ACE Unit 5: Part 1

Initial Review Draft New Entrant Public Financial Disclosure

## Unit 5—Resources

### Curricula/Recorded Trainings

1. [Public Financial Disclosure Curriculum](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=4EDD4D0D59AE95948525856800630DE6)
2. [Nominee Financial Disclosure Curriculum](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=394BE06FC644F12E8525860900599D91)

Video 1 Conflicts of Interest Exemptions for Mutual Funds Reporting Video 3 Ethics Issues for Professors

Video 4 Reporting and Conflicts Analysis for Employee Benefits

1. [How to Research Financial Instruments for Public Financial Disclosure Reviewers](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=4A4E03A0A57C01D8852586CB00508608)
2. [18 USC 208 and Public Financial Disclosure: Distinguishing EIFs v. Exemptions for Mutual Funds (2016)](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=222AFD7D5FAEB4508525825D0069FC83)
3. [18 USC 208: Applying Commonly Used Exemptions (2017)](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=58A40055FD4EACB68525825D0052B9DC)
4. [Training Series on 18 USC 208(b)(1) Waivers](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=29D6AA626BA5089385258AFA0060D31A)
5. [Certificate of Divestiture Training](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=FFB38ABC6D2E9F9885258AAF0055EE44)

### Documents

1. [The Public Financial Disclosure Guide](https://www.oge.gov/Web/278eGuide.nsf)

1. [Analyzing Potential Conflicts of Interest](https://www.oge.gov/web/OGE.nsf/a716ba6e5e826838852585ae005546c0/f029088beda3de04852585b6005a1e0e?OpenDocument)
2. [PAS Nominee Ethics Agreement Guide (Word)](https://www.oge.gov/web/OGE.nsf/0/E4716CFB6F236C1285258610004943C7/%24FILE/Ethics%20Agreement%20Guide%20October%202020.docx)
3. [Determining if an Investment Fund is Registered under the 1940 Act: Job Aid](https://extapps2.oge.gov/Training/OGETraining.nsf/OGECourse.xsp?action=openDocument&documentId=0C3FE534AE76185B85258AF3006A0C87)
4. [List of conflict of interest remedies and exemptions (PDF)](https://extapps2.oge.gov/Training/OGETraining.nsf/xsp/.ibmmodres/domino/OpenAttachment/training/ogetraining.nsf/36415ABB5DA68F7B852585030070EE25/Body/COI%20Remedies%20and%20Exemptions.pdf)
5. [Waivers under 18 USC 208—OGE 07 x 4](https://www.oge.gov/web/oge.nsf/News%2BReleases/92CB9ED267120B37852585BA005BECF7/%24FILE/07x4.pdf)
6. [Certificate of Divestiture Fact Sheet](https://www.oge.gov/web/OGE.nsf/0/D9246BEE2437F154852585B6005A17D1/%24FILE/Certificate%20of%20Divestiture%20Fact%20Sheet.pdf)

**Task 5.1 Ethics Program Points of Intervention in Hiring and Onboarding Process Consult this site for ideas:** [**https://ethics.od.nih.gov/PreEmp278**](https://ethics.od.nih.gov/PreEmp278)

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| **Pre- and Post-Hire Phases**(*Examples: Job announcement; interviews; etc.)* | **Offices/Personnel Involved** | **Advantages** | **Disadvantages** |
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**Task 5.2—Initial Review of Draft NE 278e**

Instructions: Conduct a line-by-line review of Keshia Marsteller’s draft NE 278e for the position of Deputy Director for Programs Funding. You will use the following resources to identify technical reporting issues (e.g. missing information), substantive ethics issues, and additional questions you have for the filer.

* 1. Worksheet for Initial Review
	2. Draft NE 278e
	3. Keshia Marstellar’s Resume
	4. Position Description for Deputy Director—Programs Funding
	5. The [Reviewer’s Guide](https://www.oge.gov/Web/278eGuide.nsf)
	6. [Analyzing Potential Conflicts of Interest](https://www.oge.gov/web/OGE.nsf/a716ba6e5e826838852585ae005546c0/f029088beda3de04852585b6005a1e0e?OpenDocument)
	7. Various internet sites (webpages for organizations, financial instruments, etc.)

