

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

Filer's Information

Lord, Ellen

Under Secretary of Defense for Acquisition and Sustainment, Department of Defense

Date of Termination: 01/20/2021

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/ Lord, Ellen [electronically signed on 01/14/2021 by Lord, Ellen 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/ Thompson, Scott F, Certifying Official [electronically signed on 03/15/2021 by Thompson, Scott F in Integrity.gov]

Other review conducted by

/s/ Irvine, Dani, Ethics Official [electronically signed on 03/12/2021 by Irvine, Dani in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 03/12/2021

Data Revised 01/14/2021

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(01/14/2021, Lord, Ellen): 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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Textron Inc., Defined Benefit Plan	No			
1.1	Textron Inc. Defined Benefit Plan (Qualified)	N/A	\$1,000,001 - \$5,000,000	Retirement payments (monthly)	\$7,644
1.2	Textron, Inc. Defined Benefit Plan (Non-Qualified)	N/A	\$1,000,001 - \$5,000,000	Retirement payments (monthly)	\$10,417
2	IRA #1	No			
2.1	IJH -ISHARES S&P MIDCAP 400 INDEX See Endnote	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.2	DES - Wisdom Tree Small Cap Div	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.3	AEPFX - American Funds EuroPac Growth	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.4	AQMIX -AQR MANAGED FUTURES STRATEGY I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.5	CMNIX - Calamos Mkt Neutral INC I	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.6	CIHIX - CULLEN INTL HIGH DIVIDEND I	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	HIEMX - VIRTUS VONTOBEL EMRG MKT OPP I		Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.8	PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.9	U.S. Brokerage Account (Cash)	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.10	ISHARES S&P MIDCAP GR ETF (IJK)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.11	VANGUARD SMALL GROWTH (VBK)	See Endnote	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.12	INVESCO EQ WGT S&P FUND (VADDX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.13	DOUBLELINE TOTAL RETURN FUND (DBLTX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.14	FRANKLIN K2 ALT STRATEGIES FUND (FABZX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.15	HARTFORD GROWTH OPPS FUND (HGOIX)	See Endnote	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.16	HIGHLAND LONG SHORT EQUITY FUND (HEOZX)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.17	IVY HIGH INCOME (IVHIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.18	NEUBERGER BERMAN EQUITY INCOME FUND (NBHIX)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.19	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.20	PRUDENTIAL SHORT TERM BOND FUND (PIFZX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	U.S. Brokerage Account (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Textron Inc. - Defined Benefit Plans	Providence, Rhode Island	I will continue to participate in both the qualified and non-qualified defined benefit plans.	1/1984

