

**From:** [Nominees](#)  
**To:** ["Rishi Sahgal"; Nominees](#)  
**Cc:** [Kate Heinzelman](#); [Funmi Olorunnipa](#)  
**Subject:** RE: New Nominee Reports Released in Integrity (1/7/21) (Contains CUI)  
**Date:** Thursday, January 7, 2021 10:15:34 AM

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CONTROLLED

Morning Rishi, Confirming receipt of email below and Integrity report. Thanks! Teresa

Teresa Williamson  
Presidential Nominations Branch  
1201 New York Avenue, NW - Suite 500  
Washington, DC 20005  
202-482-9283

**From:** Rishi Sahgal [mailto:[\(b\) \(6\)](#) ]  
**Sent:** Thursday, January 7, 2021 10:14 AM  
**To:** Nominees <Nominees@oge.gov>  
**Cc:** Kate Heinzelman [\(b\) \(6\)](#) >; Funmi Olorunnipa <[\(b\) \(6\)](#) >  
**Subject:** New Nominee Reports Released in Integrity (1/7/21)

Hello,

The following Nominee reports have been released from the Transition Team to OGE in Integrity. Transition POCs for each are listed below and their contact information has previously been provided to OGE.

**We ask that OGE and the agencies include these POCs on all emails to the candidates so they may help get responses from the Nominee. Please ask the agencies to do this as well.**

Please confirm receipt of this email and receipt of the reports in Integrity as well as let us know if you have any questions.

Rishi

[\(b\) \(6\)](#)

**Miguel Cardona**

Agency: Education

Transition Ethics Reviewer/POC - [\(b\) \(6\)](#)

**From:** [Deborah J. Bortot](#)  
**To:** [Teresa L. Williamson](#); [Heather A. Jones](#)  
**Cc:** [Keith Labedz](#)  
**Subject:** RE: new Integrity report  
**Date:** Thursday, January 7, 2021 12:23:35 PM

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Assigned to Morris with Rachel as his mentor.

Barren	Cardona, Miguel	Education	N	G	(b) (5)	Secretary	1/7/2021		McRae
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**From:** Teresa L. Williamson  
**Sent:** Thursday, January 7, 2021 10:14 AM  
**To:** Deborah J. Bortot <djbortot@oge.gov>; Heather A. Jones <hajones@oge.gov>  
**Subject:** new Integrity report

New Integrity report ready to be assigned – added to your spreadsheet Thanks! Teresa

**From:** [Morris C. Barren](#)  
**To:** [Heather A. Jones](#); [Deborah J. Bortot](#)  
**Cc:** [Rachel K. McRae](#)  
**Subject:** Cardona - UPDATE  
**Date:** Wednesday, January 13, 2021 4:07:13 PM

---

Hi Heather & Deb,

I just added another update in FDTS for this progress report.

**Morris Barren**

Assistant Counsel, ELPB

(202) 482-9266

**From:** [Morris C. Barren](#)  
**To:** [Deborah J. Bortot](#); [Heather A. Jones](#)  
**Cc:** [Rachel K. McRae](#)  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]  
**Date:** Tuesday, January 19, 2021 8:46:09 AM

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Thanks, Deb. I'm working with ED to update the report.

---

**From:** Deborah J. Bortot  
**Sent:** Monday, January 18, 2021 9:10 AM  
**To:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>; Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

Morris,

I agree that (b) (5) . Although (b) (5)

They could (b) (5), (b) (6)

Thanks,  
Deb

---

**From:** Morris C. Barren  
**Sent:** Sunday, January 17, 2021 6:23 PM  
**To:** Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>; Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

Thanks, Deb.

I spoke with ED and the agency (b) (5), (b) (3) (B), (b) (6)

ED also received the following response concerning the filer's (b) (5), (b) (6)

[Redacted text block]

[Redacted text block] . Additionally, (b) (5), (b) (6) As you note, (b) (5), (b) (6)

[Redacted text block]

ED thinks (b) (5), (b) (6) [redacted]

(b) (5), (b) (6) [redacted]

Please note that (b)(5) deliberative and some information also (b)(6) [redacted]

[redacted]

ED also asked, (b) (5), (b) (6) [redacted] ?

Sorry for the emails this weekend, and I'm just sending them in case you prefer to address these topics before Tuesday.

Have a good rest of the weekend.

Morris

**From:** Deborah J. Bortot  
**Sent:** Saturday, January 16, 2021 6:46 PM  
**To:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>; Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

- (b) (5) [redacted]
- (b) (5), (b) (6) [redacted]

**From:** Morris C. Barren  
**Sent:** Saturday, January 16, 2021 6:33 PM  
**To:** Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>; Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** FW: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

First attachment named "Cardona OGE Form 278e Nominee Report (2021-01-16).pdf" is a draft copy of Mr. Cardona's financial disclosure report withheld in full (b) (3), (5), and (6). A final copy of Mr. Cardona's 278 is available on oge.gov. The second attachment is included following the thread.

Hi Heather & Deb,

I hope you're enjoying the weekend. ED let me know that it updated Miguel Cardona's report today.

As you can see from Kristina's message below, she is trying to determine (b) (5), (b) (6) [redacted]

We discussed (b) (5), (b) (6) [redacted]

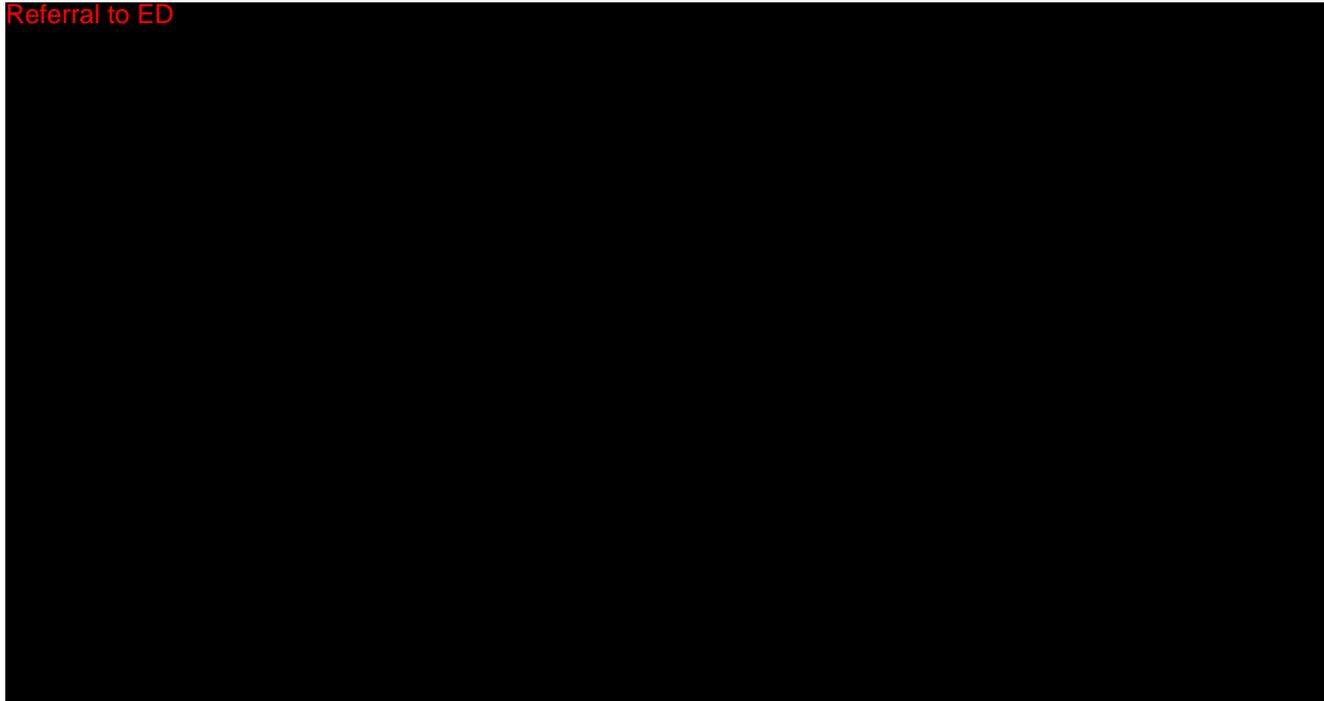
With this said, can you provide some input on the following?

