

Teresa L. Williamson

From: Teresa L. Williamson
Sent: Wednesday, October 27, 2021 8:40 AM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Adam Raviv's email address
(b)(6) Oluwafunmilayo Olorunnipa's email address
Subject: Amendment to Public Financial Disclosure Report - Amy Loyd (Message and attachments contain CUI)
Attachments: Attachments not found in search. OGE CUI Coversheet.pdf; Loyd, Amy AMENDMENT agencyltr.pdf; Loyd, Amy AMENDMENTsenateltr.pdf; Loyd, Amy AMENDMENT 278.pdf

CONTROLLED

Email and attachments contain CUI.

Good Morning,

The attached is an amendment to the Amy Loyd final report that was submitted to the committee by letter dated August 19, 2021.

Please respond to this message to confirm receipt of the attached package.

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



October 26, 2021

The Honorable Patty Murray
Chairman
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

By letter dated August 19, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of Amy Loyd, in connection with her nomination for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education. Enclosed are a letter from the Department of Education and a letter from Ms. Loyd supplementing her financial disclosure report.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Ms. Loyd is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.10.26 18:39:50
-04'00'

David J. Apol
General Counsel

Enclosures



Teresa L. Williamson

From: Teresa L. Williamson
Sent: Friday, May 7, 2021 11:08 AM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Jeanne Duross' email address
(b)(6) Adam Raviv's email address (b)(6) Gwendolyn May's email address
Subject: Public Financial Disclosure Report - Gwen Graham (Attachments Contain CUI)
Attachments: OGE CUI Coversheet.pdf; Graham, Gwen finalEA.PDF; Graham, Gwen finalsenateltr.pdf; Graham, Gwen final278.pdf

Attachments not found
in search

CONTROLLED

Attachments contain CUI. When the attachments are removed, this email is uncontrolled unclassified information.

Good Morning,

I've attached the financial disclosure package for Gwen Graham, who has been nominated by President Biden for the position of Assistant Secretary for Legislation and Congressional Affairs, Department of Education.

[Please respond to this message to confirm receipt of the attached package.](#)

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

April 28, 2021

Marcella Goodridge-Keiller
Designated Agency Ethics Official
Department of Education
400 Maryland Avenue, SW
Room 6E225
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary in the Office of Legislation and Congressional Affairs of the Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

SECTION 1 – GENERAL COMMITMENTS

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the particular matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me:

- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program

regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13989) and that I will be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of federal, state and local government.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – RESIGNATIONS

Upon confirmation, I will resign from my positions with the following entities:

- The Tallahassee Independent Ethics Board
- The University of Florida (including The Bob Graham Center for Public Service)
- Florida State Parks Foundation
- Ruth's List

Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to at 5 C.F.R. § 2635.502(d).

SECTION 3 – FAMILY TRUSTS

I will retain my position as a trustee of Family Trust #1, Family Trust #2, and Family Trust #3. I will not receive any fees for the services that I provide as a trustee during my appointment to the position of Assistant Secretary. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of any of these family trusts, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

SECTION 4 – SPOUSE EMPLOYMENT

My spouse is employed by the Florida Department of Agriculture and Consumer Services in a position for which he receives a fixed annual salary. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for as long as my spouse continues to work for the Florida Department of Agriculture and Consumer Services, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Florida Department of Agriculture and Consumer Services is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 5 – PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in blue ink, appearing to read "Gwen Graham", with a long horizontal flourish extending to the right.

Gwen Graham

April XX, 2021

Marcella Goodridge-Keiller
Designated Agency Ethics Official
Department of Education
400 Maryland Avenue, SW
Room 6E225
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary in the Office of Legislation and Congressional Affairs of the Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

SECTION 1 – GENERAL COMMITMENTS

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the particular matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me:

- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program

regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13989) and that I will be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of federal, state and local government.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – RESIGNATIONS

Upon confirmation, I will resign from my positions with the following entities:

- The Tallahassee Independent Ethics Board
- The University of Florida (including The Bob Graham Center for Public Service)
- Florida State Parks Foundation
- Ruth's List

Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to at 5 C.F.R. § 2635.502(d).

SECTION 3 – FAMILY TRUSTS

I will retain my position as a trustee of Family Trust #1, Family Trust #2, and Family Trust #3. I will not receive any fees for the services that I provide as a trustee during my appointment to the position of Assistant Secretary. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of any of these family trusts, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

SECTION 4 – SPOUSE EMPLOYMENT

My spouse is employed by the Florida Department of Agriculture and Consumer Services in a position for which he receives a fixed annual salary. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for as long as my spouse continues to work for the Florida Department of Agriculture and Consumer Services, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Florida Department of Agriculture and Consumer Services is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 5 – PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

Gwen Graham

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



May 6, 2021

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Gwen Graham, who has been nominated by President Biden for the position of Assistant Secretary for Legislation and Congressional Affairs, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.05.06 16:35:43
-04'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Gwen Graham, who has been nominated by President Biden for the position of Assistant Secretary for Legislation and Congressional Affairs, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

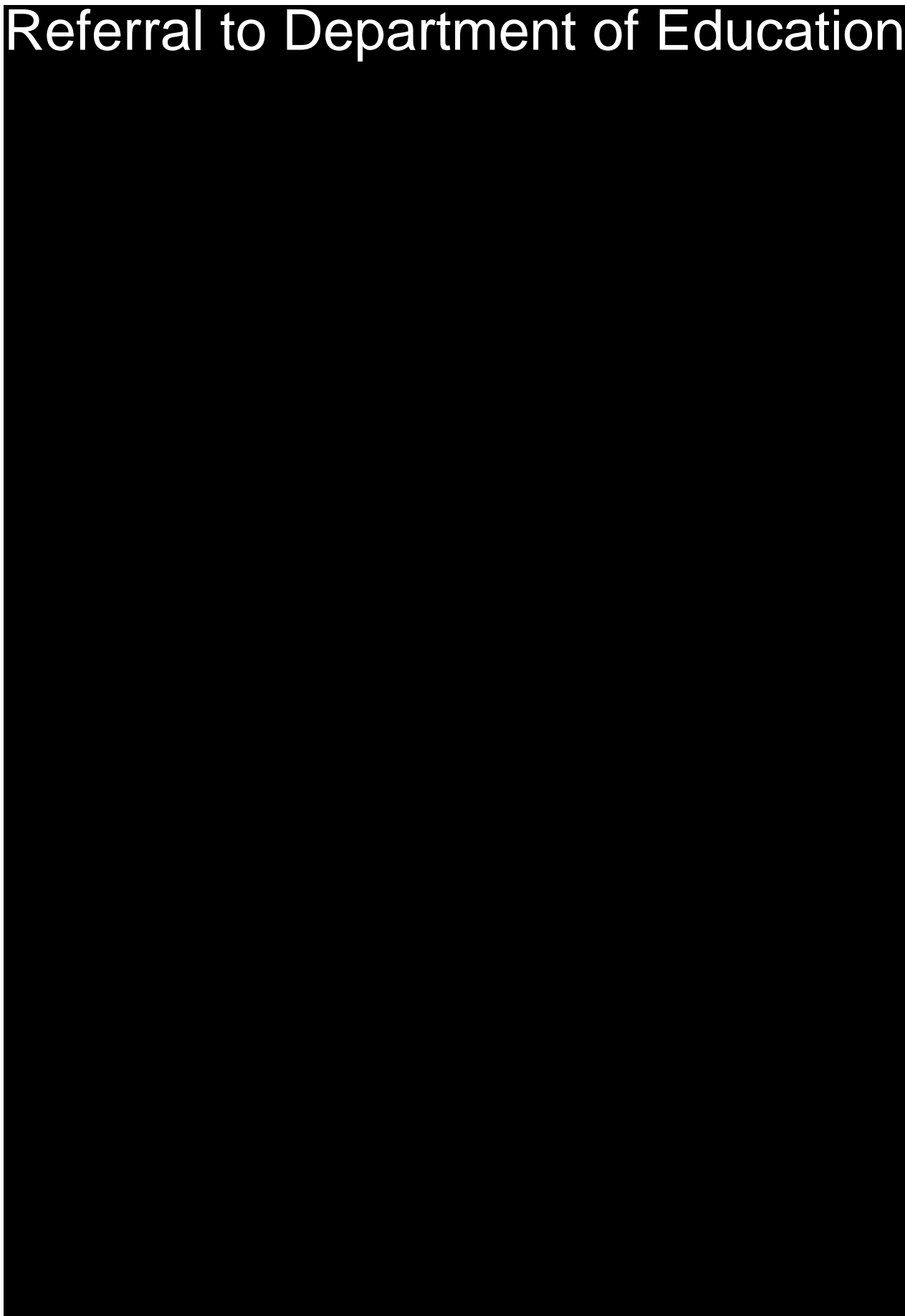
Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Enclosures



