Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

MENEZES, MARK W

Deputy Secretary, Department of Energy

Date of Termination: 01/20/2021

Other Federal Government Positions Held During the Preceding 12 Months:

Under Secretary of Energy (11/2017 - 8/2020)

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/ MENEZES, MARK [electronically signed on 01/29/2021 by MENEZES, MARK 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/ Beard, Susan F, Certifying Official [electronically signed on 02/18/2021 by Beard, Susan F in Integrity.gov]

Other review conducted by
/s/ Seibert, Apple, Ethics Official [electronically signed on 02/18/2021 by Seibert, Apple in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 02/18/2021 by Granahan, Megan in Integrity.gov]

Data Revised 02/17/2021

Data Revised 02/12/2021

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	Hunton Andrews Kurth, LLP 401(k) - Administered by Fidelity	No			None (or less than $201)
1.1	Fidelity Puritan Fund Class K (FPUKX)	Yes	$1,000,001 - $5,000,000		None (or less than $201)
2	IRA #1 See Endnote	No			None (or less than $201)
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	$100,001 - $250,000		None (or less than $201)
2.2	American Funds Investment Company of America Class A (AIVSX)	Yes	$100,001 - $250,000		None (or less than $201)
2.3	American Funds New World Fund Class A (NEWFX)	Yes	$15,001 - $50,000		None (or less than $201)
2.4	Fidelity Capital & Income Fund (FAGIX)	Yes	$50,001 - $100,000		None (or less than $201)
2.5	Fidelity Short-Term Bond Fund (FSHBX)	Yes	$250,001 - $500,000		None (or less than $201)
2.6	Fidelity High Income Fund (SPHIX)	Yes	$50,001 - $100,000		None (or less than $201)
2.7	UBS Global Allocation Fund Class A (BNGLX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	Novartis AG (ADR) (NVS)		N/A	$1,001 - $15,000		None (or less than $201)
2.9	Old Dominion Freight Line (ODFL)		N/A	$15,001 - $50,000		None (or less than $201)
2.10	Patterson Companies, Inc. (PDCO)	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)
3	IRA #2		No			
3.1	U.S. Brokerage Account (Cash)		N/A	$15,001 - $50,000		None (or less than $201)
3.2	Amgen Inc.		N/A	$1,001 - $15,000		None (or less than $201)
3.3	Costco Wholesale Corp		N/A	$15,001 - $50,000		None (or less than $201)
3.4	Delta Air Lines Inc.	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)
3.5	Glaxosmithkline PLC ADR	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)
3.6	Merck & Co.		N/A	$1,001 - $15,000		None (or less than $201)
3.7	Netflix Inc.		N/A	$50,001 - $100,000		None (or less than $201)
3.8	Square Inc. Class A		N/A	$50,001 - $100,000		None (or less than $201)
3.9	TJX Companies Inc.		N/A	$15,001 - $50,000		None (or less than $201)
3.10	Twitter Inc.		N/A	$15,001 - $50,000		None (or less than $201)
3.11	Union Pacific Corp.	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	United Parcel SRVC Class B		N/A	$1,001 - $15,000		None (or less than $201)
3.13	Walt Disney Co		N/A	$1,001 - $15,000		None (or less than $201)
3.14	Workday Inc.	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)
3.15	SPDR S&P Emerging Markets ETF	See Endnote	Yes	$1,001 - $15,000		None (or less than $201)
3.16	Schwab Value Advantage Fund	See Endnote	Yes	$15,001 - $50,000		None (or less than $201)
3.17	Zoom Video Communications		N/A	$15,001 - $50,000		None (or less than $201)
3.18	Starbucks Corp (SBUX)	See Endnote	N/A	$15,001 - $50,000		None (or less than $201)
3.19	Amazon.com, Inc. (AMZN)		N/A	$1,001 - $15,000		None (or less than $201)
3.20	Etsy, Inc. (ETSY)		N/A	$15,001 - $50,000		None (or less than $201)
3.21	Facebook, Inc. (FB)		N/A	$1,001 - $15,000		None (or less than $201)
3.22	PayPal Holdings, Inc. (PYPL)		N/A	$1,001 - $15,000		None (or less than $201)
3.23	Roku, Inc. (ROKU)		N/A	$1,001 - $15,000		None (or less than $201)
3.24	salesforce.com, inc. (CRM)		N/A	$1,001 - $15,000		None (or less than $201)
3.25	Shopify		N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.26	Spotify Technology		N/A	$15,001 - $50,000		None (or less than $201)
3.27	Teladoc, Inc.		N/A	$1,001 - $15,000		None (or less than $201)
3.28	Schwab Municipal Money Fund Investor Class Shares (SWTXX)	See Endnote	Yes	$1,001 - $15,000		None (or less than $201)
3.29	Beyond Meat, Inc. (BYND)	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Hunton Andrews Kurth, LLP - 401(k) plan	Washington, District of Columbia	I will continue to participate in this defined contribution plan; no further contributions have been made since my separation.	3/2006

