

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

Filer's Information

Monaco, Lisa O

Deputy Attorney General, Department of Justice

Report Year: 2023

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/ Monaco, Lisa O [electronically signed on 05/10/2023 by Monaco, Lisa O in Integrity.gov]

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/ Gupta, Vanita, Certifying Official [electronically signed on 08/09/2023 by Gupta, Vanita in Integrity.gov]

Other review conducted by

/s/ Tirrell, Joseph W, Ethics Official [electronically signed on 08/09/2023 by Tirrell, Joseph W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 09/07/2023 by Granahan, Megan in Integrity.gov]

Data Revised 06/09/2023

Data Revised 06/05/2023

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(06/09/2023, Felter, Monica): No apparent conflicts. mf

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	LOM Strategies, LLC	See Endnote	Washington, District of Columbia	Corporation	Manager	3/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Line Intentionally Left Blank				
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5	New York University TIAA Retirement	No			
5.1	Vanguard Institutional Target Retirement 2035 Fund Institutional Class Shares (VITFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	O'Melveny & Myers LLP 401(k)	No			
6.1	Fidelity Freedom Index 2030 Fund Investor Class Shares (FXIFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Line Intentionally Left Blank				
8	LOM Strategies, LLC (security consulting, value reflects U.S. bank cash account)	No	\$250,001 - \$500,000		None (or less than \$201)
9	IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	Alger Small Cap Focus Fund Class Z Shares (AGOZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.2	GQG PartnersEmerging Markets Equity Fund Institutional Class Shares (GQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.3	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.4	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.5	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.6	John Hancock Funds III International Growth Fund Class I Shares (GOGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.7	JPMorgan Global Allocation Fund Class I Shares (GAOSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.8	Loomis Sayles Growth Fund Class Y Shares (LSGRX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.9	Line Intentionally Left Blank				
9.10	Line Intentionally Left Blank				
9.11	PIMCO Low Duration Income Fund Class I-2 Shares (PFTPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.12	Smead Value Fund Class I1 Shares (SVFFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.13	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.14	T Rowe Price Dividend Growth Fund, Inc. (PRDGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.15	Touchstone Sands CapitalEmerging Markets Growth Fund Class Y Shares (TSEMXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.16	Virtus KAR International Small-Cap Fund Class I Shares (VIISX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.17	ALLSPRING SPECIAL SMALL CAP VALUE FUND (ESPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.18	US bank (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.19	NEUBERGER BERMAN LARGE CAP VALUE FUND CL INSTL (NBPIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.20	ISHARES CORE S&P US VALUE ETF (IUSV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.21	LORD ABBETT ULTRA SHORT BOND FUND CL I (LUBYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	SEP IRA	No			
10.1	US bank (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	ISH TR CORE DIVID GROWTH ETF (DGRO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.3	SPDR Portfolio S&P 500 ETF (SPLG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.4	SPDR PORTFOLIO S&P 400 MID CAP ETF (SPMD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.5	SPDR PORTFOLIO EMERGING MARKETS ETF (SPEM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.6	SPDR PORTFOLIO S&P 600 SMALL CAP ETF (SPSM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.7	VANGUARD WORLD FD SHS ESG US STOCK ETF (ESGV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.8	VANGUARD WORLD FD SHS ESG INTERNATIONAL STOCK ETF (VSGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.9	WISDOMTREE EMERGING MARK (XSOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.10	ALPS SMITH SHORT DURATION BD FD CL INSTL (SMDSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.11	ISHARES CORE S&P US VALUE ETF (IUSV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.12	ISHARES ESG AWARE MSCI EAFE ETF (ESGD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.13	TRANSAMERICA SHORT TERM BOND FUND CL I (TSTIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
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3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New York University School of Law	New York, New York	I continue to be a beneficiary of this defined contribution plan. The plan sponsor will not make further contributions after my separation.	2/2017
2	O'Melveny & Myers LLP	Washington, District of Columbia	I continue to be a beneficiary of this defined contribution plan. The plan sponsor will not make further contributions after my separation.	3/2019
3	LOM Strategies LLC	Washington, District of Columbia	My consulting business continues to be inactive during my appointment.	2/2021