Referral to Department of Education



Referral to Department of Education



From: Jack MacDonald <jjmacdon@oge.gov>

Sent: Tuesday, April 27, 2021 2:52 PM

To: Feiter, Caitlyn <(b)(6) Caitlyn Feiter's email address>

Cc: Spencer, Kristina <(b)(6) email address>

Subject: RE: Gwen Graham - Confirmatory Email - [Message contains CUI]

CONTROLLED

That's correct. We will ask her to sign after she is precleared. Thanks.

Referral to Department of Education



Referral to Department of Education

From: Jack MacDonald <jjmacdon@oge.gov <<mailto:jjmacdon@oge.gov>> >
Sent: Tuesday, April 27, 2021 2:30 PM
To: Feiter, Caitlyn <(b)(6) Caitlyn Feiter's email address <[mailto:\(b\)\(6\) Caitlyn Feiter's email address](mailto:(b)(6) Caitlyn Feiter's email address)> >
Cc: Spencer, Kristina <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)> >
Subject: Gwen Graham - Confirmatory Email - [Message contains CUI]

CONTROLLED

Caitlyn,

As you know, OGE will be reviewing Gwen Graham's report for "preclearance." Please be sure to instruct Ms. Graham to personally review the report carefully once more, given that she will be personally responsible for all entries in the report as they currently appear.

Before OGE reviews this report for preclearance, I'm sending you a list of some of Ms. Graham's material representations on which we are relying. Please forward this message to Ms. Graham and instruct her to confirm that all items in this list are correct.

Among other material representations, we are relying on the following:

- * The filer has personally reviewed all entries in the current version of the financial disclosure report and has affirmed that they are correct.

- * For Part 1 and Part 4, the filer has provided information covering the entire reporting period of January 1, 2019, to March 29, 2021.

- * For Part 2, Part 5, Part 6, and Part 8, the filer has provided information covering the entire reporting period of January 1, 2020, to March 29, 2021.

- * (b)(5), (b)(6), and some information (b)(3)

* (b)(5), (b)(6), and some information (b)(3)

* (b)(5), (b)(6)

* The ethics agreement correctly describes all items addressed in the agreement. Further, the filer understands the commitments that she is making to the Senate and will be able to fulfill these commitments within the stated timeframes.

Thank you,

Jack

Jack MacDonald
Program Analyst, Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, N.W., Suite 500
Washington, D.C. 20005-3917
Tel: 202-482-9310

OGE Confidential Notice: This message may contain Controlled Unclassified Information (CUI) that requires safeguarding or dissemination control under applicable law, regulation, or Government-wide policy. This email, including all attachments, may constitute a Federal record or other Government property that is intended only for the use of the individual or entity to which it is addressed. If you are not the intended recipient or the employee or agent responsible for delivering the transmission to the intended recipient, you are hereby notified that any dissemination, distribution, copying or use of this email or its contents is strictly prohibited. If you have received this email in error, please notify the sender by responding to the email and then immediately delete the email.

From: [Jack MacDonald](#)
To: ["Feiter, Caitlyn"](#)
Subject: Confirmatory Email - James Kvaal - [Message contains CUI]
Date: Wednesday, February 10, 2021 12:05:39 PM

CONTROLLED

Hi Caitlyn,

As you know, OGE will be reviewing James Kvaal's report for "preclearance." Please be sure to instruct Mr. Kvaal to personally review the report carefully once more, given that he will be personally responsible for all entries in the report as they currently appear.

Before OGE reviews this report for preclearance, I'm sending you a list of some of Mr. Kvaal's material representations on which we are relying. Please forward this message to Mr. Kvaal and instruct him to confirm that all items in this list are correct.

Among other material representations, we are relying on the following:

- The filer has personally reviewed all entries in the current version of the financial disclosure report and has affirmed that they are correct.
- For Part 1 and Part 4, the filer has provided information covering the entire reporting period of January 1, **2019**, to January 27, **2021**.
- For Part 2, Part 5, Part 6, and Part 8, the filer has provided information covering the entire reporting period of January 1, **2020**, to January 27, **2021**.
- The filer is not a trustee of any trust.
- The filer, his spouse, and his dependent child do not have any beneficial interests in trusts, including discretionary trusts.
- **(b) (5), (b) (6)**
[REDACTED]
- The ethics agreement correctly describes all items addressed in the agreement. Further, the filer understands the commitments that he is making to the Senate and will be able to fulfill these commitments within the stated timeframes.

Thank you,

Jack

Jack MacDonald
Program Analyst, Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, N.W., Suite 500
Washington, D.C. 20005-3917
Tel: 202-482-9310

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



April 16, 2021

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

By letter dated February 23, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of James Kvaal in connection with his nomination for the position of Under Secretary, Department of Education. Enclosed are a letter from the Department of Education and a letter from Mr. Kvaal supplementing his financial disclosure report.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Mr. Kvaal is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.04.16 18:55:18
-04'00'

David J. Apol
General Counsel

Enclosures



Teresa L. Williamson

From: Teresa L. Williamson
Sent: Wednesday, February 24, 2021 8:17 AM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Jeanne Duross' email address
(b)(6) Adam Raviv's email address (b)(6) [REDACTED] email address
Subject: Public Financial Disclosure Report - James Kvaal (Attachments Contain CUI)
Attachments: OGE CUI Coversheet.pdf; Kvaal, James final278.pdf; Kvaal, James finalEA.PDF; Kvaal, James finalsenateltr.pdf

Attachments not found in search

CONTROLLED

Attachments contain CUI. When the attachments are removed, this email is uncontrolled unclassified information.

Good Morning,

I've attached the financial disclosure package for James Kvaal, who has been nominated by President Biden for the position of Under Secretary, Department of Education.

[Please respond to this message to confirm receipt of the attached package.](#)

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

February 12, 2021

Marcella Goodridge-Keiller
Designated Agency Ethics Official
Department of Education
400 Maryland Avenue, SW
Room 6E225
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Under Secretary of the Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

SECTION 1 – GENERAL COMMITMENTS

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the particular matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me:

- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program

regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13989) and that I will be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of states and local governments.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – RESIGNATIONS

Upon confirmation, I will resign from my positions with The Institute for College Access & Success and Centrie Condominium. I resigned from my position with PT Fund, Inc. in January 2021. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to at 5 C.F.R. § 2635.502(d).

