

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

Filer's Information

Pinkos, Stephen M

Staff Secretary and Deputy Director of Domestic Policy, Office of the Vice President

Date of Appointment: 02/08/2017

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Pinkos, Stephen M [electronically signed on 03/10/2017 by Pinkos, Stephen M 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/ Paoletta, Mark R, Certifying Official [electronically signed on 04/28/2017 by Paoletta, Mark R in Integrity.gov]

Other review conducted by

/s/ Baykan, Deniz M, Ethics Official [electronically signed on 04/14/2017 by Baykan, Deniz M in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 09/11/2017 by Apol, David in Integrity.gov]

Data Revised 09/07/2017

Data Revised 09/06/2017

Data Revised 09/05/2017

Data Revised 06/19/2017

Data Revised 06/16/2017

Data Revised 06/15/2017

Data Revised 04/13/2017

Data Revised 04/12/2017

Data Revised 04/11/2017

Data Revised 04/05/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	American Continental Group, Inc.	Washington, District of Columbia	Corporation	Partner	6/2013	2/2017
2	Family Irrevocable Trust	Fort Worth, Texas	Trust	Trustee	6/2006	Present
3	Stephen M. Pinkos, LLC	Fort Worth, Texas	Single-Member LLC	Owner	8/2007	9/2016

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEP IRA	No			
1.1	Alphabet Inc A	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Alphabet Inc C	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Ameriprise Financial Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4	Cisco Systems Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.5	Fifth Third Bancorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Intel Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.7	LyondellBasell Industries N.V.	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.8	National American University Holdings, Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.9	Apple Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	Becton, Dickinson and Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	CDW Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Celegene Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	CVS Health Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	Delphi Automotive PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Ebix, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	General Electric Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	LKQ Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.18	Mastercard Inc A	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.19	NXP Semiconductors N.V.	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.20	The PNC Financial Services Group, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	VelocityShares Volatility ETN	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.22	U.S. brokerage money market account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	IRA	No		Dividends	
2.1	Apple Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Mastercard Inc A	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	The PNC Financial Services Group, Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.4	Alerian MLP ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.5	American Public Education Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Fifth Third Bank Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	Alphabet Inc C	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	CDW Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	Celgene Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Cisco Systems Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.11	CVS Health Corp	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.12	Delphi Automotive PLC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.13	Ebix, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	General Electric Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.15	Gilead Sciences Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.16	LKQ Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	NXP Semiconductors N.V.	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.18	Thermo Fisher Scientific Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.19	Velocity Shares Volatility ETN	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.20	Intel Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.21	LyondellBasell Industries NV	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.22	U.S. brokerage money market account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	American Continental Group (Government affairs consulting and Lobbying)	N/A		Salary	\$354,500
4	American Continental Group (Government affairs consulting and Lobbying)	N/A		Bonus	\$85,000
5	American Continental Group Inc. 401k	No			
5.1	First Eagle Global A (SGENX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	American Continental Group, Inc. 401k	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor no longer makes contributions.	1/2014

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	American Continental Group, Inc.	Washington, District of Columbia	Government affairs consulting and Lobbying (also a client of Stephen M. Pinkos, LLC)
2	International Franchise Association	Washington, District of Columbia	Government affairs consulting and Lobbying (client of American Continental Group)
3	Ingersoll-Rand Corporation	Davidson, North Carolina	Government affairs consulting and Lobbying (client of American Continental Group)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
4	Alliance of Inventors and Startups for Jobs (USIJ)	Washington, District of Columbia	Government affairs consulting and Lobbying (client of American Continental Group)
5	Potash Corporation	Saskatoon, Outside U.S.	Government affairs consulting and Lobbying (client of American Continental Group)
6	Sound Exchange	Washington, District of Columbia	Government affairs consulting and Lobbying (client of American Continental Group)
7	National Association of Chained Drug Stores	Washington, District of Columbia	Government affairs consulting and Lobbying (client of American Continental Group)
8	Time Warner	Washington, District of Columbia	Government affairs consulting and Lobbying (client of American Continental Group)
9	Juno Therapeutics	Seattle, Washington	Government affairs consulting and Lobbying (client of American Continental Group)
10	Paulson and Company	New York, New York	Government affairs consulting and Lobbying (client of American Continental Group)
11	Association of Mortgage Investors	Washington, District of Columbia	Government affairs consulting and Lobbying (client of American Continental Group)
12	National Association of Homebuilders	Washington, District of Columbia	Government affairs consulting and Lobbying (client of American Continental Group)
13	Converse, Inc.	Portland, Oregon	Government affairs and Lobbying (client of American Continental Group)
14	7-Eleven	Dallas, Texas	Government affairs consulting and Lobbying (client of American Continental Group)
15	Viacom	New York, New York	Government affairs consulting and Lobbying (client of American Continental Group)
16	Stephen M. Pinkos, LLC	Fort Worth, Texas	Intellectual property policy consulting

