

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

Filer's Information

Brown, Scott Philip

Ambassador to New Zealand & Samoa, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Foreign Relations**
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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Brown, Scott Philip [electronically signed on 02/08/2017 by Brown, Scott Philip in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Huitema, David, Certifying Official [electronically signed on 04/26/2017 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/28/2017 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Law Office of Scott P. Brown	See Endnote	Wrentham, MA/Rye, NH, Massachusetts	Solo Legal Practice	Owner	6/1986	Present
2	CoachUp, Inc.		Boston, Massachusetts	Corporation	Advisor	2/2013	Present
3	SkyBridge Capital		New York, New York	Corporation	Advisor	1/2014	3/2017
4	J. Ron Terwilliger Foundation for Housing America's Families		Vienna, Virginia	Foundation focused on housing	Advisor	2/2015	Present
5	Rye Junior High School		Rye, New Hampshire	Junior High	Boys Basketball Coach	9/2015	2/2017
6	FOX NEWS		New York, New York	Corporation	Contracted Contributor	5/2013	Present
7	Cost Sharing Solutions LLC		Canton, Ohio	Corporation	Advisor	1/2017	Present
8	USA Triathlon Foundation		Colororo Springs, Colorado	Non-Profit	Foundation Board Member	3/2015	Present
9	Family Revocable Trust		Rye, New Hampshire	Trust	Co- Trustee	6/2015	Present
10	S&G Media, LLC		Wilmington, Delaware	Corporation	Manager	10/2013	Present
11	S&G Realty, LLC		Wilmington, Delaware	Corporation	Manager	12/2013	Present
12	S&G Realty Ventures, LLC		Wilmington, Delaware	Corporation	Manager	5/2015	Present
13	GDSI, Inc.		West Palm Beach, Florida	Corporation	Advisor	2/2014	9/2015
14	1st Alliance Lending, LLP		East Hartford, Connecticut	Corporation	advisor	2/2014	9/2015

