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

Filer's Information

DONNELLY, SALLY
Senior Advisor to Secretary of Defense, OSD, Office of the Secretary of Defense
Date of Termination: 03/09/2018

3 MAY 18
Sally Donnelly

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.

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).

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	OGE TYPE	POSITION	FROM	TO
1	Donnelly Seaview LLC	Columbia, SC, USA	Business Enterprise	co-owner	11/2012	Present
2	SBD Advisors	Washington, DC, USA	Business Enterprise	Officer	02/2012	01/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Time Warner Employee Savings Plan(401K)	No			None (or less than $201)
1.1	Time Warner Inc. Common Stock	N/A	$15,001 - $50,000	Dividends, Capital Gains	$100,001 - $1,000,000
1.2	Time Warner Large Cap Value Fund	Yes	$1,001 - $15,000		None (or less than $201)
1.3	Time Warner Growth Fund	Yes	$15,001 - $50,000		None (or less than $201)
1.4	Capital Preservation Fund	Yes	$1,001 - $15,000		None (or less than $201)
2	SBD Advisors LLC	N/A	None (or less than $1,001)	Sale Proceeds	$1,170,000
3	Donnelly Seaview LLC - Bethany Beach, DE (Residential Real Estate)	N/A	$500,001 - $1,000,000	Rent and Royalties	$15,001 - $50,000

4	"TEGNA Common Stock (Sole Ownership)"	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
5	TEGNA Common Stock (Joint Ownership)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
6	LFG SEP IRA (Self)	No			
6.1	Fidelity Cash Reserves	N/A	$15,001 - $50,000		None (or less than $201)
6.2	BlackRock Global Long/Short Credit Fund	Yes	$15,001 - $50,000		None (or less than $201)
6.3	Driehaus international small cap growth fund	Yes	$15,001 - $50,000		None (or less than $201)
6.4	WCM Focused international growth	Yes	$50,001 - $100,000		None (or less than $201)
6.5	ASG Managed Futures strategy Fund	Yes	$15,001 - $50,000		None (or less than $201)
6.6	Oppenheimer Developing Markets Fund	Yes	$15,001 - $50,000		None (or less than $201)
6.7	Congress large cap growth	Yes	$50,001 - $100,000		None (or less than $201)
6.8	boston partners long-short research fund	Yes	$15,001 - $50,000		None (or less than $201)
6.9	sterling capital equity income	Yes	$50,001 - $100,000		None (or less than $201)
6.10	Dana Small Cap Equity Fund	Yes	$15,001 - $50,000		None (or less than $201)
6.11	BlackRock Multi-Asset Income	Yes	$15,001 - $50,000		None (or less than $201)
6.12	DoubleLine Core Fixed Income	Yes	$100,001 - $250,000		$201 - $1,000
6.13	Putnam Diversified Income Fund	Yes	$15,001 - $50,000		None (or less than $201)
6.14	iShares Core S&P 500 ETF	Yes	$15,001 - $50,000		None (or less than $201)
6.15	iShares Core S&P Mid Cap ETF	Yes	$15,001 - $50,000		None (or less than $201)
6.16	iShares TR EAFE Value ETF	Yes	$50,001 - $100,000		None (or less than $201)
6.17	iShares TR Cohen & Steers REIT ETF	Yes	$50,001 - $100,000		None (or less than $201)
7	Time Warner Pension	N/A		Retirement Plan or Account	$9745

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR OTHER PARTY TO AGREEMENT/ARRANGEMENT	CITY/STATE	STATUS AND TERMS	DATE
1	Time Warner Defined Benefit Pension	New York, NY, USA	Continuing participation in Employee Benefit Plan: I receive pension payments from my former employer. Th is information is also included under income.	04/2007
2	Time Warner Savings Plan (401K)	New York, NY, USA	Continuing participation in Employee Benefit Plan: N either I nor my former employer continue to make cont ributions to this plan.	10/1985

