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

Filer's Information

Nason, Nicole

Administrator, Federal Highway Administration, Department of Transportation

Report Year: 2020

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 05/13/2020 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 06/10/2020 by Kaleta, Judith in Integrity.gov]

Other review conducted by
/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/05/2020 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/12/2020 by Granahan, Megan in Integrity.gov]

Data Revised 05/28/2020

Data Revised 05/27/2020

Data Revised 05/21/2020

Data Revised 05/18/2020

Data Revised 05/14/2020

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	General Electric Corp., severance and bonus receivable	N/A	Over $1,000,000	salary, bonus, severance	
2	Fidelity - General Electric 401(k) Plan	No			
2.1	STATE STREET SM CAP EQ FUND (SIVIX)	Yes	$15,001 - $50,000		$1,001 - $2,500
2.2	Fidelity - 2035 Target Retirement Fund	Yes	$15,001 - $50,000		$1,001 - $2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	State Street Institutional International Equity Fund Class Investment (SIEIX)		Yes	$15,001 - $50,000		$1,001 - $2,500
2.4	GE RSP INCOME FUND (GESLX)		Yes	$15,001 - $50,000		$1,001 - $2,500
2.5	Fidelity - 2040 Target Retirement Fund		Yes	Over $1,000,000		$15,001 - $50,000
2.6	Mercer GE International Equity Fund		Yes	$1,001 - $15,000		$201 - $1,000
2.7	General Electric Common Stock Fund	See Endnote	Yes	$1,001 - $15,000		None (or less than $201)
3	TIAA		N/A	$100,001 - $250,000	salary	

