

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

Filer's Information

Hinman, William

Director, Division of Corporation Finance, Securities and Exchange Commission

Report Year: 2019

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/ Hinman, William [electronically signed on 08/04/2019 by Hinman, William in Integrity.gov] - Filer received a 90 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/ Serrano, Danae, Certifying Official [electronically signed on 10/01/2019 by Serrano, Danae in Integrity.gov]

Other review conducted by

/s/ Lacko, Michelle V, Ethics Official [electronically signed on 10/01/2019 by Lacko, Michelle V in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 10/01/2019

Data Revised 09/30/2019

Data Revised 09/27/2019

Data Revised 09/26/2019

Data Revised 09/25/2019

Data Revised 09/24/2019

Data Revised 09/23/2019

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Simpson Thacher & Bartlett LLP, defined benefit plan	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2	Shearman & Sterling, defined benefit plan (value not readily ascertainable) \$1,200/mo. at age 65	N/A			None (or less than \$201)
3	Simpson Thacher & Bartlett LLP Pension (value not readily ascertainable)	N/A		retirement payments	\$1,564,800
4	IRA #1	No			
4.1	American Century Diversified Bond (ADFIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	American Century Real Estate (REACX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.3	Ariel Fund Investor Class (ARGFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.4	Delaware Emerging Markets Fund Institutional Class (DEMIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.5	Eagle Small Cap Growth I (HSIIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.6	American Funds EuroPacific Gr F-2 (AEPFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	Fidelity Advisor Total Bond I (FEPIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.8	Franklin Convertible Securities Adv (FCSZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Oakmark International Fund Investor Class (OAKIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.10	iShares Dow Jones Select Dividend Index (DVY)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.11	John Hancock Funds Disciplined Value Mid Cap Fund Class I (JVMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.12	American Funds New Perspective F-2 (ANWFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.13	PIMCO Income P (PONPX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.14	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.15	T. Rowe Price Short-Term Bond (PRWBX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.16	SPDR S&P 500 (SPY)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.17	Vanguard Dividend Appreciation ETF (VIG)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.18	Vanguard REIT Index Admiral Shares (VGSLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.19	Vanguard Total International Bond Index Admiral Shares (VTIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.20	Vanguard 500 Index Admiral Shares (VFIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.21	Vanguard Growth ETF (VUG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.22	Vanguard Value ETF (VTV)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.23	GENERAL MONEY MARKET FUND CLASS B DREYFUS (GMBXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.24	Matthews Pacific Tiger Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.25	Vanguard Small Cap ETF (VB)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.26	iShares TR S&P MidCap 400 Growth ETF (UK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	401(k) plan	No			
5.1	JPMorgan SmartRetirement 2020 Instl (JTTIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.2	Fidelity Contrafund (FCNTX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.3	Fidelity Spartan Intl Index Instl (FSPNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	T. Rowe Price Equity Income (PRFDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	Fidelity Money Market Trust Retirement Government Money Market Portfolio (FGMXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	Harbor Capital Appreciation Instl (HACAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	MIP II CL 2	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	Simpson Thacher & Bartlett LLP	New York, New York	I continue to participate in the defined benefit plan referred to in Part 2. I am eligible to receive this benefit as a lump sum or in the form of an annuity.	1/2010
2	Shearman & Sterling	New York, New York	I continue to participate in this defined benefit plan. Reported in Part 2.	1/1989
3	Simpson Thacher & Bartlett LLP	New York, New York	The firm pension plan, referred to in Part 2, entitles me, as a retired partner, to receive payments of \$130,400 per month for the period January 1, 2017 through December 31, 2020, and similar amounts thereafter based primarily on the number of partners participating in the plan at that time.	1/2017
4	Simpson Thacher & Bartlett LLP	See Endnote	New York, New York I continue to participate in the defined contribution plan. The plan's sponsor has not made any additional contributions to the plan after the date of my separation from the firm. All reportable assets in the plan are listed on Part 2.	1/2010

