

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Chao, Elaine L

Secretary, Department of Transportation

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Commerce, Science, and Transportation**
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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/ Chao, Elaine L [electronically signed on 12/06/2016 by Chao, Elaine L 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/ Kaleta, Judith, Certifying Official [electronically signed on 01/06/2017 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 01/06/2017 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Shaub, Walter M, Certifying Official [electronically signed on 01/06/2017 by Shaub, Walter M in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	The Heritage Foundation	Washington, District of Columbia	Non-Profit	Distinguished Fellow	1/2009	6/2016	
2	News Corporation	New York, New York	Corporation	Director	10/2012	Present	
3	Protective Life Insurance	Birmingham, Alabama	Corporation	Director	6/2011	2/2015	
4	Wells Fargo & Company	San Francisco, California	Corporation	Director	6/2011	Present	
5	Centerra Group, LLC	Palm Beach Gardens, Florida	Corporation	Director	7/2015	12/2015	
6	Ingersoll Rand	Dublin, Outside U.S.	Corporation	Director	6/2015	Present	
7	Vulcan Materials	Birmingham, Alabama	Corporation	Director	2/2015	Present	
8	The Bloomberg Family Foundation Inc	New York, New York	Corporation	Director	4/2012	2/2015	
9	Hudson Institute	Washington, District of Columbia	Non-Profit	Distinguished Fellow	6/2016	Present	
10	Firebird International LLC	See Endnote	Louisville, Kentucky	Limited Liability Company	Sole Member	5/2009	Present
11	Elaine L Chao Revocable Trust	Louisville, Kentucky	Trust	Trustee	9/2012	Present	
12	Ford's Theatre	Washington, District of Columbia	Non-Profit	At Large Member, Board of Trustee	1/2010	Present	