# Task 5.2--NE 278e Review Exercise--Worksheet for Keshia Marsteller

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| **Part 1 Filer's Positions Held Outside United States Government (2 prior calendar years and current****to date of filing)** | **Questions/More Information** | **Substantive Issues/Remedies** |
| Johns Hopkins-Bloomberg School of Public Health (also reported in Part 2)*Tenured Professor –Health Policy and Management* |  |  |
| National Council for Mental Wellbeing (also reported in Part 2)*Consultant* |  |  |
| Information from Resume not included on draft |  |  |

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| **Part 2 Filer's Employment Assets & Income and Retirement Accounts (prior calendar year and current to date of filing)** | **Questions/More Information** | **Substantive Issues** |
| Johns Hopkins (salary and TIAA) |  |  |
| National Council for Mental Wellbeing |  |  |
| Information from Resume not included on draft |  |  |

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| **Part 3 Filer's Employment Agreements and Arrangements (prior calendar year and current to****date of filing)** | **Questions/More Information** | **Substantive Issues** |
| Johns Hopkins-Bloomberg School of Public Health |  |  |
| National Council for Mental Wellbeing |  |  |
| Information from Resume not included on draft |  |  |
| **Part 4 Filer's Sources of Compensation Exceeding****$5,000 in a Year (prior two calendar years and current****to date of filing)** | **Questions/More Information** | **Substantive Issues** |
| Johns Hopkins-Bloomberg School of Public Health |  |  |
| National Council for Mental Wellbeing |  |  |

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| Information from Resume not included on draft |  |  |
| **Part 5 Spouse's Employment Assets & Income and Retirement Accounts (prior calendar year and current to date of****filing)** | **Questions/More Information** | **Substantive Issues** |
| Johns Hopkins-Bloomberg School of Public Health |  |  |
| TIAA—Johns Hopkins |  |  |
| Medidata Solutions |  |  |
| Dassault Systèmes |  |  |
| Any additional assets/income |  |  |
| **Part 6 Other Assets and****Income (prior calendar year and current to date of filing)** | **Questions/More Information** | **Substantive Issues** |
| M&T Bank |  |  |

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| Fidelity Select Pharmaceuticals |  |  |
| First Trust Nasdaq Pharma |  |  |
| Any additional assets/income |  |  |
| **Part 7 Transactions** | N/A for NE Filing |  |
| **Part 8 Liabilities (prior calendar year and current to****date of filing)** | **Questions/More Information** | **Substantive Issues** |
| M&T Bank*Mortgage* |  |  |
| Other Reportable Liabilities |  |  |
| **Part 9 Gifts and Travel****Reimbursements** | N/A for NE Filing |  |

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U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001)

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| Type of Report | New Entrant |
| Year (Annual Report only): |  |
| Date of Appointment/Termination: |  |

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

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| Filer's Information |
| Last Name | First Name | MI | Position | Agency |
| Marsteller | Keshia |  | Deputy Director--Programs Funding | Agency for Mental Health |
| Other Federal Government Positions Held During the Preceding 12 Months: |
| N/A |
| Name of Congressional Committee Considering Nomination (Nominees only): |
| N/A |
| Filer's Certification - I certify that the statements I have made in this report are true, complete and correct to the best of my knowledge: |
| Signature: | Date: |

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| Agency Ethics Official's Opinion – On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations(subject to any comments below) |
| Signature: | Date: |
| Other Review Conducted By: |
| Signature: | Date: |
| U.S. Office of Government Ethics Certification (if required): |
| Signature: | Date: |

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| Comments of Reviewing Officials: |
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[Instructions for Part 1](#_bookmark8)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 1 |
| **Part 1: Filer's Positions Held Outside United States Government** |
| **#** | **Organization Name** | **City/State** | **Organization Type** | **Position Held** | **From** | **To** |
| 1. | Johns Hopkins University | Baltimore, MD | University | Professor | 6/2014 | present |
| 2. | National Council for Mental Wellbeing | Washington, DC | Non-profit | Consultant | 1/2021 | present |
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[Instructions for Part 2](#_bookmark0)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 2 |
| **Part 2: Filer's Employment Assets & Income and Retirement Accounts** |
| **#** | **Description** | **EIF** | **Value** | **Income Type** | **Income Amount** |
| 1. | Johns Hopkins University |  |  | Salary | $223,000 |
| 2. | National Council for Mental Wellbeing |  |  | Fees | $83,650 |
| 3. | TIAA--Johns Hopkins | Yes | $250,001 - $500,000 |  | None (or less than $201) |
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[Instructions for Part 3](#_bookmark7)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 3 |
| **Part 3: Filer's Employment Agreements and Arrangements** |
| **#** | **Employer or Party** | **City/State** | **Status and Terms** | **Date** |
| 1. | Johns Hopkins University | Baltimore, MD | I will be on a leave of absence from my tenured position with Johns Hopkins Bloomberg School of Public Health. Iwill continue to participate in the TIAA retirement plan during my leave. | 9/2024 |
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[Instructions for Part 4](#_bookmark1)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 4 |
| **Part 4: Filer's Sources of Compensation Exceeding $5,000 in a Year** |
| **#** | **Source Name** | **City/State** | **Brief Description of Duties** |
| 1. | Johns Hopkins University | Baltimore, MD | Tenured Professor of Health and Policy Management with the Bloomberg School of Public Health |
| 2. | National Council for Mental Wellbeing | Washington, DC | Provide integrated health consulting services to mental healthcare service providers |
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[Instructions for Part 5](#_bookmark6)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 5 |
| **Part 5: Spouse's Employment Assets & Income and Retirement Accounts** |
| **#** | **Description** | **EIF** | **Value** | **Income Type** | **Income Amount** |
| 1. | Johns Hopkins Bloomberg School of Public Health |  |  | Salary |  |
| 2. | TIAA-Johns Hopkins | Yes | $250,001 - $500,000 |  | None (or less than $201) |
| 3. | Medidata Solutions |  |  | Consulting fees |  |
| 4. | Dassault Systèmes restricted stock |  |  |  |  |
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[Instructions for Part 6](#_bookmark5)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 6 |
| **Part 6: Other Assets and Income** |
| **#** | **Description** | **EIF** | **Value** | **Income Type** | **Income Amount** |
| 1. |  |  |  |  |  |
| 2. | M&T Bank |  | $15,001 - $50,000 | interest | $201 - $1,000 |
| 3. | Fidelity Select Pharmaceuticals |  | $1,001 - $15,000 |  | None (or less than $201) |
| 4. | First Trust Nasdaq Pharma |  | $15,001 - $50,000 |  | $201 - $1,000 |
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[Instructions for Part 7](#_bookmark2)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 7 |
| **Part 7: Transactions** |
| **#** | **Description** | **Type** | **Date** | **Amount** |
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[Instructions for Part 8](#_bookmark3)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 8 |
| **Part 8: Liabilities** |
| **#** | **Creditor Name** | **Type** | **Amount** | **Year Incurred** | **Rate** | **Term** |
| 1. | M&T Bank | Mortgage | $500,001 - $1,000,000 | 2016 | 4.2 | 30 yrs |
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[Instructions for Part 9](#_bookmark4)