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

This report has no reported **Compensation Exceeding $5,000**

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse IRA	No	None (or less than $1,001)		None (or less than $201)
1.1	Avenue Credit Strategies Investor	Yes	$1,001 - $15,000		None (or less than $201)
1.2	Baron Emerging Markets Fund Retail	Yes	$1,001 - $15,000	Dividends, Capital Gains	$2,501 - $5,000
1.3	Columbia Dividend Opportunity Class A	Yes	$1,001 - $15,000		None (or less than $201)
1.4	Columbia Select LRG Cap Growth Class A	Yes	$15,001 - $50,000		None (or less than $201)
1.5	Delaware Value FD CL A	Yes	$15,001 - $50,000	Dividends, Capital Gains	$2,501 - $5,000
1.6	Doubleline Low DURTN EMERG MKTS FX INC	Yes	$1,001 - $15,000	Dividends, Capital Gains	$2,501 - $5,000
1.7	Dreyfus Bond Market Index INVS	Yes	$15,001 - $50,000	Dividends, Capital Gains	$2,501 - $5,000
1.8	Driehaus Micro CAP Growth Fund	Yes	$1,001 - $15,000	Dividends, Capital Gains	$2,501 - $5,000
1.9	Driehaus Event Driven Fund	Yes	$1,001 - $15,000	Dividends, Capital Gains	$1,001 - $2,500
1.10	Driehaus Active Income Fund	Yes	$1,001 - $15,000		None (or less than $201)
1.11	Fidelity 500 Index Premium Class	Yes	$15,001 - $50,000	Dividends, Capital Gains	$2,501 - $5,000
1.12	Fidelity Government Cash Reserves	Yes	$1,001 - $15,000	Dividends, Capital Gains	$1,001 - $2,500
1.13	JP Morgan Strategic Income Opportunity A	Yes	$1,001 - $15,000		None (or less than $201)
1.14	LM BW Absolute RTRN Opportunities CL A	Yes	$1,001 - $15,000		None (or less than $201)
1.15	MFS International Value Fund CL A	Yes	$1,001 - $15,000		None (or less than $201)
1.16	T Rowe Price Growth Stock Advisor CL	Yes	$15,001 - $50,000	Dividends, Capital Gains	$2,501 - $5,000
1.17	Ridgeworth Ceredex Mid-Cap VAL EQ I	Yes	$15,001 - $50,000	Dividends, Capital Gains	$5,001 - $15,000
1.18	Rivernorth Core Opportunities FD CL R	Yes	$1,001 - $15,000		None (or less than $201)
1.19	Riverpark Short Term Hi Yield	Yes	$1,001 - $15,000		None (or less than $201)
1.20	Riverpark Strategic Income	Yes	$1,001 - $15,000		None (or less than $201)
1.21	Double Line Total Return Bond Fund	Yes	$15,001 - $50,000		None (or less than $201)
1.22	Victory Global Natural Resources Fund	Yes	$1,001 - $15,000		None (or less than $201)

1.23	Touchstone Small Cap Value Fund	Yes	$1,001 - $15,000		None (or less than $201)
1.24	Touchstone Focused Fund	Yes	$1,001 - $15,000	Dividends, Capital Gains	$1,001 - $2,500
1.25	Wasatch Frontier Emerging Small Fund	Yes	$1,001 - $15,000		None (or less than $201)
1.26	Wasatch International Opportunities Fund	Yes	$1,001 - $15,000	Dividends, Capital Gains	$1,001 - $2,500
1.27	T Rowe Price International Stock	Yes	$1,001 - $15,000	Dividends, Capital Gains	$1,001 - $2,500
1.28	TCW Relative Value Dividend Fund	Yes	$15,001 - $50,000	Dividends, Capital Gains	$5,001 - $15,000
2	LFG SEP IRA (Spouse)	No			
2.1	Fidelity Cash Reserves	Yes	$1,001 - $15,000		None (or less than $201)
2.2	BlackRock Global Long Short Credit Fund	Yes	$15,001 - $50,000		None (or less than $201)
2.3	Driehaus international small cap growth fund	Yes	$15,001 - $50,000		None (or less than $201)
2.4	WCM Focused international growth	Yes	$15,001 - $50,000		None (or less than $201)
2.5	ASG Managed Futures strategy Fund	Yes	$15,001 - $50,000		None (or less than $201)
2.6	Oppenheimer Developing Markets Fund	Yes	$15,001 - $50,000		None (or less than $201)
2.7	boston partners long-short research fund	Yes	$15,001 - $50,000		None (or less than $201)
2.8	Dana Small Cap Equity Fund	Yes	$15,001 - $50,000		None (or less than $201)
2.9	BlackRock Multi-Asset Income	Yes	$1,001 - $15,000		None (or less than $201)
2.10	DoubleLine Core Fixed Income	Yes	$50,001 - $100,000		$201 - $1,000
2.11	Putnam Diversified Income Fund	Yes	$15,001 - $50,000		None (or less than $201)
2.12	iShares Core S&P 500 ETF	Yes	$50,001 - $100,000		None (or less than $201)
2.13	iShares Core S&P Mid Cap ETF	Yes	$15,001 - $50,000		None (or less than $201)
2.14	iShares TR EAFE Value ETF	Yes	$15,001 - $50,000		None (or less than $201)
2.15	iShares TR Cohen & Steers REIT ETF	Yes	$1,001 - $15,000		None (or less than $201)
3	Carnegie Endowment for International Peace	N/A		Salary	
4	College of Charleston	N/A		Income from personal services	
5	Cowen Services Company LLC	N/A		Income from personal services	
6	Dartmouth College	N/A		Income from personal services	
7	Gerson Lehrman Group, 60 East 42d Street, NY	N/A		Income from personal services	
8	Massachusetts Institute of Technology	N/A		Royalties	

