

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

Filer's Information

Recordon, David

Special Assistant to the President and Director of Technology, White House - Biden-Harris Administration

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/ Recordon, David [electronically signed on 02/03/2021 by Recordon, David 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/ Olorunnipa, Funmi, Certifying Official [electronically signed on 03/17/2021 by Olorunnipa, Funmi in Integrity.gov]

Other review conducted by

/s/ Kaplan, Kimberley H, Ethics Official [electronically signed on 03/02/2021 by Kaplan, Kimberley H in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 02/24/2021

Data Revised 02/22/2021

Data Revised 02/11/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Chan Zuckerberg Initiative, LLC	Redwood City, California	Corporation	Vice President	3/2018	1/2021
2	The Catlin Gabel School	Portland, Oregon	Non-Profit	Trustee	9/2019	1/2021
3	Rebellion Defense, Inc.	Washington, District of Columbia	Corporation	Advisor	6/2019	1/2021
4	Kintaba, Inc.	New York, New York	Corporation	Advisor	11/2019	1/2021
5	Family revocable trust #1	no city, California	Trust	Trustee	1/2013	Present
6	Family revocable trust #2	Washington, District of Columbia	Trust	Trustee	12/2020	Present
7	692 Logistics, LLC	Redding, California	Corporation	Managing Member	10/2018	8/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Chan Zuckerberg Initiative, LLC (Philanthropy)	N/A		Salary/Bonus	\$658,316
2	Roth IRA	No			
2.1	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Morgan Stanley Finance LLC note linked to EURO STOXX 50 Index (SPZWG)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.3	Barclays Bank PLC note tied to S&P 500 Index (SPZWI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	Rebellion Defense, Inc. (software company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	The Chan Zuckerberg Initiative, LLC 401k	No			
5.1	American Century Mid Cap Value Fund Class R6 Shares (AMDVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	ClearBridge Large Cap Growth Fund Class IS Shares (LSITX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	Carillon Eagle Mid Cap Growth Fund Class R-6 Shares (HRAUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	US Targeted Value Portfolio Institutional Class Shares (DFFVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Fidelity Emerging Markets Index Fund (FPADX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	Janus Henderson Triton Fund Class I Shares (JSMGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	JPMorgan International Equity Fund Class R6 Shares (JNEMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	MFS Value Fund Class R6 Shares (MEIKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Chan Zuckerberg Initiative, LLC	Redwood City, California	I will roll my funds out of this 401(k) plan and cease participating by the end of March 2021. The plan sponsor ceased making contributions after my separation.	3/2018

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The Chan Zuckerberg Initiative, LLC	Redwood City, California	Vice President of Infrastructure and Security