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	Language Interpretation Services - Sole Proprietorship	N/A	None (or less than $1,001)	Fees	$0

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)		N/A	$50,001 - $100,000	Interest	None (or less than $201)
2	U.S. brokerage account #1		No			
2.1	U.S. bank deposit program (cash)		N/A	$1,001 - $15,000		None (or less than $201)
2.2	CVS Health Corp	See Endnote	N/A	$1,001 - $15,000	Dividends Capital Gains	None (or less than $201)
2.3	Facebook, Inc. - Class A Common Stock	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)
3	U.S. bank account #2 (cash)		N/A	$1,001 - $15,000	Interest	None (or less than $201)
4	Fidelity Variable Annuity		No			
4.1	Fidelity VIP Government Money Market (FTNJC)		Yes	$1,001 - $15,000		None (or less than $201)
5	U.S. bank account #3 (cash)		N/A	$1,001 - $15,000		None (or less than $201)
6	American Equity Investment Life Insurance Company - Fixed Annuity		N/A	$100,001 - $250,000		None (or less than $201)
7	Residential Rental Real Estate (Washington, DC)		N/A	$250,001 - $500,000	Rent or Royalties	$50,001 - $100,000
8	Residential Rental Real Estate (Arlington, VA)		N/A	$250,001 - $500,000	Rent or Royalties	$50,001 - $100,000
9	Residential Rental Real Estate (Falls Church, VA)		N/A	$500,001 - $1,000,000	Rent or Royalties	$50,001 - $100,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Health Savings Account (HSA) administered by FPS Trust Company/HSA Administration		No			
10.1	Vanguard LifeStrategy Growth Fund Investor Shares (VASGX)		Yes	$15,001 - $50,000		None (or less than $201)
11	Midland National Life Insurance Company - Universal Life Insurance Policy		N/A	$250,001 - $500,000		None (or less than $201)
12	U.S. brokerage account #2	See Endnote	No			
12.1	Fidelity Government Money Market Fund (SPAXX)	See Endnote	Yes	$1,001 - $15,000		None (or less than $201)
12.2	Mondelez International Inc (MDLZ)		N/A	$1,001 - $15,000		None (or less than $201)
13	U.S. bank account #4 (cash)		N/A	$1,001 - $15,000		None (or less than $201)
14	Residential Investment Real Estate (Washington, D.C.)		N/A	$250,001 - $500,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Workday Inc.	Sale	01/02/2020	$1,001 - $15,000
2	Delta Air Lines (DAL)	Sale	03/20/2020	$1,001 - $15,000
3	Starbucks Corp. (SBUX)	Purchase	04/23/2020	$1,001 - $15,000
4	S&P Emerging Markets Dividend ETF	Sale	04/29/2020	$1,001 - $15,000
5	Patterson Cos., Inc. (PDCO)	Sale	05/04/2020	$1,001 - $15,000
6	Square, Inc. (SQ)	Purchase	05/07/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Schwab Municipal Money Fund	Purchase	05/04/2020	$50,001 - $100,000
8	S&P Emerging Markets Dividend ETF	Sale	05/04/2020	$1,001 - $15,000
9	Schwab Municipal Money Fund	Sale	05/07/2020	$1,001 - $15,000
10	Starbucks Corp. (SBUX)	Purchase	06/10/2020	$1,001 - $15,000
11	Schwab Value Advantage Fund	Sale	06/10/2020	$1,001 - $15,000
12	Starbucks Corp. (SBUX)	Purchase	06/11/2020	$1,001 - $15,000
13	Starbucks Corp. (SBUX)	Purchase	06/18/2020	$1,001 - $15,000
14	GlaxoSmithKline PLC	Purchase	06/12/2020	$1,001 - $15,000
15	Union Pacific Corp. (UNP)	Purchase	06/19/2020	$1,001 - $15,000
16	Union Pacific Corp. (UNP)	Purchase	07/01/2020	$1,001 - $15,000
17	Starbucks Corp. (SBUX)	Purchase	07/20/2020	$1,001 - $15,000
18	Beyond Meat, Inc. (BYND)	Purchase	07/20/2020	$1,001 - $15,000
19	Beyond Meat, Inc. (BYND)	Purchase	07/20/2020	$1,001 - $15,000
