

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Blinken, Antony

Secretary of State, Department of State

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
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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/ Blinken, Antony [electronically signed on 12/15/2020 by Blinken, Antony 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/ Visek, Richard, Certifying Official [electronically signed on 12/30/2020 by Visek, Richard in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 12/30/2020 by Rounds, Emory in Integrity.gov]

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Johns Hopkins University School of Advanced International Studies		Washington, District of Columbia	Educational Institution	Distinguished Scholar	2/2017	1/2018
2	Penn Biden Center for Diplomacy and Global Engagement (University of Pennsylvania)		Washington, District of Columbia	Educational Institution	Director	5/2017	6/2019
3	Turner Broadcasting System, Inc. (Cable News Network)		Washington, District of Columbia	Media	Global Affairs Analyst	2/2017	6/2019
4	Meridiam		Paris, Outside U.S.	Infrastructure Investment Fund	Member, Global Advisory Board	6/2017	8/2020
5	WestExec Advisors, LLC	See Endnote	Washington, District of Columbia	Strategic Consulting Firm	Co-Founder and Managing Partner	9/2017	Present
6	The Social+Capital Partnership, LLC		Palo Alto, California	Investment Partnership	Advisor	6/2017	Present
7	Human Rights First		Washington, District of Columbia	NGO	Board Member	6/2017	Present
8	Sesame Street		New York, New York	Television Production	Member, Global Advisory Board	9/2018	Present
9	BEXC Biden for President	See Endnote	Philadelphia, Pennsylvania	Campaign	Senior Advisor	8/2020	11/2020
10	Pine Island Capital Partners LP		Washington, District of Columbia	Investment Partnership	Advisor	1/2017	Present
11	PT Fund, Inc. (Presidential Transition Team)		Washington, District of Columbia	Transition Team	Senior Advisor	11/2020	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	The RAND Corporation	Santa Monica, California	Non-Profit	Adjunct/Consultant	3/2017	11/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	WestExec Advisors, LLC (Consulting firm)	N/A			
1.1	WestExec Advisors, LLC [Equity to be repurchased]	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
1.2	WestExec Advisors, LLC [Received Distribution]	N/A		Guaranteed Payments and Distribution	\$1,180,269
1.3	WestExec Advisors, LLC [est. anticipated 2020 distribution]	N/A	\$250,001 - \$500,000		
2	WestExec Ventures, LLC (Venture Capital)	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
2.1	Ridgeline Partners, LLC (Venture Capital)	No			
2.1.1	Walloo Labs, Inc. (Provider of a Cloud-based Data Processing Software)	N/A			
2.1.2	Tortuga Logic, Inc. (Developer of a Proprietary Software)	N/A			
2.1.3	StreamSets, Inc. (Developer of a Multi-cloud DataOps Platform)	N/A			
2.1.4	Spell, Inc. (Developer of a Digital Machine Learning Platform)	N/A			
2.1.5	Replicated, Inc. (Developer of a Container-based Platform)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1.6	RavenOps, Inc. (Provider of Data Tools)	N/A			
2.1.7	Neural Magic a/k/a Flexible Learning Machines (Developer of an Inference Engine Software)	N/A			
2.1.8	Myriota Pty. Ltd. (Provider of Low-cost Satellite IoT Connectivity Products)	N/A			
2.1.9	Impossible Aerospace Corporation (Developer of a Long-range Electric Aircraft)	N/A			
2.1.10	Harbr Group Ltd (Developer of a Collaborative Data Exchange Platform)	N/A			
2.1.11	Grid Raster Inc. (Developer of a Cloud Platform)	N/A			
2.1.12	Fluree, PBC (Developer of a Data Management Platform)	N/A			
2.1.13	Elroy Air, Inc. (Developer of Automated Drones)	N/A			
2.1.14	Eclipsium, Inc. (Developer of Firmware Security Platform)	N/A			
2.1.15	Doodle Labs (Commercial Products Industry/Broadband Communication)	N/A			
2.1.16	Auxon Corporation (Developer of Life-critical Automation Tools)	N/A			
2.1.17	Agolo, Inc. (Developer of a Content Summarization Platform)	N/A			
2.1.18	Opentrons Labworks, Inc. (Developer of a Pipetting Robot Technology)	N/A			
2.1.19	Zenith AI (N.I.) Limited (Advanced Analytics and Corporate Strategy Specialist Firm)	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	WestExec Capital Partners, LLC (Private Equity)		No	\$15,001 - \$50,000		None (or less than \$201)
3.1	Pine Island Capital Partners LP (Private Equity)	See Endnote	No			
3.1.1	Precinmac Precision Machining (Manufacturer of Precision Machined Components)		N/A			
3.1.2	InVeris Training Solutions (f/k/a Meggitt Training Systems; Weapons Training;)		N/A			
3.2	Pine Island Capital Partners LP carried interest of 2.45% of the 2% carried interest in the fund or special purpose vehicles	See Endnote	N/A			
4	WestExec Investments, LLC (Private Equity)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
4.1	Pine Island Acquisition Corp. (investment vehicle)		N/A			
5	The Social+Capital Partnership GP III, L.P.		No	\$250,001 - \$500,000	Capital Gains Interest	\$15,001 - \$50,000
5.1	The Social+Capital Partnership III, L.P. (Investment Partnership)	See Endnote	No			
5.2	The Social+Capital Partnership III, L.P. carried interest; share of carried interest based on 30% of profits after return of capital	See Endnote	N/A			None (or less than \$201)
6	BEXC Biden for President (Campaign)		N/A		Consulting Fee, Salary	\$144,483
7	Meridiam (Investment Funds)		N/A		Board Fee	\$134,021
8	Penn Biden Center for Diplomacy and Global Engagement (Educational Institution)		N/A		Salary	\$79,666
9	Turner Broadcasting System, Inc. (Cable News Network)		N/A		Salary	\$21,666

