

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

Filer's Information

Stein, Eric

Assistant to the Secretary for Finance & Budget, Department of the Treasury

Date of Appointment: 01/24/2017

Other Federal Government Positions Held During the Preceding 12 Months:

Assistant to the Secretary for Budget & Finance and Deputy CFO (1/2017 - Present)

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/ Stein, Eric [electronically signed on 02/10/2017 by Stein, Eric 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/ Horton, Elizabeth A, Certifying Official [electronically signed on 04/25/2017 by Horton, Elizabeth A in Integrity.gov]

Other review conducted by

/s/ Whitaker, Apryl, Ethics Official [electronically signed on 04/24/2017 by Whitaker, Apryl in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 04/24/2017

Data Revised 04/21/2017

Data Revised 04/20/2017

Data Revised 04/19/2017

Data Revised 04/11/2017

Data Revised 04/05/2017

Data Revised 03/22/2017

Data Revised 03/07/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Population Diagnostics	See Endnote	New York, New York	Corporation	Board Member	6/2015	1/2017
2	Woodpecker Pharma Holdings, LLC	See Endnote	Cincinnati, Ohio	Investment Partnership	Co-Managing Member	12/2015	1/2017
3	FSI Group	See Endnote	Greenwich, Connecticut	Corporation	Managing Director	/2003	1/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Chesapeake Energy 5.75% Preferred	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2	HomeTrust Bancshares, Inc. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Bank of America Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4	Kelt Exploration Ltd.	N/A	\$50,001 - \$100,000		None (or less than \$201)
5	First Northwest Bancorp	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	Amerco - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7	Aeglea Biotherapeutics	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Emerald Lake Safety (pharmaceutical)	No	\$100,001 - \$250,000		None (or less than \$201)
9	Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Firebird Mongolia Fund	No	\$1,001 - \$15,000		None (or less than \$201)
10.1	Sharyn Gol JSC	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	Berkh Uul JSC	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Dexcom Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	TEVA Pharmaceutical Industries Ltd.	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
13	Enzymotec Ltd.	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	CF Industries	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
15	Entegra Financial Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Fortress Transportation & Investment	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
17	Iconix Brands	N/A	\$15,001 - \$50,000		None (or less than \$201)
18	FRMO Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	PNC Financial	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
20	Mosaic Corp.	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
21	Potash Corp.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
22	Mylan N.V.	N/A	\$50,001 - \$100,000		None (or less than \$201)
23	Par Pacific Holdings	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	Coastway Bancorp	N/A	\$50,001 - \$100,000		None (or less than \$201)
25	Apollo Global Management	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
26	Citizens Financial Group	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
27	Howard Hughes Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	Bitcoin Investment Trust	No	\$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	Financial Stocks Capital Partners V	Cincinnati, Ohio	Carried Interest	6/2007

