001 - $15,000
30	Amex Technology Select Spdr	Yes	$1,001 - $15,000		None (or less than $201)
31	Ishares Core S&P 500 ETF	Yes	$15,001 - $50,000		$5,001 - $15,000
32	Ishares TR Russell 2000 Value	Yes	$1,001 - $15,000		$5,001 - $15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	Powershares QQQ Trust		Yes	$15,001 - $50,000		$1,001 - $2,500
34	SPDR Dow Jones Industrial Average		Yes	$1,001 - $15,000		None (or less than $201)
35	Spdr S&P 500 ETF		Yes	$15,001 - $50,000		$201 - $1,000
36	Vanguard Total Stock Mkt		Yes	$15,001 - $50,000		$201 - $1,000
37	Sector Spdr Consumer Stpl		Yes	$15,001 - $50,000		None (or less than $201)
38	Guggenheim S&P pure growth ETF		Yes	$50,001 - $100,000		$201 - $1,000
39	Spdr Consumer Discretionary		Yes	$15,001 - $50,000		None (or less than $201)
40	DWA Tech Leaders Portfolio		Yes	$100,001 - $250,000		$201 - $1,000
41	First Trust ETF Dow Jones FDN		Yes	$15,001 - $50,000		None (or less than $201)
42	Bank of America ML Bank Deposit Program		No	$100,001 - $250,000		None (or less than $201)
43	Timberland in MS		No	$5,000,001 - $25,000,000	Capital Gains Rent or Royalties	$50,001 - $100,000
43.1	Timberland in MS		N/A	None (or less than $1,001)	Agricultural program payments	$11,319
44	Light on Earth Photography of the World	See Endnote	No	None (or less than $1,001)		None (or less than $201)
45	Mutual of New York (Whole Life)		No	$1,001 - $15,000		None (or less than $201)
46	MS Affordable College Savings Plan Manage Allocation Option Age 8-11		Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
47	Vanguard REIT Index Admiral Shares	Yes	None (or less than $1,001)		$201 - $1,000
48	Ishares Russell 1000 Value	Yes	None (or less than $1,001)		$15,001 - $50,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AKRE FOCUS FUND I	Purchase	04/01/15	$100,001 - $250,000
2	AKRE FOCUS FUND I	Purchase	07/17/15	$50,001 - $100,000
3	DELAFIELD FUND	Purchase	04/01/15	$50,001 - $100,000
4	DELAFIELD FUND	Purchase	04/08/15	$15,001 - $50,000
5	DELAFIELD FUND	Purchase	07/24/15	$1,001 - $15,000
6	DODGE & COX INTERNATIONAL FUND	Purchase	04/01/15	$50,001 - $100,000
7	DODGE & COX INTERNATIONAL FUND	Purchase	07/17/15	$15,001 - $50,000
8	DODGE & COX STOCK FUND	Purchase	09/28/15	$50,001 - $100,000
9	FAM SMALL CAP VALUE FUND	Purchase	04/08/15	$1,001 - $15,000
10	FAM SMALL CAP VALUE FUND	Purchase	04/15/15	$15,001 - $50,000
11	FAM SMALL CAP VALUE FUND	Purchase	07/17/15	$15,001 - $50,000
12	FMI LARGE CAP FUND	Purchase	04/01/15	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
13	FMI LARGE CAP FUND	Purchase	04/22/15	$15,001 - $50,000
14	FMI LARGE CAP FUND	Purchase	07/17/15	$15,001 - $50,000
15	GOODHAVEN FUND	Purchase	1/22/15	$15,001 - $50,000
16	GOODHAVEN FUND	Purchase	04/08/15	$50,001 - $100,000
17	GOODHAVEN FUND	Purchase	07/24/15	$15,001 - $50,000
18	HARDING LOEVNER INTERNATIONAL EQUITY FUND i	Purchase	04/08/15	$50,001 - $100,000
19	HARDING LOEVNER INTERNATIONAL EQUITY FUND I	Purchase	07/24/15	$15,001 - $50,000
20	HOMESTEAD SMALL CAP FUND	Purchase	12/31/15	$15,001 - $50,000
21	IVA INTERNATIONAL FUND I	Purchase	04/08/15	$50,001 - $100,000
22	IVA INTERNATIONAL FUND I	Purchase	07/10/15	$50,001 - $100,000