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	$100,001 - $250,000		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
6	Nuveen High Yield Municipal Bond A (NHMAX)	Yes	$100,001 - $250,000		$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	IShares Core S&P 500 ETF	Yes	$250,001 - $500,000		$5,001 - $15,000
8	Ishares MSCI Multifactor USA ETF	Yes	$100,001 - $250,000		$2,501 - $5,000
9	Proshares S&P 500 Dividends Aristocrats ETF	Yes	$50,001 - $100,000		$1,001 - $2,500
10	XTrackers MSCI EAFE Hedged Equity ETF (DBEF)	Yes	$100,001 - $250,000		$5,001 - $15,000
11	JPMORGAN DIVERSIFIED RETURN INTL EQ ETF (JPIN)	Yes	$100,001 - $250,000		$5,001 - $15,000
12	SPDR FD TECHNOLOGY ETF - XLK	Yes	$100,001 - $250,000		$1,001 - $2,500
13	GS Active Beta EM Equity ETF (GEM)	Yes	$50,001 - $100,000		$2,501 - $5,000
14	FIRST TRUST TACTICAL HIGH YIELD ETF	Yes	$50,001 - $100,000		$2,501 - $5,000
15	AMERICAN BEACON THE LONDON CO EQ FUND (ABCYX)	Yes	$250,001 - $500,000		$5,001 - $15,000
16	LOOMIS SAYLES GROWTH FUND (LSGRX)	Yes	$250,001 - $500,000		$2,501 - $5,000
17	THORNBURG INVMNT INCM BLDR (TIBIX)	Yes	$100,001 - $250,000		$5,001 - $15,000
18	FIRST EAGLE GLOBAL FUND (SGIIX)	Yes	$100,001 - $250,000		$2,501 - $5,000
19	Chiron Capital Allocation Fund (CCAPX)	Yes	$100,001 - $250,000		$5,001 - $15,000
20	JPMORGAN GLOBAL ALLOCATION FUND (GAOSX)	Yes	$100,001 - $250,000		$2,501 - $5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	BLACKSTONE ALT MULTI-STRATEGY FUND (BXMIX)	Yes	$100,001 - $250,000		$5,001 - $15,000
22	BLACKROCK STRATEGIC INCM OPP FUND (BSIIX)	Yes	$50,001 - $100,000		$5,001 - $15,000
23	PMCO INCOME FUND (PONPX)	Yes	$50,001 - $100,000		$5,001 - $15,000
24	DOUBLELINE TOTAL RETURN BOND FUND (DBLTX)	Yes	$50,001 - $100,000		$2,501 - $5,000
25	KOPERNIK GLOBAL ALL-CAP FUND (KGGIX)	Yes	$15,001 - $50,000		$201 - $1,000
26	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
27	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
28	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
29	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
30	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
31	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
32	OKLAHOMA CITY OKLA GO BDS 2017 MAR17 05.000%MAR01 2027	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
33	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
34	TEMPLE TEX INDPT SCH DIST ULTD TAX PSF GTD APR16 05.000%FEB01 2022	N/A	$15,001 - $50,000	Interest	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	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
36	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
37	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
38	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
39	OTTAWA CNTY MICH WTR SUPPLY SYS REF BDS LT APR15 04.000%AUG01 2023	N/A	$1,001 - $15,000	Interest	$201 - $1,000
40	GRANDFALLS ROYALTY TEX INDPT SCH DIST PSF GTD JAN15 04.000%FEB15 2023	N/A	$1,001 - $15,000	Interest	$201 - $1,000
41	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
42	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
43	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
44	TRINITY RIVER AUTH TEX REV REV BDS 2017 JUL17 05.000%FEB01 2031	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
45	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
46	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
47	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
48	MISSISSIPPI DEV BK SPL OBLIG SPL OBLIG BDS MAR17 05.000%MAR01 2032	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49	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
50	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
51	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
52	VERMONT HSG FIN AGY MULTIPLE PURP BDS B FEB16 02.200%MAY01 2024	N/A	$1,001 - $15,000	Interest	$201 - $1,000
53	General Electric Co Shares	N/A	$50,001 - $100,000	Dividends	$201 - $1,000
54	JONES LANG LASALLE INCOME PROPERTY TRUST INC CLASS M	Yes	$100,001 - $250,000		$5,001 - $15,000
55	CZECH III SENIOR LOAN TRUST CLASS A	Yes	$50,001 - $100,000		$5,001 - $15,000
56	APOLLO EUROPEAN FINANCE ACCESS FUND III, L.P. SERIES A	Yes	$15,001 - $50,000		$1,001 - $2,500
57	BLACKROCK LIQUIDITY FUNDS FEDFUND INST (TFDXX)	Yes	$500,001 - $1,000,000		$5,001 - $15,000
58	Wells Fargo, N.A. (cash)	N/A	$50,001 - $100,000	Interest	$201 - $1,000
59	Synchrony Bank, FSB (cash)	N/A	$100,001 - $250,000	Interest	$201 - $1,000
60	E*Trade Securities (cash)	N/A	$100,001 - $250,000	Interest	$201 - $1,000
61	Peoples United Bank, NA (cash)	N/A	$15,001 - $50,000	Interest	$201 - $1,000
62	Virginia 529 - 2021 Portfolio (Chesapeake)	Yes	$100,001 - $250,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	Virginia 529 - 2021 Portfolio (Chesapeake)	Yes	$100,001 - $250,000		None (or less than $201)
64	Connecticut 529 (CHET) - Aggressive Managed Allocation 9-10	Yes	$100,001 - $250,000		None (or less than $201)
65	PIMCO INCOME FUND CL P (PONPX)	Yes	$50,001 - $100,000		$2,501 - $5,000
66	CLARK & SKAMANIA WA SD#112-6 ULTD SCH GTD JUN15 05.000%DEC01 2021	N/A	$1,001 - $15,000	Interest	$201 - $1,000
67	Nicole Nason IRA		$100,001 - $250,000		$2,501 - $5,000
67.1	American Beacon Fund (ABCYX)	Yes	$15,001 - $50,000		$201 - $1,000
67.2	GS Active Beta EM Equity ETF (GEM)	Yes	$1,001 - $15,000		$201 - $1,000
67.3	iShares S&P 500 Index (IVV)	Yes	$15,001 - $50,000		$201 - $1,000
67.4	JP Morgan ETF Trust Shares (JPIN)	Yes	$1,001 - $15,000		$201 - $1,000
67.5	Loomis Sales Growth Fund (LSGRX)	Yes	$15,001 - $50,000		$201 - $1,000
67.6	Xtrackers MSCI Hedged Equity ETF (DBEF)	Yes	$1,001 - $15,000		$201 - $1,000
68	Janus Henderson Mortgage Backed Securities (JMBS)	Yes	$15,001 - $50,000		$1,001 - $2,500
69	Mainstay Mackay High Yield Bond Fund (MMHIX)	Yes	$50,001 - $100,000		$1,001 - $2,500
70	Nuveen Short Dur Hi Yld Muni Bd I (NVHIX)	Yes	$50,001 - $100,000		$1,001 - $2,500
71	SPDR US Financial Sector (XLF)	Yes	$15,001 - $50,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	Vanguard Growth ETF (VUG)	Yes	$100,001 - $250,000		$1,001 - $2,500
73	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