- (b) (5) [redacted]
- (b) (5), (b) (3) (B), (b) (6) [redacted]

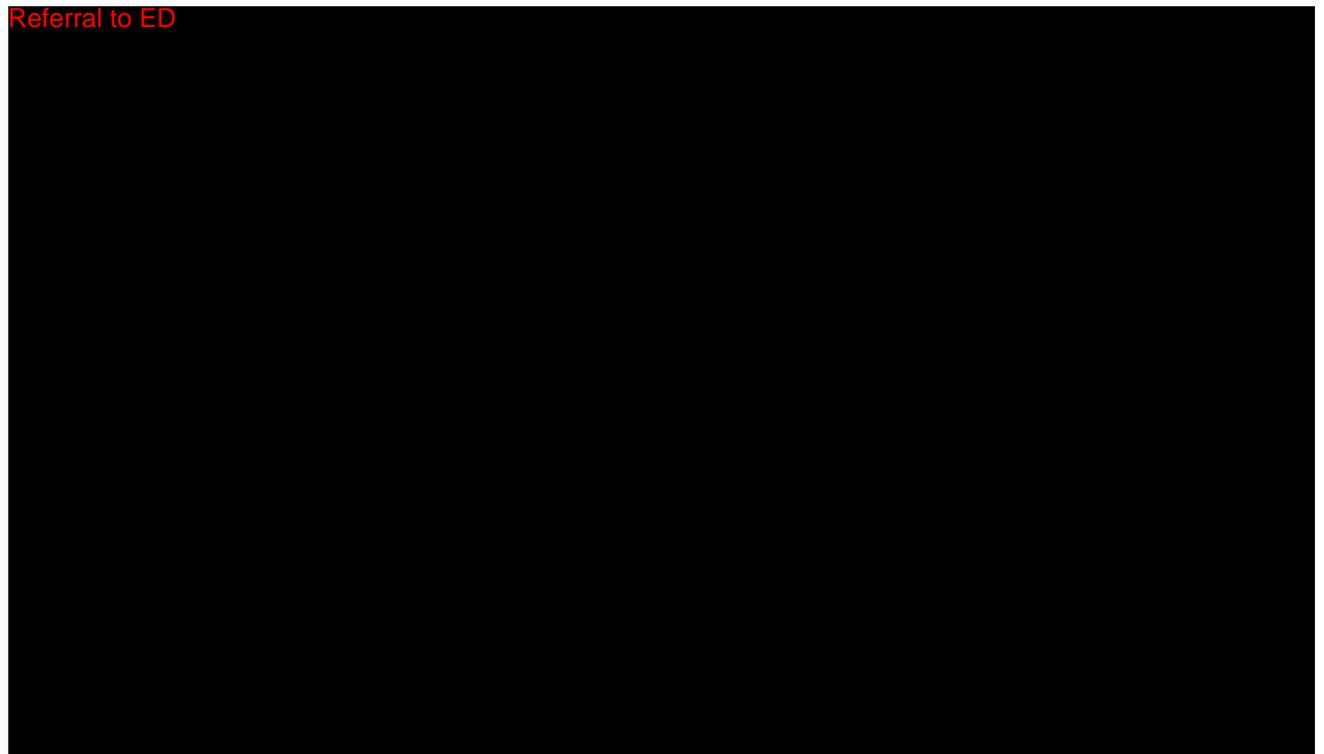
Thanks,  
Morris

Referral to ED [redacted]

Referral to ED



Referral to ED



**From:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>

**Sent:** Wednesday, January 13, 2021 4:05 PM

**To:** Spencer, Kristina <(b) (6)>

**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>; Goodridge, Marcella <(b) (6)>

**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

Great. Thanks, Kristina!

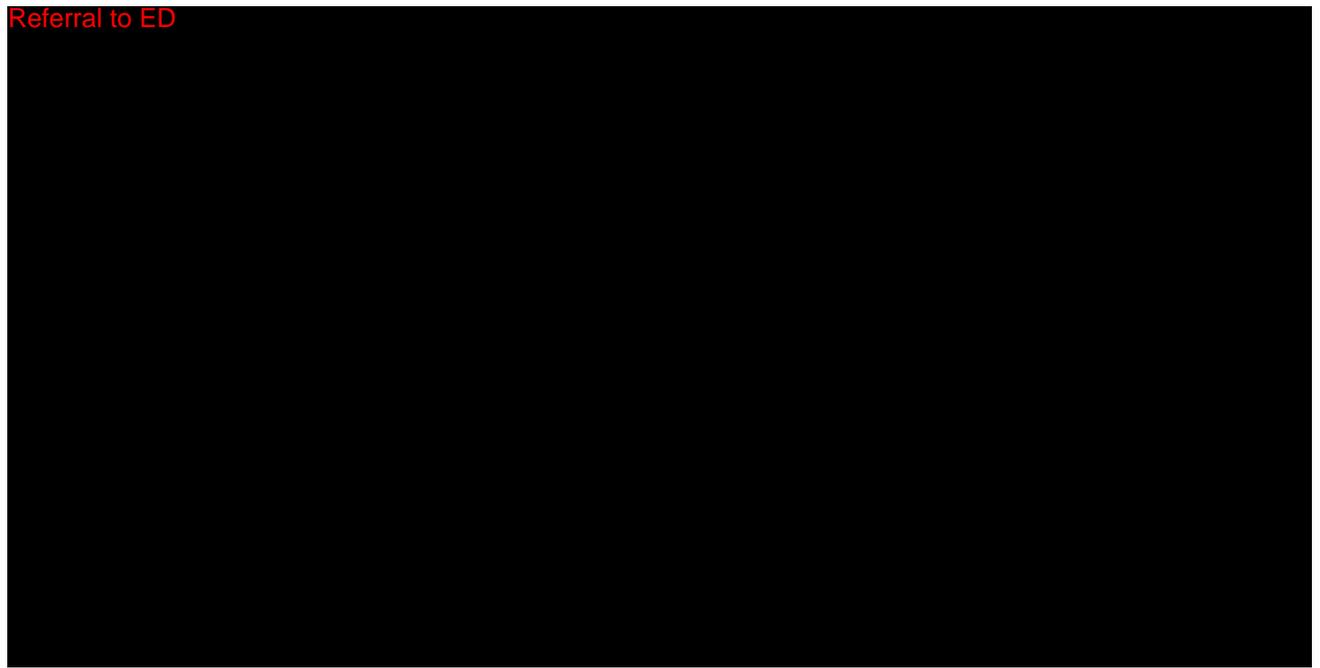
...and Hi Marcella!

