New Entrant Report | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001) (Updated July 2020)

# Executive Branch Personnel

### Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

### Carlin, John P

Principal Deputy Attorney General, and Acting Deputy Attorney General, Department of Justice

Date of Appointment: 01/20/2021

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/ Carlin, John P [electronically signed on 04/22/2021 by Carlin, John P in Integrity.gov] - Filer received a 62 day filing extension.

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/ Weinsheimer, Bradley, Certifying Official [electronically signed on 05/06/2021 by Weinsheimer, Bradley in Integrity.gov]

Other review conducted by

/s/ Shaw, Cynthia K, Ethics Official [electronically signed on 05/06/2021 by Shaw, Cynthia K in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/06/2021

Data Revised 05/05/2021

Data Revised 05/04/2021

Data Revised 05/03/2021

Data Revised 04/26/2021

Data Revised 04/23/2021

### 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	то
1	Morrison & Foerster LLP	Washington, District of Columbia	Law Firm	Partner	1/2017	1/2021
2	The Aspen Institute	Washington, District of Columbia	Non-Profit	Chair, Cybersecurity & Technology Program	1/2017	1/2021
3	Cafe Studios Inc.	New York, New York	Corporation	Podcast Host	6/2020	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morrison & Foerster LLP (law firm)	N/A		Partnership Share	\$3,154,250
2	Morrison & Foerster LLP, capital account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	The Aspen Institute	N/A		Salary	\$100,000
4	Morrison & Foerster LLP, cash balance pension plan	N/A	None (or less than \$1,001)	Lump sum	\$465,321
5	Morrison & Foerster LLP, 401(k)	No			
5.1	BAB: Invesco Taxable Municipal Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	CMBS: iShares CMBS ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE INCOME	TYPE INCOME AMOUNT
5.3	MBB: iShares MBS ETF	Yes	\$50,001 - \$100,000	None (or less than \$201)
5.4	PIMIX: PIMCO Income Fund Instl	Yes	\$100,001 - \$250,000	None (or less than \$201)
5.5	SCHR: Schwab Intermediate-Term US Treasury ETF	Yes	\$15,001 - \$50,000	None (or less than \$201)
5.6	VFIDX: Vanguard Inter-Term Inv Grade Fund Adm	Yes	\$15,001 - \$50,000	None (or less than \$201)
5.7	VRLIX: Stone Ridge US Hedged Equity Fund I	Yes	\$15,001 - \$50,000	None (or less than \$201)
6	Cafe Studios Inc.	N/A	Salary	\$5,000
7	Cafe Studios Inc., equity interest	N/A	\$1,001 - \$15,000	None (or less than \$201)

## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Morrison & Foerster LLP	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	1/2017
2	Morrison & Foerster LLP	Washington, District of Columbia	A lump sum payment of the cash balance plan was paid.	1/2017
3	Cafe Studios Inc.	New York, New York	A lump sum payout of equity interest to be paid in April 2021 in the amount of \$9,629.	4/2021