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Ohio St Major New St Infrastructure DEC 2024 Bond	Sale	05/06/2019	$15,001 - $50,000
2	Maine Mun NOV 2025 Bond	Sale	05/06/2019	$15,001 - $50,000
3	Maine Mun NOV 2026 Bond	Sale	05/06/2019	$15,001 - $50,000
4	Apollo European Finance Access Fund III	Purchase	06/05/2019	$1,001 - $15,000
5	Czech III Senior Loan Trust Class A	Purchase	05/31/2019	$1,001 - $15,000
6	Czech III Senior Loan Trust Class A	Purchase	05/30/2019	$1,001 - $15,000
7	Blackstone Strategic Partners Secondaries VII Trust Class A	Sale	06/18/2019	$50,001 - $100,000
8	Blackstone Alternative Solutions IV, LP	Sale	06/18/2019	$15,001 - $50,000
9	SOF Global Real Estate XI, LP	Sale	06/18/2019	$1,001 - $15,000
10	T. Rowe Price Diversified Sm Cap Growth (PRDSX) (multiple)	Purchase		$15,001 - $50,000
11	T. Rowe Price Blue Chip Growth (multiple)(TRBCX)	Purchase		$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	T. Rowe Price Capital Appreciation (PRWCX) (multiple)	Purchase		$50,001 - $100,000
13	Vanguard Emerging Markets Select Stock (VMMSX) (multiple)	Purchase		$15,001 - $50,000
14	T. Rowe Price Real Estate (TRREX)	Sale	03/04/2019	$15,001 - $50,000
15	Nuveen High Yield Municipal Bond A (NHMAX) (multiple)	Purchase		$100,001 - $250,000
16	FPA Crescent Fund (FPACX)	Sale	03/15/2019	$100,001 - $250,000
17	X-TRACKERS MSCI EAFE HEDGED EQUITY ETF (DBEF) (multiple)	Purchase		$100,001 - $250,000
18	American Funds 2040 Fund (AAGTX)	Sale	07/30/2019	$50,001 - $100,000
19	AMERICAN BEACON THE LONDON CO EQ FUND (ABCYX) (multiple)	Purchase		$100,001 - $250,000
20	BLACKROCK STRATEGIC INCM OPP FUND (BSIIX)	Purchase	05/07/2019	$15,001 - $50,000
21	BLACKSTONE ALT MULTI-STRATEGY FUND (BXMIX) (multiple)	Purchase		$15,001 - $50,000
22	Chiron Capital Allocation Fund (CCAPX) (multiple)	Purchase		$15,001 - $50,000
23	DOUBLELINE TOTAL RETURN BOND FUND (DBLTX) (multiple)	Purchase		$15,001 - $50,000
24	JPMORGAN GLOBAL ALLOCATION FUND (GAOSX) (multiple)	Purchase		$15,001 - $50,000
25	Gotham Absolute Return Fund (GARIX)	Sale	03/13/2019	$15,001 - $50,000
26	GS Active Beta EM Equity ETF (GEM)	Purchase	08/02/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
27	FIRST TRUST TACTICAL HIGH YIELD ETF (multiple)	Purchase		$15,001 - $50,000
28	iShares S&P 500 Index (IVV) (multiple)	Purchase		$100,001 - $250,000
29	iShares Core S&P CAP ETF (IJR)	Sale	03/13/2019	$15,001 - $50,000
30	Janus Henderson Mortgage Backed Securities (JMBS)	Purchase	08/27/2019	$15,001 - $50,000
31	JPMORGAN DIVERSIFIED RETURN INTL EQ ETF (JPIN) (multiple)	Purchase		$100,001 - $250,000
32	KOPERNIK GLOBAL ALL-CAP FUND (KGGIX)	Purchase	12/31/2019	$1,001 - $15,000
33	Ishares MSCI Multifactor USA ETF (multiple)	Purchase		$15,001 - $50,000
34	LOOMIS SAYLES GROWTH FUND (LSGRX) (multiple)	Purchase		$50,001 - $100,000
35	LOOMIS SAYLES SR Float Rate (LSFYX)	Sale	08/27/2019	$15,001 - $50,000
36	Mainstay Mackay High Yield Bond Fund (MMHIX)	Purchase	12/24/2019	$50,001 - $100,000
37	Nuveen Short Dur Hi Yld Muni Bd I (NVHIX)	Purchase	12/24/2019	$50,001 - $100,000
38	PIMCO INCOME FUND CL P (PONPX) (multiple)	Purchase		$15,001 - $50,000
39	PIMCO Short-Term P (PTSPX)	Sale	08/27/2019	$15,001 - $50,000
40	AQR Style Premia Alternative Fund (QSPIX) multiple	Sale		$50,001 - $100,000
41	iShares MSCI EAFE Small Cap Index (SCZ)	Sale	03/13/2019	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
42	FIRST EAGLE GLOBAL FUND (SGIIX) (multiple)	Purchase		$50,001 - $100,000
43	BLACKROCK LIQUIDITY FUNDS FEDFUND INST (TFDXX) (multiple)	Purchase		$1,000,001 - $5,000,000
44	BLACKROCK LIQUIDITY FUNDS FEDFUND INST (TFDXX) (multiple)	Sale		$1,000,001 - $5,000,000
45	THORNBURG INVMNT INCM BLDR (TIBIX) (multiple)	Purchase		$15,001 - $50,000
46	Vanguard Growth ETF (VUG) (multiple)	Purchase		$15,001 - $50,000
47	SPDR FD TECHNOLOGY ETF - XLK (multiple)	Purchase		$50,001 - $100,000
48	Czech III Senior Loan Trust Class A	Purchase	03/28/2019	$15,001 - $50,000
49	JONES LANG LASALLE INCOME PROPERTY TRUST INC CLASS M (multiple)	Purchase		$1,001 - $15,000
50	Czech III Senior Loan Trust Class A	Purchase	02/26/2019	$1,001 - $15,000
51	Czech III Senior Loan Trust Class A	Purchase	07/15/2019	$1,001 - $15,000
52	Czech III Senior Loan Trust Class A	Purchase	08/06/2019	$1,001 - $15,000
53	Czech III Senior Loan Trust Class A	Purchase	10/16/2019	$1,001 - $15,000
54	Czech III Senior Loan Trust Class A	Purchase	11/15/2019	$1,001 - $15,000