9	SAIC, 151 Lafayette Dr., Oak Ridge, TN	N/A	Income from personal services

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	T. Rowe Price brokerage accounts	No			
1.1	T. Rowe Price Capital Opportunity (PRCOX) (Joint Account with Spouse)	Yes	$15,001 - $50,000	Dividends, Capital Gains	$201 - $1,000
1.2	T. Rowe Price New Era Fund (PRNEX) (Joint Account with Spouse)	Yes	$15,001 - $50,000	Dividends	$201 - $1,000
1.3	T. Rowe Price Science & Technology Fund (PRSCX) (Joint Account with Spouse)	Yes	$1,001 - $15,000	Dividends, Capital Gains	$201 - $1,000
1.4	T. Rowe Price TRP Capital Appreciation (Joint Account with AR)	Yes	$15,001 - $50,000	Dividends, Capital Gains	$201 - $1,000
1.5	T. Rowe Price TRP New Era (Joint Account with JR)	Yes	$50,001 - $100,000	Dividends	$201 - $1,000
2	Gannett Investments Common Stock (Joint Account with DC)	N/A	$1,001 - $15,000		None (or less than $201)
3	Gannett Investments Common Stock (Individual Account)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
4	Gannett Investments Common Stock (Joint Account with Spouse)	N/A	$1,001 - $15,000	Dividends, Capital Gains	$201 - $1,000
5	Wells Fargo Checking Account (Joint with Spouse)	N/A	$1,000,001 - $5,000,000	Interest	$2,501 - $5,000
6	Wells Fargo Savings Account (Joint with Spouse)	N/A	$500,001 - $1,000,000	Interest	$2,501 - $5,000
7	Time Warner Cable stock(IRA)	N/A	$15,001 - $50,000	Capital Gains	$5,001 - $15,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	ASG Managed Futures strategy Fund	purchase	01/24/2018	$15,001 - $50,000
2	ASG MANAGED FUTURES STRATEGY FUND CL Y ASFYX	purchase	01/24/2018	$15,001 - $50,000
3	Avenue Credit Strategies Fund	sale	04/05/2017	$1,001 - $15,000
4	BARON EMERGING BEXFX	sale	04/05/2017	$1,001 - $15,000
5	BlackRock Global Long/Short Credit Fund	purchase	01/24/2018	$15,001 - $50,000
6	BLACKROCK GLOBAL LONG/SHORT CREDIT I BGCIX	purchase	01/24/2018	$15,001 - $50,000
7	BLACKROCK MULTI - ASSET INCOME INSTL BIICX	purchase	02/08/2018	$1,001 - $15,000
8	BlackRock Multi-Asset Income Fund	purchase	02/09/2018	$15,001 - $50,000
9	BOSTON PARTNERS LONG SHORT RESEARCH INSTL BPIRX	purchase	01/24/2018	$15,001 - $50,000
10	boston partners long-short research fund	purchase	01/24/2018	$15,001 - $50,000
11	Calvert Balanced Portfolio Fund - A	sale	01/24/2018	$1,001 - $15,000
12	CHARTER COMMUNICATIONS INC NEW CL A CHTR	sale	01/24/2018	$100,001 - $250,000
13	COLUMBIA DIVIDEND INUTX	sale	04/04/2017	$1,001 - $15,000
14	COLUMBIA SELECT LRG ELGAX	sale	04/04/2017	$15,001 - $50,000
15	Congress Large Cap Growth Fund	purchase	02/09/2018	$50,001 - $100,000
16	DANA SMALL CAP EQTY FD INSTITUTIONAL CL DSCIX	purchase	01/24/2018	$15,001 - $50,000
17	Dana Small Cap Equity Fund	purchase	01/24/2018	$15,001 - $50,000
18	DELAWARE VALUE FD CL DDVAX	sale	04/03/2017	$15,001 - $50,000
19	DESTINATIONS CORE DCFFX	purchase	Multiple	$50,001 - $100,000
20	DESTINATIONS CORE FIXED INCOME INSTL DCFFX	sale	01/24/2018	$50,001 - $100,000
21	DESTINATIONS EQUITY DGEFX	purchase	Multiple	$1,001 - $15,000
22	DESTINATIONS EQUITY INCOME FD INSTL DGEFX	sale	01/24/2018	$1,001 - $15,000
23	DESTINATIONS EQUITY INCOME FD INSTL DGEFX	sale	01/24/2018	$1,001 - $15,000
24	DESTINATIONS GLOBAL DGFFX	purchase	Multiple	$15,001 - $50,000