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Employer (MediaMath)	N/A		salary, bonus	
2	Vanguard Target Retirement 2040	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Financial Stocks Capital Partners V	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2	Stein Family Cedarwood Family L.P.	No	\$100,001 - \$250,000		None (or less than \$201)
2.1	Aristar Ventures III	No	\$1,001 - \$15,000		None (or less than \$201)
2.1.1	Heat Biologics	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Paulson Long Short Fund L.P.	See Endnote	No	\$50,001 - \$100,000	None (or less than \$201)
2.3	JP Morgan Digital Growth Fund	Yes	\$1,001 - \$15,000		
2.4	Unison		\$50,001 - \$100,000		None (or less than \$201)
3	Woodpecker Pharma Holdings, LLC	No	\$250,001 - \$500,000		None (or less than \$201)
3.1	Aristar Ventures II-B	No	\$1,001 - \$15,000		None (or less than \$201)
3.1.1	Aeglea Biotherapeutics	N/A	\$1,001 - \$15,000		
3.2	Emerald Lake Safety		\$250,001 - \$500,000		None (or less than \$201)
4	Financial Stocks Capital Partners IV LP	See Endnote	No	\$1,001 - \$15,000	None (or less than \$201)
5	FCM V, LLC	No	\$500,001 - \$1,000,000	Capital Gains	None (or less than \$201)
6	Bank of America 7.25% Series L Preferred Stock	N/A	\$500,001 - \$1,000,000	Dividends	\$50,001 - \$100,000
7	Financial Stocks Limited Partnership	No	\$100,001 - \$250,000		
7.1	BANK OF NT BUTTERFIELD & SON	N/A	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	BANK OF AMERICA CORP (BAC)	N/A	\$1,001 - \$15,000		
7.3	E*TRADE FINANCIAL CORP (ETFC)	N/A	\$1,001 - \$15,000		
7.4	CITI GROUP INC (CIT)	N/A	\$1,001 - \$15,000		
7.5	HUNTINGTON BANCSHARES INC (HBAN)	N/A	\$1,001 - \$15,000		
7.6	ATHENE HOLDING LTD	N/A	\$1,001 - \$15,000		
7.7	ASTORIA FINANCIAL CORP (AF)	N/A	\$1,001 - \$15,000		
7.8	SYNCHRONY FINANCIAL (SYF)	N/A	\$1,001 - \$15,000		
7.9	CITIZENS FINANCIAL GROUP (CFG)	N/A	\$1,001 - \$15,000		
7.10	PRIVATEBANCORP INC (PVTB)	N/A	\$1,001 - \$15,000		
7.11	KEYCORP (KEY)	N/A	\$1,001 - \$15,000		
7.12	SEACOAST BANKING CORP/FL (SBCF)	N/A	\$1,001 - \$15,000		
7.13	TCF FINANCIAL CORP (TCB)	N/A	\$1,001 - \$15,000		
7.14	First Bancorp/Troy NC (FBNC)	N/A	\$1,001 - \$15,000		
7.15	SLM CORP (SLM)	N/A	\$1,001 - \$15,000		
7.16	VISA INC-CLASS A SHARES (V)	N/A	\$1,001 - \$15,000		
7.17	REPUBLIC FIRST BANCORP INC (FRBK)	N/A	\$1,001 - \$15,000		
7.18	FB FINANCIAL CORP	N/A	\$1,001 - \$15,000		
7.19	FLAGSTAR BANCORP INC (FBC)	N/A	\$1,001 - \$15,000		
7.20	HOWARD HUGHES CORP/THE HHC	N/A	\$1,001 - \$15,000		
7.21	AMERICAN FINANCIAL GROUP INC (AFG)	N/A	\$1,001 - \$15,000		
7.22	CHUBB CORP (CB)	N/A	\$1,001 - \$15,000		
7.23	QCR HOLDINGS	N/A	\$1,001 - \$15,000		
7.24	DISCOVER FINANCIAL SERVICES (DFS)	N/A	\$1,001 - \$15,000		
7.25	JPMORGAN CHASE & CO (JPM)	N/A	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.26	HERITAGE OAKS BANCORP	N/A	\$1,001 - \$15,000		
7.27	TRICO BANCSHARES TCBK	N/A	\$1,001 - \$15,000		
7.28	OPUS BANK (OPB)	N/A	\$1,001 - \$15,000		
7.29	SUNTRUST BANKS INC (STI)	N/A	\$1,001 - \$15,000		
7.30	PEAPACK GLADSTONE FINL CORP (PGC)	N/A	\$1,001 - \$15,000		
7.31	EASTERN VIRGINIA BANKSHARES (EVBS)	N/A	\$1,001 - \$15,000		
7.32	HOMETRUST BANCSHARES INC (HTBI)	N/A	\$1,001 - \$15,000		
7.33	ASHFORD INC (AINC)	N/A	\$1,001 - \$15,000		
7.34	PARK STERLING CORP	N/A	\$1,001 - \$15,000		
7.35	Sandy Spring Bancorp Inc (SASR)	N/A	\$1,001 - \$15,000		
7.36	XENITH BANKSHARES	N/A	\$1,001 - \$15,000		
7.37	Farmers Capital Bank Corp (FFKT)	N/A	\$1,001 - \$15,000		
7.38	PACIFIC CONTINENTAL CORP (PCBK)	N/A	\$1,001 - \$15,000		
8	Emerald Lake Profits Unit Interest	No	\$500,001 - \$1,000,000		None (or less than \$201)
9	Crossroads Partners, L.P.	See Endnote	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
10	Apollo Global Management	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
11	PacWest Bancorp - Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
12	Fortress Transportation & Investment Corp.	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
13	Blackstone Group	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
14	Stonegate Bank - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	First Northwest Bancorp	N/A	\$50,001 - \$100,000		None (or less than \$201)
16	Amerco - Common Stock	N/A	\$15,001 - \$50,000		\$201 - \$1,000
17	Chesapeake Energy 5.75% Convertible Preferred	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
18	Southern National Bancorp of Virginia, Inc. - Common Stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19	Mylan Inc. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
20	Coastway Bancorp, Inc. - Common Stock	N/A	\$50,001 - \$100,000		None (or less than \$201)
21	Mosaic Co	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
22	FRMO Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	Aeglea BioTherapeutics	N/A	\$15,001 - \$50,000		None (or less than \$201)
24	Bitcoin	No	\$50,001 - \$100,000		None (or less than \$201)
25	Mass Mutual Life Insurance Policy (Universal Life)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