SECTION 3 – SPOUSE EMPLOYMENT

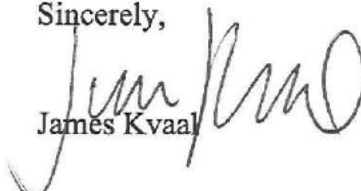
My spouse is employed by For Our Future Action Fund in a position for which she receives a fixed annual salary. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for as long as my spouse continues to work for For Our Future Action Fund, I will not participate personally and substantially in any particular matter involving specific parties in which I know For Our Future Action Fund is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 4 – PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

James Kvaal



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



February 23, 2021

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by James Kvaal, who has been nominated by President Biden for the position of Under Secretary, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.02.23 22:09:57
-05'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



The Honorable Patty Murray
Chairman
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

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Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Enclosures



Teresa L. Williamson

From: Teresa L. Williamson
Sent: Monday, April 19, 2021 10:47 AM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Jeanne Duross' email address
(b)(6) Adam Raviv's email address (b)(6) [redacted] email address
Subject: Amendment to Public Financial Disclosure Report - James Kvaal (Attachments Contain CUI)
Attachments: OGE CUI Coversheet.pdf; Kvaal, James AMENDMENTsenateltr.pdf; Kvaal, James AMENDMENT 278.pdf; Kvaal, James AMENDMENT agencyltr.pdf

Attachments not found in search

CONTROLLED

Attachments contain CUI. When the attachments are removed, this email is uncontrolled unclassified information.

Good Morning,

The attached is an amendment to the James Kvaal final report that was submitted to the committee by letter dated February 23, 2021.

[Please respond to this message to confirm receipt of the attached package.](#)

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



April 16, 2021

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

By letter dated February 23, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of James Kvaal in connection with his nomination for the position of Under Secretary, Department of Education. Enclosed are a letter from the Department of Education and a letter from Mr. Kvaal supplementing his financial disclosure report.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Mr. Kvaal is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.04.16 18:55:18
-04'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

By letter dated February 23, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of James Kvaal in connection with his nomination for the position of Under Secretary, Department of Education. Enclosed are a letter from the Department of Education and a letter from Mr. Kvaal supplementing his financial disclosure report.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Mr. Kvaal is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Enclosures



February XX, 2021

Marcella Goodridge-Keiller
Designated Agency Ethics Official
Department of Education
400 Maryland Avenue, SW
Room 6E225
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Under Secretary of the Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

SECTION 1 – GENERAL COMMITMENTS

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the particular matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me:

- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program

regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13989) and that I will be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of states and local governments.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – RESIGNATIONS

Upon confirmation, I will resign from my positions with The Institute for College Access & Success and Centric Condominium. I resigned from my position with PT Fund, Inc. in January 2021. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to at 5 C.F.R. § 2635.502(d).

SECTION 3 – SPOUSE EMPLOYMENT

My spouse is employed by For Our Future Action Fund in a position for which she receives a fixed annual salary. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for as long as my spouse continues to work for For Our Future Action Fund, I will not participate personally and substantially in any particular matter involving specific parties in which I know For Our Future Action Fund is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 4 – PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

James Kvaal

Teresa L. Williamson

From: Teresa L. Williamson
Sent: Thursday, August 19, 2021 3:57 PM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Jeanne Duross' email address
(b)(6) Adam Raviv's email address (b)(6) [redacted] email address
Subject: Public Financial Disclosure Report - Amy Loyd (Attachments Contain CUI)
Attachments: OGE CUI Coversheet.pdf; Loyd, Amy final278.pdf; Loyd, Amy finalEA.PDF; Loyd, Amy finalsenateltr.pdf

Attachments not found in search

CONTROLLED

Attachments contain CUI. When the attachments are removed, this email is uncontrolled unclassified information.

Good Afternoon,

I've attached the financial disclosure package for Amy Loyd, who has been nominated by President Biden for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education.

[Please respond to this message to confirm receipt of the attached package.](#)

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

August 11, 2021

Ms. Marcella Goodridge-Keiller
Designated Agency Ethics Official
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for Career, Technical, and Adult Education of the U.S. Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

SECTION 1 – GENERAL COMMITMENTS

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the particular matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me:

- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my

Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13989) that I previously signed and that I will continue to be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of federal, state and local government.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – RESIGNATIONS

Upon confirmation, I will resign from my positions with the following entities:

- Harvard University
- STEM Next Opportunity Fund

I previously resigned from my position with Jobs for the Future. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 3 – SPOUSE EMPLOYMENT

My spouse is employed by the New Mexico Economic Development Department, a position for which he receives a fixed annual salary. For as long as my spouse works for the New Mexico Economic Development Department, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on my spouse's compensation or employment with the New Mexico Economic Development Department, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1). Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, I also will not participate personally and substantially in any particular matter involving specific parties in which I know the New Mexico Economic Development Department is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 4 – PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C.

§ 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read "Amy Loyd", with a long, sweeping flourish extending to the right.

Amy Loyd

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



August 19, 2021

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Amy Loyd, who has been nominated by President Biden for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.08.19 13:50:42
-04'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Amy Loyd, who has been nominated by President Biden for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Enclosures



Teresa L. Williamson

From: Teresa L. Williamson
Sent: Monday, January 10, 2022 12:57 PM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Adam Raviv's email address
(b)(6) Oluwafunmilayo Olorunnipa's email address
Subject: Public Financial Disclosure Report - Amy Loyd (Message and attachments contain CUI)
Attachments: OGE CUI Coversheet.pdf; Loyd, Amy finalEA.PDF; Loyd, Amy RENOMsenateltr.pdf;
Loyd, Amy AMENDEDfinal278.pdf

Attachments not
found in search

CONTROLLED

Email and attachments contain CUI.

Good Afternoon,

I've attached the financial disclosure package for Amy Loyd, who has been nominated by President Biden for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education.

Please respond to this message to confirm receipt of the attached package.

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



January 7, 2022

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Amy Loyd, who has been nominated by President Biden for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2022.01.07 18:56:54
-05'00'

David J. Apol
General Counsel

Enclosures



Amy Loyd: Round 1, OGE Comments

Background Questions

* Reporting Period: Please have the filer confirm the following:

- For Part 1 and Part 4, the filer has provided information covering the entire reporting period of January 1, 2019, to June 23, 2021. **Confirmed.** (b)(5), (b)(6) and some info (b)(3)

- For Part 2, Part 5, Part 6, and Part 8, the filer has provided information covering the entire reporting period of January 1, 2020, to June 23, 2021. **Confirmed.**

*(b)(5), (b)(6), and some information (b)(3)

*(b)(5), (b)(6)

*(b)(5), (b)(6)

Cover Page

* Other Federal Positions: Based on publicly available information, it appears that the filer is serving as Acting Assistant Secretary for the Office of Career, Technical, and Adult Education, at the Department of Education. If so, please add the filer's current position with the agency. **Correct, and I added this to the form.**

Part 1

* Please confirm that:

- (b) (5), (b) (6)
- The filer is not a trustee of any family/personal trust, including revocable living trusts. **Correct, I am not a trustee of any trust.**
- (b)(5) deliberative

(b) (5), (b) (6)

(b)(5), (b)(6) and some info (b)(3)

Part 2

* Please confirm the following:

- The filer did not receive any other non-investment income (including honoraria) from non-federal sources during the Part 2 reporting period. **Correct.**

- (b) (5), (b) (6)

- (b) (5), (b) (6)

- (b) (5), (b) (6)

* (b)(5), (b)(6), and some information (b)(3)

(b)(5), (b)(6), and some information (b)(3)