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

1   Morrison & Foerster, LLC   Washington, District of Columbia   Partner     2   Aspen Institute   Washington, District of Columbia   Chair of the Aspen Institute's Cyber & Technology Program     3   Cafe Studios Inc.   New York, New Podcast host     4   Accenture   Dublin, Outside   legal services     5   AIRBNB Inc.   San Francisco, California   legal services     6   Arch Venture Partners   Chicago, Illinois   legal services     7   Atlassian Inc.   Sydney, Outside   legal services     8   Axalta Coating Systems LLC   Philadelphia, Pennsylvania   legal services     9   Ballile Gifford & Co.   Edinburgh, Outside Legal services   legal services     10   Boyd Garning Corp.   Paradise, Newada   legal services     11   Cigna   Bloomfield, Cannecticut   legal services     12   Esko Bionics Inc.   Richmond, California   legal services	#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
District of Columbia     3   Cafe Studios Inc.     4   Accenture     5   AIRBNB Inc.     6   Arch Venture Partners     7   Atlassian Inc.     8   Axalta Coating Systems LLC     9   Baillie Gifford & Co.     10   Boyd Gaming Corp.     11   Cigna     12   Esko Bionics Inc.	1	Morrison & Foerster, LLC	District of	Partner
York     4   Accenture   Dublin, Outside U.S.   legal services     5   AIRBNB Inc.   San Francisco, California   legal services     6   Arch Venture Partners   Chicago, Illinois   legal services     7   Atlassian Inc.   Sydney, Outside U.S.   legal services     8   Axalta Coating Systems LLC   Philadelphia, Pennsylvania   legal services     9   Baillie Gifford & Co.   Edinburgh, Outside U.S.   legal services     10   Boyd Gaming Corp.   Paradise, Nevada   legal services     11   Cigna   Bloomfield, Connecticut   legal services     12   Esko Bionics Inc.   Richmond,   legal services	2	Aspen Institute	District of	Chair of the Aspen Institute's Cyber & Technology Program
5   AIRBNB Inc.   San Francisco, California   legal services     6   Arch Venture Partners   Chicago, Illinois   legal services     7   Atlassian Inc.   Sydney, Outside U.S.   legal services     8   Axalta Coating Systems LLC   Philadelphia, Pennsylvania   legal services     9   Baillie Gifford & Co.   Edinburgh, Outside U.S.   legal services     10   Boyd Gaming Corp.   Paradise, Nevada   legal services     11   Cigna   Bloomfield, Connecticut   legal services     12   Esko Bionics Inc.   Richmond,   legal services	3	Cafe Studios Inc.	New York, New York	Podcast host
California   California     6   Arch Venture Partners   Chicago, Illinois   legal services     7   Atlassian Inc.   Sydney, Outside   legal services     8   Axalta Coating Systems LLC   Philadelphia, Pennsylvania   legal services     9   Baillie Gifford & Co.   Edinburgh, Outside U.S.   legal services     10   Boyd Gaming Corp.   Paradise, Nevada   legal services     11   Cigna   Bloomfield, Connecticut   legal services     12   Esko Bionics Inc.   Richmond,   legal services	4	Accenture	Dublin, Outside U.S.	legal services
7   Atlassian Inc.   Sydney, Outside U.S.   legal services     8   Axalta Coating Systems LLC   Philadelphia, Pennsylvania   legal services     9   Baillie Gifford & Co.   Edinburgh, Outside U.S.   legal services     10   Boyd Gaming Corp.   Paradise, Nevada   legal services     11   Cigna   Bloomfield, Connecticut   legal services     12   Esko Bionics Inc.   Richmond, legal services	5	AIRBNB Inc.	San Francisco, California	legal services
U.S.   U.S.     8   Axalta Coating Systems LLC   Philadelphia, Pennsylvania   legal services     9   Baillie Gifford & Co.   Edinburgh, Outside U.S.   legal services     10   Boyd Gaming Corp.   Paradise, Nevada   legal services     11   Cigna   Bloomfield, Connecticut   legal services     12   Esko Bionics Inc.   Richmond,   legal services	6	Arch Venture Partners	Chicago, Illinois	legal services
Pennsylvania   9 Baillie Gifford & Co. Edinburgh, Outside U.S. legal services   10 Boyd Gaming Corp. Paradise, Nevada legal services   11 Cigna Bloomfield, Connecticut legal services   12 Esko Bionics Inc. Richmond, legal services	7	Atlassian Inc.	Sydney, Outside U.S.	legal services
Outside U.S.   10 Boyd Gaming Corp.   11 Cigna   12 Esko Bionics Inc.     Outside U.S.     Outside U.S.     Outside U.S.     Paradise, Nevada     Image: Description of the second seco	8	Axalta Coating Systems LLC	Philadelphia, Pennsylvania	legal services
Nevada   11 Cigna   12 Esko Bionics Inc.     Nevada     Nevada     Nevada     12 Esko Bionics Inc.     Richmond, legal services	9	Baillie Gifford & Co.	Edinburgh, Outside U.S.	legal services
Connecticut   12 Esko Bionics Inc.   Richmond, legal services	10	Boyd Gaming Corp.	Paradise, Nevada	legal services
	11	Cigna		legal services
	12	Esko Bionics Inc.	Richmond, California	legal services
13 Equity Residential Chicago, Illinois legal services	13	Equity Residential	Chicago, Illinois	legal services
14 Etsy Brooklyn, New legal services York	14	Etsy	Brooklyn, New York	legal services
15   Farallon Capital Europe   London, Outside   legal services     U.S.	15	Farallon Capital Europe	London, Outside U.S.	legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
16	Fitbit	San Francisco, California	legal services
17	Genuity Science Inc.	Boston, Massachusetts	legal services
18	JP Morgan Chase	New York, New York	legal services
19	Macy's	New York, New York	legal services
20	Masco Corp.	Livonia, Michigan	legal services
21	Matrix Capital Management Co. LLC	Alexandria, Virginia	legal services
22	Mitsubishi Corp. (Americas)	New York, New York	legal services
23	Mobileiron Inc.	Mountain View, California	legal services
24	Netgear Inc.	San Jose, California	legal services
25	Nouryon	Amsterdam, Outside U.S.	legal services
26	Ono Pharmaceutical Co., Ltd.	Osaka, Outside U.S.	legal services
27	Pricewaterhouse Coopers LLP	London, Outside U.S.	legal services
28	Pricewaterhouse Coopers IT Services (US) LLC	Washington, District of Columbia	legal services
29	Restoration Hardware	Corte Madera, California	legal services