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Berkshire Partners - 5/2/2019	N/A		Honorarium	\$27,500
11	University of Texas at Austin (University) - 12/3/2018	N/A		Honorarium	\$1,000
12	New York Life Insurance Company (Insurance) - 6/26/2018	N/A		Honorarium	\$11,378
13	SEP IRA	No			
13.1	Ally Financial Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.2	Alphabet Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.3	Apple Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.4	Berkshire Hathaway Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.5	Capital One Financial Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.6	Comcast Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.7	Discovery Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.8	Facebook Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.9	Intel Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.10	UnitedHealth Group Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.11	U.S. bank account (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	UPenn TIAA Basic Plan (Penn Biden Center)	No			
14.1	T-C Lfcycle Idx 2025-Inst (TLQIX)	Yes	\$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	WestExec Advisors, LLC (Consulting Firm)	Washington, District of Columbia	Filer has entered into a term sheet providing for an arrangement to sell his equity interest in WestExec Advisors, a limited liability company, the principal terms of which were negotiated in October 2020. The agreement provides for a price for his equity interest that is fixed and will be paid out over two years, plus interest at a fixed rate. A separate payment will be made to filer with respect to his 2020 profits. The separate payment will occur prior to entering government service. No additional payments will be made with respect to services.	12/2020
2	WestExec Advisors, LLC (Consulting Firm)	Washington, District of Columbia	The filer will continue to participate in the employer-sponsored dental and eye insurance plan for the firm and will reimburse his former employer for the premiums paid after his confirmation.	9/2017
3	UPenn TIAA Basic Plan (Penn Biden Center)	Washington, District of Columbia	The filer will continue to participate in this defined contribution plan. The plan sponsor no longer makes contributions.	2/2018