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	BLACKSTONE ALTERNATIVES SOLUTION IV L.P. TRANCHE A	See Endnote	Capital Call	$100,001 - $250,000	2017	N/A	On Demand
3	Liberty Bank	See Endnote	Mortgage on Personal Residence	$250,001 - $500,000	2017	2.875%	30 yr.
4	Liberty Bank	See Endnote	Exercised Line of Credit	$15,001 - $50,000	2017	4.75%	5 yrs.
5	CZECH III SENIOR LOAN TRUST CLASS A		Capital Call	$50,001 - $100,000	2016	N/A	On Demand
6	BLACKSTONE STRAT. PART. SECONDARIES VII TRUST CLASS A	See Endnote	Capital Call	$50,001 - $100,000	2016	N/A	On Demand
7	SOF (STARWOOD) GLOBAL REAL ESTATE FUND XI, L.P. CLASS A	See Endnote	Capital Call	$50,001 - $100,000	2016	N/A	On Demand
8	Bank of America		Mortgage on Personal Residence	$500,001 - $1,000,000	2019	2.5%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
5.	2.7	The GE Stock Fund invests at least 98% of its assets in GE Stock, with the remainder held in cash or cash equivalents (currently through investment in the GE RSP Government Money Market Fund).
8.	2	Interest in fund sold per ethics agreement.

PART	#	ENDNOTE
8.	3	Account Closed/paid in full when house was sold in 2019.
8.	4	Account Closed/paid in full when house was sold in 2019.
8.	6	Interest in fund sold per ethics agreement.
8.	7	Interest in fund sold per ethics agreement.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of $156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. 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.

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