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	Brokerage account #1	No			
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1.5	Line Intentionally Left Blank				
1.6	Line Intentionally Left Blank				
1.7	Industrial Select Sector SPDR Fund (XLI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Technology Select Sector SPDR Fund (XLK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Line Intentionally Left Blank				
1.10	Line Intentionally Left Blank				
1.11	VanguardPacific Stock Index FundVanguard FTSEPacific ETF Shares (VPL)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.12	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.13	Line Intentionally Left Blank				
1.14	US bank (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.15	ALGER WEATHERBIE SPECIALIZED GROWTH FUND CLASS Z (ASMZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.16	ALLSPRING SPECIAL SMALL CAP VALUE FUND (ESPNX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.17	ALLSPRING STRATEGIC MUNICIPAL BOND FUND (STRIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.18	CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND (XLY)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.19	ISHARES MSCI ALL COUNTRY ASIA EX JAPAN ETF (AAXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	ISHARES TR RUSSELL 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	ISHARES CORE S&P U.S. GROWTH ETF (IUSG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.22	ISHARES CORE S&P U.S. VALUE ETF (IUSV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.23	Line Intentionally Left Blank				
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1.25	MAINSTAY MACKAY TAX FREE BOND FUND CLASS I (MTBIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.26	SMEAD VALUE FUND CLASS I1 (SVFFX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.27	SPDR PORTFOLIO S&P 400 MID CAP ETF (SPMD)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.28	SPDR PORTFOLIO S&P 600 SMALL CAP ETF (SPSM)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.29	VANGUARD WORLD FD SHS ESG INTERNATIONAL STOCK ETF (VSGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.30	VIRTUS KAR INTERNATIONAL SMALL MID CAP FUND CL I (VIISX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.31	ALLSPRING SPECIAL MID CAP VALUE FUND CL INSTL (WFMIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.32	BLACKROCK GLOBAL ALLOCATION FD INC INSTL (MALOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.33	GQG PARTNERS EMERGING MKTS EQ FD CL INSTL (GQGIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.34	GS GQG PARTNERS INTL OPPS FD CL INSTL (GSIMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.35	GUGGENHEIM FLOATING RATE STRATEGIES FD INSTL CL (GIFIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.36	JP MORGAN EQUITY INCOME FD I (HLIEX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.37	JP MORGAN GLOBAL ALLOCATION FUND CL I (GAOSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.38	NEUBERGER BERMAN LARGE CAP VALUE FD CL INSTL (NBPIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.39	PACER US CASH COWS100 (COWZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.40	SPDR DJ WLSHR MID CAP VALUE E (MDYV)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.41	SPDR PORTFOLIO S&P 500 H DIVID ETF SHS (SPYD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.42	T ROWE PRICE DIVIDEND GROWTH FUND INV CL (PRDGX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.43	TOUCHSTONE SANDS CAPITAL EMERG MKTS GRWTH FD CL Y (TSEMXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
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4	Line Intentionally Left Blank - CLOSED ACCOUNT				
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#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.31	Line Intentionally Left Blank				
4.32	Line Intentionally Left Blank				
5	Brokerage account #5	No			
5.1	US bank (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	FedFund Institutional Shares (TFDXX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	U.S. bank #2 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	ALPS SMITH SHORT DURATION BD FD CL INSTL (SMDSX)	Purchase	10/11/2022	\$15,001 - \$50,000
