

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

### Filer's Information

---

**Elwood, Courtney Simmons**

General Counsel, Central Intelligence Agency

---

Other Federal Government Positions Held During the Preceding 12 Months:

Member, Advisory Committee on Procedures, U.S. Court of Appeals for the D.C. Circuit (7/2012 - Present) See endnote

---

Names of Congressional Committees Considering Nomination:

- **Select Committee on Intelligence**
- 

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/ Elwood, Courtney Simmons [electronically signed on 02/13/2017 by Elwood, Courtney Simmons 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/ Truehart, Carrie, Certifying Official [electronically signed on 03/23/2017 by Truehart, Carrie in Integrity.gov]**

---

Other review conducted by

---

U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 03/27/2017 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	Kellogg Huber Hansen Todd Evans & Figel, PLLC	See Endnote	Washington, District of Columbia	Law Firm	Partner	11/2007	Present
2	Estate of Family Member		Fairfax, Virginia	Estate	Executor	1/2014	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kellogg Huber Hansen Todd Evans & Figel, PLLC (law firm)	See Endnote	N/A		LLC Distribution	\$2,882,544
2	Kellogg Huber Hansen Todd Evans & Figel, PLLC, anticipated LLC distribution		N/A	\$250,001 - \$500,000		None (or less than \$201)
3	Kellogg Huber Hansen Todd Evans & Figel, PLLC, capital account		N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Kellogg Huber Hansen Todd Evans & Figel, PLLC, anticipated contingency fees (value not readily ascertainable)		N/A			None (or less than \$201)
5	Kellogg Huber Hansen Todd Evans & Figel, PLLC		N/A		State taxes paid on Filer's behalf	\$5,475
6	Kellogg Huber Hansen Todd Evans & Figel, PLLC		N/A		Insurance paid on Filer's behalf	\$2,023
7	Kellogg Huber Hansen Todd Evans & Figel, PLLC 401(k) Profit Sharing Plan		N/A			
7.1	-Vanguard Institutional Target Retirement 2035 Fund		Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
8	Schwab Roth IRA					
8.1	-iShares S&P MidCap 400 Value Index (ETF) (IJJ)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	-DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.3	-Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.4	-Fidelity New Markets Income Fund (FNMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.5	-Vanguard Mid-Cap Value Index Fund Investor Shares (VMVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.6	-Vanguard Small Capitalization Value Index Fund Investor Shares (VISVX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.7	-Walhausen Small Cap Value Fund (WSCVX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	Following my withdrawal from the firm, I will receive a lump sum payment of my capital account.	2/2017
2	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	Following my withdrawal from the firm, I will receive my final LLC distribution for 2016 in a lump-sum payment of \$230,091.	2/2017
3	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	Following my withdrawal from the firm, I will receive my final 2017 LLC distribution for non-contingency matters. My total 2017 non-contingency distribution will be a pro rata amount of my 2016 non-contingency fee distribution, minus the amount of monthly draws and any other distributions made in 2017 prior to my withdrawal. This amount will be calculated as of the date of my withdrawal, and a portion of that amount will be contributed to my 401(k) plan with the balance paid to me in a lump sum.	2/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	<p>For two contingency cases captioned National Credit Union Administration Bd. v. UBS Securities, LLC, Case No. 12-cv-2591-JWL-JPO (D. Kan.) and National Credit Union Administration Bd. v. Credit Suisse Securities, Case No. 12-cv-2648-JWL-JPO (D. Kan.), I will be paid a standard partner share of any fee awarded in these cases if these cases are resolved prior to my withdrawal from the firm. The standard partner share has previously been 1%. It will be paid in a lump sum if and when monies are received by the firm, and may occur after I enter U.S. government services. Expected date and value of any payouts is unknown.</p> <p>For the contingency case captioned Dial Corporation v. News Corp. Civil Action No. 13-CV-6802-WHP (SDNY), I will be paid a standard partner share of any fee award in this case to be paid in a lump sum if and when monies are received by the firm, and may occur after I enter U.S. government services. Expected payout is in March 2017.</p> <p>For the contingency case captioned In re: Steel Antitrust Litigation, Case No. 08-cv-5214 (N.D. Ill.), I will be paid a standard partner share of any fee award in this case to be paid in a lump sum if and when monies are received by the firm, and may occur after I enter U.S. government services. Expected payout is first half of 2017.</p>	2/2017