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Apple, Inc. (AAPL)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
2	APPLE VALLEY CALIF UNI SCH DIST REF Bond CUSIP 03788ECU3	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
3	ARK Innovation ETF (ARKK)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4	BANK OF AMERICA preferred stock (CUSIP 060505EN0)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	BANK OF AMERICA CORP preferred stock (CUSIP 060505EU4)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
6	BANK OF AMERICA CORP preferred stock (CUSIP 060505EH3)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7	BANK OF AMERICA CORP preferred stock (CUSIP 060505EL4)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8	BlackRock Enhanced International Dividend Trust (BGY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
9	BlackRock EnhancedGlobal Dividend Trust (BOE)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10	Nuveen S&P 500 Buy-Write Income Fund (BXM)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11	CALIFORNIA ST Bond CUSIP 13063BL42	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
12	CALIFORNIA ST GENL OBLIG VAR PURP TAX EXEMPT Bond CUSIP 13063CKQ2	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
13	CALIFORNIA ST GENL OBLIG VARS PURPS REF Bond CUSIP 13063C5P1	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
14	U.S. bank (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
15	CENTINELA VALLEY CALIF UN HIGHSCH GENL OBLIG REF Bond CUSIP 152339QW0	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
16	CERES CALIF UNI SCH DIST CROSSOVER REF Bond CUSIP 156753NP6	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17	CHARTER OAK CALIF UNI SCH DIST Bond CUSIP 161285QW4	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
18	CalamosGlobal Dynamic Income Fund (CHW)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	CITIGROUP preferred stock (CUSIP 172967GD7)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
20	CITIGROUP INC preferred stock (CUSIP 172967JM4)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
21	CITIGROUP INC preferred stock (CUSIP 172967KM2)	N/A	\$100,001 - \$250,000		None (or less than \$201)
22	COMERICA INC. preferred stock (CUSIP 200340AU1)	N/A	\$100,001 - \$250,000		None (or less than \$201)
23	COTATI-ROHNERT PK CALIF UNI SCH DIST Bond CUSIP 221623XZ9	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
24	Cheniere Energy Partners LP (CQP)	N/A	None (or less than \$1,001)		\$201 - \$1,000
25	DESERT HOT SPRINGS CALIF PUB FING AUTH L Bond CUSIP 25042LAH3	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
26	DISCOVER FINANCIAL preferred stock (CUSIP 254709AQ1)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
28	Enterprise Products Partners L.P. (EPD)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
29	Energy Transfer LP Unit (ET)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
30	Eaton Vance Tax-Advantaged Global Dividend Income Fund (ETG)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
31	Eaton Vance Tax-Managed Diversified Equity Income Fund (ETY)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
32	iShares MSCI Japan ETF (EWJ)	Yes	\$100,001 - \$250,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	Eaton VanceTax-ManagedGlobal Diversified Equity Income Fund (EXG)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
34	Facebook, Inc. (FB)	N/A	\$1,000,001 - \$5,000,000	Capital Gains	\$1,000,001 - \$5,000,000
35	GOLDMAN SACHS GROUP INC preferred stock (CUSIP 38148BAC2)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
36	Goldman Sachs ActiveBeta International Equity ETF (GSIE)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
37	The Home Depot, Inc. (HD)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
38	Hess Midstream LP (HESM)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
39	International Business Machines Corp. (IBM)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
40	iShares MSCI India ETF (INDA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
41	Johnson & Johnson (JNJ)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
42	JPMORGAN CHASE & Co preferred stock (CUSIP 46625HJQ4)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
43	JPMORGAN CHASE & CO preferred stock (CUSIP 46625HJW1)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
44	JPMORGAN CHASE preferred stock (CUSIP 48126HAC4)	N/A	\$100,001 - \$250,000		None (or less than \$201)
45	LINCOLN CALIF PUB FING AUTH LEASE REV REF-A Bond CUSIP 533018CJ4	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
46	LLOYDS BANKING GROUP preferred stock (CUSIP 53944YAJ2)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
47	LOS ANGELES CA DEPT WTR & PWR PWR SYS REV-A Bond CUSIP 544495ZE7	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
48	LUCERNE VALLEY CALIF UN SCH DIST CTFS PA Bond CUSIP 549477AW7	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
49	M&T BANK CORP preferred stock (CUSIP 55261FAG9)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
50	MARIN CALIF CMNTY COLLEGE DISTREF Bond CUSIP 56781RDK0	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
51	MORGAN STANLEY preferred stock (CUSIP 61762VAA9)	N/A	\$100,001 - \$250,000		None (or less than \$201)
52	MPLX LP (MPLX)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
53	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
54	Morgan Stanley Institutional Fund Trust Government Portfolio Institutional Class Shares (MVRXX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
55	ONEOK, Inc. (OKE)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
56	Plains All American Pipeline, L.P. (PAA)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
57	PALO VERDE CA CMNTY COLLEGE DIST CTFS PARTN LEASE REV Bond CUSIP 697480BT7	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
58	Pembina Pipeline Corp (PBA)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
59	PepsiCo, Inc. (PEP)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
60	PERALTA CALIF CMNTY COLLEGE DIST GENL OBLIG REF-A Bond CUSIP 713575UW6	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
61	Pfizer Inc. (PFE)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
62	Phillips 66 Partners LP (PSXP)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
63	ROSEMEAD CALIF SCH DIST SEE TEMPLE CITY REF Bond CUSIP 777526LP7	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
64	SOUTHERN CALIF PUB PWR AUTH Bond CUSIP 84247PDA6	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
65	SOUTHERN KERN CALIF UNI SCH DIST Bond CUSIP 843257HL3	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
66	SOUTHERN MONO HEALTH CARE DISTCALIF Bond CUSIP 843387DN8	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
67	AT&T Inc. (T)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
68	Targa Resources Corp. (TRGP)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
69	TRUIST FINANCIAL preferred stock (CUSIP 89832QAF6)	N/A	\$100,001 - \$250,000		None (or less than \$201)
70	VAL VERDE CALIF UNI SCH DIST Bond CUSIP 91882REK4	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
71	Vanguard Small-Cap Growth Index Fund ETF Class Shares (VBK)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
72	Vanguard Small-Cap Value Index Fund ETF Class Shares (VBR)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
73	VENTURA CNTY CALIF PUB FING AUTH LEASE REV-V Bond CUSIP 923078BT5	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
74	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)	Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
75	Vanguard Mid-Cap Growth Index Fund ETF Shares (VOT)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
76	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
77	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
78	WACHOVIA preferred security backed by preferred stock (CUSIP 92978AAA0)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
79	WALNUT ENERGY CENTER AUTH REV REF-A Bond CUSIP 93265PCR8	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
80	WELLS FARGO & CO preferred stock (CUSIP 949746RN3)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
81	WELLS FARGO preferred stock (CUSIP 949746RN3)	N/A	\$50,001 - \$100,000	Dividends	None (or less than \$201)
82	Western Midstream Partners LP (WES)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
83	Investable Wine	N/A	\$1,001 - \$15,000		None (or less than \$201)
84	1675 S. PROM LLC	No			
84.1	Residential real estate, Seaside, OR	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
85	Residential real estate, San Francisco, CA	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Morgan Stanley Private Bank	Exercised Line of Credit	\$1,000,001 - \$5,000,000	2020	1.72	7 Years
2	Morgan Stanley Private Bank	Exercised Line of Credit	\$1,000,001 - \$5,000,000	2021	LIBOR + 1	Revolving
3	First Republic Bank (liability paid off in full during reporting period)	Mortgage (investment/rental property)	\$1,000,001 - \$5,000,000	2013	2.8 (7 years)/adjustable	30 years

9. Gifts and Travel Reimbursements

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

Endnotes

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).