23	LONGLEAF PARTNERS FUND	Purchase	04/01/15	$1,001 - $15,000
24	LONGLEAF PARTNERS FUND	Purchase	04/08/15	$50,001 - $100,000
25	LONGLEAF PARTNERS FUND	Purchase	07/10/15	$50,001 - $100,000
26	MADISON MID CAP FUND	Purchase	04/01/15	$1,001 - $15,000
27	MADISON MID CAP FUND	Purchase	04/22/15	$50,001 - $100,000
28	MADISON MID CAP FUND	Purchase	07/10/15	$50,001 - $100,000
29	OAKMARK INTERNATIONAL FUND	Purchase	04/01/15	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	OAKMARK INTERNATIONAL FUND	Purchase	04/15/15	$15,001 - $50,000
31	OAKMARK INTERNATIONAL FUND	Purchase	04/22/15	$15,001 - $50,000
32	OAKMARK INTERNATIONAL FUND	Purchase	07/24/15	$15,001 - $50,000
33	OAKMARK SELECT FUND	Purchase	04/22/15	$50,001 - $100,000
34	OAKMARK SELECT FUND	Purchase	07/24/15	$15,001 - $50,000
35	OSTERWEIS FUND	Purchase	04/15/15	$50,001 - $100,000
36	OSTERWEIS FUND	Purchase	07/24/15	$15,001 - $50,000
37	PRIMECAP ODYSSEY GROWTH FUND	Purchase	04/15/15	$50,001 - $100,000
38	PRIMECAP ODYSSEY GROWTH	Purchase	07/24/15	$15,001 - $50,000
39	SCHWAB U.S. BROAD MARKET ETF	Purchase	12/10/15	$250,001 - $500,000
40	SCHWAB INTERNATIONAL INDEX FUND	Purchase	11/12/15	$50,001 - $100,000
41	SCHWAB INTERNATIONAL INDEX FUND	Purchase	12/10/15	$100,001 - $250,000
42	SCHWAB INTERNATIONAL INDEX FUND	Purchase	12/15/15	$50,001 - $100,000
43	SCHWAB INTERNATIONAL INDEX FUND	Purchase	12/23/15	$50,001 - $100,000
44	SCHWAB TOTAL STOCK MARKET INDEX FUND	Purchase	12/23/15	$50,001 - $100,000
45	THORNBURG INTERNATIONAL VALUE FUND I	Purchase	04/15/15	$50,001 - $100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	THORNBURG INTERNATIONAL VALUE FUND I	Purchase	07/10/15	$15,001 - $50,000
47	THORNBURG INTERNATIONAL VALUE FUND I	Purchase	07/17/15	$15,001 - $50,000
48	TOCQUEVILLE SELECT FUND	Purchase	01/21/15	$15,001 - $50,000
49	TOCQUEVILLE SELECT FUND	Purchase	04/08/15	$1,001 - $15,000
50	TOCQUEVILLE SELECT FUND	Purchase	04/22/15	$15,001 - $50,000
51	TOCQUEVILLE SELECT FUND	Purchase	07/24/15	$15,001 - $50,000
52	TWEEDY, BROWNE GLOBAL VALUE FUND	Purchase	04/22/15	$50,001 - $100,000
53	TWEEDY, BROWNE GLOBAL VALUE FUND	Purchase	07/24/15	$1,001 - $15,000
54	VULCAN VALUE PARTNERS FUND	Purchase	09/28/15	$50,001 - $100,000
55	MADISON MID CAP FUND	Purchase	04/02/15	$1,001 - $15,000
56	VULCAN VALUE PARTNERS FUND	Purchase	09/28/15	$1,001 - $15,000
57	AKRE FOCUS FUND I	Sale	05/18/15	$100,001 - $250,000
58	AKRE FOCUS FUND I	Sale	06/02/15	$15,001 - $50,000
59	DELAFIELD FUND	Sale	05/27/15	$15,001 - $50,000
60	DELAFIELD FUND	Sale	12/09/15	$50,001 - $100,000
61	DODGE & COX GLOBAL STOCK FUND	Sale	05/15/15	$15,001 - $50,000
62	DODGE & COX STOCK FUND	Sale	04/01/15	$15,001 - $50,000
63	FAM SMALL CAP FUND	Sale	05/27/15	$50,001 - $100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
64	FAM SMALL CAP FUND	Sale	12/22/15	$15,001 - $50,000
65	FMI LARGE CAP FUND	Sale	05/29/15	$15,001 - $50,000
66	FMI LARGE CAP FUND	Sale	06/02/15	$15,001 - $50,000
67	FMI LARGE CAP FUND	Sale	12/09/15	$50,001 - $100,000
68	FPA PARAMOUNT FUND	Sale	04/01/15	$15,001 - $50,000
69	GOODHAVEN FUND	Sale	05/18/15	$15,001 - $50,000
70	GOODHAVEN FUND	Sale	09/25/15	$50,001 - $100,000