2	TRANSAMERICA SHORT TERM BOND FUND CL I (TSTIX)	Purchase	10/11/2022	\$15,001 - \$50,000
3	ISHARES CORE S&P US VALUE ETF (IUSV)	Purchase	03/07/2022	\$15,001 - \$50,000
4	ISHARES ESG AWARE MSCI EAFE ETF (ESGD)	Purchase	03/07/2022	\$1,001 - \$15,000
5	SPDR Portfolio S&P 500 ETF (SPLG)	Sale	03/07/2022	\$1,001 - \$15,000
6	SPDR PORTFOLIO EMERGING MARKETS ETF (SPEM)	Sale	03/07/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	VANGUARD WORLD FD SHS ESG US STOCK ETF (ESGV)	Sale	03/07/2022	\$1,001 - \$15,000
8	VANGUARD WORLD FD SHS ESG INTERNATIONAL STOCK ETF (VSGX)	Sale	03/07/2022	\$1,001 - \$15,000
9	WISDOMTREE EMERGING MARK (XSOE)	Sale	03/07/2022	\$1,001 - \$15,000
10	T Rowe Price Dividend Growth Fund, Inc. (PRDGX) (Dividend reinvestment)	Purchase	12/15/2022	\$1,001 - \$15,000
11	Smead Value Fund Class I1 Shares (SVFFX) (Dividend reinvestment)	Purchase	12/19/2022	\$1,001 - \$15,000
12	Smead Value Fund Class I1 Shares (SVFFX) (Dividend reinvestment)	Purchase	12/19/2022	\$1,001 - \$15,000
13	NEUBERGER BERMAN LARGE CAP VALUE FUND CL INSTL (NBPIX) (Dividend reinvestment)	Purchase	12/19/2022	\$1,001 - \$15,000
14	Janus Henderson Enterprise Fund Class I Shares (JMGRX) (Dividend reinvestment)	Purchase	12/21/2022	\$1,001 - \$15,000
15	John Hancock Funds III International Growth Fund Class I Shares (GOGIX) (Dividend reinvestment)	Purchase	12/21/2022	\$1,001 - \$15,000
16	Loomis Sayles Growth Fund Class Y Shares (LSGRX) (Dividend reinvestment)		12/27/2022	\$1,001 - \$15,000
17	PIMCO Low Duration Income Fund Class I-2 Shares (PFTPX) (Dividend reinvestment)	Purchase	12/28/2022	\$1,001 - \$15,000
18	NEUBERGER BERMAN LARGE CAP VALUE FUND CL INSTL (NBPIX)	Purchase	03/04/2022	\$15,001 - \$50,000
19	Virtus KAR International Small-Cap Fund Class I Shares (VIISX)	Purchase	03/04/2022	\$1,001 - \$15,000
20	ISHARES CORE S&P US VALUE ETF (IUSV)	Purchase	03/07/2022	\$1,001 - \$15,000
21	Loomis Sayles Growth Fund Class Y Shares (LSGRX)	Sale	03/04/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	MatthewsPacific Tiger Fund Institutional Class Shares (MIPTX)	Sale	03/04/2022	\$1,001 - \$15,000
23	SPDR Portfolio S&P 500 Growth ETF (SPYG)	Sale	03/07/2022	\$15,001 - \$50,000
24	JANUS HENDERSON ENTERPRISE FUND I FRAC SHR	Purchase	03/03/2022	\$1,001 - \$15,000
25	JANUS HENDERSON ENTERPRISE FUND I FRAC SHR	Purchase	05/04/2022	\$1,001 - \$15,000
26	LOOMIS SAYLES GROWTH FUND CL Y (LSGRX)	Purchase	03/03/2022	\$15,001 - \$50,000
27	LOOMIS SAYLES GROWTH FUND CL Y (LSGRX)	Purchase	05/04/2022	\$1,001 - \$15,000
28	JOHN HANCOCK INTL GROWTH FUND CL I (GOGIX)	Purchase	03/03/2022	\$1,001 - \$15,000
29	JOHN HANCOCK INTL GROWTH FUND CL I (GOGIX)	Purchase	05/04/2022	\$1,001 - \$15,000
30	LOOMIS SAYLES GLOBAL ALLOCATION FD CL Y FRAC SHR	Purchase	03/03/2022	\$15,001 - \$50,000
31	LOOMIS SAYLES GLOBAL ALLOCATION FD CL Y FRAC SHR	Purchase	05/04/2022	\$1,001 - \$15,000
32	LOOMIS SAYLES GLOBAL ALLOCATION FD CL Y FRAC SHR	Purchase	09/26/2022	\$1,001 - \$15,000
33	JANUS HENDERSON ENTERPRISE FUND I FRAC SHR	Sale	12/08/2022	\$15,001 - \$50,000
34	LOOMIS SAYLES GROWTH FUND CL Y (LSGRX)	Sale	12/08/2022	\$50,001 - \$100,000
35	JOHN HANCOCK INTL GROWTH FUND CL I (GOGIX)	Sale	12/08/2022	\$15,001 - \$50,000
36	LOOMIS SAYLES GLOBAL ALLOCATION FD CL Y FRAC SHR	Sale	12/08/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Sale	03/03/2022	\$1,001 - \$15,000
38	CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND (XLY)	Sale	12/08/2022	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	1	LOM Strategies, LLC is a single-member limited liability company for which I am the sole member. My consulting business continues to be inactive during my appointment.

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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 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. 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 13770 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.

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).
