

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

## Filer's Information

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Thompson, Amy

Director, Federal Deposit Insurance Corporation

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Thompson, Amy [electronically signed on 05/13/2023 by Thompson, Amy in Integrity.gov]

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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/ Han, Peter, Certifying Official [electronically signed on 06/28/2023 by Han, Peter in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	iShares Core MSCI EAFE ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.2	iShares Core MSCI Emerging	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3	iShares Russell 1000 GRW ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	iShares Russell 1000 Value ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	iShares Russell 2000 Grwth ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
1.6	iShares Russell 2000 Value ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	iShares Russell Midcap G ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
1.8	iShares Russell Midcap V ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Vanguard Short Term Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Vanguard Total Bond Market	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.11	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		

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

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	iShares Russell 1000 Growth ETF (IWF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	iShares Russell 1000 Value ETF (IWD)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.6	iShares Russell 2000 Growth ETF (IWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	iShares Russell 2000 Value ETF (IWN)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	iShares Russell Mid-Cap Growth ETF (IWP)		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	iShares Russell Mid-Cap Value ETF (IWS)		Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)		Yes	\$15,001 - \$50,000		None (or less than \$201)
1.11	Vanguard Total Bond Market Index Fund ETF Shares (BND)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	District of Columbia Public Schools, deferred benefit plan (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
3	Lockheed Defined Contribution Plan, 401(k)		No			
3.1	Target Date Funds 2045		Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Bank # 1 (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
2	U.S. Bank # 2 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
3	DC College Saving Plan		No			
3.1	DC College Savings 2034 Portfolio		Yes	\$15,001 - \$50,000		None (or less than \$201)
4	AbbVie, Inc. (ABBV)		N/A	\$1,001 - \$15,000		\$201 - \$1,000
5	Air Products and Chemicals, Inc. (APD)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Amgen Inc. (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Automatic Data Processing, Inc. (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Caterpillar, Inc. (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
12	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Kimberly-Clark Corp. (KMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Merck & Co., Inc. (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	Raytheon Co. (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	WEC Energy Group, Inc. (WEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	iShares Short Maturity Bond ETF (NEAR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	U.S. Bank #3 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