#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	The Social+Capital Partnership, LLC	Palo Alto, California	In connection with his 2017 agreement with The Social+Capital Partnership L.L.C., a Delaware limited liability company, filer received a limited partnership interest in The Social+Capital Partnership GP III, L.P., a Cayman Limited partnership (the "GP"). The GP entity is the general partner of The Social+Capital Partnership III, L.P., a Cayman investment fund (the "fund"). Filer does not own a partnership interest in the fund. As a limited partner in the GP, filer has no management or control of the investments made by the fund. Filer's profits interest in GP is 0.3535%, and the effective % of his interest would be 0.10605%. Filer will divest his interest in the GP.	1/2017
5	WestExec Ventures, LLC	Washington, District of Columbia	WestExec Ventures holds Ridgeline Partners. Filer received this interest as a founding member. Arrangements have been made to divest the interest in the company.	12/2020
6	WestExec Capital Partners, LLC	Washington, District of Columbia	Founder shares were issued to filer in connection with the formation of the company and the company's ownership of interests in Pine Island. Filer's ownership interest in Pine Island was sold to WestExec Capital, in return for filer's invested capital back at no gain or loss. Currently, filer has an indirect interest in Pine Island through WestExec Capital. Arrangements have been made to divest the interest in the company.	12/2020
7	WestExec Investments, LLC	Washington, District of Columbia	Founder shares were issued to filer in connection with the formation of the company and the company's ownership of interests in the Pine Island investment vehicle, which the company will hold. Arrangements have been made to divest the interest in the company.	12/2020

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	1 WestExec Advisors, LLC	Washington, District of Columbia	Managing Partner of a consulting firm

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	1.1 Blackstone (Investment Management)	New York, New York	Advisory services
3	1.2 FedEx (Courier)	Memphis, Tennessee	Advisory services
4	1.3 GLG (Expert Speakers)	New York, New York	Advisory services
5	1.4 Lazard (Financial Advisory and Asset Management)	New York, New York	Advisory services
6	1.5 Microsoft (Technology)	Redmond, Washington	Advisory services
7	1.6 Pine Island Capital Partners (Private Equity)	Washington, District of Columbia	Advisory services
8	1.7 Royal Bank of Canada (Bank)	New York, New York	Advisory services
9	1.8 AT&T (Telecommunications)	Dallas, Texas	Advisory services
10	1.9 Boeing (Aerospace & Defense)	Chicago, Illinois	Advisory services
11	1.10 Discovery Inc. (Media)	New York, New York	Advisory services
12	1.11 Facebook (Social Media)	Menlo Park, California	Advisory services
13	1.12 LinkedIn (Internet Social Networking)	Sunnyvale, California	Advisory services
14	1.13 SoftBank (Conglomerate)	Minato, Outside U.S.	Advisory services
15	1.14 Sotheby's (Art)	New York, New York	Advisory services
16	1.15 Gilead Sciences (Biopharmaceutical Company)	Foster City, California	Advisory services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
17	1.16 McKinsey & Company (Management Consulting Firm)	New York, New York	Advisory services
18	1.17 Uber (Transportation)	San Francisco, California	Advisory services
19	2 BEXC Biden for President	Philadelphia, Pennsylvania	Advisory services
20	3 Meridiam	Paris, Outside U.S.	Member of Advisory Board
21	4 Penn Biden Center for Diplomacy and Global Engagement	Washington, District of Columbia	Academic research and program management
22	5 Turner Broadcasting System, Inc. (Cable News Network)	Washington, District of Columbia	Analyst
23	6 Berkshire Partners	Boston, Massachusetts	Guest speaker
24	7 New York Life Insurance Company	New York, New York	Guest speaker
25	8 Johns Hopkins University	Baltimore, Maryland	Research and teaching
26	9 Can Manufacturers Institute	Washington, District of Columbia	Guest speaker
27	10 Imran Khan	East Hampton, New York	Guest speaker
28	11 New York Times	New York, New York	Contributing Opinion Writer
29	12 Center for Strategic and International Studies	Washington, District of Columbia	Guest speaker