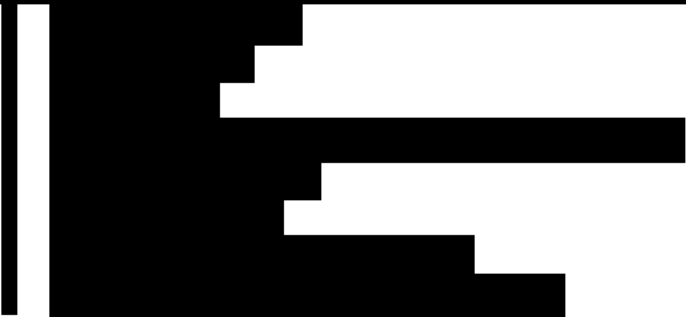
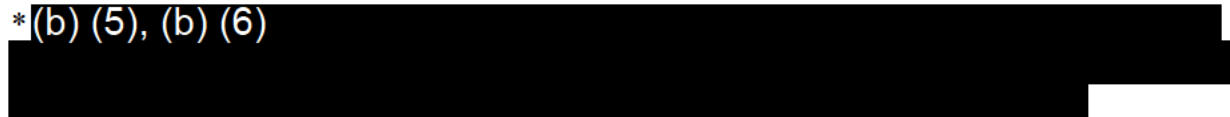
(b)(5), (b)(6), and some information (b)(3)



(b)(5),
(b)(6)



*(b) (5), (b) (6)



Part 4

CONTROLLED

* lines 1 and 2: Please have the filer provide a brief description of duties of the type of services rendered. For example, "Vice President for Programs" and "Adjunct Professor." **Done.**

Part 5

* Please confirm the following:

- The filer's spouse did not receive any other earned income (including, a bonus, or honoraria) from non-federal sources during the Part 5 reporting period. **Confirmed.**
- The filer's spouse does not have any intellectual property (e.g., book deals, copyrights, patents, etc.). **Confirmed.**
- The filer's spouse does not participate in any non-federal defined benefit plan (traditional pension) or defined contribution plan (401k, 403, 457, etc.). **Confirmed.**
- The filer's spouse has no individual retirement accounts. **Confirmed.**
- The filer's spouse is not receiving any distributions from any defined contribution plans or individual retirement accounts. **Confirmed.**

* If applicable, for a defined benefit plan (retirement benefit is fixed according to years of service, employee compensation, and similar factors without reference to investment selections made by the filer), please have the filer consult the following page in the Public Financial Disclosure Guide:

<https://www.oge.gov/Web/278eGuide.nsf/a52c531944cfaa2d85257ea1004b1faa/44c1eb4eab0187f985257f45005918ca?OpenDocument>

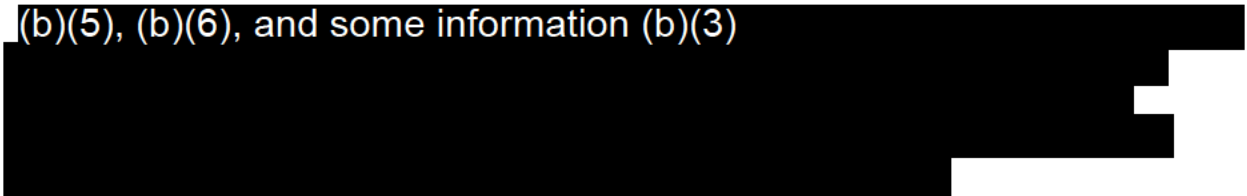
* If applicable, for an IRA, the filer can consult the instructions for individual retirement accounts in the Public Financial Disclosure Guide at:

<https://www.oge.gov/Web/278eGuide.nsf/a52c531944cfaa2d85257ea1004b1faa/fdd32e6ad85d2b7385257f45005a950d?OpenDocument>

* If applicable, for a defined contribution plan, the filer can consult the following page in the Public Financial Disclosure Guide:

<https://www.oge.gov/Web/278eGuide.nsf/a52c531944cfaa2d85257ea1004b1faa/f638741a47f6f95885257f450059479c?OpenDocument>

(b)(5), (b)(6), and some information (b)(3)



Part 6

* Please confirm the following:

- The filer, spouse, and dependent children do not have any beneficial interests in trusts, including discretionary trusts. **Confirmed.**

- The filer, spouse, and dependent children are not the grantors of any intentionally defective grantor trusts (i.e., there is no irrevocable trust for which the filer or spouse is responsible for the income taxes on the trust assets). [Confirmed](#).
- (b)(5), (b)(6), and some information (b)(3)

(b)(5), (b)(6), and some information (b)(3)

(b)(5), (b)(6), and some information (b)(3)

Part 8

* Please confirm that neither the filer nor the filer's spouse had any of the following types of liabilities in excess of \$10,000 during the Part 8 reporting period:

- exercised line of credit [Confirmed](#).
- margin account loan [Confirmed](#).
- capital commitment (whether exercised or not) [Confirmed](#).
- revolving charge accounts, such as credit card balances that exceeded \$10,000 at the close of the reporting period. This method of calculating the threshold differs from the method for all other entries in Part 8. [Confirmed](#).

*(b)(5), (b)(6), and some information (b)(3)

Amy Loyd: Round 1, OGE Comments

Background Questions

* Reporting Period: Please have the filer confirm the following:

- For Part 1 and Part 4, the filer has provided information covering the entire reporting period of January 1, 2019, to June 23, 2021.
- For Part 2, Part 5, Part 6, and Part 8, the filer has provided information covering the entire reporting period of January 1, 2020, to June 23, 2021.

*(b) (5)

*(b)(5)

*(b)(5)

Cover Page

* Other Federal Positions: Based on publicly available information, it appears that the filer is serving as Acting Assistant Secretary for the Office of Career, Technical, and Adult Education, at the Department of Education. If so, please add the filer's current position with the agency.

Part 1

* Please confirm that:

- (b) (5)
- The filer is not a trustee of any family/personal trust, including revocable living trusts.
- (b) (5)

*(b)(5) and some info (b)(3)

Part 2

* Please confirm the following:

- The filer did not receive any other non-investment income (including honoraria) from non-federal sources during the Part 2 reporting period.


- (b) (5) [Redacted]

* (b)(5) (b)(6) and some info (b)(3) [Redacted]


* (b)(5), (b)(6), and some information (b)(3) [Redacted]

(b) (5) [Redacted]


*(b) (5), (b) (6)



*(b)(5), (b)(6), and some information (b)(3)



*(b) (5)



Part 4

* lines 1 and 2: Please have the filer provide a brief description of duties of the type of services rendered. For example, “Vice President for Programs” and “Adjunct Professor.”

Part 5

* Please confirm the following:

- The filer’s spouse did not receive any other earned income (including, a bonus, or honoraria) from non-federal sources during the Part 5 reporting period.
- The filer’s spouse does not have any intellectual property (e.g., book deals, copyrights, patents, etc.).
- The filer’s spouse does not participate in any non-federal defined benefit plan (traditional pension) or defined contribution plan (401k, 403, 457, etc.).
- The filer’s spouse has no individual retirement accounts.
- The filer’s spouse is not receiving any distributions from any defined contribution plans or individual retirement accounts.

* If applicable, for a defined benefit plan (retirement benefit is fixed according to years of service, employee compensation, and similar factors without reference to investment selections made by the filer), please have the filer consult the following page in the Public Financial Disclosure Guide:

<https://www.oge.gov/Web/278eGuide.nsf/a52c531944cfaa2d85257ea1004b1faa/44c1eb4eab0187f985257f45005918ca?OpenDocument>

* If applicable, for an IRA, the filer can consult the instructions for individual retirement accounts in the Public Financial Disclosure Guide at:

<https://www.oge.gov/Web/278eGuide.nsf/a52c531944cfaa2d85257ea1004b1faa/fdd32e6ad85d2b7385257f45005a950d?OpenDocument>

* If applicable, for a defined contribution plan, the filer can consult the following page in the Public Financial Disclosure Guide:

<https://www.oge.gov/Web/278eGuide.nsf/a52c531944cfaa2d85257ea1004b1faa/f638741a47f6f95885257f450059479c?OpenDocument>

Part 6

* Please confirm the following:

- The filer, spouse, and dependent children do not have any beneficial interests in trusts, including discretionary trusts.
- The filer, spouse, and dependent children are not the grantors of any intentionally defective grantor trusts (i.e., there is no irrevocable trust for which the filer or spouse is responsible for the income taxes on the trust assets).