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SkyBridge Capital	N/A		Advisor Fees	\$180,000
2	SkyBridge Capital, anticipated Advisor fee installment	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	J. Ron Terwilliger Foundation for Housing America's Families	N/A		Advisor Fees	\$50,000
4	Rye Junior High School	N/A		Salary	\$2,400
5	FOX NEWS	N/A		Salary	\$175,000
6	Massachusetts State Employees' Retirement System, defined benefit plan (value not readily ascertainable)	N/A		retirement payments (monthly)	\$1,505
7	IRA Annuity - American Century VIP Mid Cap Value Fund C	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	IRA Annuity - Columbia Variable Portfolio Small Cap VA	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	IRA Annuity - Fidelity VIP COntrafund SRCL2	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	IRA Annuity - Franklin US Govt. Sec. VIP FU	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	IRA Annuity - Invesco VI International Growth Series 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	IRA Annuity - IVY VIP Mid Cap Growth	Yes	\$50,001 - \$100,000		None (or less than \$201)
13	IRA Annuity - MFS Blended Research Core Equity Port SC	Yes	\$50,001 - \$100,000		None (or less than \$201)
14	IRA Annuity - MFS Total Return Bond Series SC	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	IRA Annuity - MFS VIT New Discovery Series SC	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	IRA Annuity - Oppenheimer Global Strategic Income/VA S	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	IRA Annuity - Oppenheimer Main Street Small Cap Fund/V	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	IRA Annuity - Pioneer Bond VCT Port CL11	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	IRA Annuity - Pioneer Equity Income VCT CL 11	Yes	\$50,001 - \$100,000		None (or less than \$201)
20	IRA Annuity - Putman VT Equity Income CL1B	Yes	\$100,001 - \$250,000		None (or less than \$201)
21	IRA Annuity - Putnam VT Investors CL1B	Yes	\$50,001 - \$100,000		None (or less than \$201)
22	IRA Annuity - T. Rowe Price Bluechip Growth Portfolio1	Yes	\$50,001 - \$100,000		None (or less than \$201)
23	IRA Annuity - Templeton Foreign VP Fund Class 2 Share	Yes	\$50,001 - \$100,000		None (or less than \$201)
24	IRA Annuity - Victory Incore Investment Quality Bond V	Yes	\$15,001 - \$50,000		None (or less than \$201)
25	IRA Annuity - Victory Incore low Duration Bond VIP Ser	Yes	\$15,001 - \$50,000		None (or less than \$201)
26	IRA Annuity - Western Asset Variable Core Plus CL 11	Yes	\$15,001 - \$50,000		None (or less than \$201)
27	Cost Sharing Solutions, LLC	N/A		Advisor fee	\$10,000
28	"Against All Odds: My Life of Hardship, Fast Breaks, and Second Chances," Harper Collins Publishers (value not readily ascertainable)	N/A		Rent or Royalties	None (or less than \$201)
29	S&G Media, LLC	No			
29.1	Speech - National Insulation Association - 5/3/16	N/A		Honorarium	\$10,800
29.2	Speech - Discover Financial - 9/22/16	N/A		Honorarium	\$12,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.3	Speech - Newington Cropsy Foundation - 10/16/16	N/A		Honorarium	\$16,000
29.4	Speech - Washington Area New Automobile Dealers Association - 11/2/16	N/A		Honorarium	\$13,200
29.5	Speech - Williams College - 11/10/16	N/A		Honorarium	\$13,235
29.6	Speech - University of Tennessee - 1/24/17	N/A		Honorarium	\$9,600
29.7	Newington-Cropsey Foundation, anticipated honorarium	N/A	\$15,001 - \$50,000		None (or less than \$201)
29.8	Hood Hargett Breakfast Club, anticipated honorarium	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	CoachUp, Inc. (a startup company that connects athletes with private coaches) , stock options, (value not readily ascertainable) 11,500 vested shares, strike price \$0.37, exp. 2/2019	N/A			None (or less than \$201)
31	Keogh Plan	No			
31.1	Guardian Life Insurance, whole life policy	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.2	American Funds American Balanced Portfolio Fund Class A	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
31.3	U.S. Brokerage Money Market Cash Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
32	Solo 401(k)	No			
32.1	American Funds American Balanced Portfolio Fund Class A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
32.2	U.S. Brokerage Money Market Cash Account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Law Office of Scott P. Brown	Rye, New Hampshire	My solo legal practice will remain inactive during my appointment and I am not owed any outstanding client fees.	1/2017
2	SkyBridge Capital	New York, New York	Pursuant to my contract, my final fixed fee payment is due on March 31, 2017. Thereafter, the contract terminates, and no additional fees are due.	4/2016
3	Commonwealth of Massachusetts	Boston, Massachusetts	I will continue to participate in the Massachusetts State Employees' Retirement System Defined Benefit Plan	2/2015
4	CoachUp, Inc.	Boston, Massachusetts	I will retain my vested stock options.	2/2013

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	SkyBridge Capital	New York, New York	Advisor
2	J. Ron Terwilliger Foundation for Housing America's Families	Vienna, Virginia	Advisor
3	FOX NEWS	New York, New York	Contracted Contributor
4	Cost Sharing Solutions, LLC	Canton, Ohio	advisor on healthcare/cost sharing plans
5	National Insulation Association	Reston, Virginia	Speaker
6	Discover Financial Services	Riverwoods, Illinois	Speaker
7	Newington-Cropsey Foundation	Hastings on Hudson, New York	Speaker
8	Washington Area New Automobile Dealers Association (WANADA)	Washington, District of Columbia	Keynote speaker
9	Williams College	Williamstown, Massachusetts	Speaker

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
10	University of Tennessee	Knoxville, Tennessee	Speaker
11	1st Alliance Lending, LLP	East Hartford, Connecticut	Advisor

