

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

## Filer's Information

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**Wilson, Heather A**

Secretary of the Air Force, Department of the Air Force

Date of Termination: 05/31/2019

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Wilson, Heather A [electronically signed on 05/31/2019 by Wilson, Heather A in Integrity.gov] - Filer received a 45 day filing extension.**

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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/ Sanders, Douglas D, Certifying Official [electronically signed on 06/05/2019 by Sanders, Douglas D in Integrity.gov]**

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Other review conducted by

**/s/ Braud, Amy E., Ethics Official [electronically signed on 06/05/2019 by Braud, Amy E. in Integrity.gov]**

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U.S. Office of Government Ethics Certification

Data Revised 10/28/2019

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(10/28/2019, Apol, David): COMMENT OR PUBLIC ANNOTATION Type a comment or public annotation  Share as Comment   ClearPublic Annotation  Apol, David Public Annotation: October 28th 2019, 4:23:37 pm EST  Filer states that she thought she had complied with her ethics agreement by divesting all her Husky stock, but discovered her husband had a small amount in a second account which she became aware of when it appreciated to over \$1000. Agency confirmed that she did not participate in any particular matter affecting Husky while Secretary. Filer had left the government by the time she filed so was unable to sell to come into compliance while in government.

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## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Flight Time LLC	See Endnote	Rapid City, South Dakota	Corporation	Member	1/2016	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vistra Energy Corp (VST)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Pimco Total Return		Yes	\$1,001 - \$15,000		None (or less than \$201)
3	American Beacon Lg Cap		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	American Century Growth		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5	Dodge & Cox International		Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Harbor International		Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Manning & Napier World		Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Parnassus Core Equity		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9	Royce Total Return		Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Schwab Markettrack Growth		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Schwab Target 2025	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12	US Bank Account SCH-1 (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	South Dakota Retirement System (State of South Dakota) Supplemental Retirement Plan	No			
13.1	VNGRD SM CAP INDX FD AS	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.2	DODGECOX GLBL STK	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.3	VNGRD INST INDX INST	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.4	VANGRD TTL BD MKT INDX INST	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.5	VNGRD TRGT RTMT 2025 INV	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	South Dakota Retirement System (State of South Dakota), defined benefit plan (value not readily ascertainable) Maximum eligibility of \$4,699 per month at age 65 if employment continued in SD.	N/A			None (or less than \$201)
15	International Law and the Use of Force by National Liberation Movements, Oxford University Press, 1988 (value not readily ascertainable)	N/A			None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	South Dakota Retirement System (State of South Dakota) Supplemental Retirement Plan	Pierre, South Dakota	I may continue to participate in this defined contribution plan upon separation. The plan sponsor will not make further contributions after my separation.	12/2015
2	South Dakota Retirement System (State of South Dakota) Defined Benefit	Pierre, South Dakota	I am vested in the SD State employee retirement plan and, under current SD statute, will receive monthly retirement payments beginning at age 65.	6/2013
3	University of Texas	Austin, Texas	Agreement for future employment commencing August 15, 2019. UT Regent vote was April 2, 2019.	8/2019