- (b) (5) [Redacted]

* (b)(5) (b)(6) and some info (b)(3) [Redacted]

(b) (5) [Redacted]

(b) (5)




Part 8

* Please confirm that neither the filer nor the filer's spouse had any of the following types of liabilities in excess of \$10,000 during the Part 8 reporting period:

- exercised line of credit
- margin account loan
- capital commitment (whether exercised or not)
- revolving charge accounts, such as credit card balances that exceeded \$10,000 at the close of the reporting period. This method of calculating the threshold differs from the method for all other entries in Part 8.

(b)(5) (b)(6) and some info (b)(3)



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



October 26, 2021

The Honorable Patty Murray
Chairman
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

By letter dated August 19, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of Amy Loyd, in connection with her nomination for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education. Enclosed are a letter from the Department of Education and a letter from Ms. Loyd supplementing her financial disclosure report.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Ms. Loyd is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.10.26 18:39:50
-04'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

By letter dated August 19, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of Amy Loyd in connection with her nomination for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education. Enclosed are a letter from the Department of Education and a letter from Ms. Loyd supplementing her financial disclosure report.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Ms. Loyd is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



August 19, 2021

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Amy Loyd, who has been nominated by President Biden for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.08.19 13:50:42
-04'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



January 7, 2022

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Amy Loyd, who has been nominated by President Biden for the position of Assistant Secretary for Career, Technical, and Adult Education, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2022.01.07 18:56:54
-05'00'

David J. Apol
General Counsel

Enclosures



Referral to Department of Education



On Aug 3, 2021, at 18:45, Stephanie Nonluecha <snonlue@oge.gov> wrote:

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

CONTROLLED

Ok, standing by.

Thanks,

Stephanie Nonluecha
Program Analyst
Presidential Nominations Branch
U.S. Office of Government Ethics
(202) 482-9243
snonlue@oge.gov <<mailto:snonlue@oge.gov>>

Referral to Department of Education



Referral to Department of Education



Referral to Department of Education

Referral to Department of Education

From: Stephanie Nonluecha <snonlue@oge.gov <<mailto:snonlue@oge.gov>>>
Sent: Tuesday, August 3, 2021 3:44 PM
To: Spencer, Kristina <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>
Cc: Mitchell, Nathan <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>
Subject: RE: Confirmatory e-mail prior to preclearance for Amy Loyd - [Message contains CUI] - [Message contains CUI] - [Message contains CUI]

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

CONTROLLED

Hi Kristina,
She should (b)(5)

And your correct that (b)(5)

Also, she indicated that (b)(5), (b)(6)

Thanks,
Stephanie Nonluecha
Program Analyst
Presidential Nominations Branch
U.S. Office of Government Ethics
(202) 482-9243
snonlue@oge.gov <<mailto:snonlue@oge.gov>> <<mailto:snonlue@oge.gov>> <<mailto:snonlue@oge.gov>>

Referral to Department of Education

From: Stephanie Nonluecha <snonlue@oge.gov <<mailto:snonlue@oge.gov> <<mailto:snonlue@oge.gov>>>>
Sent: Friday, July 30, 2021 6:09 PM
To: Mitchell, Nathan <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>>
Cc: Spencer, Kristina <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>>
>
Subject: RE: Confirmatory e-mail prior to preclearance for Amy Loyd - [Message contains CUI] - [Message contains CUI]

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

CONTROLLED

Ok, thank for the update. Have a nice weekend!

Stephanie Nonluecha
Program Analyst
Presidential Nominations Branch
U.S. Office of Government Ethics
(202) 482-9243
snonlue@oge.gov <<mailto:snonlue@oge.gov>> <<mailto:snonlue@oge.gov> <<mailto:snonlue@oge.gov>>>>
<<mailto:snonlue@oge.gov> <<mailto:snonlue@oge.gov>>>>c<mailto:snonlue@oge.gov>>>>

Referral to Department of Education

Referral to Department of Education

From: Stephanie Nonluecha <snonlue@oge.gov <<mailto:snonlue@oge.gov>
<<mailto:snonlue@oge.gov>%20%3c<mailto:snonlue@oge.gov>>>>>

Sent: Thursday, July 29, 2021 11:43 AM

To: Mitchell, Nathan <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
<[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)%20%3c[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>>>

Cc: Spencer, Kristina <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
<[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)%20%3c[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>>>

Subject: Confirmatory e-mail prior to preclearance for Amy Loyd - [Message contains CUI]

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

CONTROLLED

Nathan,

The U.S. Office of Government Ethics (OGE) will be reviewing Amy Loyd's report for "preclearance." Please be sure to instruct Ms. Loyd to personally review the report carefully once more, given that she will be personally responsible for all entries in the report as they currently appear.

Before OGE reviews this report for preclearance, I'm sending you a list of some of Ms. Loyd's material representations on which we are relying. Please forward this message to Ms. Loyd and instruct her to notify you immediately if any item in this list is incorrect.

Among other material representations, we are relying on the following:

* Ms. Loyd has personally reviewed all entries in the current version of the financial disclosure report and has affirmed that they are correct.

* For Part 1 and Part 4, Ms. Loyd has provided information covering the entire reporting period of January 1, 2019, to date of signing.

* For Part 2, Part 5, Part 6, and Part 8, Ms. Loyd has provided information covering the entire reporting period of January 1, 2020, to date of signing.

* Ms. Loyd is not a trustee of any trust.

* Ms. Loyd and her spouse, and her dependent children do not have any beneficial interests in trusts, including discretionary trusts.

* The ethics agreement correctly describes all items addressed in the agreement. Further, Ms. Loyd understands the commitments that she is making to the Senate and will be able to fulfill these commitments within the stated timeframes.

Thanks,

Stephanie Nonluecha

Program Analyst

Presidential Nominations Branch

U.S. Office of Government Ethics

(202) 482-9243

snonlue@oge.gov <<mailto:snonlue@oge.gov>> <<mailto:snonlue@oge.gov> <<mailto:snonlue@oge.gov>> >

<<mailto:snonlue@oge.gov> <<mailto:snonlue@oge.gov>%20%3c<mailto:snonlue@oge.gov>> > > <<mailto:snonlue@oge.gov>

<<mailto:snonlue@oge.gov>%20%3c<mailto:snonlue@oge.gov>%20%3c<mailto:snonlue@oge.gov>%20%3c<mailto:snonlue@oge.gov>>

> > >

OGE Confidential Notice: This message may contain Controlled Unclassified Information (CUI) that requires safeguarding or dissemination control under applicable law, regulation, or Government-wide policy. This email, including all attachments, may constitute a Federal record or other Government property that is intended only for the use of the individual or entity to which it is addressed. If you are not the intended recipient or the employee or agent responsible for delivering the transmission to the intended recipient, you are hereby notified that any dissemination, distribution, copying or use of this email or its contents is strictly prohibited. If you have received this email in error, please notify the sender by responding to the email and then immediately delete the email.

The U.S. Office of Government Ethics (OGE) will be reviewing Amy Loyd's report for "preclearance." **Please be sure to instruct Ms. Loyd to personally review the report carefully once more**, given that she will be personally responsible for all entries in the report as they currently appear.