#	SOURCE NAME	-	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
30	Southwest Gas		Las Vegas, California	legal services
31	Thomson Reuters		London, Outside U.S.	legal services
32	Uber Technologies, Inc.		San Francisco, California	legal services
33	Unity Technologies		Frederick, Maryland	legal services
34	Varonis Systems		New York, New York	legal services
35	Virtu Corp.		Washington, District of Columbia	legal services
36	VMware Inc.		Palo Alto, California	legal services
37	Yum! Brands Inc.		Louisville, Kentucky	legal services
38	35 confidential clients	See Endnote	Washington, District of Columbia	legal services

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Smithsonian American Art Museum (Museum)	N/A	-	Salary	
2	Roth IRA	No			
2.1	IVV: iShares Core S&P 500	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE INCOM	E TYPE INCOME AMOUNT
2.2	IEMG: iShares Core MSCI Emerging Markets ETF	Yes	\$1,001 - \$15,000	None (or less than \$201)
3	Smithsonian Institution, DCP & TDA	No		
3.1	DBLTX: DoubleLine Total Return Bond Fund Class I	Yes	\$100,001 - \$250,000	None (or less than \$201)
3.2	VTSNX: Vanguard Total International Stock Index Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)
3.3	VITSX: Vanguard Total Stock Market Index Fund	Yes	\$15,001 - \$50,000	None (or less than \$201)
4	Corcoran Gallery of Art, 403(b)	No		
4.1	QCEQRX: CREF Equity Index Account	Yes	\$1,001 - \$15,000	None (or less than \$201)
4.2	QCILRX: CREF Inflation-Linked Bond Account	Yes	\$1,001 - \$15,000	None (or less than \$201)
4.3	TIAA Traditional Annuity	N/A	\$1,001 - \$15,000	None (or less than \$201)

### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Brokerage Account	No			
1.1	Baird Core Intermediate Municipal Bond Fund Institutional Class Shares (BMNIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.2	DFA Dimensional International Core Equity Market (DFAI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	DFA Dimensional US Core Equity Market ETF (DFAU)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	US Core Equity 2 Portfolio Institutional Class Shares (DFQTX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.5	WisdomTreeEmerging Markets SmallCap Dividend Fund (DGS)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.6	Fidelity Tax-Free Bond Fund (FTABX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.7	iShares Core MSCIEmerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	iShares Core S&P Total US Stock Market ETF (ITOT)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.9	iShares Core S&P 500 ETF (IVV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.10	JPMorgan Ultra-Short Municipal Income ETF (JMST)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.11	iShares MBS ETF (MBB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.12	VanEck Vectors AMT-Free Long Municipal Index ETF (MLN)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.13	Nuveen Intermediate Duration Municipal Term Fund (NID)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.14	Nuveen Intermediate Duration Quality Municipal Term Fund (NIQ)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.15	Nuveen Maryland Quality Municipal Income Fund (NMY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.16	PIMCO High Yield Municipal Bond Fund Institutional Class Shares (PHMIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.17	VanEck Vectors Short High-Yield Municipal Index ETF (SHYD)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.18	SPDR PortfolioEmerging Markets ETF (SPEM)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.19	Vanguard FTSE All-World ex US Index Fund ETF Shares (VEU)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.20	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.21	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.22	Vanguard Tax-Exempt Bond Index Fund ETF Shares (VTEB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.23	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.24	Vanguard High-Yield Tax-Exempt Fund Admiral Shares (VWALX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.25	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.26	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.27	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.28	iShares Core S&P US Value ETF (IUSV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.29	VanEck Vectors High-Yield Municipal Index ETF (HYD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.30	Fidelity Short-Term Treasury Bond Index Fund (FUMBX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
1.31	Fidelity Conservative Income Municipal Bond Fund Institutional Class Shares (FMNDX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2	NY 529	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	NY 529 Aggressive Growth Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.2	NY 529 Bond Market Index Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	NY 529 Interest Accumulation Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	DC 529	No			
3.1	DC 529 US Intermediate Term Bond	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	DC 529 US Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	DC 529 Non-US Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	DC 529 Principal Protected Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	DC 529	No			
4.1	DC 529 US Intermediate-Term Bond Index Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	DC 529 US Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	DC 529 Non-US Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	DC 529 Principal Protected Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Rebound20, LLC	No			
5.1	National Resilience, Inc. (biotech manufacturing)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT			
6	U.S. bank account (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500			
7. Tra	ansactions							
(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							
Endn	otes							
PART	- #	ENDNOTE						
4.	38	because they are the subje names as a client of mine	Of the 35 confidential clients, one is an individual and 34 are corporations that must be kept confidential because they are the subject of investigations that have not been made public and/or making public their names as a client of mine will indicate the nature of their legal matter, making disclosure of the client's name detrimental to the client and a violation of Professional Responsibility Rule 1.6.					

### 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 the 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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 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. Failure to provide the requested information may result in separation, disciplinary action, or civil action. 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 a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record: (9) 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 this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order: (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. 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 ten 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, N.W., 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).