24	Invesco Ultra Short Duration ETF (GSY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	iShares Russell 1000 Value ETF (IWD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	Real Estate Select Sector SPDR Fund (XLRE)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Procter & Gamble Co. (PG)	Purchase	01/24/2022	\$1,001 - \$15,000
2	Agilent Technologies, Inc. (A)	Sale	04/28/2022	\$1,001 - \$15,000
3	Starbucks Corp. (SBUX)	Sale	04/28/2022	\$1,001 - \$15,000
4	Accenture Plc (ACN)	Purchase	04/28/2022	\$1,001 - \$15,000
5	Rockwell Automation, Inc. (ROK)	Purchase	04/28/2022	\$1,001 - \$15,000
6	iShares Core S&P 500 ETF (IVV)	Sale	05/05/2022	\$1,001 - \$15,000
7	State Street Corp. (STT)	Sale	05/05/2022	\$1,001 - \$15,000
8	Sonos, Inc. (SONO)	Sale	05/05/2022	\$1,001 - \$15,000
9	Netflix, Inc. (NFLX)	Purchase	05/05/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
10	Tesla, Inc. (TSLA)	Purchase	05/05/2022	\$1,001 - \$15,000
11	Exxon Mobil Corp. (XOM)	Purchase	05/05/2022	\$1,001 - \$15,000
12	Thermo Fisher Scientific, Inc. (TMO)	Purchase	05/05/2022	\$1,001 - \$15,000
13	salesforce.com, inc. (CRM)	Purchase	05/05/2022	\$1,001 - \$15,000
14	SBA Communications Corp. (SBAC)	Purchase	05/05/2022	\$1,001 - \$15,000
15	Abbott Laboratories (ABT)	Sale	05/18/2022	\$1,001 - \$15,000
16	Cisco Systems, Inc. (CSCO)	Sale	05/18/2022	\$1,001 - \$15,000
17	Realty Income Corp. (O)	Purchase	05/18/2022	\$1,001 - \$15,000
18	Citigroup, Inc. (C)	Purchase	05/18/2022	\$1,001 - \$15,000
19	Ball Corporation (BLL)	Purchase	05/18/2022	\$1,001 - \$15,000
20	Estee Lauder Cos. (EL)	Purchase	05/18/2022	\$1,001 - \$15,000
21	Ball Corporation (BLL)	Sale	05/27/2022	\$1,001 - \$15,000
22	Monster Beverage Corp. (MNST)	Purchase	05/27/2022	\$1,001 - \$15,000
23	Fidelity Advisor Health Care Fund Class I Shares (FHCIX)	Sale	06/09/2022	\$1,001 - \$15,000
24	Medtronic Plc (MDT)	Sale	06/09/2022	\$1,001 - \$15,000
25	IQVIA Holdings, Inc. (IQV)	Purchase	06/09/2022	\$1,001 - \$15,000
26	UnitedHealth Group, Inc. (UNH)	Purchase	06/09/2022	\$1,001 - \$15,000
27	Palo Alto Networks, Inc. (PANW)	Sale	06/27/2022	\$1,001 - \$15,000
28	PepsiCo, Inc. (PEP)	Sale	06/27/2022	\$1,001 - \$15,000
29	Amgen Inc. (AMGN)	Sale	06/27/2022	\$1,001 - \$15,000
30	NextEra Energy, Inc. (NEE)	Sale	06/27/2022	\$1,001 - \$15,000
31	Alphabet, Inc. (GOOGL)	Sale	06/27/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
32	Johnson & Johnson (JNJ)	Sale	06/27/2022	\$1,001 - \$15,000
33	Waste Management, Inc. (WM)	Sale	06/27/2022	\$1,001 - \$15,000
34	Walmart, Inc. (WMT)	Sale	06/27/2022	\$1,001 - \$15,000
35	Apple, Inc. (AAPL)	Sale	06/27/2022	\$1,001 - \$15,000
36	The Home Depot, Inc. (HD)	Sale	06/27/2022	\$1,001 - \$15,000
37	Lockheed Martin Corp. (LMT)	Sale	06/27/2022	\$1,001 - \$15,000
38	Berkshire Hathaway Inc. (BRKB)	Sale	06/27/2022	\$1,001 - \$15,000
39	Visa, Inc. (V)	Sale	06/27/2022	\$1,001 - \$15,000
40	AvalonBay Communities, Inc. (AVB)	Sale	06/27/2022	\$1,001 - \$15,000
41	Microsoft Corp. (MSFT)	Sale	06/27/2022	\$1,001 - \$15,000
42	Bank of America Corp. (BAC)	Sale	06/27/2022	\$1,001 - \$15,000
43	Eastman Chemical Co. (EMN)	Sale	06/27/2022	\$1,001 - \$15,000
44	UnitedHealth Group, Inc. (UNH)	Sale	06/27/2022	\$1,001 - \$15,000
45	IQVIA Holdings, Inc. (IQV)	Sale	06/27/2022	\$1,001 - \$15,000
46	NIKE, Inc. (NKE)	Sale	06/27/2022	\$1,001 - \$15,000
47	Facebook, Inc. (FB)	Sale	06/27/2022	\$1,001 - \$15,000
48	Amazon.com, Inc. (AMZN)	Sale	06/27/2022	\$1,001 - \$15,000
49	Netflix, Inc. (NFLX)	Sale	06/27/2022	\$1,001 - \$15,000
50	Estee Lauder Cos. (EL)	Sale	06/27/2022	\$1,001 - \$15,000
51	Accenture Plc (ACN)	Sale	06/27/2022	\$1,001 - \$15,000
52	Realty Income Corp. (O)	Sale	06/27/2022	\$1,001 - \$15,000
53	Exxon Mobil Corp. (XOM)	Sale	06/27/2022	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