25	DESTINATIONS GLOBAL FIXD INC OPPOR INSTL DGFFX	sale	Multiple	$15,001 - $50,000
26	DESTINATIONS INTL DIEFX	purchase	Multiple	$50,001 - $100,000
27	DESTINATIONS INTL EQUITY FD INSTL DIEFX	sale	01/24/2018	$50,001 - $100,000
28	DESTINATIONS LARGE DLCFX	purchase	Multiple	$100,001 - $250,000
29	DESTINATIONS LARGE DLCFX	sale	07/13/2017	$1,001 - $15,000
30	DESTINATIONS LARGE CAP EQUITY INSTL DLCFX	sale	01/24/2018	$100,001 - $250,000
31	DESTINATIONS LARGE CAP EQUITY INSTL DLCFX	sale	01/24/2018	$100,001 - $250,000
32	DESTINATIONS LOW DUR DLDFX	purchase	Multiple	$1,001 - $15,000
33	DESTINATIONS LOW DUR FIXED INC INSTL DLDFX	sale	01/24/2018	$1,001 - $15,000
34	DESTINATIONS MULTI DMSFX	purchase	Multiple	$50,001 - $100,000
35	DESTINATIONS MULTI STRGY ALT INSTL DMSFX	sale	01/24/2018	$15,001 - $50,000
36	DESTINATIONS REAL DRAFX	purchase	Multiple	$1,001 - $15,000
37	DESTINATIONS REAL ASSETS FD INSTL DRAFX	sale	Multiple	$1,001 - $15,000
38	DESTINATIONS SMALL DSMFX	purchase	Multiple	$15,001 - $50,000
39	DESTINATIONS SMALL DSMFX	sale	07/13/2017	$1,001 - $15,000
40	DESTINATIONS SMALL MID CAP EQ INSTL DSMFX	sale	Multiple	$15,001 - $50,000
41	DODGE & COX STOCK DODGX	sale	01/24/2018	$100,001 - $250,000
42	DoubleLine Core Fixed Income	purchase	01/24/2018	$100,001 - $250,000
43	DOUBLELINE CORE FIXED INCOME CL I DBLFX	purchase	01/24/2018	$50,001 - $100,000
44	DOUBLELINE LOW DURTN DELNX	sale	Multiple	$1,001 - $15,000
45	DOUBLELINE TOTAL RT DLTNX	sale	04/03/2017	$15,001 - $50,000
46	DREYFUS BOND MARKET DBMIX	sale	Multiple	$15,001 - $50,000
47	DRIEHAUS ACTIVE LCMAX	sale	04/04/2017	$1,001 - $15,000
48	DRIEHAUS EVENT DEVDX	purchase	04/04/2017	$1,001 - $15,000
49	DRIEHAUS EVENT DEVDX	sale	Multiple	$1,001 - $15,000
50	DRIEHAUS INTERNAT'L SMALL CAP GROWTH FD DRIOX	purchase	01/24/2018	$15,001 - $50,000
51	Driehaus international small cap growth fund	purchase	01/24/2018	$15,001 - $50,000
52	DRIEHAUS MICRO CAP DMCRX	sale	04/04/2017	$1,001 - $15,000
53	FIDELITY 500 INDEX FUSVX	sale	04/03/2017	$15,001 - $50,000
54	FIDELITY INDEPENDENCE FDFFX	sale	01/24/2018	$15,001 - $50,000
55	GLOBAL X FUNDS MLP &ENERGY INFRASTRUCTURE ETF MLPX	sale	02/07/2018	$1,001 - $15,000
56	GLOBAL X FUNDS MLP &ENERGY INFRASTRUCTURE ETF MLPX	purchase	01/24/2018	$1,001 - $15,000
57	iShares Core S&P 500 ETF	purchase	01/24/2018	$15,001 - $50,000
58	ISHARES CORE S&P 500 ETF IVV	purchase	01/24/2018	$50,001 - $100,000
59	iShares Core S&P Mid Cap ETF	purchase	01/24/2018	$15,001 - $50,000
60	ISHARES CORE S&P MID-CAP ETF IJH	purchase	01/24/2018	$15,001 - $50,000
61	ISHARES TR COHEN STEER REIT ICF	purchase	01/24/2018	$1,001 - $15,000
62	iShares TR EAFE Value ETF	purchase	01/24/2018	$50,001 - $100,000
63	ISHARES TR EAFE VALUE ETF EFV	purchase	01/24/2018	$15,001 - $50,000
64	ISHARES TR US TELECOM ETF IYZ	sale	02/08/2018	$1,001 - $15,000
65	JP MORGAN STRATEGIC JSOAX	sale	04/04/2017	$1,001 - $15,000
66	LM BW ABSOLUTE RTRN LROAX	sale	Multiple	$1,001 - $15,000
67	MFS INTERNATIONAL MGIAX	sale	04/03/2017	$1,001 - $15,000
68	OPPENHEIMER DEV MARKETS CLASS I ODVIX	purchase	01/24/2018	$15,001 - $50,000
69	Oppenheimer Developing Markets Fund	purchase	01/24/2018	$15,001 - $50,000
70	PUTNAM DIVERSIFIED INCOME FD CL Y PDVYX	purchase	01/24/2018	$15,001 - $50,000
71	Putnam Diversified Income Fund	purchase	01/24/2018	$15,001 - $50,000
72	RIDGEWORTH CEREDEX SMVTX	sale	04/03/2017	$15,001 - $50,000
73	RIVERNORTH CORE RNCOX	sale	04/04/2017	$1,001 - $15,000
74	RIVERPARK SHORT TERM RPHYX	sale	Multiple	$1,001 - $15,000
75	RIVERPARK STRATEGIC RSIVX	sale	Multiple	$1,001 - $15,000
76	SECTOR SPDR TR SHS BEN INT CONSUMER STAPLES XLP	sale	02/08/2018	$1,001 - $15,000
77	SECTOR SPDR TR SHS BEN INT FINANCIAL XLF	sale	02/08/2018	$15,001 - $50,000

