

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

Filer's Information

Strauss, Audrey

Supervisory AUSA, Department of Justice - Executive Office for United States Attorneys

Date of Appointment: 02/05/2018

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Strauss, Audrey [electronically signed on 05/18/2018 by Strauss, Audrey in Integrity.gov] - Filer received a 30 day filing extension.

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

/s/ Lucy Hurley, for Jay Macklin, Certifying Official [electronically signed on 08/09/2018 by Lucy Hurley, for Jay Macklin in Integrity.gov]

Other review conducted by

/s/ McEnany, John, Ethics Official [electronically signed on 06/16/2018 by McEnany, John in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised - Workflow re-designation - 06/23/2020

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Alcoa, Inc.	New York City, New York	Corporation	Executive V.P. and Chief Legal Counsel	5/2012	12/2016
2	Arconic, Inc.	New York City, New York	Corporation	Consultant	1/2017	6/2017
3	Innocence Project	New York City, New York	Non-Profit	Director	1/2017	1/2018
4	Family Trust #1 (not beneficiary)	New York City, New York	Trust	Trustee	1/2002	Present
5	Family Trust #2 (not beneficiary)	New York City, New York	Trust	Trustee	8/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Alcoa, Inc. (now know as Arconic, Inc.)	N/A		Bonus	\$1,038,601
2	Arconic, Inc.(f/k/a Alcoa, Inc.)	N/A		Consulting Fees	\$33,880
3	Arconic, Inc. (f/k/a Alcoa, Inc.)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
4	Alcoa, Inc., stock options (value not readily ascertainable): No options were granted during the reporting period.	N/A			None (or less than \$201)
5	Arconic, Inc., restricted stock units	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Arconic, Inc., deferred compensation: received	N/A		Cash Payout	\$333,500
7	Arconic, Inc.: phantom stock	N/A	None (or less than \$1,001)	Cash Payment	\$74,206
8	Arconic, Inc.: Performance Shares	N/A	None (or less than \$1,001)	Cash Payout	\$2,182
9	Vanguard IRA Rollover (all assets held in IRA are aggregated & reported with assets held in Part 6)	No			

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Alcoa, Inc. (now known as Arconic Corp.)	New York City, New York	Alcoa granted me options at grant prices from \$15.19 to \$35.04 a share from 2013 through 2016. I currently have 208,836 vested shares and 24,564 that will vest on 1/19/19 for a combined total of 233,400 shares. If the option is in the money, I could exercise at any time until 1/01/2022. Although originally granted by Alcoa Inc., Alcoa is now Arconic Inc.	5/2012
2	Alcoa, Inc. (now known as Arconic, Corp.)	New York City, New York	I did not receive any new RSU's or performance units during the reporting period. Any shares I received during the reporting period from performance units were included in the "Stock" section where I also reported related dividends.	5/2012

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Alcoa, Inc.	New York City, New York	Executive Vice President, Chief Legal Officer and Corporate Secretary, with duties including oversight of the legal department, compliance and board governance.