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA	No	\$1,001 - \$15,000		None (or less than \$201)
1.1	First Trust Dorsey Wright Intl Foc 5	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	SEP IRA	No	\$1,001 - \$15,000		None (or less than \$201)
2.1	First Trust Dorsey Wright Focus 5 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Energy Art LLC (art sales)	N/A	\$50,001 - \$100,000	LLC Distribution	
4	Fiat Chrysler Automobiles 401k	No			
4.1	US SMID Equity Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	US Large Cap Equity Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	International Developed Equity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Emerging Markets Equity Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	2035 Target Date Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank Account #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	U.S. Bank Account #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. Bank Account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	529 Plan #1	No			
4.1	American Funds Growth Fund of Amer 529F	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	American Funds Invmt Co of Amer 529F	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.3	American Funds Capital World Gr&Inc 529F	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.4	American Funds Capital Income Bldr 529F	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.5	American Funds Capital World Bond 529F	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	529 Plan #2	No			
5.1	American Funds Growth Fund of Amer 529F	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	American Funds Invmt Co of Amer 529F	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.3	American Funds Capital World Gr&Inc 529F	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	American Funds Capital Income Bldr 529F	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.5	American Funds Capital World Bond 529F	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	529 Plan #3	No			
6.1	American Funds Growth Fund of Amer 529F	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	American Funds Invmt Co of Amer 529F	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.3	American Funds Capital World Gr&Inc 529F	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.4	American Funds Capital Income Bldr 529F	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.5	American Funds Capital World Bond 529F	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	U.S. Brokerage Account #1	No			
7.1	Alphabet Inc C	N/A	None (or less than \$1,001)		None (or less than \$201)
7.2	Apple Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.3	Becton, Dickinson and Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.4	CDW Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.5	Cisco Systems Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.6	Intel Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.7	Johnson and Johnson	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.8	The PNC Financial Services Group, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.9	Thermo Fisher Scientific Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.10	Ebix Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.11	Fifth Third Bancorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.12	General Electric Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.13	Gilead Sciences Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.14	NXP Semiconducters NV	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.15	Velocityshares Volatily ETN	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.16	Automatic Data Processing, Inc. - Common Stock	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
7.17	Ameriprise Financial Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.18	Celgene Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.19	Delphi Automotive PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.20	LyondellBasell Industries NV	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.21	iShares 1-3 Year Credit Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.22	U.S. brokerage money market accout (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	U.S. Brokerage Account #2	No			
8.1	Alerian MLP ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.2	Alphabet Inc C	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.3	Ameriprise Financial Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.4	CDW Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.5	Celgene Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.6	Cisco Systems Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.7	CVS Health Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.8	Delphi Automotive PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.9	Ebix Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.10	Fifth Third Bancorp	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.11	General Electric Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.12	Gilead Sciences Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.13	Intel Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.14	LKQ Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.15	LyondellBasell Industries NV	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.16	Mastercard Inc A	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.17	The PNC Financial Services Group, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.18	VelocityShares Volatility ETN	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.19	American Century Interm Trm Tx-Fr Bd Inv	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.20	Western Asset Global High Yield Bd A	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.21	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Oil Lease (Fort Worth, TX) XTO Energy	N/A	\$15,001 - \$50,000	Rent or Royalties	\$201 - \$1,000
10	Oil Lease (Fort Worth, TX) Trinity River Energy	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500
11	Residential real estate, Fort Worth Texas	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Oil Lease (Fort Worth, TX) Adexco Operating Company	N/A	\$1,001 - \$15,000	Rent or Royalties	\$201 - \$1,000
13	Family Trust #1	See Endnote	No		None (or less than \$201)
13.1	American Century VP Income & Growth I	Yes	\$1,001 - \$15,000		
13.2	Calvert VP Volatility Managed Moderate Portfolio, Class F	Yes	\$1,001 - \$15,000		
13.3	Fidelity VIP High Income IC	Yes	\$1,001 - \$15,000		
13.4	Fidelity VIP Investment Grade Bond IC	Yes	\$1,001 - \$15,000		
13.5	Templeton Global Bond VIP Fund, Class 2	Yes	\$1,001 - \$15,000		
13.6	MFS VIT II Research International IC	Yes	\$1,001 - \$15,000		
13.7	UIF Emerging Markets Equity I	Yes	\$1,001 - \$15,000		
13.8	UIF Real Estate I	Yes	\$1,001 - \$15,000		
13.9	Calvert VP Investment Grade Bond Index Portfolio Class I	Yes	\$1,001 - \$15,000		
13.10	Calvert VP EAFE International Index	Yes	\$1,001 - \$15,000		
13.11	Calvert VP S&P MidCap 400 Index	Yes	\$1,001 - \$15,000		
13.12	Calvert VP Nasdaq 100 Index Portfolio Class I	Yes	\$1,001 - \$15,000		
13.13	Calvert VP Russell 2000 Small Cap Index	Yes	\$1,001 - \$15,000		
13.14	Calvert VP S&P 500 Index	Yes	\$1,001 - \$15,000		
13.15	T. Rowe Price Blue Chip Growth II	Yes	\$1,001 - \$15,000		

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	13	Income amount of underlying assets is 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).