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	IRA #1	No			
1.1	U.S. brokerage account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	IEI - ISHARES 3-7 YR TREASURY BD ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	IVW - ISHARES S&P 500 GRWTH ETF	See Endnote	Yes	\$50,001 - \$100,000	\$201 - \$1,000
1.4	IVE - ISHARES S&P 500 VAL ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	IJK - ISHARES S&P MID-CAP 400 G ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	IJJ - ISHARES S&P MID-CAP 400 V ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.7	DGCIX - Delaware Corp Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	CNSDX - INVESCO CONVERT SECURITIES Y	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.9	LIFFX - Lord Abbett Inflation Focused	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	GAFYX - NATIXIS ASG GLOBAL ALTERNAT Y	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.11	TGBAX - Templeton Global Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.12	RSDYX - VICTORY INCORE LOW DUR BD Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. Brokerage Account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	MainStay CBRE Real Estate Fund Class I Shares (CRARX)	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
4	Lord Abbett Short Duration Income Fund Class F Shares (LDLFX)	Yes	None (or less than \$1,001)		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Apple Inc. - Common Stock (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	FTV - Fortive Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	JP Morgan Chase & Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4	Merck & Co Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5	Union Pacific Corp	See Endnote	\$15,001 - \$50,000		\$201 - \$1,000
6	Visa Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	EXG - Eaton Vance Tax Managed Dividend Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8	RSP - Invesco S&P Equal Weight	See Endnote	\$100,001 - \$250,000		\$2,501 - \$5,000
9	iShares S&P GSCI Commodity-Indexed Trust (GSG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	iSHARES S&P MIDCAP 400 Index (IJH)	See Endnote	\$100,001 - \$250,000		\$1,001 - \$2,500
11	iShares Morningstar Small-Cap Value ETF (JKL)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12	VBK - Vanguard Small Cap Growth	See Endnote	\$100,001 - \$250,000		\$201 - \$1,000
13	AQMIX - AQR Managed Futures Strategy Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
14	FABZX - Franklin K2 Alternative Strategies Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
15	Hartford Growth Opportunities I	See Endnote	\$250,001 - \$500,000		\$15,001 - \$50,000
16	IVHIX - Ivy High Income	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	T. Rowe Price Japan	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	PRNHX - T. Rowe Price New Horizons Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
19	T. Rowe Price Summit Municipal Intm	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
20	T. Rowe Price Tax-Free Shrt-Interm	Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
22	INVESCO EQUAL WGT S&P FUND (VADDX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
23	CALAMOS MKT NEUTRAL FUND (CMNIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
24	CULLEN INTL HIGH DIV FUND (CIHIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
25	DOUBLELINE TOTAL RETURN FUND (DBLTX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
26	AMERICAN EUROPAC GROWTH FUND (AEPFX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
27	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
28	VIRTUS VONTOBLE EMG MKTS FUND (HIEMX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
29	NBHIX – Neuberger Berman Equity Income Fund.	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
30	U.S. Brokerage Account (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
31	Vontier Corporation (VNT)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
33	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
34	TortoiseNorth American Pipeline Fund (TPYP)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
35	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
36	Abbey Capital Futures Strategy Fund Class I Shares (ABYIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
37	Janus Henderson European Focus Fund Class I Shares (HFEIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
38	Lyrical US Value Equity Fund Institutional Class Shares (LYRIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
39	Morgan Stanley Institutional Fund Trust Growth Portfolio Class I Shares (MSEQX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
40	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
41	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
42	Escrow Lehman Brothers Holdings	Yes	None (or less than \$1,001)		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Sale	02/13/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	Highland Long/Short Equity Fund Class Z Shares (HEOZX)	Sale	02/13/2020	\$100,001 - \$250,000
3	Hartford Growth Opportunities Fund Class I Shares (HGOIX)	Sale	02/13/2020	\$15,001 - \$50,000
4	Franklin K2 Alternative Strategies Fund Advisor Class Shares (FABZX)	Sale	02/13/2020	\$15,001 - \$50,000
5	Hartford Growth Opportunities Fund Class I Shares (HGOIX)	Purchase	02/13/2020	\$15,001 - \$50,000
