

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

Filer's Information

Nason, Nicole

Administrator, Federal Highway Administration, Department of Transportation

Date of Termination: 01/09/2021

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/ Nason, Nicole [electronically signed on 01/07/2021 by Nason, Nicole 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/ Kaleta, Judith, Certifying Official [electronically signed on 01/28/2021 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 01/28/2021 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 01/07/2021

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(01/07/2021, Nason, Nicole): The filer agreed to update the reported information if it changes before or on the indicated termination date.

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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	TIAA salary and bonus	N/A	Over \$1,000,000	salary & bonus	
2	TIAA 401(k) Retirement Plan		\$1,000,001 - \$5,000,000		
2.1	TIAA-CREF Lifecycle 2040 Fund (Institutional) (TCOIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
2.2	TIAA Traditional Annuity	N/A	\$250,001 - \$500,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	BlackRock MSCI ACWI ex-U.S. Index Fund M	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2.4	BlackRock Russell 2000 Index M	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.5	JPMorgan Equity Income Fund Class R6 (OIEJX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.6	TIAA Real Estate (Variable Annuity)	N/A	\$1,001 - \$15,000		
3	TIAA 401(K) EXCESS PLAN - TIAA-CREF Lifecycle 2035 Fund (Institutional) (TCIIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	TIAA RETIREMENT PLAN - TIAA-CREF Lifecycle 2035 Fund (Institutional) (TCIIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5	TIAA RETIREMENT BENEFIT EQUALIZATION PLAN - TIAA-CREF Lifecycle 2035 Fund (Institutional) (TCIIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	T. Rowe Price Equity Index 500	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2	T. Rowe Price QM U.S. Small-Cap Growth Equity	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	T. Rowe Price Blue Chip Growth	Yes	\$250,001 - \$500,000		None (or less than \$201)
4	T. Rowe Price Capital Appreciation	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5	Vanguard Emerging Markets Select Stock (VMMSX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	IShares Core S&P 500 ETF	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
7	Ishares MSCI Multifactor USA ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8	Proshares S&P 500 Dividends Aristocrats ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9	XTrackers MSCI EAFE Hedged Equity ETF (DBEF)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10	SPDR FD TECHNOLOGY ETF - XLK	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
11	FIRST TRUST TACTICAL HIGH YIELD ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12	AMERICAN BEACON THE LONDON CO EQ FUND (ABCYX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
13	LOOMIS SAYLES GROWTH FUND (LSGRX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
14	FIRST EAGLE GLOBAL FUND (SGIIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
15	PMCO INCOME FUND (PONPX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
16	DOUBLELINE TOTAL RETURN BOND FUND (DBLTX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
17	KOPERNIK GLOBAL ALL-CAP FUND (KGGIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18	RICHARDSON TEX GO REF AND IMPT BDS LT SER A APR16 05.000%FEB15 2027	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19	LEWISVILLE TEX INDPT SCH DIST ULTD TAX REF BDS B MAY16 05.000%AUG15 2028	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	KITSAP CO WA SCH DIST NO 401 ULTD TAX GO SCH GTD MAY16 04.000%DEC01 2029	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
21	NEWPORT NEWS VA GO GEN IMPT REF BDS SER A JUN16 02.000%AUG01 2024	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
22	TAYLOR TEX INDPT SCH DIST ULTD TAX PSF GTD JUN16 05.000%FEB15 2025	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23	VANCOUVER WASH LTD TAX GO REF BDS LT SER B JUL15 05.000%DEC01 2022	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
24	OKLAHOMA CITY OKLA GO BDS 2017 MAR17 05.000%MAR01 2027	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
25	NEWPORT NEWS VA GO GEN IMPT REF BDS SER A JUN16 04.000%AUG01 2026	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
26	TEMPLE TEX INDPT SCH DIST ULTD TAX PSF GTD APR16 05.000%FEB01 2022	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