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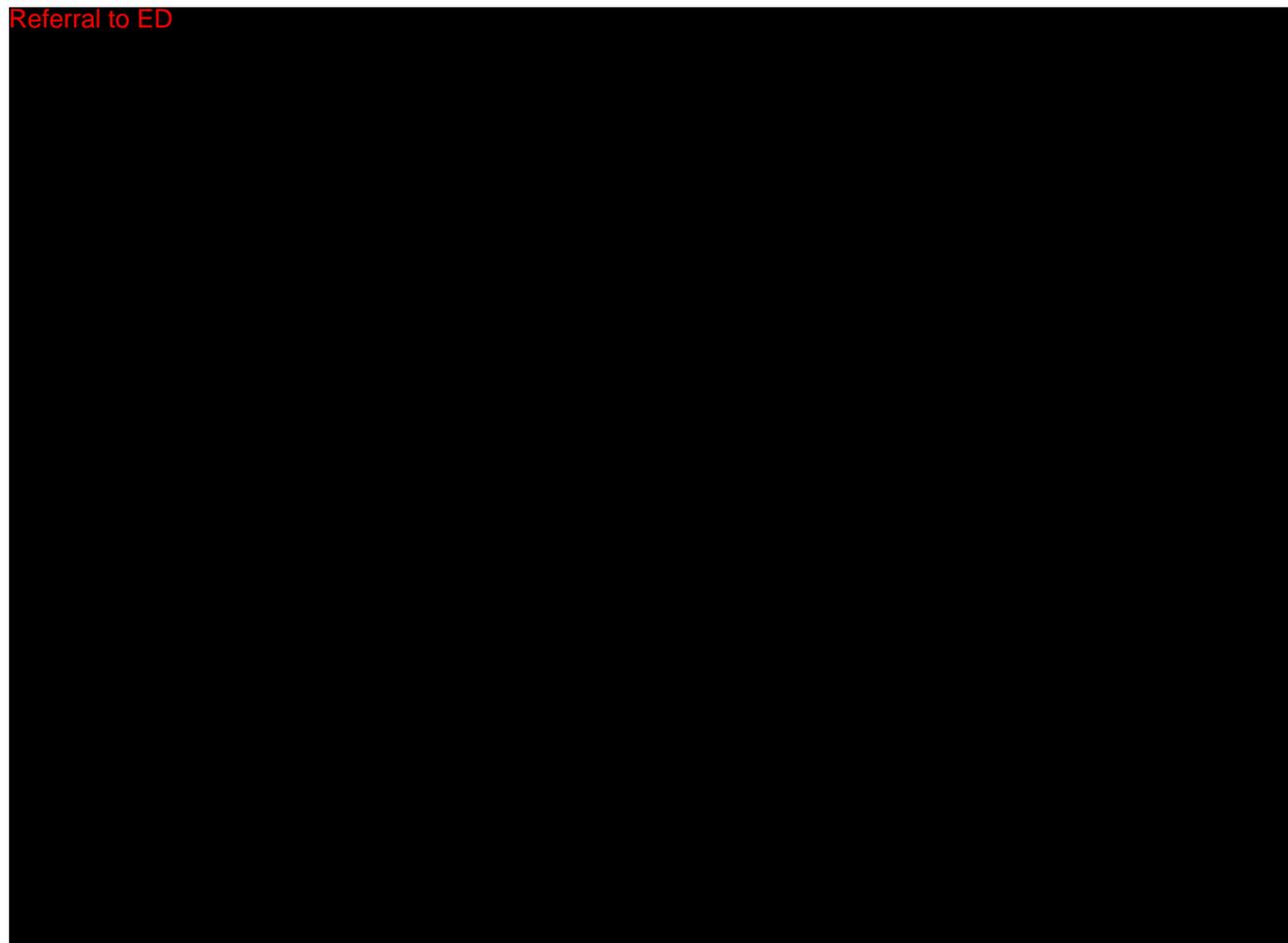
Referral to ED



Referral to ED



Referral to ED



**From:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>

**Sent:** Friday, January 8, 2021 2:19 PM

**To:** Goodridge, Marcella (b) (6) >; Spencer, Kristina <(b) (6) >

**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>

**Subject:** Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

CONTROLLED

Email and attachment(s) contain CUI.

No attachment found in search

Hi Marcella & Kristina!

I hope you and your families are well. I'm the OGE reviewer assigned to prospective nominee Miguel Cardona. I attached the initial questions and comments, and the following are a few housekeeping matters:

- OGE anticipates that the Transition Team may seek more frequent status updates about this report. As a result, I will be reaching out regularly to check on the status.
- The Transition Team contact for this report is (b) (6), (b) (6) - Mike Firestone's email address, (b) (6), (b) (6). I'll be sending him an email to let him know that I've provided you with our first round of questions for the nominee; **please cc (b) (6) when you send your first round questions to the filer.**
- OGE reviewers have been asked to collect contact information for the primary agency reviewer, as well as any backups who will provide coverage for the primary reviewer. Do you have plans to be out on leave over the next couple of weeks? If so, can you please provide the contact information for the person(s) who will be working the report in your absence?

I look forward to working with you!