71	KEELEY ALL CAP VALUE FUND I	Sale	05/15/15	$15,001 - $50,000
72	LONGLEAF PARTNERS FUND	Sale	05/18/15	$100,001 - $250,000
73	LONGLEAF PARTNERS FUND	Sale	09/25/15	$50,001 - $100,000
74	MADISON MID CAP FUND	Sale	05/27/15	$100,001 - $250,000
75	MADISON MID CAP FUND	Sale	12/22/15	$50,001 - $100,000
76	OAKMARK SELECT FUND	Sale	05/28/15	$50,001 - $100,000
77	OSTERWEIS FUND	Sale	05/18/15	$50,001 - $100,000
78	OSTERWEIS FUND	Sale	12/09/15	$50,001 - $100,000
79	PRIMECAP ODYSSEY GROWTH FUND	Sale	05/18/15	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
80	SCHWAB TOTAL STOCK MARKET INDEX FUND	Sale	01/21/15	$15,001 - $50,000
81	TOCQUEVILLE SELECT FUND	Sale	05/18/15	$15,001 - $50,000
82	TOCQUEVILLE SELECT FUND	Sale	12/09/15	$50,001 - $100,000
83	DODGE & COX INTERNATIONAL FUND	Sale	05/18/15	$50,001 - $100,000
84	DODGE & COX INTERNATIONAL FUND	Sale	05/28/15	$1,001 - $15,000
85	DODGE & COX INTERNATIONAL FUND	Sale	06/02/15	$1,001 - $15,000
86	DODGE & COX INTERNATIONAL FUND	Sale	12/09/15	$50,001 - $100,000
87	HARDING LOEVNER INTERNATIONAL EQUITY FUND I	Sale	05/18/15	$15,001 - $50,000
88	HARDING LOEVNER INTERNATIONAL EQUITY FUND I	Sale	12/09/15	$50,001 - $100,000
89	IVA INTERNATIONAL FUND I	Sale	05/18/15	$50,001 - $100,000
90	IVA INTERNATIONAL FUND I	Sale	06/02/15	$1,001 - $15,000
91	IVA INTERNATIONAL FUND I	Sale	12/14/15	$50,001 - $100,000
92	OAKMARK GLOBAL SELECT FUND	Sale	05/15/15	$15,001 - $50,000
93	OAKMARK INTERNATIONAL FUND	Sale	05/29/15	$50,001 - $100,000
94	OAKMARK INTERNATIONAL FUND	Sale	12/09/15	$50,001 - $100,000
95	THORNBURG INTERNATIONAL VALUE FUND I	Sale	05/18/15	$100,001 - $250,000
96	THORNBURG INTERNATIONAL VALUE FUND I	Sale	11/11/15	$50,001 - $100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
97	TWEEDY, BROWNE GLOBAL VALUE FUND	Sale	05/18/15	$15,001 - $50,000
98	TWEEDY, BROWNE GLOBAL VALUE FUND	Sale	12/22/15	$50,001 - $100,000
99	Vanguard Total Stock Market	Sale	03/04/15	$15,001 - $50,000
100	Ishares Russell 1000 Value	Sale	01/16/15	$15,001 - $50,000
101	Guggenheim S&P 500 Equal Weight	Sale	03/04/15	$15,001 - $50,000
102	Ishares RS 2000 Value	Sale	01/16/15	$15,001 - $50,000
103	Ishares core S&P 500	Sale	03/04/15	$1,001 - $15,000
104	Ishares 1-3 year Treasury Bond ETF	Purchase	05/13/15	$50,001 - $100,000
105	Ishares 1-3 Year Treasury Bond ETF	Sale	06/09/15	$1,001 - $15,000
106	Ishares 1-3 Year Treasury Bond ETF	Sale	06/16/15	$15,001 - $50,000
107	Ishares 1-3 Year Treasury Bond ETF	Sale	06/10/15	$15,001 - $50,000
108	Guggenheim S&P Equal Weight ETF	Purchase	04/08/15	$15,001 - $50,000
109	Guggenheim S&P Equal Weight ETF	Purchase	04/13/15	$15,001 - $50,000
110	Guggenheim S&P Equal Weight ETF	Purchase	04/09/15	$1,001 - $15,000
111	Guggenheim S&P Equal Weight ETF	Purchase	05/07/15	$15,001 - $50,000
112	Guggenheim S&P Equal Weight ETF	Sale	08/20/15	$50,001 - $100,000
113	Guggenheim S&P Equal Weight ETF	Sale	09/28/15	$15,001 - $50,000
114	Vanguard Reit ETF	Purchase	04/08/15	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
115	Vanguard Reit ETF	Purchase	04/09/15	$1,001 - $15,000
116	Vanguard Reit ETF	Purchase	04/13/15	$1,001 - $15,000
117	Vanguard Reit ETF	Sale	04/13/15	$15,001 - $50,000