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
30	13 Washington Speakers Bureau	Alexandria, Virginia	Guest speaker
31	13.1 Boise State University	Boise, Idaho	Guest speaker
32	13.2 Carlyle Group	Washington, District of Columbia	Guest speaker
33	13.3 Brown Advisory	Baltimore, Maryland	Guest speaker
34	13.4 Bank Of America	Beijing, Outside U.S.	Guest speaker

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Axios Media Inc. (Media Company; Arlington, VA)	N/A		Salary	
2	PT Fund, Inc. (Presidential Transition Team) (Senior Advisor; Washington, DC)	N/A		Salary	
3	Axios Media Inc.	N/A	\$500,001 - \$1,000,000	Income from option exercise	\$368,722

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (checking)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
2	U.S. bank account #2 (savings)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000	
3	Investment Account #1	No				
3.1	U.S. bank account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
3.2	Ally Financial Inc	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000	
3.3	Alphabet Inc	N/A	\$100,001 - \$250,000		None (or less than \$201)	
3.4	Amgen Inc	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000	
3.5	Apple Inc	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$100,001 - \$1,000,000	
3.6	Berkshire Hathaway Inc	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000	
3.7	Facebook Inc	N/A	\$50,001 - \$100,000		None (or less than \$201)	
3.8	Iqvia Holdings Inc	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$15,001 - \$50,000	
3.9	Nasdaq Inc	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000	
3.10	Oracle Corp	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000	
3.11	CBS Corp	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
3.12	Intel Corp	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
3.13	Robert Half Intl Inc	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Virginia 529 Plan (FBO Minor Child #1)		No			
4.1	Moderate Growth Portfolio		Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Loan Receivable from Vogel Realty Inc. (Washington, D.C.)	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of Charles Town		Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2018	3.5%	10 Year ARM

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
1.	5	Filer is on a leave of absence.
1.	9	Part time consultant beginning May 2019.
2.	3.1	Filer transferred interest to LLC
2.	3.2	At present, there is only Pine Island Capital Partners LP.
2.	4	Entity is not yet active with only nominal assets.