**Morris Barren**

Assistant Counsel

Ethics Law & Policy Branch

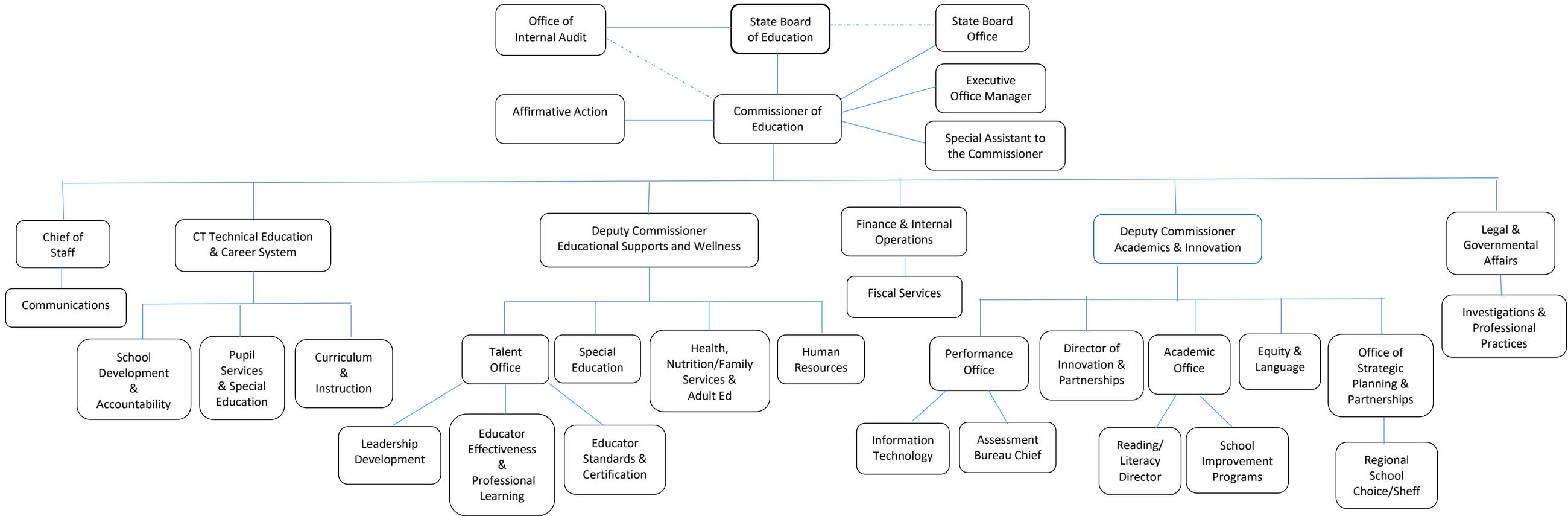
U.S. Office of Government Ethics

(202) 482-9266

[mbarren@oge.gov](mailto:mbarren@oge.gov)

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## ORGANIZATION CHART FOR THE CONNECTICUT STATE DEPARTMENT OF EDUCATION



**From:** [Heather A. Jones](#)  
**To:** [Deborah J. Bortot](#)  
**Subject:** Cardona Questions  
**Date:** Tuesday, January 19, 2021 12:47:06 PM

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- (b) (3) (B), (b) (5) [Redacted]
- (b) (6), (b) (3) (B), (b) (5) [Redacted]
- (b) (6), (b) (5), (b) (3) (B) [Redacted]
- (b) (5), (b) (3) (B), (b) (6) [Redacted]

I also left a couple of comments in the notes. I don't have changes to the EA.

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

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

**From:** [Morris C. Barren](#)  
**To:** [Deborah J. Bortot](#)  
**Cc:** [Heather A. Jones](#)  
**Subject:** RE: Cardona  
**Date:** Tuesday, January 19, 2021 1:54:22 PM

---

Thanks, I'll review these and send any needed questions/changes to ED.

---

**From:** Deborah J. Bortot  
**Sent:** Tuesday, January 19, 2021 1:28 PM  
**To:** Morris C. Barren <mbarren@oge.gov>  
**Cc:** Heather A. Jones <hajones@oge.gov>  
**Subject:** Cardona

Morris,

Heather and I reviewed the report, EA, and notes. Here are our combined comments/questions:

1. (b) (5), (b) (6) . I'm sorry my email from the other day wasn't clear. I intended to say they should (b) (5), (b) (6)
2. (b)(3), (5), (6)
3. (b)(3), (5), (6)
4. (b) (5), (b) (6)
5. (b) (5) See comments above
6. (b) (5) See comment above
7. (b) (5) See comment above
8. (b)(3), (5)
9. (b)(3), (5), (6)
10. (b)(3), (5), (6)
11. (b) (5)

(b) (5)  
[Redacted]  
[Redacted]

I changed the language and tracked the changes in the EA. (b) (5)  
[Redacted]  
[Redacted]

(b)(5) - internal agency network  
[Redacted]

12. Heather left a couple comments in the notes.

Thanks,  
Deb

**From:** [Morris C. Barren](#)  
**To:** [Heather A. Jones](#); [Deborah J. Bortot](#)  
**Cc:** [Rachel K. McRae](#)  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]  
**Date:** Tuesday, January 19, 2021 5:53:03 PM

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Thanks. I sent the email, and the agency is forwarding it to the filer shortly.

Morris

---

**From:** Heather A. Jones  
**Sent:** Tuesday, January 19, 2021 5:26 PM  
**To:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>; Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]  
**Please send the confirmatory email.**

---

**From:** Morris C. Barren  
**Sent:** Tuesday, January 19, 2021 5:16 PM  
**To:** Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>; Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]  
Ok and thanks. I'll send ED the confirmatory email for the filer once you say that I can.  
Morris

---

**From:** Heather A. Jones  
**Sent:** Tuesday, January 19, 2021 5:12 PM  
**To:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>; Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]  
Morris-  
Please (b) (5), (b) (6)

---

Thanks  
Heather

---

**From:** Morris C. Barren  
**Sent:** Tuesday, January 19, 2021 4:54 PM  
**To:** Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>; Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** FW: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

Attachment is a final, uncertified copy of Miguel Cardona's financial disc report, withheld in full pursuant to (b) (3). A certified version is available on OGE's website.

Hi Deb & Heather,

I communicated with ED, and the agency made the needed updates to the report. Also, (b)(3), (5), (6)

and ED said (b) (5)

when they forward the EA and the confirmatory email to the filer.