26	Mass Mutual Life Insurance Policy (Whole Life)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
27	AXA Equitable Life Insurance Policy (Whole Life)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
28	Prudential Life Insurance Policy (Whole Life)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
29	Iconix Brand Group, Inc. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
30	Potash Corporation of Saskatchewan	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31	Sound Financial Bancorp	N/A	\$15,001 - \$50,000		None (or less than \$201)
32	HomeTrust Bancshares, Inc. - Common Stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
33	Entegra Financial Corp. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
34	Howard Hughes Corp.	N/A	\$15,001 - \$50,000		None (or less than \$201)
35	KKR & Co. L.P.	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
36	Citizens Financial Group	No	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
37	Bitcoin Investment Trust	No	\$1,001 - \$15,000		None (or less than \$201)
38	Khot Infrastrucure Trust	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	United Community Bancorp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
40	Alerian MLP ETF	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
41	Kelt Exploration Ltd.	N/A	\$100,001 - \$250,000		None (or less than \$201)
42	Texas Pacific Land Trust	N/A	\$15,001 - \$50,000		None (or less than \$201)
43	Crimson Wine Group Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	HarborOne Bancorp	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
45	The Carlyle Group L.P. - Common Units	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
46	Enzymotec Ltd. - Ordinary Shares	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
47	CF Industries	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
48	Bank of America Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
49	DexCom, Inc. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
50	First Busey Corp.	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
51	Bangor Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
52	Eastern Bank Certificate of Deposit	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
53	Bank @lantec Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
54	Cambridge Savings Bank Certificate of Deposit	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
55	Cape Cod Five Cents Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
56	Cincinnati Federal Savings & Loan Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
57	Cullman Savings Bank Savings Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	Guaranty Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
59	HarborOne Bancorp Certificate of Deposit	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
60	Liberty Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
61	Maspeth Federal Savings Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
62	Middlesex Savings Bank Certificate of Deposit	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
63	Ridgewood Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
64	Third Federal Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65	Union Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
66	Ware Co-Op Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
67	Alliant Credit Union Savings Account	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
68	Williamstown Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
69	Columbia Savings Bank Certificate of Deposit	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
70	Avidia Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
71	First Tech Federal Credit Union Savings Account	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
72	Dearborn Federal Credit Union Savings Account	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
73	Fairfield County Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
74	Salem Five Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
75	First County Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
76	Ponce De Leon Federal Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
77	Newburyport Five Cents Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
78	Northfield Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
79	Monson Savings Bank Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
80	First Savings Bank of Perkasio Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
81	First County Bank Certificate of Deposit	N/A	\$1,001 - \$15,000		\$201 - \$1,000
82	Cross County Federal Savings Certificate of Deposit	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	JP Morgan Private Bank	Exercised Line of Credit	\$500,001 - \$1,000,000	2013	LIBOR + 1.85%	1 Year

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	Resigned as of 1/19/17.
1.	2	Resigned as of 1/19/17.
1.	3	Resignation effective as of 1/20/17.
6.	2.2	Underlying assets are not ascertainable.
6.	4	Fully distributed on 4/4/17.
6.	9	Underlying assets are not 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).
