

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Murthy, Vivek H

Surgeon General, Department of Health & Human Services

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Health, Education, Labor, and Pensions
-

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/ Murthy, Vivek H [electronically signed on 01/15/2021 by Murthy, Vivek H in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Hall, Randall, Certifying Official [electronically signed on 02/03/2021 by Hall, Randall in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 02/03/2021 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 02/03/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	Harvard University, John F. Kennedy School of Government	Cambridge, Massachusetts	University/College	Hauser Visiting Leader	10/2017	3/2019	
2	Harvard University, Harvard T.H. Chan School of Public Health	Boston, Massachusetts	University/College	Adjunct Faculty	10/2017	6/2019	
3	Johns Hopkins Bloomberg School of Public Health	Baltimore, Maryland	University/College	Distinguished Policy Scholar	9/2019	3/2020	
4	Emotional Wellbeing Initiative	Washington, District of Columbia	Non-Profit	President	9/2017	Present	
5	Feeding America	Washington, District of Columbia	Non-Profit	Board of Directors	7/2018	2/2020	
6	Kaiser Family Foundation	San Francisco, California	Non-Profit	Board of Directors	12/2019	Present	
7	RAND Corporation	Santa Monica, California	Non-Profit	Board of Trustees	9/2018	Present	
8	National Collegiate Athletic Association	Indianapolis, Indiana	Non-Profit	Board of Governors	4/2019	1/2021	
9	U.S. Olympic and Paralympic Committee	Colorado Springs, Colorado	Non-Profit	Board of Directors	2/2020	Present	
10	Well Being Trust	See Endnote	Oakland, California	Non-Profit	Senior Fellow	1/2018	9/2020
11	Blue Sky Ventures, LLC	Washington, District of Columbia	LLC	Co-Owner	11/2018	Present	
12	SVN Med, LLC	Frisco, Texas	LLC	Board of Directors	6/2019	Present	

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	Attention	Los Angeles, California	Corporation	Advisory Board	1/2020	Present
14	L&N Baby, LLC	Frisco, Texas	Corporation	Advisor	7/2019	Present
15	Paul and Daisy Soros Fellowships for New Americans	New York, New York	Non-Profit	Board of Trustees	10/2020	Present
16	Kennedy-Satcher Center for Mental Health Equity Board	Atlanta, Georgia	Non-Profit	Advisory Board Member	11/2017	Present
17	NeuroArts Blueprint, Aspen Institute and Johns Hopkins University	Washington, District of Columbia	Non-Profit	Advisor	9/2020	Present
18	Biden Institute, University of Delaware	Newark, Delaware	Non-Profit	Advisory Board Member	3/2018	Present
19	The Behavioral Health Group	Dallas, Texas	Corporation	Advisor	8/2020	Present
20	COVID-19 Transition Advisory Board	Washington, District of Columbia	Transition Advisory Board	Co-Chair	11/2020	1/2021
21	Biden-Sanders Unity Task Force Healthcare Group	Washington, District of Columbia	Task Force	Co-Chair	5/2020	7/2020
22	Act to Change	Washington, District of Columbia	Non-Profit	Advisor	11/2019	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kaiser Family Foundation	N/A		Stipend	\$27,500
2	Roth IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
2.1	Fidelity Government Cash Reserves Fund (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
3	Blue Sky Ventures, LLC (speaking, writing, and consulting services)	See Endnote	N/A	\$500,001 - \$1,000,000	Salary, LLC Distributions	\$485,890
3.1	Mayor's Fund to Advance New York City - 11/17/2019	N/A		Honorarium	\$1,000	
3.2	"Together," InkWell Publishing, LLC (value not readily ascertainable)	N/A		Advances	\$155,155	
3.3	CommonSpirit Health - 1/31/2020	N/A		Honorarium	\$45,000	
3.4	Optum - 2/8/2020	N/A		Honorarium	\$32,650	
3.5	Cigna - 2/20/2020	N/A		Honorarium	\$30,000	
3.6	Omada Health - 5/5/2020	N/A		Honorarium	\$30,000	
3.7	UBS Financial Services - 5/18/2020	N/A		Honorarium	\$45,000	
3.8	Jewish Family and Children's Services - 9/10/2020	N/A		Honorarium	\$75,000	
3.9	National Resident Matching Program - 10/16/2020	N/A		Honorarium	\$30,000	
3.10	University of California, Santa Barbara - 10/23/2020	N/A		Honorarium	\$22,500	
3.11	Spectrum Health - 10/27/2020	N/A		Honorarium	\$37,500	
3.12	Netflix, Inc.	N/A		Consulting Fees	\$547,500	
3.13	Airbnb, Inc.	See Endnote	N/A	Consulting Fees	\$410,000	
3.14	Estee Lauder Companies, Inc.	N/A		Consulting Fees	\$292,500	
3.15	Carnival Cruise Line	N/A		Consulting Fees	\$400,000	
3.16	Duke University Kenan Institute for Ethics, Honorarium - 1/14/2021: cash receivable	N/A	\$15,001 - \$50,000		None (or less than \$201)	