27	TROTWOOD-MADISON CITY SCH DIST OHIO GO SCH GTD SEP16 04.000%DEC01 2029	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
28	MASON CNTY WASH SCH DIST NO 309 SHELTON SCH GTD JUN17 04.000%DEC01 2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
29	SPOKANE CNTY WA SD#356 CENT VY GO BDS SCH GTD MAY18 05.000%DEC01 2027	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
30	NEW ALBANY PLAIN LCL SCH DIST OHIO GO ULTD TAX SEP16 04.000%DEC01 2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
31	OTTAWA CNTY MICH WTR SUPPLY SYS REF BDS LT APR15 04.000%AUG01 2023	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
32	GRANDFALLS ROYALTY TEX INDPT SCH DIST PSF GTD JAN15 04.000%FEB15 2023	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	PIERCE CNTY WA SCH DIST NO 402 UNLTD TAX SCH GTD NOV17 04.000%DEC01 2033	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
34	BUNCOMBE CNTY NC MET SEW DIST SEW SYS REV REV JUL17 05.000%JUL01 2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
35	PURDUE UNIV IND UNIV REVS STUDENT FEE BDS CC MAY16 05.000%JUL01 2031	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
36	TRINITY RIVER AUTH TEX REV REV BDS 2017 JUL17 05.000%FEB01 2031	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
37	RHODE IS INFRASTR BK WPC REV REF REV BDS SER A JUN16 05.000%OCT01 2030	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
38	NEW YORK ST DORM AUTH ST PERS INCOME TAX REV A JUL17 05.000%FEB15 2028	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
39	SUNSHINE ST GOVERNMENTAL FING COMMN FLA REV SER 1 APR11 05.000%SEP01 2022	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
40	MISSISSIPPI DEV BK SPL OBLIG SPL OBLIG BDS MAR17 05.000%MAR01 2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
41	MITCHELL IN HIGH SBC 1ST MTG FIRST MTG SCH GTD MAR15 04.000%JUL15 2023	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
42	NORTH DAKOTA ST HSG FIN AGY REV BDS HOME MTG MAY16 02.000%JUL01 2023	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
43	MICHIGAN ST BLDG AUTH REV REV REF BDS SER I AUG16 05.000%OCT15 2030	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
44	VERMONT HSG FIN AGY MULTIPLE PURP BDS B FEB16 02.200%MAY01 2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
45	General Electric Co Shares	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	JONES LANG LASALLE INCOME PROPERTY TRUST INC CLASS M	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
47	CZECH III SENIOR LOAN TRUST CLASS A	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
48	APOLLO EUROPEAN FINANCE ACCESS FUND III, L.P. SERIES A	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
49	BLACKROCK LIQUIDITY FUNDS FEDFUND INST (TFDXX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
50	Wells Fargo, N.A. (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
51	Synchrony Bank, FSB (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
52	E*Trade Securities (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
53	Virginia 529 - 2021 Portfolio (Chesapeake)	Yes	\$100,001 - \$250,000		None (or less than \$201)
54	Virginia 529 - 2021 Portfolio (Chesapeake)	Yes	\$100,001 - \$250,000		None (or less than \$201)
55	Connecticut 529 (CHET) - Aggressive Managed Allocation 9-10	Yes	\$100,001 - \$250,000		None (or less than \$201)
56	PIMCO INCOME FUND CL P (PONPX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
57	CLARK & SKAMANIA WA SD#112-6 ULTD SCH GTD JUN15 05.000%DEC01 2021	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
58	Nicole Nason IRA		\$100,001 - \$250,000		\$2,501 - \$5,000
58.1	American Beacon Fund (ABCYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58.2	iShares S&P 500 Index (IVV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
58.3	Loomis Sales Growth Fund (LSGRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
58.4	VANGUARD FTSE EMERGING (VWO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
59	Xtrackers MSCI Hedged Equity ETF (DBEF)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
60	Janus Henderson Mortgage Backed Securities (JMBS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
61	Mainstay Mackay High Yield Bond Fund (MMHIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
62	Nuveen Short Dur Hi Yld Muni Bd I (NVHIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
63	SPDR US Financial Sector (XLF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
64	Vanguard Growth ETF (VUG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
65	BUNCOMBE CNTY NC MET SEW DIST SEW SYS REV REV JUL17 05.000%JUL01 2030	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