Before OGE reviews this report for preclearance, I'm sending you a list of some of Ms. Loyd's material representations on which we are relying. Please forward this message to Ms. Loyd and instruct her to notify you immediately if any item in this list is incorrect.

Among other material representations, we are relying on the following:

- Ms. Loyd has personally reviewed all entries in the current version of the financial disclosure report and has affirmed that they are correct.
- For Part 1 and Part 4, Ms. Loyd has provided information covering the entire reporting period of January 1, 2019, to date of signing.
- For Part 2, Part 5, Part 6, and Part 8, Ms. Loyd has provided information covering the entire reporting period of January 1, 2020, to date of signing.
- Ms. Loyd is not a trustee of any trust.
- Ms. Loyd and her spouse, and her dependent children do not have any beneficial interests in trusts, including discretionary trusts.
- The ethics agreement correctly describes all items addressed in the agreement. Further, Ms. Loyd understands the commitments that she is making to the Senate and will be able to fulfill these commitments within the stated timeframes.

Teresa L. Williamson

From: Teresa L. Williamson
Sent: Thursday, March 18, 2021 7:37 AM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Jeanne Duross' email address
(b)(6) Adam Raviv's email address (b)(6) [REDACTED]'s email address
Subject: Amendment to Public Financial Disclosure Report - Cynthia Marten (Attachments Contain CUI)
Attachments: OGE CUI Coversheet.pdf; Marten, Cynthia AMENDMENT 278.pdf; Marten, Cynthia AMENDMENT agencyltr.pdf; Marten, Cynthia AMENDMENT EA.PDF; Marten, Cynthia AMENDMENT senateltr.pdf

No attachments
found in search

CONTROLLED

Attachments contain CUI. When the attachments are removed, this email is uncontrolled unclassified information.

Good Morning,

The attached is an amendment to the Cynthia Marten final report that was submitted to the committee by letter dated February 25, 2021.

[Please respond to this message to confirm receipt of the attached package.](#)

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



March 17, 2021

The Honorable Patty Murray
Chairman
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

By letter dated February 25, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of Cynthia Marten in connection with her nomination for the position of Deputy Secretary, Department of Education. Enclosed are a letter from the Department of Education and two letters from Ms. Marten supplementing her financial disclosure report and ethics agreement.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Ms. Marten is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.03.17 18:40:37
-04'00'

David J. Apol
General Counsel

Enclosures



Teresa L. Williamson

From: Teresa L. Williamson
Sent: Friday, February 26, 2021 9:50 AM
To: 'Shek, Chung (HELP Committee)'
Cc: Deborah J. Bortot; Heather A. Jones; Teresa L. Williamson;
(b)(6) Anjali Phillips' email address (b)(6) Jeanne Duross' email address
(b)(6) Adam Raviv's email address (b)(6) [REDACTED] email address
Subject: Public Financial Disclosure Report - Cynthia Marten (Attachments Contain CUI)
Attachments: OGE CUI Coversheet.pdf; Marten, Cynthia finalEA.PDF; Marten, Cynthia
finalsenateltr.pdf; Marten, Cynthia final278.pdf

No attachments
found in search

CONTROLLED

Attachments contain CUI. When the attachments are removed, this email is uncontrolled unclassified information.

Good Morning,

I've attached the financial disclosure package for Cynthia Marten, who has been nominated by President Biden for the position of Deputy Secretary, Department of Education.

[Please respond to this message to confirm receipt of the attached package.](#)

If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Thanks!

Teresa Williamson
Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, NW - Suite 500
Washington, DC 20005
202-482-9283

February 23, 2021

Ms. Marcella Goodridge-Keiller
Designated Agency Ethics Official
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Deputy Secretary of the Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

SECTION 1 – GENERAL COMMITMENTS

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the particular matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me:

- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program

regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13989) and that I will be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of states and local governments.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – SAN DIEGO UNIFIED SCHOOL DISTRICT

Upon confirmation, I will resign from my position with the San Diego Unified School District. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation, I also will not participate personally and substantially in any particular matter involving specific parties in which I know San Diego Unified School District, is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 3 – OTHER RESIGNATIONS

Upon confirmation, I will resign from my positions with the following entities:

- Fiscal Crisis and Management Assistance Team
- San Diego Library Commission
- California Commission on Teacher Credentialing
- American Heart Association
- The California Schools Voluntary Employees Benefits Association (VEBA)
- Commission on Gang Prevention and Intervention

Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 5 PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

Cynthia Marten

Cynthia Marten

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



February 25, 2021

The Honorable Patty Murray
Chair
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Cynthia Marten, who has been nominated by President Biden for the position of Deputy Secretary, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.02.25 17:03:56
-05'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



The Honorable Patty Murray
Chairman
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

By letter dated February 25, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of Cynthia Marten in connection with her nomination for the position of Deputy Secretary, Department of Education. Enclosed are a letter from the Department of Education and two letters from Ms. Marten supplementing her financial disclosure report and ethics agreement.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Ms. Marten is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



March 17, 2021

The Honorable Patty Murray
Chairman
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

By letter dated February 25, 2021, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of Cynthia Marten in connection with her nomination for the position of Deputy Secretary, Department of Education. Enclosed are a letter from the Department of Education and two letters from Ms. Marten supplementing her financial disclosure report and ethics agreement.

We have reviewed this additional submission and have also obtained advice from the Department of Education concerning any possible conflict in light of its functions and the nominee's proposed duties. Based on the information provided, OGE continues to believe that Ms. Marten is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

DAVID APOL

Digitally signed by DAVID
APOL
Date: 2021.03.17 18:40:37
-04'00'

David J. Apol
General Counsel

Enclosures



UNITED STATES OFFICE OF
GOVERNMENT ETHICS



The Honorable Patty Murray
Chairman
Committee on Health, Education,
Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Madam Chair:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Cynthia Marten, who has been nominated by President Biden for the position of Deputy Secretary, Department of Education.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Enclosures



CONTROLLED

XXX XX, 2021

Ms. Marcella Goodridge-Keiller
Designated Agency Ethics Official
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Deputy Secretary of the Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

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- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program

CONTROLLED

regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13989) and that I will be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of states and local governments.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

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Upon confirmation, I will resign from my position with the San Diego Unified School District. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation, I also will not participate personally and substantially in any particular matter involving specific parties in which I know San Diego Unified School District, is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 3 – OTHER RESIGNATIONS

Upon confirmation, I will resign from my positions with the following entities:

- Fiscal Crisis and Management Assistance Team
- San Diego Library Commission
- California Commission on Teacher Credentialing
- American Heart Association
- The California Schools Voluntary Employees Benefits Association (VEBA)
- Commission on Gang Prevention and Intervention

Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to at 5 C.F.R. § 2635.502(d).

SECTION 5 – PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

CONTROLLED

Sincerely,

Cynthia Marten

From: [Joyce Merilos](#)
To: "Wong, Shun Yiu"
Cc: [Spencer, Kristina](#); [Stephanie Nonluecha](#)
Subject: RE: Amendment to 278 Request (Marten) - OGE comments [Message and attachment(s) contain CUI] - [Message contains CUI] - [Message contains CUI] - [Message and attachment(s) contain CUI]
Date: Monday, March 15, 2021 5:46:14 PM
Attachments: [OGE CUI Coversheet.pdf](#)
[Draft 278 Amendment to Nominee Report-3-15-21-OGE comments.docx](#)
[Draft EA Amendment-3-15-21-OGE comments.docx](#)
[Agency Transmittal Letter-3-15-21-JM comments.docx](#)

Attachment 1: nonresponsive, 2: withheld in full, (b)(3) (three pages), 3: withheld in full, (b)(5) (two pages), 4: withheld in full, (b)(5) (one page)

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Email and attachment(s) contain CUI.