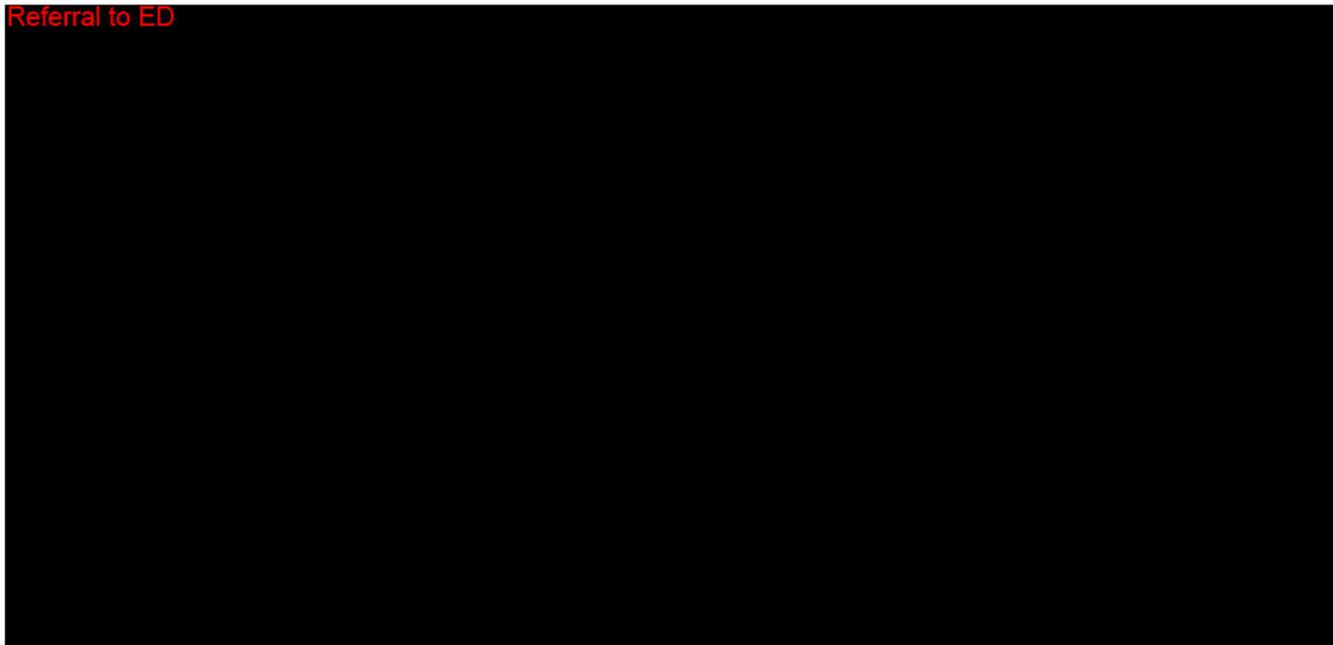
I updated the review notes, and please let me know if I'm clear to send ED the confirmatory email.

Thanks,

Morris

Referral to ED

Referral to ED



**From:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>

**Sent:** Tuesday, January 19, 2021 3:11 PM

**To:** Spencer, Kristina <(b) (6)>

**Subject:** RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ]

CONTROLLED

Email and attachment(s) contain CUI.

No attachment found in search

Hi Kristina,

After discussing the report internally, please see the following items for your review:

- (b) (5), (b) (6)
  - Sorry, my email intended to say that (b) (5), (b) (6)
- (b)(3), (5), (6)
- (b)(3), (5), (6)
- (b) (5), (b) (6)
- (b) (5) See comments above
- (b) (5) See comment above
- (b) (5) See comment above
- (b)(3), (5)
- (b)(3), (5), (6)
- (b)(3), (5), (6)
- (the information near the blue circle at this link
- (b) (5) seems to show that it's a
- (b) (5)

I also attached the EA for your review and will send the confirmatory email once the report is updated.

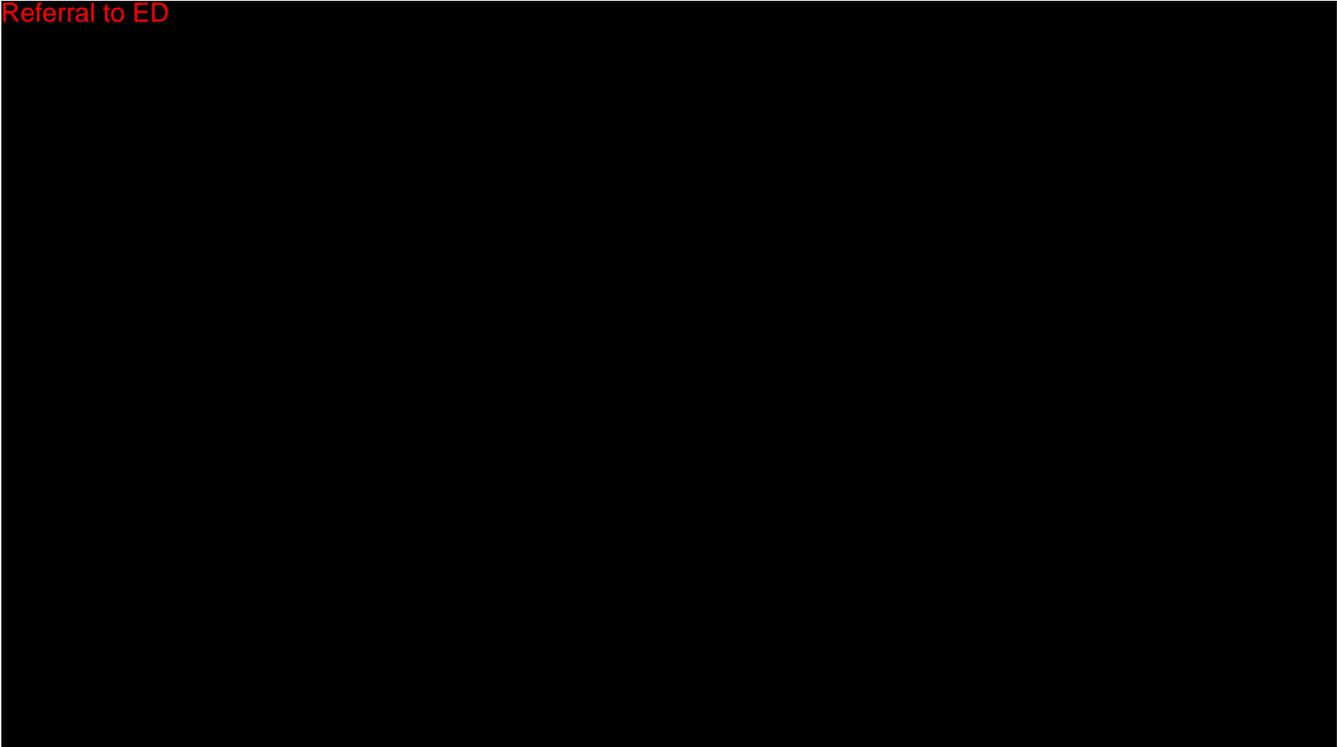
Thanks!