6	Neuberger Berman Equity Income Fund Institutional Class Shares (NBHIX)	Purchase	02/24/2020	\$1,001 - \$15,000
7	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	02/13/2020	\$1,001 - \$15,000
8	PGIM Total Return Bond Fund Class Z Shares (PDBZX)	Purchase	02/24/2020	\$1,001 - \$15,000
9	EuroPacific Growth Fund Class F2 Shares (AEPFX)	Sale	03/04/2020	\$100,001 - \$250,000
10	Neuberger Berman Equity Income Fund Institutional Class Shares (NBHIX)	Sale	03/04/2020	\$100,001 - \$250,000
11	Invesco S&P 500 Equal Weight ETF (RSP)	Sale	03/04/2020	\$15,001 - \$50,000
12	iShares Morningstar Small-Cap Value ETF (JKL)	Sale	03/04/2020	\$15,001 - \$50,000
13	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Sale	03/04/2020	\$15,001 - \$50,000
14	Calamos Market Neutral Income Fund Class I Shares (CMNIX)	Sale	03/04/2020	\$1,001 - \$15,000
15	iShares Core S&P Mid-Cap ETF (IJH)	Sale	03/04/2020	\$1,001 - \$15,000
16	First Trust Large Cap Value AlphaDEX Fund (FTA)	Sale	03/04/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
17	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Sale	03/04/2020	\$1,001 - \$15,000
18	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Sale	03/04/2020	\$1,001 - \$15,000
19	Virtus Vontobel Emerging Markets Opportunities Fund Class I Shares (HIEMX)	Sale	03/04/2020	\$15,001 - \$50,000
20	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Sale	03/04/2020	\$1,001 - \$15,000
21	Cullen International High Dividend Fund Class I Shares (CIHIX)	Sale	03/04/2020	\$1,001 - \$15,000
22	T Rowe Price Tax-Free Short-Intermediate Fund, Inc (PRFSX)	Sale	03/04/2020	\$1,001 - \$15,000
23	Eaton Vance Tax-Managed Global Diversified Equity Income Fund (EXG)	Sale	03/04/2020	\$1,001 - \$15,000
24	AQR Managed Futures Strategy Fund Class I Shares (AQMIX)	Sale	03/04/2020	\$1,001 - \$15,000
25	T Rowe Price Japan Fund (PRJPX)	Sale	03/04/2020	\$1,001 - \$15,000
26	iShares Core S&P Small-Cap ETF (IJR)	Purchase	04/14/2020	\$50,001 - \$100,000
27	Lyrical US Value Equity Fund Institutional Class Shares (LYRIX)	Purchase	04/14/2020	\$50,001 - \$100,000
28	PGIM Short-Term Corporate Bond Fund Class Z Shares (PIFZX)	Purchase	04/14/2020	\$50,001 - \$100,000
29	Abbey Capital Futures Strategy Fund Class I Shares (ABYIX)	Purchase	04/14/2020	\$15,001 - \$50,000
30	Morgan Stanley Institutional Fund Trust Growth Portfolio Class I Shares (MSEQX)	Purchase	04/14/2020	\$50,001 - \$100,000
31	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	04/14/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
32	Invesco S&P 500 Equal Weight ETF (RSP)	Purchase	04/14/2020	\$15,001 - \$50,000
33	TortoiseNorth American Pipeline Fund (TPYP)	Purchase	04/14/2020	\$15,001 - \$50,000
34	Janus Henderson European Focus Fund Class I Shares (HFEIX)	Purchase	04/14/2020	\$15,001 - \$50,000
35	Eaton VanceTax-ManagedGlobal Diversified Equity Income Fund (EXG)	Purchase	04/14/2020	\$15,001 - \$50,000
36	iShares S&P Mid-Cap 400 Growth ETF (IJK)	Purchase	04/14/2020	\$15,001 - \$50,000
37	iShares Core S&P Mid-Cap ETF (IJH)	Purchase	04/14/2020	\$1,001 - \$15,000
38	AQR Managed Futures Strategy Fund Class I Shares (AQMIX)	Purchase	04/14/2020	\$1,001 - \$15,000
39	Neuberger Berman MLP and Energy Income Fund Inc (NML)	Sale	04/14/2020	\$50,001 - \$100,000
40	Neuberger Berman Long Short Fund Institutional Class Shares (NLSIX)	Purchase	06/26/2020	\$50,001 - \$100,000
41	TortoiseNorth American Pipeline Fund (TPYP)	Sale	09/14/2020	\$1,001 - \$15,000
42	Lyrical US Value Equity Fund Institutional Class Shares (LYRIX)	Sale	09/14/2020	\$1,001 - \$15,000
43	iShares Core S&P Small-Cap ETF (IJR)	Sale	09/14/2020	\$1,001 - \$15,000
44	Morgan Stanley Institutional Fund Trust Growth Portfolio Class I Shares (MSEQX)	Sale	09/14/2020	\$1,001 - \$15,000
45	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Sale	09/14/2020	\$1,001 - \$15,000
46	Abbey Capital Futures Strategy Fund Class I Shares (ABYIX)	Sale	09/14/2020	\$1,001 - \$15,000
47	Janus Henderson European Focus Fund Class I Shares (HFEIX)	Sale	09/14/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
48	T Rowe Price Tax-Free Short-Intermediate Fund, Inc (PRFSX)	Sale	09/14/2020	\$1,001 - \$15,000
49	T Rowe Price New Horizons Fund, Inc (PRNHX)	Sale	09/14/2020	\$1,001 - \$15,000
50	Franklin K2 Alternative Strategies Fund Advisor Class Shares (FABZX)	Purchase	02/04/2020	\$1,001 - \$15,000
51	Franklin Mutual European Fund Class Z Shares (MEURX)	Sale	03/04/2020	\$15,001 - \$50,000
52	Virtus Newfleet Multi-Sector Short Term Bond Fund Class I Shares (PIMSX)	Sale	03/04/2020	\$50,001 - \$100,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Morgan Stanley Home Loans	See Endnote	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2018	2.8%	30 years (7 year fixed rate)

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	2.1	Transaction listed in Section 7

PART	#	ENDNOTE
2.	2.9	No transaction//market fluctuation
2.	2.11	Transaction listed in Section 7
2.	2.15	Transaction listed in Section 7
5.	1.3	Transaction listed in Section 7
5.	3	Was IGLIX - Voya Global Real Estate. Funds merged 2/25/20.
6.	5	No transaction//market fluctuation
6.	8	Name change from Guggenheim S&P Equal Weight
6.	10	Transaction listed in Section 7
6.	12	Transaction listed in Section 7
6.	15	Transaction listed in Section 7
8.	1	Updated from 3.6% to 2.8% in 2020

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).