PART	#	ENDNOTE
2.	5.1	<p>Aclima, Inc. (Hyperlocal air quality data and insights); Airmap, Inc. (Airspace services platform for unmanned aircraft); MAD Apparel, Inc. (a/k/a Athos; Fashion/Fitness); Autonomic, LLC (Vehicle connectivity platform); FutureSimple Inc. (a/k/a Base; Analytics/Software); BitYota (Data Warehouse-as-a-Service for big data analytics); Box, Inc. (Online file sharing and cloud content management service); Breakthrough Behavioral, Inc. (Health Care); Brilliant Worldwide, Inc. (E-Learning/Education); BDG Media Inc. (a/k/a Bustle; News/entertainment/ lifestyle/fashion website); Captricity, Inc. (AI Platform/Cloud Data Services); eShares, Inc. (a/k/a Carta; Global ownership management platform); ClearSlide, Inc. (Software/Information Technology); AppToU Inc. (a/k/a CloudOn); CollectiveHealth, Inc. (Health Insurance); CommonBond, Inc. (Financial technology company); Confer Health Inc. (Biotechnology company); Coolan (Predictive Analytics/Information Technology); Cover Financial, Inc. (Android and iOS mobile application); Cozy Services, Ltd. (Online property management service); CreativeLIVE, Inc. (EdTech/Education); CryptoMove, Inc. (Software platform); Datacoral, Inc. (Data integration platform for analytics); Descomplica, Ltd. (Educational platform); Digital Currency Group, Inc. (Bitcoin/Blockchain); DroneSeed, Inc. (Environmental Engineering/Drones); Ezetap Mobile Solutions Private Limited (Payment device maker); Forge, Inc. (Gaming entertainment); Fresno Unlimited (Media/Entertainment Company); FrontApp, Inc. (Customer communication platform); Glooko, Inc. (Unified Platform for Diabetes Management); Greenhouse Software, Inc. (Enterprise Software/Recruiting); Groq (Developer of a tensor processing unit); Harvey Health (Health/Wellness/Fitness); HubHaus, Inc. (Provider of a shared community platform); Hustle, Inc. (Peer-to-peer text messaging platform); InstaEDU, Inc. (Online tutoring platform); Intercom, Inc. (Conversational Relationship Platform); Ligandal Inc. (Biotechnology); Lema21, Ltd. (Eyewear Ecommerce); LotusFlare, Inc. (Enterprise Software/Internet); Lumity, Inc. (Health Care/Analytics/Information Technology); Mango Games (Mobile games company); MeMed Diagnostic Ltd. (Personalized health diagnostics company); mParticle (Customer data platform); mPharma Data, Inc. (Health Care/Pharmaceutical); NetSkope, Inc. (Cyber Security); Neurotrack Technologies Inc. (Biotechnology/Health Care/Mobile Devices); NiYO Solutions Inc. (Fintech company); OneLogin, Inc. (Cloud identity and access management); Penny (Personal finance app); Premise (Data and analytics platform); Reciprocal Labs Corp (a/k/a Propeller Health; Mobile platform); Relativity Space, Inc. (3D Technology/Aerospace); Remind101, Inc. (Communication platform/Education); Replicon Inc. (Project Management); Saildrone, Inc. (Marine Technology/Drones); Secret Cinema (Media platform/Film/Theatre); Sempre Health, Inc. (Health Care); SFOX, Inc. (Cryptocurrency prime dealer); Simplificare Inc. (a/k/a Simplee; Developer of payment software for health care industry); Slack Technologies, Inc. (Enterprise software platform); Lengio Corporation (a/k/a Slang; Online specialized English courses for career development); SurveyMonkey (Survey company); SwarmTechnologies, Inc. (Global communications network/Satellite technology); Swing Education, Inc. (Recruiting/E-Learning); Syapse, Inc. (Big Data/SaaS/Bioinformatics for cancer care); Treehouse Island, Inc. (Online technology school); Calthorpe Analytics, Inc. (a/k/a UrbanFootprint; Location intelligence software); Wave Financial Inc. (Financial Services Software); Wealthfront Corporation (Financial Services); WeeCare, Inc. (Childcare search platform); Yammer, Inc. (Enterprise social network); Ezetap Mobile Solutions Pte Ltd (Technology); Fortune Payment Solutions India Pvt, Ltd (Technology); Lotus Flare Asia Pte Ltd (Technology); Lotus Flare Technologies LLP (Technology); Lotus Flare Fz-LLC (Dubai) (Technology); Lotus Flare Asia Technologies Pt (Technology); Verify Holdings Limited (Technology); Verify Technology Holdings Limited (Technology); Truelayer (Fka Finport Inc) (Technology); Social Capital Hedosophia Holdings Corp (Technology) (This company was domesticated to the U.S. as a Delaware corporation as of August 7, 2019. Pursuant to domestication, the company changed its name to Virgin Galactic Holdings, Inc.); Mycash Fintech Pte Ltd (Technology); Mwyn Tech Private Ltd (Technology); Usekiwi Infolabs Pvt Ltd (Technology); Minion Ventures Pvt Ltd (Technology); Foodybuddy Applications Pvt Ltd (Technology); Vivish Technologies Pvt Ltd</p>



PART	#	ENDNOTE
		Pvt Ltd (Technology); Foodybuddy Applications Pvt Ltd (Technology); Vivish Technologies Pvt Ltd (Technology); Wheelseye Technologies Pvt Ltd (Technology)
2.	5.2	See holdings in Endnote to line 5.1
6.	3.11	This asset has been divested.
6.	3.12	This asset has been divested.
6.	3.13	This asset has been divested.
6.	5	This is from the sale of a 99 year leasehold interest in residential real estate.

# 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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