20	Starbucks Corp. (SBUX)	Purchase	07/20/2020	$1,001 - $15,000
21	Schwab Value Advantage Money Fund	Purchase	07/20/2020	$1,001 - $15,000
22	Spotify Technology	Purchase	07/31/2020	$1,001 - $15,000
23	Schwab Value Advantage Money Fund	Purchase	08/03/2020	$1,001 - $15,000
24	Spotify Technology	Purchase	08/03/2020	$1,001 - $15,000
25	Teladoc Health, Inc. (TDOC)	Purchase	08/05/2020	$1,001 - $15,000
26	Beyond Meat, Inc. (BYND)	Purchase	08/05/2020	$1,001 - $15,000
27	Spotify Technology	Purchase	08/05/2020	$1,001 - $15,000
28	Roku, Inc. (ROKU)	Purchase	08/06/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
29	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	08/07/2020	$1,001 - $15,000
30	Etsy, Inc. (ETSY)	Purchase	08/06/2020	$1,001 - $15,000
31	Fastly, Inc. (FSLY)	Purchase	08/12/2020	$1,001 - $15,000
32	Eli Lilly & Co. (LLY)	Purchase	08/13/2020	$1,001 - $15,000
33	Beyond Meat, Inc. (BYND)	Purchase	08/18/2020	$1,001 - $15,000
34	Etsy, Inc. (ETSY)	Purchase	08/27/2020	$1,001 - $15,000
35	Morgan Stanley	Purchase	08/17/2020	$1,001 - $15,000
36	Etsy, Inc. (ETSY)	Purchase	08/28/2020	$1,001 - $15,000
37	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	08/28/2020	$1,001 - $15,000
38	Beyond Meat, Inc. (BYND)	Purchase	08/05/2020	$1,001 - $15,000
39	Spotify Technology	Purchase	08/05/2020	$1,001 - $15,000
40	Teladoc Health, Inc. (TDOC)	Purchase	08/05/2020	$1,001 - $15,000
41	Roku, Inc. (ROKU)	Purchase	08/06/2020	$1,001 - $15,000
42	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	08/07/2020	$1,001 - $15,000
43	Etsy, Inc. (ETSY)	Purchase	08/06/2020	$1,001 - $15,000
44	Fastly, Inc. (FSLY)	Purchase	08/12/2020	$1,001 - $15,000
45	Morgan Stanley	Purchase	08/17/2020	$1,001 - $15,000
46	Eli Lilly & Co. (LLY)	Purchase	08/13/2020	$1,001 - $15,000
47	Beyond Meat, Inc. (BYND)	Purchase	08/18/2020	$1,001 - $15,000
48	Etsy, Inc. (ETSY)	Purchase	08/27/2020	$1,001 - $15,000
49	Etsy, Inc. (ETSY)	Purchase	08/28/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
50	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	08/28/2020	$1,001 - $15,000
51	Beyond Meat, Inc. (BYND)	Purchase	08/05/2020	$1,001 - $15,000
52	Spotify Technology	Purchase	08/05/2020	$1,001 - $15,000
53	Etsy, Inc. (ETSY)	Purchase	08/06/2020	$1,001 - $15,000
54	Roku, Inc. (ROKU)	Purchase	08/06/2020	$1,001 - $15,000
55	Teladoc Health, Inc. (TDOC)	Purchase	08/05/2020	$1,001 - $15,000
56	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	08/07/2020	$1,001 - $15,000
57	Fastly, Inc. (FSLY)	Purchase	08/12/2020	$1,001 - $15,000
58	Eli Lilly & Co. (LLY)	Purchase	08/13/2020	$1,001 - $15,000
59	Morgan Stanley	Purchase	08/17/2020	$1,001 - $15,000
60	Etsy, Inc. (ETSY)	Purchase	08/27/2020	$1,001 - $15,000
61	Beyond Meat, Inc. (BYND)	Purchase	08/18/2020	$1,001 - $15,000
62	Etsy, Inc. (ETSY)	Purchase	08/28/2020	$1,001 - $15,000
63	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	08/28/2020	$1,001 - $15,000
64	Shopify Inc.	Purchase	09/08/2020	$1,001 - $15,000
65	Shopify Inc.	Purchase	09/16/2020	$1,001 - $15,000
66	Etsy, Inc. (ETSY)	Purchase	09/16/2020	$1,001 - $15,000
67	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	09/17/2020	$1,001 - $15,000
68	Spotify Technology	Purchase	09/21/2020	$1,001 - $15,000
69	PayPal Holdings, Inc. (PYPL)	Purchase	09/16/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
70	Starbucks Corp. (SBUX)	Purchase	09/21/2020	$1,001 - $15,000
71	Spotify Technology	Purchase	09/28/2020	$1,001 - $15,000