Morris

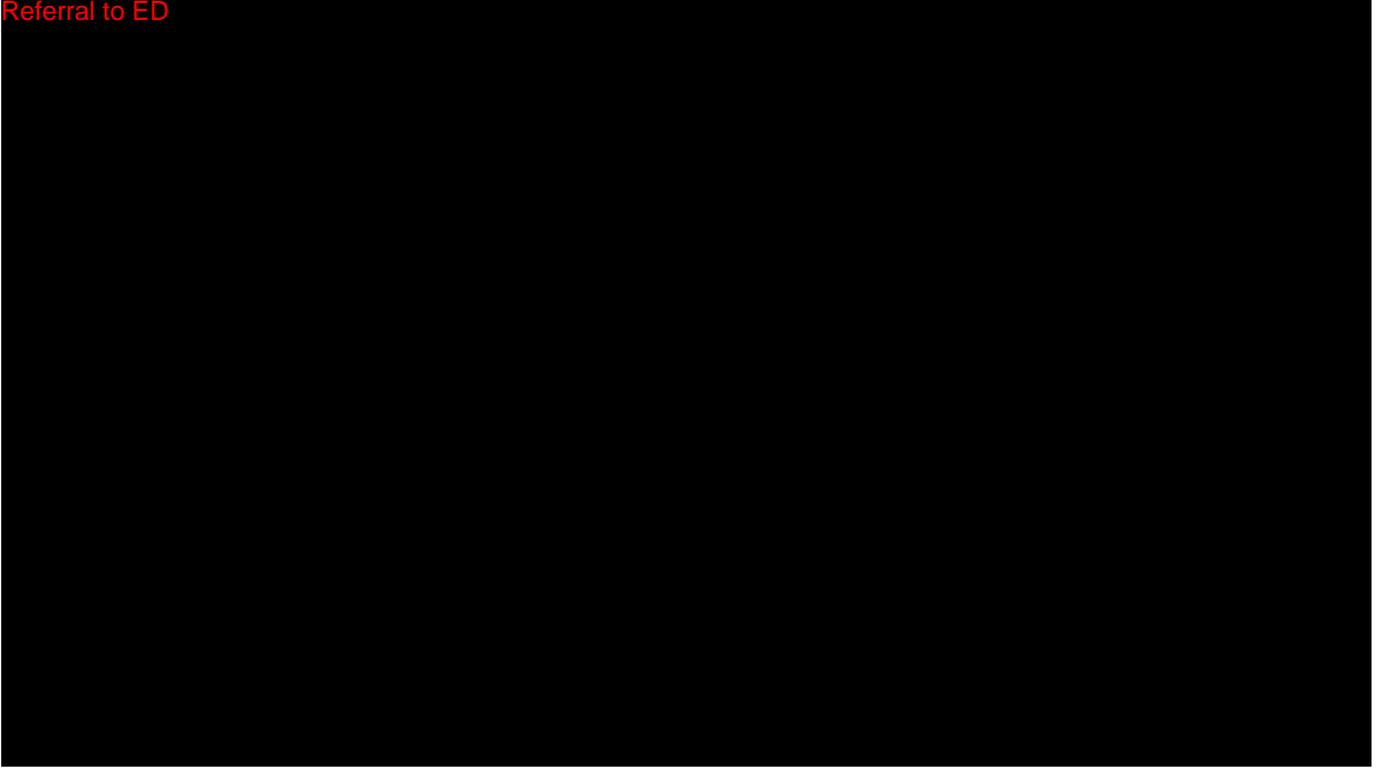
Referral to ED



Referral to ED



Referral to ED



Referral to ED



Referral to ED

From: Morris C. Barren <mbarren@oge.gov <<mailto:mbarren@oge.gov>> > >

Sent: Saturday, January 16, 2021 5:36 PM

To: Spencer, Kristina (b) (6) <[\(b\) \(6\)](mailto:(b) (6))> > >

Cc: Rachel K. McRae <rkmcrae@oge.gov <<mailto:rkmcrae@oge.gov>> > >; Goodridge, Marcella (b) (6) <[\(b\) \(6\)](mailto:(b) (6))> > >

Subject: RE: Prospective Nominee Miguel Cardona - [ Message and attachment(s) contain CUI ] - [ Message contains CUI ]

CONTROLLED

Thanks, Kristina

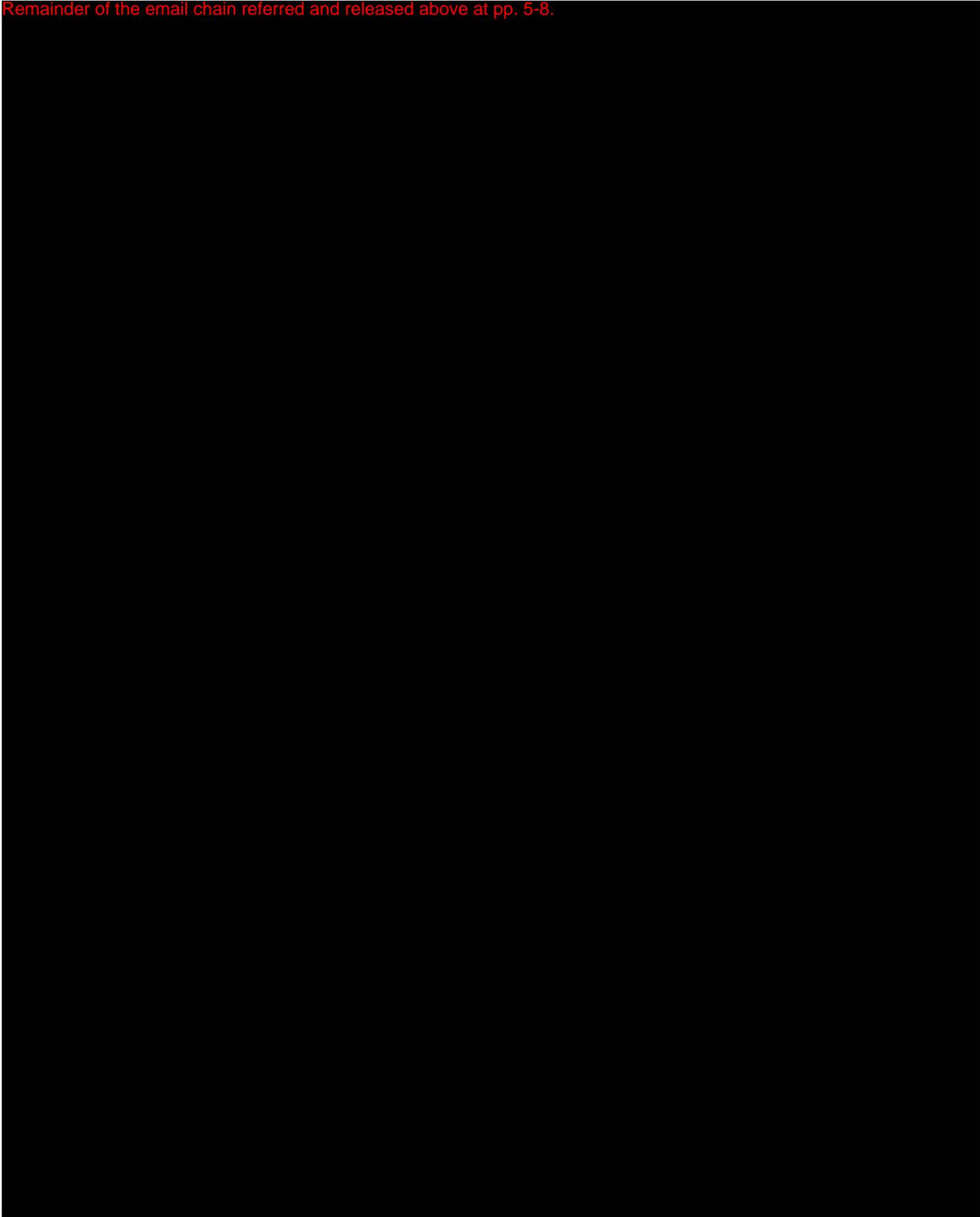
I'm going to check to make sure (b) (5), (b) (6)

Also, it looks like (b) (5)

Enjoy the weekend!