#### 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	AT&T Inc Com USD1	N/A	\$1,001 - \$15,000		\$201 - \$1,000
2	CF INDS HLDGS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	CONTINENTAL RES INC OKLA COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	CORNING INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	FACEBOOK INC COM USDO.000006 CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	LADENBURG THALMANN FIN SVCS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	MATADOR RESOURCES COMPANY COM USDO.01	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	MSCI INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	NETAPP INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	RAYONIER INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	ROYAL GOLD INC COM ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	MAINSTAY S&P 500 INDEX CL A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	GLOBAL X FDS GLOBAL X MSCI GREECE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	GLOBAL X FDS GLOBAL X URANIUM	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	ISHARES INC MSCI GERMANY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	ISHARES MSCI SPAIN CAPPED ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	INVESCO QQQ TR UNIT SER 1	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
18	PROSHARES TR ULTRA MSCI EMERGIN MKTS	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	PROSHARES ULTRA TECH PROSHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	SPDR INDEX SHS FDS EURO STOXX 50 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	SPDR SER TR S&P OIL & GAS EXPL & PRODTN	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	VANECK VECTORS ETF TR COAL ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	VANECK VECTORS ETF TR INDIA SMALL CAP	Yes	\$1,001 - \$15,000		None (or less than \$201)
24	VANECK VECTORS ETF TR JR GOLD MINERS E	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	VANECK VECTORS ETF TR UNCVTL OIL GAS	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	WISDOMTREE TR EMERGING MKTS HIGH DIVID	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	WISDOMTREE EUROPE HEDGED EQ	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	ISHARES SILVER TR ISHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)
29	PROSHARES TR II PROSHARES ULTRA EURO	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	TEUCRIUM COMMODITY TR CORN GD SHS	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	UNITED STS COMMODITY INDEX FD COMMODITY	Yes	\$1,001 - \$15,000		None (or less than \$201)
32	DK DELEK US HOLDINGS	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	DVN DEVON ENERGY CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	VISTRA ENERGY CORP (VST)	See Endnote	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	EPD ENTERPRISE PRODUCTS	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	MTRX MATRIX SERVICE CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	NTAP NETAPP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	NS NUSTAR ENERGY LP	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
39	NM Public Employee Retirement Plan (PERA), defined benefit plan (value not readily ascertainable)	N/A		retirement payments	
40	ISHARES IN MSCI ITALY CAPPED ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	QIWI QIWIPLC F	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	SWIR SIERRA WIRELESS INC F	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	WDC WESTERN DIGITAL CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	WES WESTERN MIDSTREAM PARTNE	See Endnote	\$1,001 - \$15,000	Dividends	None (or less than \$201)
45	YNDX YANDEX N V F CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	ENFR ALERIAN ENERGY	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	AMLP ALPS ALERIAN MLP ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
48	JJG BARCLAYS BK IPATH BLOOM ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49	DGP DB GOLD DOUBLE LONG ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	SLV ISHARES SILVER TRUST ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	ITB ISHARES US HOME	Yes	\$1,001 - \$15,000		None (or less than \$201)
52	FEZ SPDR EURO STOXX 50 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
53	GLD SPDR GOLD SHARES ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
54	DEM WISDOMTREE EMRG MRKT	Yes	\$1,001 - \$15,000		None (or less than \$201)
55	US BROKERAGE MONEY MARKET ACCOUNT (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
56	US BANK ACCOUNT (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
57	NM PERA SMARTSAVE POS NEWMXCO LFCYCLE 2025	Yes	\$1,001 - \$15,000		None (or less than \$201)
58	CHARLES SCHWAB CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
59	BOOKING HOLDINGS	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
60	BARCLAYS BANK iPATH BLOOMBERG ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	SPDR GOLD SHARES ETF	N/A	\$15,001 - \$50,000		None (or less than \$201)
62	DELL TECHNOLOGIES INC CL C	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	FAIRFAX FINL HLDGS LTD SUB VTG ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
64	SPROTT PHYSICAL GOLD AND SILVER TR TRUST	N/A	\$1,001 - \$15,000		None (or less than \$201)
65	THE CHARLES SCHWAB CORPORATION COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
66	HUSKY ENERGY INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US BANK ACCOUNT #1 BA-9 (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	US BANK ACCOUNT #2 WF-8 (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	US BANK ACCOUNT #3 WF-3 (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	US BANK ACCOUNT #4 WF-7 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	US BANK ACCOUNT #5 US-1 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	RESIDENTIAL REAL ESTATE, WASHINGTON DC	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
7	RESIDENTIAL REAL ESTATE, REDWOOD, ANGEL FIRE NM	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	US CREDIT UNION (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	RESIDENTIAL REAL ESTATE, LAFAYETTE, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
10	RESIDENTIAL REAL ESTATE, PLAYER LOOP, RIO RANCHO, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
11	RESIDENTIAL REAL ESTATE, VISTA GRANDE, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
12	RESIDENTIAL REAL ESTATE, SKYWATCHER, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
13	RESIDENTIAL REAL ESTATE, BLOSSOMWOOD, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
14	RESIDENTIAL REAL ESTATE, CORDOVA, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
15	RESIDENTIAL REAL ESTATE, EDITH, ALBUQUERQUE, NM	N/A	\$50,001 - \$100,000		None (or less than \$201)
16	UNDEVELOPED LAND, ANGEL FIRE, NM	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	UNDEVELOPED LAND, RIO ARRIBA COUNTY, NM	N/A	\$15,001 - \$50,000		None (or less than \$201)
18	UNDEVELOPED LAND, VALENCIA COUNTY, NM	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	UNDEVELOPED LAND, SANDOVAL COUNTY, NM	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	RESIDENTIAL REAL ESTATE, HAYES, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
21	RESIDENTIAL REAL ESTATE, MESA MARIPOSA, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
22	NORTHWESTERN MUTUAL VARIABLE LIFE INS	No			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.1	INTERNATIONAL EQUITY(MSA/FRANKLIN TMPL)	Yes	\$15,001 - \$50,000		
22.2	INDEX 500 STOCK (MSA)	Yes	\$15,001 - \$50,000		
22.3	GROWTH STOCK (MSA/THE BOSTON COMPANY)	Yes	\$15,001 - \$50,000		
22.4	SMALL CAP GROWTH STOCK (MSA/WELLINGTON)	Yes	\$15,001 - \$50,000		
22.5	RUSSELL NON-US	Yes	\$1,001 - \$15,000		
22.6	RUSSELL GLOBAL REAL ESTATE SECURITIES	Yes	\$1,001 - \$15,000		
23	FLIGHT TIME LLC (UNDERLYING ASSET IS NOT REPORTABLE)	N/A			
24	US BANK ACCOUNT #6 USB-7 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	VANGUARD INTERMED TERM BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	VANGUARD LONG TERM BOND ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
27	VANGUARD TOTAL INTL BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	VANGUARD SHORT TERM BOND ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
29	VANGUARD FTSE DEVELOPED MKTS ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
30	VANGUARD MTGE BUSINESS SEC ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
31	VANGUARD S&P 500 INDEX ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
32	VANGUARD EMERGING MARKETS VIPERS INDEX ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	VANGUARD EXTENDED MARKET ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Central FD CDA Ltd	Exchange	01/2018	\$1,001 - \$15,000
2	Sprott Physical Gold and Silver Trust	Exchange	01/2018	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	WELLS FARGO 2ND MORTGAGE/EQUITY LINE	Mortgage on Personal Residence	\$100,001 - \$250,000	2013	3.5%	20 YEARS
2	CITIMORTGAGE PRIMARY MORTGAGE	Mortgage on Personal Residence	\$50,001 - \$100,000	2012	4.25%	30 YEARS
3	PNC BANK -- SKYWATCHER	Mortgage (investment/rental property)	\$50,001 - \$100,000	2016	4.125%	19 YEARS
4	PNC BANK -- PLAYER LOOP	Mortgage (investment/rental property)	\$50,001 - \$100,000	2003	6.625%	30 YEARS
5	PNC BANK -- HAYES	Mortgage (investment/rental property)	\$50,001 - \$100,000	2003	6.625%	30 YEARS