72	GlaxoSmithKline PLC Sponsored ADR	Purchase	09/29/2020	$1,001 - $15,000
73	Starbucks Corp. (SBUX)	Purchase	10/02/2020	$1,001 - $15,000
74	Spotify Technology	Purchase	10/02/2020	$1,001 - $15,000
75	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	10/02/2020	$1,001 - $15,000
76	GlaxoSmithKline PLC ADR	Purchase	10/06/2020	$1,001 - $15,000
77	GlaxoSmithKline PLC ADR	Purchase	10/09/2020	$1,001 - $15,000
78	Etsy, Inc. (ETSY)	Purchase	10/29/2020	$1,001 - $15,000
79	Beyond Meat, Inc. (BYND)	Sale	11/10/2020	$1,001 - $15,000
80	Shopify Inc.	Purchase	11/16/2020	$1,001 - $15,000
81	Amazon.com, Inc. (AMZN)	Purchase	12/04/2020	$1,001 - $15,000
82	salesforce.com, inc. (CRM)	Purchase	12/09/2020	$1,001 - $15,000
83	salesforce.com, inc. (CRM)	Purchase	12/03/2020	$1,001 - $15,000
84	Amazon.com, Inc. (AMZN)	Purchase	12/09/2020	$1,001 - $15,000
85	Amazon.com, Inc. (AMZN)	Purchase	01/13/2021	$1,001 - $15,000
86	Facebook, Inc. (FB)	Purchase	01/14/2021	$1,001 - $15,000
87	Facebook, Inc. (FB)	Purchase	01/15/2021	$1,001 - $15,000
88	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	01/13/2021	$1,001 - $15,000
89	Advanced Micro Devices, Inc. (AMD)	Purchase	01/14/2021	$1,001 - $15,000
90	salesforce.com, inc. (CRM)	Purchase	01/14/2021	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
91	Schwab Value Advantage Money Fund Investor Class Shares (SWVXX)	Sale	01/15/2021	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T		Mortgage (investment/rental property)	$100,001 - $250,000	2011	5.0	30-year fixed
2	Wells Fargo		Mortgage (investment/rental property)	$250,001 - $500,000	2011	4.125	30-year fixed
3	Wells Fargo		Mortgage (investment/rental property)	$250,001 - $500,000	2012	3.5	30-year fixed
4	Movement Mortgage	See Endnote	Mortgage (investment/rental property)	$250,001 - $500,000	2017	3.99	30-year fixed
5	Citizens One	See Endnote	Mortgage on Personal Residence	$500,001 - $1,000,000	2019	3.75	30-yr fixed
6	George Mason Mortgage	See Endnote	Mortgage on Personal Residence	$500,001 - $1,000,000	2020	3.125	30-year fixed

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	2	Assets in IRA#1 were moved into IRA#2 during reporting period.
2.	2.10	Sold asset during reporting period.
2.	3.4	Sold a portion of this asset during reporting period.
2.	3.5	Purchased additional shares during reporting period.
2.	3.11	Purchased additional shares during reporting period.
2.	3.14	Sold asset during reporting period.
2.	3.15	Sold asset during reporting period.
2.	3.16	Purchased and sold portions of this asset during reporting period.
2.	3.18	Purchased additional shares several times during reporting period.
2.	3.28	Purchased and sold this asset during reporting period.
2.	3.29	Purchased asset several times and sold all shares during reporting period on 11/10/20.
6.	2.2	Sold portions of this asset on various dates during reporting period.
6.	2.3	Sold a portion of asset during reporting period.
6.	12	Transferred all assets to U.S. Brokerage account #1 during reporting period.
6.	12.1	Converted to cash upon transfer to U.S. Brokerage account #1.
8.	4	Movement Mortgage sold mortgage to Flagstar Bank during reporting period. All terms remained the same.
8.	5	Refinanced Citizens One mortgage with George Mason Mortgage. Citizens One mortgage paid off in full.
8.	6	Replaces Citizens One mortgage on residence.

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).