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Carey & Giampa Realtors	N/A		Commission	
2	S&G Media, LLC	N/A			
2.1	WBIN NH1TV - New Hampshire (TV station)	N/A		Salary from contractual fees	
3	IRA Annuity	No			
3.1	American Centur VIP Mid Cap Value Fund C	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Columbia Variable Portfolio Small Cap VA	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Fidelity VIP Contrafund SRCL2	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Franklin US Government Securities VIP FU	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Invesco VI International Growth Series I	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	IVY VIP Mid Cap Growth	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.7	MFS Blended Research Core Equity Port SC	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.8	MFS Total Return Bond Series SC	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.9	MFS VIT New Discovery Series SC	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Oppenheimer Global Strategic Income/VA S	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	Oppenheimer Main Street Small Cap Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.12	Pioneer Bond VCT Port CL II	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Pioneer Equity Income VCT CLIB	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.14	PutnamVT Equity Income VCT CLIB	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.15	Putnam VT Investors CL IB	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.16	T. Rowe PRice Bluechip Growth Portfolio I	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.17	Templeton Foreign VIP Fund Class 2 Share	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.18	Victory Incore Invt. Quality Bond VIP Ser	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	Victory Incore Low Duration Bond VIP Ser	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	Western Asset Core Plus Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Guardian Life Insurance, whole life policy in Keogh plan	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Credit Union (cash account)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2	U.S. bank cash account #1	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
3	U.S. bank cash account #2	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	S&G Realty, LLC	No			
4.1	Residential Rental Property, Portsmouth, NH	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
5	U.S. bank cash account #3		\$1,001 - \$15,000		None (or less than \$201)
6	U.S. brokerage CD account (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7	Apple Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Chesapeake Energy Corp	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
9	Cisco Systems, Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	U.S. brokerage money market cash account #1	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Conocophilips Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12	Consolidated Water Co. Ltd. - Ordinary Shares	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Cummins, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Devon Energy Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
15	General Electric Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Kinder Morgan Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17	Newell Brands, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	PepsiCo Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Procter & Gamble	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
20	Schlumberger LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Twenty First Century Fox CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Visa, Inc CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	Vonage Holdings Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Walgreens Boots Alliance, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	Weatherford International	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Boulder Growth & Income Fund, Inc.	Yes	\$1,001 - \$15,000		\$201 - \$1,000
27	Clearbridge American Energy MLP Fund, Inc.	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	First Trust MLP & Energy & Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
29	John Hancock Financial Inc. FND.	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	Meridian Bancorp, Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	U.S. brokerage money market cash account #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	Guardian Life Insurance, whole life policy #1	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
33	Guardian Life Insurance, whole life policy #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	Kadant, Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	ATA Entertainment LLC - Man in the Camo Jacket Documentary	See Endnote	N/A	\$1,001 - \$15,000	Rent or Royalties	None (or less than \$201)
36	S&G Realty Ventures, LLC		No			
36.1	Residential Rental Property #1, Hampton, NH		N/A	\$50,001 - \$100,000	Rent or Royalties	\$5,001 - \$15,000
36.2	Residential Rental Property #2, Hampton, NH		N/A	\$50,001 - \$100,000	Rent or Royalties	\$5,001 - \$15,000
36.3	Residential Rental Property #3, Hampton, NH		N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
37	Family Revocable Trust		No			
37.1	Residential Rental Property - Washington DC		N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
37.2	SkyBridge Multi-Adviser Hedge Fund Portfolios LLC - Series G		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
37.3	SkyBridge Dividend Value Fund		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
37.4	Bank of America Corp		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
37.5	Exxon Mobil Corp		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
37.6	Union Pacific Corp		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
37.7	American Funds AMCAP Fund CL F-2		Yes	\$1,001 - \$15,000		None (or less than \$201)
37.8	American Funds American Mutual Fund CL F-2		Yes	\$1,001 - \$15,000		None (or less than \$201)
37.9	Baird Aggregate Bond Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
37.10	American Funds The Bond Fund of America CL F-2		Yes	\$1,001 - \$15,000		None (or less than \$201)
37.11	American Funds Capital World Bond Fund CL F-2		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37.12	Columbia Income Opportunities Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.13	Credit Suisse Commodity Return Strategy Common CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.14	American Funds EuroPacific Growth Fund CL F-2	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.15	T. Rowe Price Floating Rate Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.16	American Funds International Growth and Income Fund CL F-2	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.17	Janus Invt SHRTM BD I SHS	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.18	American Funds New World Fund CL F-2	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.19	Northern FDS SM Cap Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.20	American Funds SmallCap World Fund CL F-2	Yes	\$1,001 - \$15,000		None (or less than \$201)
37.21	General Electric Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
38	Alliance Bernstein Global Bond Fun	Yes	\$1,001 - \$15,000		\$201 - \$1,000
39	American Funds Capital Income Builder Fund Class C	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	Franklin Income Fund Class C	Yes	\$1,001 - \$15,000		\$201 - \$1,000
41	Fundamental Investors Class C	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Middlesex Savings Bank	Mortgage on Personal Residence	\$50,001 - \$100,000	2011	3.25	10 Year fixed
2	TD Bank of NH	Exercised Line of Credit	\$100,001 - \$250,000	2014	3.0	25 years

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
1.	1	The practice is virtually closed. I am still an attorney in good standing but do not have any client representations.
6.	35	Passive interest in documentary film - Man in the Camo Jacket. Value not readily ascertainable

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