Morris

Remainder of the email chain referred and released above at pp. 5-8.



**From:** [Heather A. Jones](#)  
**To:** [Morris C. Barren](#); [Deborah J. Bortot](#)  
**Cc:** [Rachel K. McRae](#)  
**Subject:** RE: Cardona (confirmation email) - [ Message and attachment(s) contain CUI ]  
**Date:** Tuesday, January 19, 2021 6:50:05 PM

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Thanks, I looking at it to preclear now.

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**From:** Morris C. Barren  
**Sent:** Tuesday, January 19, 2021 6:48 PM  
**To:** Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>; Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>  
**Cc:** Rachel K. McRae <[rkmcrae@oge.gov](mailto:rkmcrae@oge.gov)>  
**Subject:** FW: Cardona (confirmation email) - [ Message and attachment(s) contain CUI ]

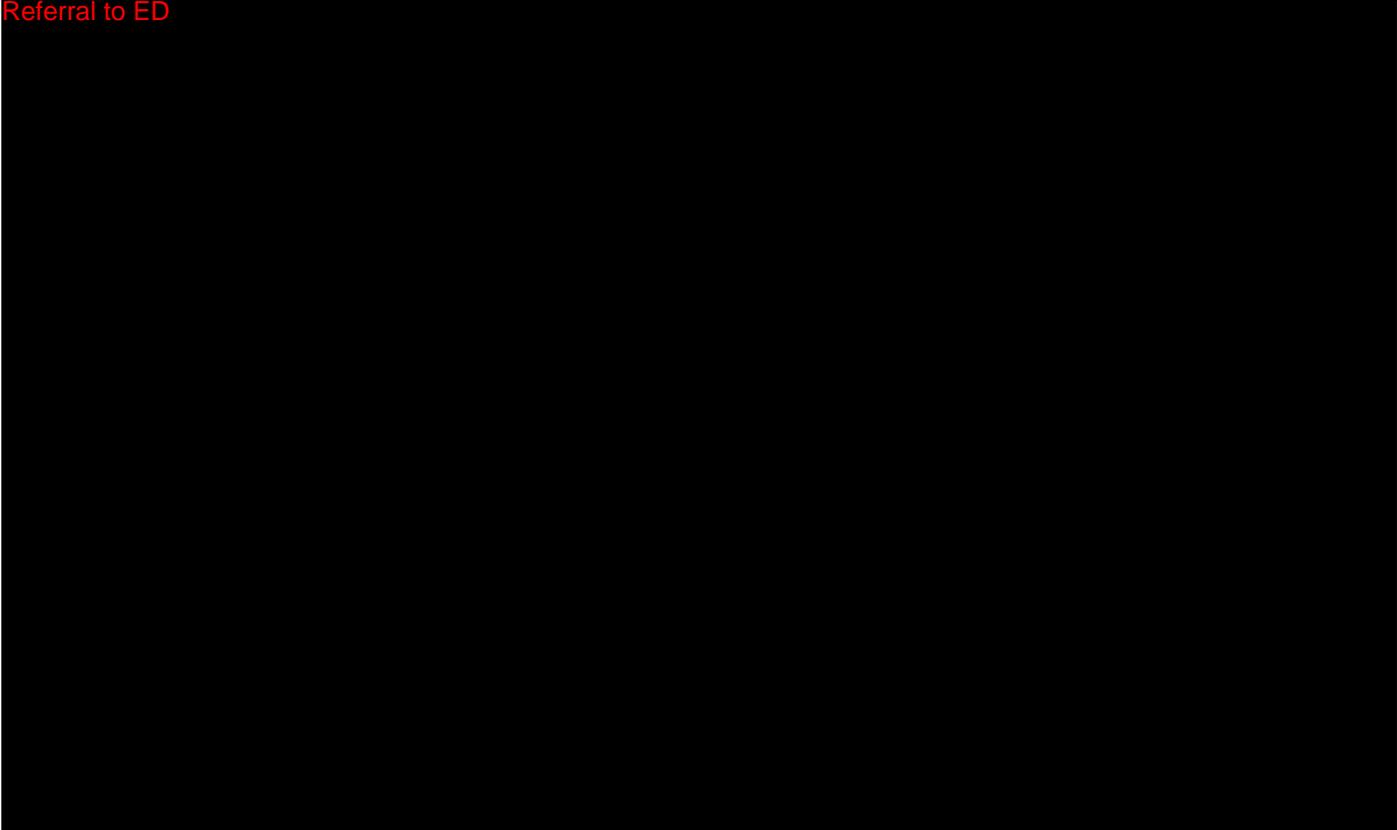
Heather & Deb,

The filer responded (see ED email below). Please let me know what you need me to do at this point. I just want to make sure I do everything in the proper order.

Thanks,

Morris

Referral to ED



**From:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>  
**Sent:** Tuesday, January 19, 2021 5:51 PM

To: Spencer, Kristina <(b) (6)>

Subject: Cardona (confirmation email) - [ Message and attachment(s) contain CUI ]

CONTROLLED

Email and attachment(s) contain CUI.

Hi Kristina,

The U.S. Office of Government Ethics (OGE) will be reviewing Dr. Miguel Cardona's report for "preclearance." **Please be sure to instruct Dr. Cardona 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 Dr. Cardona's material representations on which we are relying. Please forward this message to Dr. Cardona and instruct him to notify you immediately if any item in this list is incorrect.

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

- Dr. Cardona 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, Dr. Cardona has provided information covering the entire reporting period of January 1, **2019**, to January 7, 2021.
- For Part 2, Part 5, Part 6, and Part 8, Dr. Cardona has provided information covering the entire reporting period of January 1, **2020**, to January 7, 2021.
- Dr. Cardona is not a trustee of any trust.
- Dr. Cardona and his spouse, and his dependent children do not have any beneficial interests in trusts, including discretionary trusts.
- Dr. Cardona and his spouse do not have a managed account/managed brokerage account. They also do not rely on the services of an investment professional to act independently to acquire assets for him or his spouse.
- Dr. Cardona or his spouse do not have a mortgage on a personal residence.
- The ethics agreement correctly describes all items addressed in the agreement.

Thanks,

**Morris Barren**

Assistant Counsel

Ethics Law & Policy Branch

U.S. Office of Government Ethics

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email in error, please notify the sender by responding to the email and then immediately delete the email.

Referral to ED

**From:** Deborah J. Bortot <djbortot@oge.gov>  
**Sent:** Tuesday, January 19, 2021 9:24 PM  
**To:** Spencer, Kristina (b) (6) >  
**Cc:** Morris C. Barren <mbarren@oge.gov>; Heather A. Jones <hajones@oge.gov>; Teresa L. Williamson <tlwillia@oge.gov>  
**Subject:** RE: Intent to Nominate Miguel Cardona - [ Message contains CUI ] - [ Message contains CUI ]

CONTROLLED

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Kristina,

Is this a legally recognized signature for signing a contract? If so, okay.