54	Monster Beverage Corp. (MNST)	Sale	06/27/2022	\$1,001 - \$15,000
55	salesforce.com, inc. (CRM)	Sale	06/27/2022	\$1,001 - \$15,000
56	Thermo Fisher Scientific, Inc. (TMO)	Sale	06/27/2022	\$1,001 - \$15,000
57	Citigroup, Inc. (C)	Sale	06/27/2022	\$1,001 - \$15,000
58	Tesla, Inc. (TSLA)	Sale	06/27/2022	\$1,001 - \$15,000
59	Rockwell Automation, Inc. (ROK)	Sale	06/27/2022	\$1,001 - \$15,000
60	SBA Communications Corp. (SBAC)	Sale	06/27/2022	\$1,001 - \$15,000
61	Procter & Gamble Co. (PG)	Sale	06/27/2022	\$1,001 - \$15,000
62	Vanguard Total Bond Market Index Fund ETF Shares (BND)	Purchase	06/27/2022	\$15,001 - \$50,000
63	iShares Core MSCI EAFE ETF (IEFA)	Purchase	06/27/2022	\$15,001 - \$50,000
64	iShares Russell 1000 Value ETF (IWD)	Purchase	06/27/2022	\$15,001 - \$50,000
65	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	06/27/2022	\$15,001 - \$50,000
66	iShares Russell 1000 Growth ETF (IWF)	Purchase	06/27/2022	\$1,001 - \$15,000
67	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	06/27/2022	\$1,001 - \$15,000
68	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	06/27/2022	\$1,001 - \$15,000
69	iShares Russell Mid-Cap Value ETF (IWS)	Purchase	06/27/2022	\$1,001 - \$15,000
70	iShares Russell 2000 Value ETF (IWN)	Purchase	06/27/2022	\$1,001 - \$15,000
71	iShares Russell Mid-Cap Growth ETF (IWP)	Purchase	06/27/2022	\$1,001 - \$15,000
72	iShares Russell 2000 Growth ETF (IWO)	Purchase	06/27/2022	\$1,001 - \$15,000
73	Verizon Communications, Inc. (VZ)	Purchase	01/21/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
74	iShares US Financial Services ETF (IYG)	Sale	01/21/2022	\$1,001 - \$15,000
75	Vanguard Communication Services Index Fund ETF Shares (VOX)	Sale	01/21/2022	\$1,001 - \$15,000
76	Synchrony Financial (SYF)	Purchase	01/21/2022	\$1,001 - \$15,000
77	Comcast Corp. (CMCSA)	Purchase	01/24/2022	\$1,001 - \$15,000
78	iShares Short Maturity Bond ETF (NEAR)	Sale	01/24/2022	\$1,001 - \$15,000
79	Regions Financial Corp. (RF)	Purchase	03/08/2022	\$1,001 - \$15,000
80	Synchrony Financial (SYF)	Sale	03/08/2022	\$1,001 - \$15,000
81	SPDR SSgA Multi-Asset Real Return ETF (RLY)	Purchase	04/28/2022	\$1,001 - \$15,000
82	iShares Short Maturity Bond ETF (NEAR)	Sale	04/28/2022	\$1,001 - \$15,000
83	Comcast Corp. (CMCSA)	Sale	05/02/2022	\$1,001 - \$15,000
84	SPDR SSgA Multi-Asset Real Return ETF (RLY)	Purchase	05/02/2022	\$1,001 - \$15,000
85	Regions Financial Corp. (RF)	Sale	06/22/2022	\$1,001 - \$15,000
86	JPMorgan Chase & Co. (JPM)	Sale	06/22/2022	\$1,001 - \$15,000
87	Citizens Financial Group, Inc. (Rhode Island) (CFG)	Sale	06/22/2022	\$1,001 - \$15,000
88	iShares Russell 1000 Value ETF (IWD)	Purchase	06/27/2022	\$1,001 - \$15,000
89	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Purchase	03/18/2022	\$1,001 - \$15,000
90	iShares iBoxx \$ High Yield Corporate Bond ETF (HYG)	Sale	03/18/2022	\$1,001 - \$15,000
91	iShares Russell 1000 Growth ETF (IWF)	Purchase	03/18/2022	\$1,001 - \$15,000
92	iShares Russell 1000 Value ETF (IWD)	Sale	03/18/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
93	iShares 20+ Year Treasury Bond ETF (TLT)	Purchase	03/18/2022	\$1,001 - \$15,000
94	PIMCO Enhanced Short Maturity Active Exchange-Traded Fund (MINT)	Sale	03/18/2022	\$1,001 - \$15,000
95	Invesco Ultra Short Duration ETF (GSY)	Purchase	07/13/2022	\$1,001 - \$15,000
96	SPDR SSgA Multi-Asset Real Return ETF (RLY)	Sale	07/13/2022	\$1,001 - \$15,000
97	Verizon Communications, Inc. (VZ)	Sale	10/31/2022	\$1,001 - \$15,000
98	iShares Short Maturity Bond ETF (NEAR)	Purchase	10/31/2022	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
5.	2	Pension plan for educator. not available until retirement.

# 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).

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