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

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| Filer's Name | Page Number |
| Marsteller, Keshia | 9 |
| **Part 9: Gifts and Travel Reimbursements** |
| ***#*** | **Source Name** | **City/State** | **Brief Description** | **Value** |
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# EMPLOYMENT

**KESHIA MARSTELLER, PhD**

Johns Hopkins University, Professor, Department of Health and Policy Management 2014-present National Council for Mental Wellbeing 2021-present

**\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\***

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| **EDUCATION AND TRAINING** |  |
| Postdoctoral Fellowship – Harvard University | 2012-2014 |
| PhD, Public Health – Johns Hopkins University - Bloomberg School of Public Health | 2009-2012 |
| MPH - Yale University School of Public Health | 2007-2009 |
| BA, Sociology – Mount Holyoke College | 2003-2007 |

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| **GRANTS AND FELLOWSHIP** |  |
| NIH Intramural Support Grant | 2018-present |
| Chan Zuckerberg Initiative | 2019-2020 |
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| AMH Intramural Support Grant | 2010-2015 |

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**HONORS AND AWARDS**

Society for Public Health Education Outstanding Mentor Award January 2024

American Public Health Association Young Researcher Award 2013

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| **PROFESSIONAL SERVICE** |  |
| Executive Board Member, American Public Health Association | 2022-present |
| Director of Health Policy Research Scholars, Robert Wood Johnson Foundation | 2019-2021 |
| Advisory Council member, Agency for Mental Health | 2018-2019 |
| Johns Hopkins Student Life Advisory Chair | 2016-2020 |

**INVITED TALKS**

“Treatment resistant depression: A multi-scale approach” November 2023 University of North Carolina, Chapel Hill

“Aging, mental illness and COVID-19” May 2023

American Public Health Association Annual Meeting

“Choosing appropriate language to reduce the stigma around mental illness” 2022

European Psychiatric Association Spring Conference

Suicide Prevention Research Priorities in Health Care 2020

American Public Health Association Annual Meeting (virtual)

Collaborative Approaches to the Clinical High-Risk State 2015

University of California, San Francisco

A Novel Method for Chronic Social Defeat Stress 2014

Agency on Mental Health Seminar – Stress and the Brain

A Collaborative Research Agenda for Posttraumatic Stress Disorder 2012

European Psychiatric Association Winter Conference

Deputy Director for Programs Funding—Agency for Mental Health

The Deputy Director for Programs Funding engages in policy making and budgetary and performance management oversight in support of a range of AMH-supported research, research training, career development, and scientific resource and technology transfer programs through grants, cooperative agreements and contracts.

Programs funded include:

* Treatment and preventive interventions research;
* Mental health services research to develop and test service delivery strategies for improving the quality, effectiveness, continuity, and value of mental health services;
* Research training, education, and career development grant mechanisms to cultivate a mental health research workforce that is diverse, skilled in innovative treatment, prevention, and services; and
* Application of innovative technologies, supported through the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs, to improve screening, diagnosis, clinical assessment, data collection, and quality monitoring tools for clinical trials and services research studies; advance the treatment of mental disorders; and new approaches to training, supervision, and continuing education for researchers and evidence-based practitioners.