Thanks,  
Deb

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917

Telephone: (202) 482-9227

Referral to ED

From: Deborah J. Bortot <djbortot@oge.gov <<mailto:djbortot@oge.gov>> >  
Sent: Tuesday, January 19, 2021 8:59 PM  
To: Spencer, Kristina <(b) (6) <[<mailto:\(b\) \(6\)>](mailto:(b) (6))> >  
Cc: Morris C. Barren <mbarren@oge.gov <<mailto:mbarren@oge.gov>> >; Heather A. Jones <hajones@oge.gov <<mailto:hajones@oge.gov>> >; Teresa L. Williamson <twillia@oge.gov <<mailto:twillia@oge.gov>> >

Subject: Intent to Nominate Miguel Cardona - [ Message contains CUI ]

CONTROLLED

Attachment named "Nominated\_email\_template (attachment).pdf" is a nonresponsive record.

The President-elect has formally announced his intent to nominate Miguel Cardona and indicated that OGE should transmit his paperwork to the Senate.

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 Morris Barren (and copy Heather Jones and 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 us an email when the upload occurs. That way, we know when we have the complete final package for processing.

Thanks,  
Deb

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9227

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**From:** [Integrity.gov](https://integrity.gov)  
**To:** [Emory A. Rounds III](#)  
**Subject:** Integrity.gov: Report Pending Action  
**Date:** Tuesday, January 19, 2021 10:51:31 PM

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A 2021 Nominee report for Cardona, Miguel is pending your action as OGE Nominee Certifying Official. You may access the report by logging into integrity at <https://integrity.gov>.

**From:** [Teresa L. Williamson](#)  
**To:** [Morris C. Barren](#)  
**Subject:** RE: Public Financial Disclosure Report - Miguel Cardona (Attachments Contain CUI)  
**Date:** Thursday, January 21, 2021 12:52:58 PM

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Hi Morris, No action required. It is a courtesy copy I send to the reviewers once I receive confirmation of receipt from my Senate Committee POC.

Thanks! Teresa

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**From:** Morris C. Barren  
**Sent:** Thursday, January 21, 2021 12:52 PM  
**To:** Teresa L. Williamson <[tlwillia@oge.gov](mailto:tlwillia@oge.gov)>  
**Subject:** RE: Public Financial Disclosure Report - Miguel Cardona (Attachments Contain CUI)

Hi Teresa,

Is there any action I or the agency need to take with this information? Or is the message just a notification?

Thanks,

Morris

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**From:** Teresa L. Williamson  
**Sent:** Thursday, January 21, 2021 9:34 AM  
**To:** Morris C. Barren <[mbarren@oge.gov](mailto:mbarren@oge.gov)>; 'Spencer, Kristina' (b) (6) >  
**Subject:** Public Financial Disclosure Report - Miguel Cardona (Attachments Contain CUI)

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 Miguel Cardona. President-Elect Biden has announced his intention to nominate Miguel Cardona for the position of Secretary, Department of Education.

Thanks!

Teresa Williamson  
Presidential Nominations Branch  
U.S. Office of Government Ethics

First attachment named "OGE CUI Coversheet.pdf" released below at page 27. Second attachment named "Cardona, Miguel finalsenateletr.pdf" released below at page 28. Third attachment named "Cardona, Miguel finalEA.PDF" released below at page 29-30. Fourth attachment is the same as the attachment on page 5 which has been withheld in full.

1201 New York Avenue, NW - Suite 500  
Washington, DC 20005  
202-482-9283



CONTROLLED UNCLASSIFIED INFORMATION (CUI)

The attached document contains CUI that requires protection and safeguarding in a manner that prevents unauthorized disclosure of CUI. (e.g., locked file cabinet, restricted access to CUI, etc.)

ATTENTION

All individuals handling this information are required to protect it from unauthorized disclosure.

Handling, storage, reproduction, and disposition of the attached document(s) must be in accordance with 32 CFR Part 2002 and applicable agency policy.

Access to and dissemination of CUI shall be allowed as necessary and permissible to any individual(s), organization(s), or grouping(s) of users, provided such access or dissemination is consistent with or in furtherance of a Lawful Government Purpose and in a manner consistent with applicable law, regulations, and Government-wide policies.



UNITED STATES OFFICE OF  
GOVERNMENT ETHICS



January 20, 2021

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

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Miguel Cardona. President-Elect Biden has announced his intention to nominate Miguel Cardona for the position of 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,  
**EMORY  
ROUNDS**

Emory A. Rounds, III  
Director

 Digitally signed by EMORY  
ROUNDS  
Date: 2021.01.20 07:29:15  
-05'00'

Enclosures



January 19, 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 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 an Ethics Pledge that will impose additional ethics commitments. I agree to sign the Pledge, and I acknowledge that I will be bound by it.

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 position with the Connecticut State Department of Education, which will also terminate my position with the Connecticut State Board of Education. 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 Meriden Public Schools (Connecticut) and the Meriden Children First Initiative in positions 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 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 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,

Miguel Cardona



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## Resolved Interaction

Interaction Number: 21164

[copy press contact to new](#)

<b>Initiation Date*:</b>	2021-02-08
<b>Title*:</b>	Question about financial disclosure reports (Christian Science Monitor)
<b>Question*:</b>	The reporter had questions about the availability of financial disclosure reports of nominees including Miguel Cardona, the President's pick for Education Secretary.
<b>Update:</b>	
<b>Categories*:</b>	278s
<b>Origin Of Interaction*:</b>	Phone
<b>Source*:</b>	Non-Agency Press
<b>First Name:</b>	Sara
<b>Last Name:</b>	Matusek
<b>Title:</b>	Reporter, Christian Science Monitor
<b>Position:</b>	
<b>Email:</b>	none provided
<b>Phone:</b>	(b) (6)
<b>Other Contact Notes:</b>	
<b>Assignment:</b>	Elizabeth D. Horton
<b>Watching:</b>	
<b>Temporary Notes:</b>	
<b>created by:</b>	Elizabeth D. Horton

### Resolution Information

<b>Resolution Date*:</b>	2021-02-08
<b>Resolution Category*:</b>	Resolved
<b>Response*:</b>	I told the reporter that nominee reports are publicly available after they are received by the Senate and helped her navigate to the Officials' Individual Disclosures Search Collection on OGE's website. (Assigned to: Elizabeth D. Horton)
<b>Complexity (level):</b>	1 <a href="#">[Click to view/hide complexity guidelines]</a>
<b>Time Spent (hours):</b>	0-1 hour
<b>Contributor:</b>	
<input type="button" value="reopen"/>	

### Interaction History Log

Closed	02/08/2021 10:59:33 AM by Elizabeth D. Horton
Now Assigned:	02/08/2021 10:59:33 AM by Elizabeth D. Horton

Elizabeth D. Horton

Division(s) assigned: PCD

Referral to ED



Remainder of the email chain released above at pp. 22-23.