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Heritage Foundation	N/A		Salary	\$125,227
2	Firebird International LLC	See Endnote	N/A		
2.1	News Corporation	N/A		Director Fees	\$228,000
2.2	Protective Life Insurance	N/A		Director Fees	\$5,160
2.3	Wells Fargo & Company	N/A		Director Fees	\$232,000
2.4	Centerra Group, LLC	N/A		Director Fees	\$38,350
2.5	Ingersoll Rand	N/A		Director Fees	\$212,316
2.6	Vulcan Materials	N/A		Director Fees	\$165,000
2.7	Protective Life Insurance	N/A		Payout of Entire Balance of Deferred Compensation Plan for Directors	\$524,331
2.8	Firebird International LLC, SunTrust Business Checking	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	Firebird International LLC, SunTrust Business Money Market Performance	N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
2.10	Firebird International LLC, defined benefit plan - VFIAX - Vanguard 500 Index Adm	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
2.11	Real Estate Roundtable (through Worldwide Speakers Group) - 1/27/2015	N/A	None (or less than \$1,001)	Honoraria - Speech	\$25,000
2.12	Alliance for Public Awareness (through Worldwide Speakers Group) - 6/13/2015	N/A	None (or less than \$1,001)	Honoraria - Speech	\$50,000
2.13	Iranian-American Cultural Association of Missouri (through Worldwide Speakers Group) - 3/9/2016	N/A	None (or less than \$1,001)	Honoraria - Speech	\$17,500
2.14	Vulcan Materials - Directors Fees Receivable 12/15/16	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	News Corporation, Unvested Deferred Stock Units See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4	Wells Fargo & Company, common stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5	Wells Fargo & Company, Deferred Stock Compensation	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
6	UBS Pension Trust (Personal Retirement Account)	No			
6.1	UBS Brokerage Account (Cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
6.2	WGIFX - American Funds Capital World Gr & Inc F2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.3	SDSCX - Dreyfus/The Boston Co Sm/Md Cp Gr I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.4	FEGIX - First Eagle Gold I	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	PEQPX - Principal Equity Income P	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.6	GFFFX - American Funds Growth Fund of Amer F2	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.7	DPFFX - Delaware Diversified Income Instl	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.8	TGBAX - Templeton Global Bond Adv	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	PGDPX - Principal Global Div Inc P	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	Mutual of America Tax Deferred Annuity	No			
7.1	Deutsch VSI Capital Growth	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8	UBS PSP (Personal Retirement Account)	No			
8.1	UBS Brokerage Account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	GONCX - JHancock International Growth C	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	JVLCX - JHancock Disciplined Value C	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9	Hudson Institute	N/A		Salary	\$47,614
10	The Heritage Foundation 403(b)				
10.1	SWIXX - Schwab Retirement Advantage Money Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
10.2	VFIAX - Vanguard 500 Index Admiral	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.3	PREIX - T. Rowe Price Equity Index 500	Yes	\$100,001 - \$250,000		None (or less than \$201)
11	The Heritage Foundation Retirement Plan (defined contribution plan)				
11.1	SWIXX - Schwab Retirement Advantage Money Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
11.2	ARTKX - Artisan International Value Investor	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	BARAX - Baron Asset Retail	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.4	FAIRX - Fairholme	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.5	LSBDX - Loomis Sayles Bond Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.6	OAKMX - Oakmark I	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.7	RSEIX - Royce Special Equity Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.8	SLASX - Selected American Shares S	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.9	PRMSX - T.Rowe Price Emerging Markets Stock	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.10	VGSLX - Vanguard REIT Index Adm		Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.11	WIIBX - Westcore Plus Bond Institutional		Yes	\$1,001 - \$15,000		None (or less than \$201)
12	UBS IRA					
12.1	WGIFX - American Funds Capital World Gr & Inc F2 (UBS)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.2	FEGIX - First Eagle Gold I (UBS)		Yes	\$1,001 - \$15,000		None (or less than \$201)
12.3	PEQPX - Principal Equity Income P (UBS)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.4	RSPYX - RS Partners Y (UBS)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.5	GFFFX - American Funds Growth Fund of Amer F2 (UBS)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.6	DPFFX - Delaware Diversified Income Instl (UBS)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.7	TGBAX - Templeton Global Bond Adv (UBS)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	Vulcan Materials, Deferred Stock Units					
13.1	Vulcan Materials, Vested Deferred Stock Units		N/A	\$100,001 - \$250,000		None (or less than \$201)
13.2	Vulcan Materials, Unvested Deferred Stock Units	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
14	Ingersoll-Rand, Retainer Stock Units					
14.1	Ingersoll-Rand, Vested Retainer Stock Units		N/A	\$100,001 - \$250,000		None (or less than \$201)
14.2	Ingersoll-Rand, Unvested Retainer Stock Units	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	News Corporation	New York, New York	Pursuant to the terms of the company's Directors' Deferred Stock Unit Plan, my unvested Deferred Stock Units will vest upon separation from service on the Board. At that time, I will receive a cash payout based on the closing price of the company's Class A common stock on the date of termination.	10/2012
2	Wells Fargo & Company	San Francisco, California	Pursuant to the terms of the company's Directors Stock Compensation and Deferral Plan – Stock Award Deferrals, I will receive a cash payout for my deferred stock compensation (all of which is fully vested at the time of grant) based on various elections I have made each year that I have served on the Board. The cash payout will be determined based on the closing price of the company's common stock at the time payment is made, and I will continue to receive deferred stock compensation equivalents, which track dividends on the company's common stock until I receive the cash payout. If I resign my position on the board after December 31, 2016, the approximate portion of my deferred stock compensation to be paid out is as follows: July 2017 – 48%; March 2018 – 29%; March 2019 – 15%; March 2020 – 4%; and March 2021 – 4%.	6/2011
3	The Heritage Foundation 403(b)	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The sponsor has not made any further contributions since my separation from the company.	6/2016
4	Firebird International LLC, Defined Benefit Plan	Louisville, Kentucky	I will continue to participate in this defined benefit plan. No further contributions will be made while in office.	5/2009
5	Delta Airlines	Atlanta, Georgia	As a former director of Northwest Airlines, which merged with Delta Airlines in 2009, I receive discounted travel on Delta Airlines. I have never been a director of Delta Airlines, and this benefit is taxable on such discounted airfare at rates established by the Internal Revenue Service.	10/2008
6	The Heritage Foundation Retirement Plan	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The sponsor has not made any further contributions since my separation from the company.	6/2016

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
7	Vulcan Materials	See Endnote	Birmingham, Alabama	Pursuant to the terms of the company's Directors' Deferred Stock Unit Plan, I will receive a cash payout for all of my vested deferred stock units in April of the year following the year of my separation from service. The cash payout will be determined based on the closing price of the company's common stock at the time payment is made that April. Until the deferred stock units are redeemed, I will continue to receive deferred stock unit equivalents, which track dividends on the company's common stock. As to any unvested deferred stock units, the company's Directors' Deferred Stock Unit Plan (as described in the Company's most recent proxy statement) provides that "the Compensation Committee, subject to Board approval, may waive restrictions [i.e., grant 100% vesting] in the event the non-management director fails to remain a director for any reason other than retirement at the mandatory age, death or disability." Approximately 57% of my deferred stock units are not vested at the date of this report. If the company does not grant such a waiver and vest the deferred stock units before I assume the duties of the position of Secretary, I will forfeit all deferred stock units that are unvested on the date of my resignation.	2/2015
8	Ingersoll Rand		Dublin, Outside U.S.	Pursuant to the terms of the company's Directors' Retainer Stock Unit Plan, my unvested retainer stock units will vest upon separation from service on the Board, and I will receive a cash payout for all of my retainer stock units based on the closing price of the company's common stock on the date of separation.	6/2015
9	Vulcan Materials		Birmingham, Alabama	Pursuant to Director's Compensation plan I will receive \$55,000 on 12/15/2016.	12/2016

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The Heritage Foundation	Washington, District of Columbia	Distinguished Fellow
2	News Corporation	New York, New York	Director