78	SECTOR SPDR TR SHS BEN INT INDUSTRIAL XLI	sale	02/08/2018	$1,001 - $15,000
79	SECTOR SPDR TR SHS BEN INT TECHNOLOGY XLK	sale	02/08/2018	$15,001 - $50,000
80	SECTOR SPDR TR SHS BEN INT UTILITIES XLU	sale	02/08/2018	$1,001 - $15,000
81	SELECT SECTOR SPDR TR CONSUMER DISCRETIONARY FORMERLY CYCLICAL/ TRANSN TO 06/24/2002 XLY	sale	02/08/2018	$15,001 - $50,000
82	SELECT SECTOR SPDR TR ENERGY XLE	sale	02/08/2018	$1,001 - $15,000
83	SELECT SECTOR SPDR TR HEALTH CARE FORMERLY CONSUMER SVCS TO 06/24/2002 XLV	sale	02/08/2018	$15,001 - $50,000
84	SELECT SECTOR SPDR TR RL EST SEL SEC XLRE	sale	02/08/2018	$1,001 - $15,000
85	SELECT SECTOR SPDR TR SHS BEN INT MATERIALS XLB	sale	02/08/2018	$1,001 - $15,000
86	Sterling Capital Equity Income Fund	purchase	02/09/2018	$50,001 - $100,000
87	T ROWE PRICE GROWTH TRSAX	sale	04/03/2017	$15,001 - $50,000
88	T ROWE PRICE INTL PAITX	sale	04/03/2017	$1,001 - $15,000
89	TCW RELATIVE VALUE TGIGX	sale	04/05/2017	$15,001 - $50,000
90	TOUCHSTONE FOCUSED TFOAX	sale	04/05/2017	$1,001 - $15,000
91	TOUCHSTONE SMALL TVOAX	sale	04/05/2017	$1,001 - $15,000
92	VICTORY GLOBAL RSNRX	sale	04/04/2017	$1,001 - $15,000
93	WASATCH FRONTIER WAFMX	sale	04/04/2017	$1,001 - $15,000
94	WASATCH INTERNATIONL	purchase	Multiple	$1,001 - $15,000
95	WASATCH INTERNATIONL WAIOX	sale	Multiple	$15,001 - $50,000
96	WCM Focused International Growth Fund	purchase	02/09/2018	$50,001 - $100,000
97	WCM FOCUSED INTL GROWTH FUND INSTL WCMIX	purchase	01/24/2018	$15,001 - $50,000

8. Liabilities

#	CREDITOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
1	Wells Fargo Bank	Mortgage, Washington , DC, USA	$250,001 - $500,000	2016	3.0%	15 years

9. Gifts and Travel Reimbursements

This report has no reported **Gifts and Reimbursements**

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.

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