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	Capitol Hill Day School	N/A		salary	
2	Town School for Boys	N/A		salary	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	IRA #2	No			
3.1	iShares Barclays Aggregate Bond (AGG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	iShares Intermediate-Term Corporate Bond ETF (IGIB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	iShares S&P MidCap 400 Value Index (IJJ)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	iShares S&P SmallCap 600 Value Index (IJS)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.5	iShares S&P 500 Growth Index (IVW)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.6	iShares Dow Jones Select Dividend Index (DVP)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.7	iShares Barclays TIPS Bond (TIP)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.8	Vanguard FTSE Europe Index Fund ETF (VGK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.9	Vanguard High Dividend Yield Index Fund ETF (VYM)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Rollover IRA	No			
4.1	Vanguard Total Stock Market ETF (VTI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	Vanguard High Dividend Yield ETF (VYM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	Vanguard Intermediate Term Bond ETF (BIV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Vanguard FTSE Europe ETF (VGK)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Brokerage Account	No			
5.1	Washington St 5% Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.2	San Bernadino 0% Due 8/1/27	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
5.3	iShares Russell 2000 Value Index (IWN)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.4	iShares S&P MidCap 400 Value Index (IJJ)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5.5	iShares S&P 500 Growth Index (IVW)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
5.6	Vanguard Information Technology ETF (VGT)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.7	Vanguard Small Cap Value ETF (VBR)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.8	Vanguard High Dividend Yield ETF (VYM)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.9	Vanguard Intermediate Term Bond ETF (BIV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rental Property, BigSky, MT	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$50,001 - \$100,000
2	Northwestern Mutual Whole Life Policy	N/A	\$1,000,001 - \$5,000,000	Dividends Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	U.S. Savings/Checking Account		N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
4	U.S. Bank Cash Management Account		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5	Oakmark Select Fund Investor Class (OAKLX)	See Endnote	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
6	Vanguard 500 Index Fund Investor Class (VFINX)	See Endnote	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
7	TETON Westwood Equity Fund Class AAA (WESWX)	See Endnote	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
8	U.S. Savings Account held through Fidelity in FDIC insured US bank account		N/A	\$15,001 - \$50,000		None (or less than \$201)
9	American Century Diversified Bond (ADFIX)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10	Credit Suisse Commodity Return Strategy Fund Class I (CRSOX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	GENERAL MONEY MARKET FUND CLASS B DREYFUS (GMBXX)		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
12	iShares Dow Jones Select Dividend Index (DVY)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
13	Matthews Pacific Tiger Fund Investor Class (MAPTX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
14	American Funds New Perspective F-2 (ANWFX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	PIMCO Income (PONPX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	SPDR S&P 500 (SPY)		Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Oakmark International Fund Investor Class (OAKIX)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
18	Vanguard Mid-Cap ETF (VO)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	Vanguard Small-Cap Index Fund (VB)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	Vanguard REIT Index Admiral Shares (VGSLX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	Vanguard Dividend Appreciation ETF (VIG)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
22	Oakmark International Fund (OAKIX)		Yes	\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	American Century Diversified Bond (ADFIX)	Purchase	02/15/2018	\$50,001 - \$100,000
2	American Century Real Estate (REACX)	Purchase	02/15/2018	\$15,001 - \$50,000
3	Ariel Fund Investor Class (ARGFX)	Purchase	02/15/2018	\$15,001 - \$50,000
4	American Funds EuroPacific Gr F-2 (AEPFX)	Purchase	02/15/2018	\$50,001 - \$100,000
5	Matthews Pacific Tiger Fund Investor Class (MAPTX)	Purchase	02/15/2018	\$50,001 - \$100,000
6	American Funds New Perspective F-2 (ANWFX)	Purchase	02/15/2018	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	SPDR S&P 500 (SPY)	Purchase	02/16/2018	\$100,001 - \$250,000