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.17	Netflix, Inc.: cash receivable		N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Johns Hopkins University		N/A		Stipend	\$7,500
5	SEP IRA		No			
5.1	Fidelity Government Cash Reserves Fund (FDRXX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	SPDR S&P 500 ETF Trust (SPY)		Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	Vanguard 500 Index Fund ETF (VOO)		Yes	\$15,001 - \$50,000		None (or less than \$201)
6	Rollover IRA		No			
6.1	Vanguard 500 Index Fund ETF (VOO)		Yes	\$250,001 - \$500,000		None (or less than \$201)
6.2	U.S. financial institution cash account		N/A	\$50,001 - \$100,000		None (or less than \$201)
7	Airbnb, Inc. (ABNB) - stock	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
8	The Behavioral Health Group: cash receivable		N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Attention (technology company focusing on mental health), stock options (vested)		N/A	\$50,001 - \$100,000		None (or less than \$201)
10	Attention (technology company focusing on mental health), stock options (unvested) (63,500 options) strike price \$0.015; equal portion of the remainder vesting monthly through 1/1/2022 (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
11	SVN Med, LLC (medical technology business), restricted stock units (vested) (395,833 units)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	SVN Med, LLC (medical technology business), restricted stock units (unvested) (604,167 units) vesting 6/4/2023 (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
13	L&N Baby, LLC (baby products), restricted stock units (vested) (2,000,000 units)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	SVN Med, LLC	Frisco, Texas	I will resign as a board member before I enter government service. I will forfeit any restricted stock units that are unvested at the time of my resignation. Within 90 days of my confirmation, I will divest all of my vested restricted stock units in SVN Med, LLC. I intend to sell my vested shares back to SVN Med, LLC at par value totaling \$39.58.	6/2019
2	Attention	Los Angeles, California	I will resign as an advisor before I enter government service. I will forfeit any stock options that are unvested at the time of my resignation. Within 90 days of my confirmation, I will divest all of my vested stock options in Attention.	1/2020
3	The Behavioral Health Group	Dallas, Texas	I will resign as an advisor before I enter government service. I will receive a fixed payment of \$37,500 for my services.	8/2020
4	L&N Baby, LLC	Frisco, Texas	I will resign as an advisor before I enter government service. I intend to sell the restricted stock units back to L&N Baby, LLC for the par value of the equity at time of the equity agreement. This is the amount I paid for the equity at that time and it totals \$7.84.	5/2019

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
5	Blue Sky Ventures, LLC	Washington, District of Columbia	All outstanding consulting and honoraria receivables will be fixed before I enter government service. During my appointment, the LLC will be inactive other than to collect these fixed receivables and book royalties. I will receive a payment of \$30,000 from Duke University Kenan Institute for Ethics for a speech I gave in January 2021. I will also receive a payment of \$75,000 from Netflix, Inc. for my services in December 2020 - January 2021. I will receive a final payment from Netflix, Inc. for my services in January 2021 to my date of confirmation.	1/2021