118	Guggenheim S&P 500 Pure Growth ETF	Purchase	04/13/15	$1,001 - $15,000
119	Guggenheim S&P 500 Pure Growth ETF	Sale	08/27/15	$1,001 - $15,000
120	Powershares DWA Energy Portfolio ETF	Purchase	04/15/15	$15,001 - $50,000
121	Powershares DWA Energy Portfolio ETF	Sale	05/01/15	$15,001 - $50,000
122	Powershares QQQ Trust ETF	Purchase	04/08/15	$15,001 - $50,000
123	Powershares QQQ Trust ETF	Purchase	04/13/15	$15,001 - $50,000
124	Powershares QQQ Trust ETF	Sale	06/16/15	$15,001 - $50,000
125	Powershares QQQ Trust ETF	Sale	08/24/15	$15,001 - $50,000
126	Ishares S&P 100	Purchase	04/08/15	$15,001 - $50,000
127	Ishares S&P 100	Purchase	04/09/15	$1,001 - $15,000
128	Ishares S&P 100	Purchase	04/13/15	$15,001 - $50,000
129	Ishares S&P 100	Purchase	05/06/15	$1,001 - $15,000
130	Ishares S&P 100	Purchase	05/07/15	$15,001 - $50,000
131	Ishares S&P 100	Sale	06/30/15	$100,001 - $250,000
132	First Tr Dorsey Wright Focus 5 ETF	Purchase	04/15/15	$15,001 - $50,000
133	First Tr Dorsey Wright Focus 5 ETF	Sale	08/20/14	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
134	First Tr Dorsey Wright Focus 5 ETF	Sale	08/24/15	$15,001 - $50,000
135	Health Care SElect Spdr ETF	Purchase	04/08/15	$1,001 - $15,000
136	Health Care SElect Spdr ETF	Purchase	04/09/15	$1,001 - $15,000
137	Health Care SElect Spdr ETF	Purchase	04/13/15	$1,001 - $15,000
138	Health Care SElect Spdr ETF	Sale	10/06/15	$15,001 - $50,000
139	AMEX Technology Select Spdr ETF	Purchase	05/07/15	$1,001 - $15,000
140	AMEX Technology Select Spdr ETF	Purchase	04/08/15	$1,001 - $15,000
141	AMEX Technology Select Spdr ETF	Purchase	04/09/15	$1,001 - $15,000
142	AMEX Technology Select Spdr ETF	Purchase	04/13/15	$1,001 - $15,000
143	AMEX Technology Select Spdr ETF	Purchase	05/06/15	$1,001 - $15,000
144	AMEX Technology Select Spdr ETF	Purchase	05/07/15	$1,001 - $15,000
145	AMEX Technology Select Spdr ETF	Sale	08/20/15	$1,001 - $15,000
146	AMEX Technology Select Spdr ETF	Sale	08/24/15	$15,001 - $50,000
147	SPDR S&P ETF Trust	Purchase	08/27/15	$15,001 - $50,000
148	SPDR S&P ETF Trust	Sale	12/11/15	$15,001 - $50,000
149	SPDR Consumer Discretionary	Purchase	08/27/2015	$15,001 - $50,000
150	DWA Tech Leaders	Purchase	04/08/2015	$100,001 - $250,000
151	First Trust Exchange Trader FDN	Purchase	10/22/2015	$15,001 - $50,000
152	Guggenheim S&P 500 Equal Weight ETF	Purchase	05/06/2015	$15,001 - $50,000
153	Guggenheim S&P 500 Pure Growth	Purchase	04/08/15	$50,001 - $100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
154	PowerShares QQQ Trust, Series 1	Purchase	04/09/2015	$100,001 - $250,000
155	Sector Spdr Consmrs Stpl	Purchase	10/22/2015	$15,001 - $50,000
156	Vanguard Total Stock Market Index Admiral Shares	Purchase	04/08/2015	$50,001 - $100,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Merrill Lynch LMA Bank of America	Exercised Line of Credit	$500,001 - $1,000,000	2015	2.693250	open

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	44	Value not readily ascertainable

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 $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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