8	Vanguard Precious Metals and Mining (VGPMX)	Purchase	02/15/2018	\$15,001 - \$50,000
9	Vanguard Small Cap ETF (VB)	Purchase	02/16/2018	\$15,001 - \$50,000
10	American Funds New Perspective (ANWFX)	Purchase	07/31/2018	\$15,001 - \$50,000
11	American Funds New Perspective (ANWFX)	Purchase	12/12/2018	\$15,001 - \$50,000
12	iShares S&P MidCap 400 Growth Index (IJK)	Purchase	12/13/2018	\$15,001 - \$50,000
13	John Hancock Fund III Disciplined Value Mid Cap Fund (JVMIX)	Purchase	12/12/2018	\$15,001 - \$50,000
14	Oakmark International Fund (OAKIX)	Purchase	12/12/2018	\$1,001 - \$15,000
15	PowerShares QQQ Trust, Series 1 (QQQ)	Purchase	12/13/2018	\$15,001 - \$50,000
16	SPDR S&P 500 (SPY)	Purchase	12/13/2018	\$1,001 - \$15,000
17	Vanguard Small-Cap ETF (VB)	Purchase	12/13/2018	\$1,001 - \$15,000
18	Delaware Group Global & International Fund (DEMIX)	Sale	12/12/2018	\$1,001 - \$15,000
19	Eagle Small Cap Growth I (HSIIX)	Sale	12/12/2018	\$15,001 - \$50,000
20	Vanguard Precious Metals and Mining (VGPMX)	Sale	12/12/2018	\$15,001 - \$50,000
21	Vanguard REIT Index Admiral Shares (VGSLX)	Sale	12/12/2018	\$15,001 - \$50,000
22	Vanguard Dividend Appreciation ETF (VIG)	Sale	12/13/2018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	Vanguard FTSE Europe ETF (VGK)	Sale	09/21/2018	\$15,001 - \$50,000
24	Vanguard Intermediate Term Bond ETF (BIV)	Purchase	08/20/2018	\$15,001 - \$50,000
25	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Sale	08/20/2018	\$1,001 - \$15,000
26	iShares Barclays TIPS Bond (TIP)	Purchase	08/20/2018	\$1,001 - \$15,000
27	Vanguard FTSE Emerging Markets ETF (VWO)	Sale	08/20/2018	\$1,001 - \$15,000
28	Fidelity Advisor Total Bond I (FEPIX)	Purchase	06/12/2018	\$50,001 - \$100,000
29	PIMCO Income P (PONPX)	Purchase	06/13/2018	\$50,001 - \$100,000
30	American Funds EuroPacific Gr F-2 (AEPFX)	Sale	06/13/2018	\$50,001 - \$100,000
31	Delaware Group Global & Intermediate Funds Emerging Markets Fund (DEMIX)	Sale	06/13/2018	\$50,001 - \$100,000
32	iShares TR S&P Mid Cap 400 Growth ETF (UK)	Purchase	12/12/2018	\$15,001 - \$50,000
33	American Century Real Estate Fund (REACX) (reinvestment)	Purchase	12/19/2018	\$1,001 - \$15,000
34	Carillon Eagle Small Cap (HSIIX) (reinvestment)	Purchase	12/21/2018	\$1,001 - \$15,000
35	Europacific Growth Fund (AEPFX) (reinvestment)	Purchase	12/21/2018	\$1,001 - \$15,000
36	Delaware Emerging Markets Fund (DEMIX) (reinvestment)	Purchase	12/24/2018	\$1,001 - \$15,000
37	PIMCO Income Fund (PONPX) (reinvestment)	Purchase	12/13/2018	\$1,001 - \$15,000
38	Mathews Pacific Tiger Fund (reinvestment)	Purchase	12/13/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
39	Oakmark Institutional Fund (OAKIX) (reinvestment)	Purchase	12/14/2018	\$1,001 - \$15,000
40	John Hancock Disciplined Value MidCap (JVMIX) (reinvestment)	Purchase	12/17/2018	\$1,001 - \$15,000
41	New Perspective Fund (ANWFX) (reinvestment)	Purchase	12/24/2018	\$1,001 - \$15,000
42	New Perspective Fund (ANWFX) (reinvestment)	Purchase	12/22/2018	\$1,001 - \$15,000
43	Ariel Fund Investor Class (ARGFX) (reinvestment)	Purchase	12/28/2018	\$1,001 - \$15,000
44	Oakmark International Fund Investor Shares (OAKIX)	Sale	09/25/2018	\$15,001 - \$50,000
45	Teton Westwood Equity Fund (WESWX)	Sale	09/26/2018	\$50,001 - \$100,000
46	Vanguard 500 Index Fund (VFINX)	Sale	09/26/2018	\$50,001 - \$100,000
47	Oakmark Select Fund Investor Shares (OAKLX)	Sale	10/15/2018	\$100,001 - \$250,000
48	Vanguard FTSE All-World ex-US Small Capital Index Fund (VSS)	Sale	11/21/2018	\$50,001 - \$100,000
49	PIMCO Income Fund (PONPX) (reinvestment) -- throughout the year	Purchase		\$1,001 - \$15,000
50	Ariel Fund Investor Class (ARGFX) (reinvestment)	Purchase	11/16/2018	\$1,001 - \$15,000
51	Wells Fargo & Co., bond	See Endnote	06/27/2018	\$1,001 - \$15,000
52	Citigroup Inc. (C)	Sale	06/27/2018	\$1,001 - \$15,000
53	Citigroup Inc., bond	Sale	06/27/2018	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank N.A.	Mortgage (investment/rental property)	\$250,001 - \$500,000	2012	3.25%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
3.	4	The filer inadvertently omitted this arrangement from his prior 278 reports. This arrangement has been reviewed considering all relevant time periods. The Ethics Office has concluded that there are no issues through the date of certification of the current report.
6.	5	cap gain on sale 9/18
6.	6	cap gains on sale 9/18
6.	7	cap gains on sale 9/18
6.	17	cap gain on sale 9/18
7.	51	Filer's spouse sold the assets reported on rows 51-53 on 06/27/2018 to comply with the SEC Supplemental Regulations. Filer did not report the sale on a Form 278-T in a timely manner; thus, filer is including the transaction on his current annual report. The SEC Ethics Office reviewed the sales and determined that there are no issues through the date of certification of the current report

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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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 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, 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).