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Kaiser Family Foundation	San Francisco, California	Board Member
2	Providence Health & Services - St. Joseph Health	Newport Beach, California	Speaking Engagement (through Blue Sky Ventures, LLC)
3	Children's Mental Health Network	Tampa, Florida	Speaking Engagement (through Blue Sky Ventures, LLC)
4	Oregon State University	Portland, Oregon	Speaking Engagement (through Blue Sky Ventures, LLC)
5	Pepperdine University	Marina del Rey, California	Speaking Engagement (through Blue Sky Ventures, LLC)
6	Manchester University	North Manchester, Indiana	Speaking Engagement (through Blue Sky Ventures, LLC)
7	InterConnect Events	Washington, District of Columbia	Speaking Engagement (through Blue Sky Ventures, LLC)
8	National Council for Behavioral Health	National Harbor, Maryland	Speaking Engagement (through Blue Sky Ventures, LLC)
9	PricewaterhouseCoopers	Leesburg, Virginia	Speaking Engagement (through Blue Sky Ventures, LLC)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
10	University of Michigan Medical School	Ann Arbor, Michigan	Speaking Engagement (through Blue Sky Ventures, LLC)
11	Yale New Haven Health System	Wallingford, Connecticut	Speaking Engagement (through Blue Sky Ventures, LLC)
12	American Society of Health-System Pharmacists	Denver, Colorado	Speaking Engagement (through Blue Sky Ventures, LLC)
13	Mid-Atlantic Permanente Medical Group	Leesburg, Virginia	Speaking Engagement (through Blue Sky Ventures, LLC)
14	Cardinal Health, Inc.	Providence, Rhode Island	Speaking Engagement (through Blue Sky Ventures, LLC)
15	Kaiser Permanente	Washington, District of Columbia	Speaking Engagement (through Blue Sky Ventures, LLC)
16	OZY (media company)	New York, New York	Speaking Engagement (through Blue Sky Ventures, LLC)
17	University of Nevada, Reno	Reno, Nevada	Speaking Engagement (through Blue Sky Ventures, LLC)
18	Missouri Coalition for Community Behavioral Healthcare	Branson, Missouri	Speaking Engagement (through Blue Sky Ventures, LLC)
19	Business Roundtable	Washington, District of Columbia	Speaking Engagement (through Blue Sky Ventures, LLC)
20	Hospital Quality Institute	Huntington Beach, California	Speaking Engagement (through Blue Sky Ventures, LLC)
21	College of Healthcare Information Management Executives	Orlando, Florida	Speaking Engagement (through Blue Sky Ventures, LLC)
22	Lane County Health & Human Services	Eugene, Oregon	Speaking Engagement (through Blue Sky Ventures, LLC)
23	Managed Health Care Associates, Inc.	Las Vegas, Nevada	Speaking Engagement (through Blue Sky Ventures, LLC)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
24	Planned Parenthood Federation of America, Inc.	Washington, District of Columbia	Speaking Engagement (through Blue Sky Ventures, LLC)
25	Kaiser Permanente	Oakland, California	Speaking Engagement (through Blue Sky Ventures, LLC)
26	San Antonio Medical Foundation	San Antonio, Texas	Speaking Engagement (through Blue Sky Ventures, LLC)
27	Mars, Incorporated (EMEA)	Washington, District of Columbia	Speaking Engagement (through Blue Sky Ventures, LLC)
28	Google, LLC	Dana Point, California	Speaking Engagement (through Blue Sky Ventures, LLC)
29	Brigham & Women's Hospital	Boston, Massachusetts	Speaking Engagement (through Blue Sky Ventures, LLC)
30	America's Health Insurance Plans	Nashville, Tennessee	Speaking Engagement (through Blue Sky Ventures, LLC)
31	Blue Cross and Blue Shield of North Carolina	Durham, North Carolina	Speaking Engagement (through Blue Sky Ventures, LLC)
32	American Association of Pharmaceutical Scientists	San Antonio, Texas	Speaking Engagement (through Blue Sky Ventures, LLC)
33	Optum	Dallas, Texas	Speaking Engagement (through Blue Sky Ventures, LLC)
34	Cigna	La Quinta, California	Speaking Engagement (through Blue Sky Ventures, LLC)
35	Omada Health	San Francisco, California	Virtual Speaking Engagement (through Blue Sky Ventures, LLC)
36	UBS Financial Services	New York, New York	Virtual Speaking Engagement (through Blue Sky Ventures, LLC)
37	Duke University Kenan Institute for Ethics	Durham, North Carolina	Virtual Speaking Engagement (through Blue Sky Ventures, LLC)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
38	Jewish Family and Children's Services	San Francisco, California	Virtual Speaking Engagement (through Blue Sky Ventures, LLC)
39	National Resident Matching Program	New York, New York	Virtual Speaking Engagement (through Blue Sky Ventures, LLC)
40	Airbnb, Inc.	San Francisco, California	Consultant (through Blue Sky Ventures, LLC)
41	Netflix, Inc.	Los Gatos, California	Consultant (through Blue Sky Ventures, LLC)
42	Estee Lauder Companies, Inc.	Melville, New York	Consultant (through Blue Sky Ventures, LLC)
43	Carnival Cruise Line	Miami, Florida	Consultant (through Blue Sky Ventures, LLC)
44	Blue Sky Ventures, LLC	Washington, District of Columbia	Co-Owner
45	Harvard University	Cambridge, Massachusetts	Professor
46	Johns Hopkins University	Baltimore, Maryland	Policy Scholar
47	InkWell Publishing, LLC	New York, New York	Book Advances/Royalties (through Blue Sky Ventures, LLC)
48	CommonSpirit Health	Chicago, Illinois	Speaking Engagement (through Blue Sky Ventures, LLC)
49	University of California, Santa Barbara	Santa Barbara, California	Speaking Engagement (through Blue Sky Ventures, LLC)
50	Spectrum Health	Grand Rapids, Michigan	Speaking Engagement (through Blue Sky Ventures, LLC)
51	Attention	Los Angeles, California	Advisory Board Member