5	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	If, after I withdraw from the firm, the firm pays any State tax liability for 2016 and/or 2017 on my behalf, the firm will notify me within 10 days and I will reimburse the firm by check. Following my withdrawal from the firm, the long-term disability insurance that I acquired through the firm will be terminated.	2/2017
6	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	Following my withdrawal from the firm and the final contribution to my 401(k) described above (i.e., 5% of my distributions up to \$13,250), there will be no additional contributions to this 401(k) plan while I am in government service. However, I plan to keep this 401(k) plan through the firm.	2/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
7	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	In accordance with standard firm practice, the firm paid for some of my office furniture in late 2007, early 2008. Following my withdrawal from the firm, I will retain some of that office furniture, which has now fully depreciated. This is consistent with the practice for other departing partners who have fully depreciated furniture.	2/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Kellogg Huber Hansen Todd Evans & Figel, PLLC	Washington, District of Columbia	Partner attorney at this firm.
2	Global Tel*Link Corp.	Reston, Virginia	Legal services (client of Kellogg, Huber, Hansen, Todd, Evans & Figel, PLLC)
3	Citadel Investment Group	Chicago, Illinois	Legal services (client of Kellogg, Huber, Hansen, Todd, Evans & Figel, PLLC)
4	Curo Health Services, LLC	Mooresville, North Carolina	Legal services (client of Kellogg, Huber, Hansen, Todd, Evans & Figel, PLLC)
5	University of Michigan	Ann Arbor, Michigan	Legal services (client of Kellogg, Huber, Hansen, Todd, Evans & Figel, PLLC)
6	National Education Assoc.	Washington, District of Columbia	Legal services (client of Kellogg, Huber, Hansen, Todd, Evans & Figel, PLLC)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vinson & Elkins, LLP (law firm)	N/A		partnership share	
2	Vinson & Elkins, capital account	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Schwab Roth IRA				
3.1	-iShares S&P MidCap 400 Value Index (ETF) (IJJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	-DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	-Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.4	-Fidelity New Markets Income Fund (FNMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5	-Vanguard Mid-Cap Value Index Fund Investor Shares (VMVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	-Vanguard Small Capitalization Value Index Fund Investor Shares (VISVX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.7	-Waltheusen Small Cap Value Fund (WSCVX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	Vanguard Roth IRA				
4.1	-Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5	Vinson & Elkins L.L.P. Retirement Plan A - Vanguard	See Endnote			
5.1	-Vanguard Actively Managed Large Cap US Equity Fund	Yes	\$1,001 - \$15,000		
5.2	-Vanguard Actively Managed US SMID Cap Growth Equity Fund	Yes	\$50,001 - \$100,000		
5.3	-Vanguard General Investment Fund	Yes	\$50,001 - \$100,000		
5.4	- State St Global All Cap Eq Ex-U.S. Index Non-Lending Series Fund (SSGLX)	Yes	\$1,001 - \$15,000		
5.5	- State St Russell Sm/Mid Cap Index Non-Lending Series Fund; Class K	Yes	\$100,001 - \$250,000		
5.6	-State Street S&P 500 Index Non-Lending Series Fund; Class K	Yes	\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.7	-State St U.S. Inflation Protected Bond Index Non-Lending Ser Fund, CI C	Yes	\$50,001 - \$100,000		
6	Vinson & Elkins L.L.P. Retirement Plan B - Vanguard	See Endnote			
6.1	- Vanguard Actively Managed Large Cap US Equity Fund	Yes	None (or less than \$1,001)		
6.2	- Vanguard Actively Managed US SMID Cap Growth Equity Fund	Yes	\$15,001 - \$50,000		
6.3	- Vanguard General Investment Fund	Yes	\$50,001 - \$100,000		
6.4	- State St Global All Cap Eq Ex-U.S. Index Non-Lending Series (SSGLX)	Yes	\$1,001 - \$15,000		
6.5	-State Street Russell Small/Mid Cap Index Non-Lending Series Fund; Class K	Yes	\$15,001 - \$50,000		
6.6	-State Street S&P 500 Index Non-Lending Series Fund; Class K	Yes	\$1,001 - \$15,000		
6.7	- State St U.S. Inflation Protected Bond Index Non-Lending Ser Fund; Class C	Yes	\$15,001 - \$50,000		