Good afternoon Leon,

We appreciate the agency's patience and understanding regarding this matter. After further research and discussions with the preclearance team, OGE suggests that

(b)(5), (b)(6), and some information (b)(3)

OGE suggests that (b)(5), (b)(6), and some information (b)(3)

With that said, please see the attached (edited) agency transmittal letter, draft 278 amendment request, and draft the EA amendment request with OGE comments. Please review for concurrence. If the agency has no comments, please accept changes and send us the documents with the signatures. Otherwise, please let me and Stephanie know if the agency has any comments.

I am out of the office tomorrow, Stephanie is my back-up and is aware of this case. (Stephanie: The (b) (5), (b) (6) was previously reviewed and concurred by the preclearance team. The amendment documents reflect the (b) (5), (b) (6) .)

Note: I marked the date as March "XX" instead of "15," depending on when the signatures will be obtained (today - 15 or tomorrow - 16).

Thanks,

Joyce

Referral to Department of Education

Referral to Department of Education



From: Joyce Merilos mailto:jmerilos@oge.gov> >

Sent: Monday, March 15, 2021 9:55 AM


To: Wong, Shun Yiu mailto:(b)(6) email address >

Subject: RE: Amendment to 278 Request (Marten) - OGE comments [Message and attachment(s) contain CUI] - [Message contains CUI] - [Message contains CUI] - [Message contains CUI]

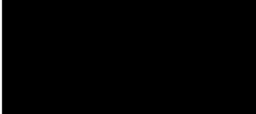
CONTROLLED

Hi Leon,

Thanks. Re: amendment paperwork, the 278 and EA will need to be on two separate documents. Attached is a template for the amendment EA. So, (b) (5), (b) (6)



Attachment not found in search.



I'm waiting on confirmation regarding the (b) (5) and will let you know after I hear back from the preclearance team.

Thanks for your patience.

Best,

Joyce

Referral to Department of Education



Referral to Department of Education

From: Joyce Merilos mailto:jmerilos@oge.gov > > >

Sent: Monday, March 15, 2021 8:56 AM

To: Wong, Shun Yiu mailto:(b)(6) email address > > >

Subject: RE: Amendment to 278 Request (Marten) - OGE comments [Message and attachment(s) contain CUI] - [Message contains CUI] - [Message contains CUI]

Importance: High

Leon – Please give me a call when you have a chance.

R/

Joyce

From: Joyce Merilos

Sent: Monday, March 15, 2021 8:33 AM

To: 'Wong, Shun Yiu' mailto:(b)(6) email address > > >

Cc: Spencer, Kristina mailto:(b)(6) email address > > >; Goodridge, Marcella mailto:(b)(6) email address > > >

Subject: RE: Amendment to 278 Request (Marten) - OGE comments [Message and attachment(s) contain CUI] - [Message contains CUI] - [Message contains CUI]

CONTROLLED

Good morning Leon,

OGE appreciates the additional details. (b)(5)

Thanks,

Joyce

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

-

[From: Joyce Merilos mailto:jmerilos@oge.gov >>>>](mailto:jmerilos@oge.gov)

[Sent: Friday, March 12, 2021 9:03 AM](#)

[To: Wong, Shun Yiu mailto:\(b\)\(6\) email address >>>>](#)

[Cc: Spencer, Kristina mailto:\(b\)\(6\) email address >>>>](#)

[Subject: RE: Amendment to 278 Request \(Marten\) - OGE comments \[Message and attachment\(s\) contain CUI \] - \[Message contains CUI \]](#)

-
[CONTROLLED](#)

[Good morning Leon,](#)

[\(b\)\(5\), \(b\)\(6\)](#)
[Redacted]

[Reporting considerations:](#)

1. [\(b\)\(5\) and some information \(b\)\(3\)](#)
[Redacted]

2. [\(b\)\(5\)](#)
[Redacted]

3. [\(b\) \(5\), \(b\) \(6\)](#)
[Redacted]

[Redacted]

[I hope this information helps.](#)

[Best,](#)

[Joyce](#)

[-----](#)

-

Referral to Department of Education
[Redacted]

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

–

[From: Joyce Merilos mailto:jmerilos@oge.gov >>>>](mailto:jmerilos@oge.gov)

[Sent: Tuesday, March 9, 2021 5:05 PM](#)

[To: Wong, Shun Yiu mailto:\(b\)\(6\) email address >>>>](#)

[Cc: Spencer, Kristina mailto:\(b\)\(6\) email address >>>>](#)

[Subject: Amendment to 278 Request \(Marten\) - OGE comments \[Message and attachment\(s\) contain CUI \]](#)

–

[CONTROLLED](#)

[Email and attachment\(s\) contain CUI.](#)

[Good afternoon Leon,](#)

[Attached is the agency transmittal letter with OGE's comments. Because the edits are minimal, the agency may go ahead and accept the changes – assuming the agency has no comments. Then, the agency may obtain the final signatures on both this letter \(with the updated edits\) and the amendment to 278 letter and send them both back to me.](#)

Attachments not found in search.

–

[If you have any questions, I will be in the office tomorrow at 9:30 am. Thanks.](#)

[Very Respectfully,](#)

[Joyce Merilos](#)

[Program Analyst | Presidential Nominations Branch](#)

U.S. Office of Government Ethics
[1201 New York Avenue, N.W., Suite 500](#)
[Washington, D.C. 20005-3917](#)
[Tel: 202-482-9217](#)

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[OGE Confidential Notice: This message may contain Controlled Unclassified Information \(CUI\) that requires safeguarding or dissemination control under applicable law, regulation, or Government-wide policy. This email, including all attachments, may constitute a Federal record or other Government property that is intended only for the use of the individual or entity to which it is addressed. If you are not the intended recipient or the employee or agent responsible for delivering the transmission to the intended recipient, you are hereby notified that any dissemination, distribution, copying or use of this email or its contents is strictly prohibited. If you have received this email in error, please notify the sender by responding to the email and then immediately delete the email.](#)

From: [Heather A. Jones](#)
To: [Phillips, Anjali W. EOP/WHO](#); [Raviv, Adam M. EOP/WHO](#); [Duross, Jeanne M. EOP/WHO](#); [Olorunnipa, Funmi B. EOP/WHO](#)
Cc: [\(b\)\(6\) Shun Yiu Wong's email address](#); [Joyce Merilos](#); [David J. Apol](#); [Deborah J. Bortot](#); [Heather A. Jones](#); [Keith Labeledz](#); [Teresa L. Williamson](#)
Subject: Precleared: Cynthia Marten - (Contains CUI)
Date: Thursday, February 18, 2021 2:36:37 PM

CONTROLLED

All-

Cynthia Marten is precleared. Joyce, please send her ethics agreement to the White House.

Thanks,
Heather

Heather Jones
Senior Counsel
(202) 482-9316
U.S. Office of Government Ethics

Visit OGE's website: www.oge.gov
Follow OGE on Twitter: [@OfficeGovEthics](https://twitter.com/OfficeGovEthics)

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

From: Joyce Merilos <jmerilos@oge.gov>

Sent: Monday, March 8, 2021 11:45 AM

To: Wong, Shun Yiu <(b)(6) email address>

Cc: Spencer, Kristina <(b)(6) email address>

Subject: RE: Nomination (Cynthia M. Marten) - [Attachment(s) Contain CUI] - [Message contains CUI] - [Message and attachment(s) contain CUI] - [Message contains CUI] - [Message contains CUI]

CONTROLLED

Good morning Leon,

I reviewed the draft amendment package and have a question. (b)(5) (b)(6) and some info (b)(3)

Please confirm that (b)(5) (b)(6) and some info (b)(3)

so I can add this to my notes.