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Blue Sky Ventures, LLC See Endnote	N/A	\$500,001 - \$1,000,000	Salary, LLC Distributions	
2	U.S. bank account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	Rollover IRA	No			
3.1	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	U.S. financial institution cash account	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	The Medical Faculty Associates Retirement Plan	No			
4.1	American Century One Choice 2045 Portfolio (AROIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Roth IRA	No			
5.1	U.S. financial institution cash account	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SilverArc Capital Alpha Fund I, L.P.	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
2	Uniform Transfers to Minors Act (UTMA) Account #1 (DC #1)	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	Fidelity Government Money Market Fund (SPAXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
3	UTMA Account #2 (DC #2)		No			
3.1	Fidelity Government Money Market Fund (SPAXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. bank account #1 (cash)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
5	U.S. bank account #2 (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
6	U.S. bank account #3 (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
7	U.S. bank account #4 (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
8	STAANCE (technology platform that provides research on customer opinions and sentiment)	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
9	Papa, Inc. (company that pairs older adults and families with pals for companionship and assistance with everyday tasks)	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
10	U.S. Brokerage Account		No			
10.1	U.S. financial institution cash account		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	Fidelity Government Money Market Fund (SPAXX)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
10.3	Broadcom, Inc. (AVGO)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.4	Citigroup, Inc. (C)		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.5	Colgate-Palmolive Co. (CL)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.6	Costco Wholesale Corporation (COST)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
10.7	CVS Health Corporation (CVS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.8	Goldman Sachs Group, Inc. (GS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.9	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.10	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.11	Mastercard, Inc. (MA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.12	Marvell Technology Group Ltd. (MRVL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.13	Microsoft Corporation (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.14	Netflix, Inc., open position for put option: 100 shares, strike price \$270, exp. 1/15/2021	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.15	Nike, Inc. (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.16	NortonLifeLock, Inc. (NLOK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.17	Starbucks Corporation (SBUX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.18	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
10.19	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.20	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.21	Anavex Life Sciences Corporation (AVXL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.22	ViacomCBS, Inc. (VIAC)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
10.23	Kohl's Corporation (KSS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.24	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.25	Salesforce.com, Inc. (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.26	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	529 Plan #1: DC College Savings Plan	No			
11.1	DC College Savings 2034 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	U.S. Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	529 Plan #2: DC College Savings Plan	No			
12.1	DC College Savings 2034 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	U.S. Total Stock Market Index Portfolio	Yes	\$1,001 - \$15,000		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 America Corporation	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2015	3.125	10 year ARM

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	10	I did not have fiduciary responsibility in this position.
2.	3	Value represents filer's 50% of the equity.
2.	3.13	In addition to this cash compensation, I received 2000 units of stock when the company was still privately held. After I completed my consulting engagement, the company IPO took place. The stock I retain is now a publicly traded equity.
2.	7	Stock was granted as compensation for consulting services. After the consulting contract ended, the company went public.
2.	10	Advisor equity. Value unclear as this is a privately held early stage start up company with no revenue stream.
2.	11	Advisor equity. Value unclear as this is a privately held early stage start up company with no revenue stream.

PART	#	ENDNOTE
2.	12	Advisor equity. Value unclear as this is a privately held early stage start up company with no revenue stream.
2.	13	L&N Baby was registered by the founders with the intention of creating products for babies. However, the company never ended up getting off the ground or creating any products. Hence, the valuation is negligible.
5.	1	Value represents filer's spouse's 50% share of the equity.
6.	8	Investment equity.
6.	9	Investment equity.

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).