## 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	Interest	None (or less than \$201)
2	U.S. Bank Account # 2 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
3	Electric Guitars Collection	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	VA 529 inVEST College Savings Plan #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	-Aggressive Growth Portfolio (Vanguard LifeStrategy Growth Fund (VASGX))	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	VA 529 inVEST College Savings Plan #2	No			
5.1	-Aggressive Growth Portfolio (Vanguard LifeStrategy Growth Fund (VASGX))	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	VA CollegeAmerica 529 Savings Plan – Class 529A Shares, #1	No			
6.1	-American Funds American Mutual Fund (CMLAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.2	-American Funds The Growth Fund of America (CGFAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.3	-American Funds New Perspective Fund (CNPAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	-American Funds College 2024 Fund (CFTAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	VA CollegeAmerica 529 Savings Plan - Class 529A, #2	No			
7.1	-American Funds American Mutual Fund (CMLAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.2	-American Funds The Growth Fund of America (CGFAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.3	-American Funds New Perspective Fund (CNPAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.4	-American Funds College 2024 Fund (CFTAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	Capco Partners, Ltd.	No		Dividends Capital Gains Interest	\$15,001 - \$50,000
8.1	- Microsoft Corp	N/A	\$100,001 - \$250,000		
8.2	-Raven Industries	N/A	\$50,001 - \$100,000		



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	-Ritchie Bros Auctioneers	N/A	\$50,001 - \$100,000		
8.4	QUALCOMM Inc	N/A	\$50,001 - \$100,000		
8.5	- Apple Inc.	N/A	\$50,001 - \$100,000		
8.6	-C.H. Robinson Worldwide	N/A	\$50,001 - \$100,000		
8.7	-Landstar System	N/A	\$50,001 - \$100,000		
8.8	-Berkshire Hathaway Class B	N/A	\$50,001 - \$100,000		
8.9	- Progressive Corp	N/A	\$15,001 - \$50,000		
8.10	- Costco Wholesale Corp	N/A	\$15,001 - \$50,000		
8.11	-Marriott International	N/A	\$15,001 - \$50,000		
8.12	-Carmax	N/A	\$1,001 - \$15,000		
8.13	-Factset Research Systems	N/A	\$1,001 - \$15,000		
8.14	-Sturm Ruger & Co.	N/A	\$1,001 - \$15,000		
9	Pacific Life, Inc., Universal Life	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Mass Mutual, Whole Life Legacy , #1	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
11	Mass Mutual, Whole Life Legacy , #2	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
12	Caterpillar – Common Stock	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
13	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Vanguard Mid-Cap Value Index Fund Admiral (VMVAX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
15	Vanguard Prime Money Market Fund (VMMXX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
16	Vanguard Short-Term Tax-Exempt Fund Admiral Shares (VWSUX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
17	Vanguard Small-Cap Value Index Fund Admiral Shares (VSIAX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
18	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Vanguard Small Cap ETF (VB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	AMG Yacktman Fund Class I (YACKX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
21	Driehaus Emerging Markets Growth Fund (DREGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
22	Fidelity® Low-Priced Stock Fund (FLPSX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
23	Janus Research Fund Class T (JAMRX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
24	Matthews China Fund Investor Class (MCHFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
25	Touchstone Small Cap Class A (TSFAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
26	Fidelity® Contrafund® Fund (FCNTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
27	Residential real estate, Alexandria, VA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
28	Fidelity UTMA, #1				
28.1	-Fidelity® Contrafund® Fund (FCNTX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
28.2	-Fidelity® Mid Cap Index Fund Investor Class (FSCLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28.3	-Fidelity® Total Market Index Fund Premium Class (FSTVX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
28.4	-Fidelity® 500 Index Fund Investor Class (FUSEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
28.5	-AMG Yacktman Fund Class I (YACKX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
29	Fidelity UTMA, #2				
29.1	-Fidelity® Mid Cap Index Fund Investor Class (FSCLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.2	-Fidelity® Total Market Index Fund Premium Class (FSTVX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
29.3	-Fidelity® 500 Index Fund Investor Class (FUSEX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
29.4	-AMG Yacktman Fund Class I (YACKX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
30	Share of Residential real estate, Fairfax County, VA	See Endnote	N/A	\$100,001 - \$250,000	None (or less than \$201)
31	Estate of family member (beneficial interest, assets not yet distributed)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	Spouse's farm, Scott County, IL, general partner (crops)	N/A	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage on Personal Residence	\$100,001 - \$250,000	2012	2.75%	15 years

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
Filer's Information	1	I will resign from this position when I enter Federal service.
1.	1	Effective on or around March 1, 2017, my law firm's name will change to Kellogg, Hansen, Todd, Figel & Frederick, PLLC.
2.	1	[through 2/11/2017, fee-income distributions of \$1,033,966; contingency fee distributions of \$1,848,578]
5.	5	Income is not readily ascertainable.
5.	6	Income is not readily ascertainable.
6.	30	Inherited upon the death of family member, awaiting sale.

# 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).

---