Thanks,
Joyce

Referral to Department of Education

Referral to Department of Education



Referral to Department of Education



Referral to Department of Education

From: Stephanie Nonluecha <snonlue@oge.gov <<mailto:snonlue@oge.gov>> >
Sent: Tuesday, March 2, 2021 12:18 PM
To: Wong, Shun Yiu <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)> >
Cc: Spencer, Kristina <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)> >; Joyce Merilos <jmerilos@oge.gov <<mailto:jmerilos@oge.gov>> >

Subject: FW: Nomination (Cynthia M. Marten) - [Attachment(s) Contain CUI] - [Message contains CUI] - [Message and attachment(s) contain CUI] - [Message contains CUI]

CONTROLLED

No attachments
found in search

Hi Leon,

Please see the attached template letters for a 278 amendment. You will have to modify it based on the specific situation. Here are the steps for processing the amendment:

1. Create a draft version of the 278 amendment. This will include any Part of the report that must be amended (b) (5), (b) (6)
2. Create a draft version of the agency transmittal letter using the template, which should be similar in substance to the original one you sent, i.e., the DAEO “continues” to believe the filer is in compliance with all applicable laws, etc.
3. Please email the draft 278 amendment and draft transmittal letter to Joyce. OGE will review them.
4. Once OGE has reviewed the two letters, worked with you on any necessary edits, and pre-approved the letters, the filer should date and sign the amendment letter and you should get the DAEO to date and sign the transmittal letter.
5. Then, please email both signed documents to Joyce.
6. OGE will transmit the 278 amendment and the agency transmittal letter to the Senate. Please remember: if in the future someone from the public requests a copy of the certified 278, you will need to release both the 278 as well as this amendment.

Thanks,

Stephanie Nonluecha

Program Analyst

Presidential Nominations Branch

U.S. Office of Government Ethics

(202) 482-9243

snonlue@oge.gov <<mailto:snonlue@oge.gov>> <<mailto:snonlue@oge.gov>>
<<mailto:snonlue@oge.gov>> >

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

From: Joyce Merilos <jmerilos@oge.gov <<mailto:jmerilos@oge.gov>>>>

Sent: Wednesday, February 24, 2021 8:47 AM

To: Wong, Shun Yiu <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>

Cc: Spencer, Kristina <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>; Goodridge, Marcella <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>

Subject: RE: Nomination (Cynthia M. Marten) - [Attachment(s) Contain CUI] - [Message contains CUI] - [Message and attachment(s) contain CUI]

CONTROLLED

Email and attachment(s) contain CUI.

Good morning Leon,

The EA that the filer signed had the "Controlled" message on the top left of the document, which should have been removed. We removed it, please see attached for the agency's records. This is the version that will be forwarded for final review along with the other documents. Please let me know if you have any questions or concerns.

No attachments found
in search

Sincerely,
Joyce

Referral to Department of Education



From: Joyce Merilos <jmerilos@oge.gov <<mailto:jmerilos@oge.gov>
<<mailto:jmerilos@oge.gov%20%3cmmailto:jmerilos@oge.gov>> > >

Sent: Tuesday, February 23, 2021 9:37 AM

To: Wong, Shun Yiu <(b)(6) email address <mailto:(b)(6) email address
<mailto:(b)(6) email address20%3cmailto:(b)(6) email address >>>

Cc: Spencer, Kristina (b)(6) email address <mailto:(b)(6) email address
<mailto:(b)(6) email address20%3cmailto:(b)(6) email address >>>;
Goodridge, Marcella <(b)(6) email address <mailto:(b)(6) email address
<mailto:(b)(6) email address20%3cmailto:(b)(6) email address >>>

Subject: RE: Nomination (Cynthia M. Marten) - [Attachment(s) Contain CUI] - [Message contains CUI]

CONTROLLED

Hi Leon,
Yes, (b) (5)

Thanks,
Joyce

Referral to Department of Education

Referral to Department of Education

From: Joyce Merilos <jmerilos@oge.gov <<mailto:jmerilos@oge.gov>
<<mailto:jmerilos@oge.gov>Ëc<mailto:jmerilos@oge.gov>Ëc<mailto:jmerilos@oge.gov>
vËc<mailto:jmerilos@oge.gov>>>>>

Sent: Tuesday, February 23, 2021 8:58 AM

To: Wong, Shun Yiu <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
<[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>>>

Cc: Spencer, Kristina <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
<[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>>>; Goodridge,
Marcella <(b)(6) email address <[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
<[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)
Ëc[mailto:\(b\)\(6\) email address](mailto:(b)(6) email address)>>>>

Subject: Nomination (Cynthia M. Marten) - [Attachment(s) Contain CUI]

CONTROLLED

Attachment(s) contain CUI.

When the attachment(s) is removed, this email is uncontrolled unclassified information. The attachment(s) contain CUI.

Good morning Leon,

Ms. Cynthia Marten was nominated yesterday.

1. Please have the filer log into Integrity and re-submit/officially file the report.
[Instructions for the filer on how to re-submit are attached if you think it would be helpful for the filer.]
2. DAEO or ADAEO certifies the report in Integrity.
3. Once the agency has certified the report, please send me the filer's signed ethics agreement and the agency transmittal letter. You can also upload those documents into Integrity on the Documents tab of the report, but please upload soon after the report is certified

or send me an email when the upload occurs. That way, I know when I have the complete final package for processing.

Thank you.

Very Respectfully,
Joyce Merilos
Program Analyst | Presidential Nominations Branch
U.S. Office of Government Ethics
1201 New York Avenue, N.W., Suite 500
Washington, D.C. 20005-3917
Tel: 202-482-9217

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1st att. - nonresponsive; 2nd - withheld in full (WIF) (b)(5), (b)(6) (1 page); 3rd - WIF, (b)(5), (b)(6) (1 p.)

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

Referral to Department of Education

1. Name of the child: _____
2. Date of birth: _____
3. Address: _____
4. School: _____
5. Referral by: _____
6. Date of referral: _____
7. Reason for referral: _____
8. Referral to: _____
9. Contact information: _____
10. Signature: _____
11. Date: _____

DATE

Ms. Marcella Goodridge-Keiller
Designated Agency Ethics Official
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

Dear Ms. Goodridge-Keiller:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for Career, Technical, and Adult Education of the U.S. Department of Education. It is my responsibility to understand and comply with commitments outlined in this agreement.

SECTION 1 – GENERAL COMMITMENTS

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the particular matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me:

- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I will receive a live ethics briefing from a member of the ethics office after my confirmation but not later than 15 days after my appointment pursuant to the ethics program regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my

Certification of Ethics Agreement Compliance which documents my compliance with this ethics agreement.

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13989) that I previously signed and that I will continue to be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of federal, state and local government.

I will not modify this ethics agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – RESIGNATIONS

Upon confirmation, I will resign from my positions with the following entities:

- Harvard University
- STEM Next Opportunity Fund

I previously resigned from my position with Jobs for the Future. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 3 – SPOUSE EMPLOYMENT

My spouse is employed by the New Mexico Economic Development Department, a position for which he receives a fixed annual salary and a bonus tied to his performance. For as long as my spouse works for the New Mexico Economic Development Department, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on my spouse's compensation or employment with the New Mexico Economic Development Department, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1). Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, I also will not participate personally and substantially in any particular matter involving specific parties in which I know the New Mexico Economic Development Department is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 4 – PUBLIC POSTING

I have been advised that this ethics agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C.

§ 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

Amy Loyd

DATE

Ms. Marcella Goodridge-Keiller
Designated Agency Ethics Official
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

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- Any spouse or minor child of mine;
- Any general partner of a partnership in which I am a limited or general partner;
- Any organization in which I serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

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§ 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

Amy Loyd