66	Blackstone Alternative Multi-Strategy Fund Class I Shares (BXMIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
67	PIMCO Investment Grade Credit Bond Fund Class I-2 Shares (PBDPX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
68	VANGUARD DIVIDEND (VIG)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
69	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
70	VANGUARD FTSE EMERGING (VWO)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
71	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
72	First Trust Low Duration Opportunities ETF (LMBS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
73	FIRST TRUST PREFERRED (FPE)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
74	BLACKSTONE LIFE SCIENCES V ACCESS FUND, L.P.	Yes	\$1,001 - \$15,000		None (or less than \$201)
75	Vanguard Emerging Markets Select Stock Fund Investor Shares (VMMSX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
76	Columbia Dividend Income Fund Class A Shares (LBSAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	American Beacon The London Company Income Equity Fund Class R5 Shares (ABCIX) (multiple)	Purchase		\$50,001 - \$100,000
2	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX) (multiple)	Sale		\$100,001 - \$250,000
3	Blackstone Alternative Multi-Strategy Fund Class I Shares (BXMIX)	Purchase	12/24/2020	\$1,001 - \$15,000
4	Chiron Capital Allocation Fund Class I Shares (CCAPX) (multiple)	Sale		\$100,001 - \$250,000
5	DoubleLine Total Return Bond Fund Class I Shares (DBLTX) (multiple)	Purchase		\$100,001 - \$250,000
6	Xtrackers MSCI EAFE Hedged Equity ETF (DBEF) (multiple)	Sale		\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	First Trust Preferred Securities and Income ETF (FPE)	Purchase	10/21/2020	\$50,001 - \$100,000
8	JPMorgan Global Allocation Fund Class I Shares (GAOSX) (multiple)	Sale		\$100,001 - \$250,000
9	First Trust Tactical High Yield ETF (HYLS)	Purchase	10/21/2020	\$15,001 - \$50,000
10	iShares Core MSCI EAFE ETF (IEFA) (multiple)			\$50,001 - \$100,000
11	iShares Core S&P Small-Cap ETF (IJR) (multiple)	Purchase		\$50,001 - \$100,000
12	iShares Core S&P 500 ETF (IVV)	Purchase		\$1,001 - \$15,000
13	Janus Henderson Mortgage-Backed Securities ETF (JMBS)	Purchase	10/21/2020	\$15,001 - \$50,000
14	Kopernik Global All-Cap Fund Class A Shares (KGGAX) (multiple)			\$100,001 - \$250,000
15	First Trust Low Duration Opportunities ETF (LMBS)	Purchase	10/21/2020	\$15,001 - \$50,000
16	iShares Edge MSCI Multifactor USA ETF (LRGF) (multiple)			\$100,001 - \$250,000
17	NatixisLoomis Sayles Growth Fund Class Y Shares (LSGRX) (multiple)	Purchase		\$50,001 - \$100,000
18	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX) (multiple)	Purchase		\$50,001 - \$100,000
19	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX) (multiple)	Purchase		\$1,001 - \$15,000
20	PIMCO Investment Grade Credit Bond Fund Class I-2 Shares (PBDPX) (multiple)	Purchase		\$50,001 - \$100,000
21	PIMCO Income Fund Class I-2 Shares (PONPX) (multiple)	Purchase		\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	T Rowe Price Capital Appreciation Fund (PRWCX) (multiple)	Sale		\$100,001 - \$250,000
23	First Eagle Global Fund Class I Shares (SGIIX) (multiple)	Sale		\$50,001 - \$100,000
24	Thornburg Investment Income Builder Fund Class I Shares (TIBIX) (multiple)	Sale		\$100,001 - \$250,000
25	T Rowe Price Blue Chip Growth Fund, Inc (TRBCX) (various)	Sale		\$15,001 - \$50,000
26	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	10/21/2020	\$100,001 - \$250,000
27	Vanguard Value Index Fund ETF Shares (VTV)	Purchase	10/21/2020	\$100,001 - \$250,000
28	BLACKSTONE LIFE SCIENCES V ACCESS FUND, L.P. (multiple)	Purchase		\$1,001 - \$15,000
29	APOLLO EUROPEAN FINANCE ACCESS FUND III, L.P. SERIES A (multiple)	Purchase		\$15,001 - \$50,000
30	VANGUARD EMERG MKTS SEL STK INV (VMMSX) (multiple)	Purchase		\$15,001 - \$50,000
31	COLUMBIA DIVIDEND INCOME A (LBASX) (multiple)	Purchase		\$15,001 - \$50,000
32	Nuveen High Yield Municipal Bond Fund Class A Shares (NHMAX)	Sale	08/31/2020	\$100,001 - \$250,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	APOLLO EUROPEAN FINANCE ACCESS FUND III, L.P. SERIES A	Capital Call	\$50,001 - \$100,000	2017	N/A	On Demand

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	CZECH III SENIOR LOAN TRUST CLASS A	Capital Call	\$50,001 - \$100,000	2016	N/A	On Demand
3	Bank of America	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2019	2.5%	30 years
4	BLACKSTONE LIFE SCIENCES V ACCESS FUND, L.P.	Capital Call	\$50,001 - \$100,000	2020		On Demand

9. Gifts and Travel Reimbursements

None

Endnotes

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).