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
3	Protective Life Insurance	Birmingham, Alabama	Director
4	Wells Fargo & Company	San Francisco, California	Director
5	Centerra Group, LLC	Palm Beach Gardens, Florida	Director
6	Ingersoll Rand	Dublin, Outside U.S.	Director
7	Vulcan Materials	Birmingham, Alabama	Director
8	The Bloomberg Family Foundation	New York, New York	Director
9	Hudson Institute	Washington, District of Columbia	Distinguished Fellow
10	Women Freedom Forum (through Worldwide Speakers Group)	Washington, District of Columbia	Honoraria - Speech
11	North Caroline State University (through Worldwide Speakers Group)	Raleigh, North Carolina	Honoraria - Speech
12	Real Estate Roundtable (through Worldwide Speakers Group)	Washington, District of Columbia	Honoraria - Speech
13	Alliance for Public Awareness (through Worldwide Speakers Group)	Paris, Outside U.S.	Honoraria - Speech
14	Iranian-American Cultural Association of Missouri	Washington, District of Columbia	Honoraria - Speech
15	Dole Corporation	See Endnote Westlake Village, California	Director

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Long Game: A Memoir - Penguin Random House LLC - Value not readily ascertainable	N/A		Book Advances	\$145,000
2	Bank of America - IRA Cash Account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
3	SCPB - SPDR Barclays Short Term Corp Bd ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	VCSH - Vanguard Short-Term Corporate Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	IWM - iShares Russell 2000	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	VO - Vanguard Mid-Cap ETF	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
7	SPY - SPDR S&P 500 ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	VMMXX - Vanguard Money Market Reserves	Yes	None (or less than \$1,001)		None (or less than \$201)
2	VMSXX - Vanguard Tax-Exempt Money Market	Yes	\$1,000,001 - \$5,000,000		\$201 - \$1,000
3	VFIAX - Vanguard 500 Index Admiral	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
4	US Bank Money Market Account 1 (Cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
5	Real Property with Carriage House Rental - Washington, DC	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	US Bank Account 1 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	US Bank Account 2 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	TRBCX - T. Rowe Price Blue Chip Growth	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
9	PRITX - T.Rowe Price International Stock Fd	Yes	\$50,001 - \$100,000		\$201 - \$1,000
10	RPMGX - T. Rowe Price Mid-Cap Growth	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
11	PRSCX - T. Rowe Price Science & Tech	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12	OTCFX - T. Rowe Price Small - Cap Stock	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
13	VGIAX - Vanguard Growth & Income Adm	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
14	VMSXX - Vanguard Tax-Exempt Money Market	Yes	None (or less than \$1,001)		None (or less than \$201)
15	VFIAX - Vanguard 500 Index Admiral	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
16	MNNAX - Victory Munder Growth Opportunities A	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
17	Elaine L Chao Revocable Trust				
17.1	Electron Global Fund	See Endnote	Yes	\$1,000,001 - \$5,000,000	\$50,001 - \$100,000
18	US Bank Account 3 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	MNNAX - Victory Munder Multi-Cap A	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	VHCAX - Vanguard Capital Opportunity Adm	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	VSIAX - Vanguard Small Cap Value Index Admiral	Yes	\$250,001 - \$500,000		None (or less than \$201)
22	VFIAX - Vanguard 500 Index Admiral	Yes	\$250,001 - \$500,000		None (or less than \$201)
23	A. Mitchell McConnell, Jr. Revocable Trust				
23.1	US Brokerage Money Market Account (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
24	Vanguard 529 College Savings Plan				
24.1	Vanguard Aggressive Growth Portfolio (Age Based)	Yes	\$15,001 - \$50,000		None (or less than \$201)
25	Vanguard 529 College Savings Plan				
25.1	Vanguard Aggressive Growth Portfolio (Age Based)	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	Loan to 2014 Campaign Committee	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	10	This is a single-member pass-through entity whose sole source of income is from my director fees and speaking fees, as separately disclosed herein.
2.	2	This is a single-member pass-through entity whose sole source of income is from my director fees and speaking fees, as separately disclosed herein.
2.	3	Pursuant to the terms of the company's Deferred Stock Unit Plan, unvested Deferred Stock Units will vest upon separation from service. See Part 3, item 1.
2.	13.2	Subsequent to initially completing this report, the Compensation Committee waived the restriction on my unvested deferred stock units. All deferred stock units are currently vested.
2.	14.2	Pursuant to the terms of the company's Retainer Stock Unit Plan, unvested Retainer Stock Units will vest upon separation from service. See Part 3, item 8.
3.	7	Subsequent to initially completing this report, the Compensation Committee waived the restriction on my unvested deferred stock units. All deferred stock units are currently vested.
4.	15	Not on the Board of Directors in 2014, payments are related to 2013 services
6.	17.1	Subsequent to initially completing this report, I divested my interest in Electron Global Fund. The value category is now "None (or less than \$1,001)."

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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