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
6	PNC BANK -- MESA MARIPOSA	Mortgage (investment/rental property)	\$50,001 - \$100,000	2004	6.875%	30 YEARS
7	CITIMORTGAGE -- VISTA GRANDE	Mortgage (investment/rental property)	\$50,001 - \$100,000	2013	4.0%	24 Years
8	CHASE -- BLOSSOMWOOD	Mortgage (investment/rental property)	\$50,001 - \$100,000	2006	6.375	30 YEARS
9	US BANK -- VA CONDO	Mortgage on Personal Residence	\$250,001 - \$500,000	2017	4.0%	30 YEARS

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	1	Asset is a plane for personal use.
2.	1	Dynegy (DYN) merged with Vistra Energy Corp (VST) during 2018. Dynegy was reported on my 2018 end of year report. There were no purchase or sales by me of this stock.
5.	17	Previously Powershares QQQ TR Unit Ser 1 on 2018 Report.
5.	34	Formerly called Dynegy. Acquired in 2018. No purchase or sales by us.
5.	38	Previously reported as NSH Nustar GP Holdings LP

PART	#	ENDNOTE
5.	44	Was WES Wstn Gas Partners LP LP on 2018 Report.
5.	59	Priceline Group changed its name to Booking Holdings in early 2018.

# 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. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of 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, NW., 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).

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