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	Arconic, Inc.	New York City, New York	Consultant available to consult with new Chief Legal Officer and company executives on matters related to my prior duties.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Lankler Siffert & Wohl (Law firm)	N/A		partnership share	
2	Lankler Siffert & Wohl LLP 401(k) Savings Plan & Trust (100% Fidelity Money Market fund)	No			\$50,001 - \$100,000
3	Weil Gotshal & Manges Non-Qualified Plan and Target Plan	N/A	\$250,001 - \$500,000	Pension Income	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential rental, Brooklyn, NY	No	\$15,001 - \$50,000	Rent or Royalties	\$15,001 - \$50,000
2	NEW YORK N Y 5.375% 06/1/32	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3	NEW YORK N Y 4% 04/01/2039	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
4	NEW YORK ST TWY AUTH GEN REV 4% 01/01/2036	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
5	NEW YORK N Y CITY MUN WTR FIN 4% 06/15/2037	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	METROPOLITAN TRANSN AUTH N Y R 3.375% 11/15/2037	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
7	NEW YORK N Y CITY TRANSITIONAL 4% 05/01/2036	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
8	METROPOLITAN TRANSN AUTH N Y D 5% 11/15/2047	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
9	NEW YORK N Y CITY MUN WTR FIN 3.125% 06/15/2027	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
10	NEW YORK N Y CITY MUN WTR FIN 3.5% 06/15/2037	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
11	METROPOLITAN TRANSN AUTH N Y R 3.7% 11/15/2034	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
12	SCHENECTADY N Y 4% 05/15/2038	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
13	NEW YORK N Y CITY MUN WTR FIN 4% 06/15/2046	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
14	NEW YORK N Y CITY TRANSITIONAL 4% 05/01/2042	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
15	NEW YORK N Y CITY MUN WTR FIN 4% 06/15/2037	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
16	NEW YORK N Y CITY MUN WTR FIN 5% 06/15/2035	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
17	NEW YORK N Y CITY TRANSITIONAL 3.375% 11/01/2019	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
18	NEW YORK N Y CITY TRANSITIONAL 3.375% 11/01/2027	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
19	NEW YORK N Y CITY MUN WTR FIN 5.5% 06/15/2026	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	NEW YORK N Y CITY MUN WTR FIN 5.5% 06/15/43	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
21	NEW YORK N Y 4% 08/01/2025	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
22	NEW YORK N Y CITY TRANSITIONAL 4% 11/01/2025	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
23	NEW YORK N Y 4% 08/01/2028	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
24	NEW YORK N Y CITY TRANSITIONAL 2% 11/01/2022	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
25	NEW YORK N Y 4.125% 08/01/2028	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
26	NEW YORK ST TWY AUTH GEN REV 4.5% 01/01/2035	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27	NEW YORK ST TWY AUTH ST PERS I 4.75% 03/15/2029	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
28	NEW YORK N Y CITY TRANSITIONAL FIN AUTH BLDG AID REV FIS	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
29	NEW YORK ST URBAN DEV CORP REV 5% 03/15/2028	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
30	NEW YORK ST DORM AUT 5.00	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
31	NEW YORK N Y CITY TRANSITIONAL 5% 11/01/2033	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
32	NEW YORK N Y CITY TRANSITIONAL 5% 11/01/2031	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
33	METROPOLITAN TRANSN AUTH N Y R 4% 11/15/2034	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	NEW YORK ST TWY AUTH GEN REV J 5% 01/01/2027	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
35	TRIBOROUGH BRDG & TUNL AUTH N 5% 11/15/2033	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
36	NEW YORK N Y CITY MUN WTR FIN 4% 06/15/2038	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
37	LIBERTY N Y DEV CORP REV 5.5% 10/01/2037	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
38	NEW YORK N Y CITY TRANSITIONAL 4% 08/01/2042	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
39	NEW YORK ST DORM AUTH ST PERS 4% 02/15/2032	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
40	NEW YORK N Y 5% 08/15/2026	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
41	NEW YORK N Y 5.25% 03/1/25 (Call 3/1/19)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
42	NEW YORK N Y 4.375% 08/01/2033	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
43	NEW YORK N Y CITY TRANSITIONAL 2% 11/01/2024	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
44	NEW YORK N Y CITY MUN WTR FIN 4% 06/15/2036	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
45	NEW YORK N Y CITY MUN WTR FIN 4% 06/15/2036	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
46	NEW YORK N Y 5% 05/15/36	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
47	NEW YORK N Y CITY TRANSITIONAL 3% 08/01/2042	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48	LIBERTY N Y DEV CORP REV 5.25% 10/01/2035	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
49	NEW YORK N Y 3.375% 03/01/2038	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
50	NEW YORK N Y 3.25% 03/01/2033	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
51	METTLER TOLEDO INTL INCF	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
52	NEW YORK N Y 3% 08/01/2033	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
53	METROPOLITAN TRANSN AUTH N Y R 4.75% 11/15/2039	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
54	TRIBOROUGH BRDG & TUNL AUTH N 3% 11/15/2035	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
55	NEW YORK N Y 4.125% 08/01/2028	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
56	NEW YORK N Y 4% 08/01/2029	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
57	LIBERTY N Y DEV CORP REV 5.25% 10/01/2035	N/A	\$5,000,001 - \$25,000,000	Interest	\$100,001 - \$1,000,000
58	VANGUARD ENERGY FUND INVESTOR SHARES	Yes	None (or less than \$1,001)		None (or less than \$201)
59	VANGUARD SHORT-TERM INVESTMENT GRADE ADM	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
60	VANGUARD SMALL-CAP INDEX ADMIRAL	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
61	OAKMARK EQUITY AND INCOME FUND ADVISOR CLASS	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62	U.S. bank account #1 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
63	Citibank money market funds	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
64	Merrill Lynch Money Market Funds	Yes	\$1,001 - \$15,000		None (or less than \$201)
65	VANGUARD ADMIRAL FDS INC US TREA MMF PT	Yes	\$1,001 - \$15,000		None (or less than \$201)
66	Oppenheimer Money Market Funds	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
67	MAIRS AND POWER BALANCED FD	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
68	MATTHEWS INDIA FUND	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
69	FIDELITY CONTRAFUND	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
70	MAIRS & POWER GROWTH FD INC	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
71	VANGUARD DIVIDEND APPRECIATION INDEX FUND	Yes	\$15,001 - \$50,000		\$201 - \$1,000
72	MERIDIAN CONTRARIAN LEGACY CL	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
73	ROYCE PENNSYLVANIA MUTUAL INVESTMENT CL	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
74	FULLER & THALER BEHVCORE EQ SELECT	Yes	\$250,001 - \$500,000		\$201 - \$1,000
75	Vanguard Money Market Funds	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
76	VANGUARD SMALL CAP VALUE INDEX ADMIRAL	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
77	MATTHEWS ASIAN GROWTH & INCOME FUND	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
78	OAKMARK EQUITY AND INCOME FUND ADVISOR CLASS	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
79	FMI COMMON STOCK FUND	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
80	DODGE & COX BALANCED	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
81	VANGUARD REAL ESTATE INDEX FUND	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
82	MERIDIAN GROWTH FUND	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
83	VANGUARD NY T/E MM FD	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
84	TWEEDY BROWNE GLOBAL VALUE FUND	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
85	VANGUARD DEVELOPED MARKETS IDX ADMIRAL	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
86	VANGUARD REIT INDEX FD ADMIRAL	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
87	VANGUARD/WELLINGTON FD INC ADMIRAL SHARES	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
88	VANGUARD PRIMECAP FUND ADMIRAL	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
89	VANGUARD GLBL MINIMUM	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
90	FIDELITY CONTRAFUND INC	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
91	OAKMARK GLOBAL FD CL I.	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
92	AMG YACKTMAN SERVICE	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
93	ALCOA CORP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
94	NEW YORK N Y CITY TRANSITIONAL 4% 11/1/17	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
95	NEW YORK N Y 4.25% 10/1/22	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
96	NEW YORK N Y 4.25% 12/1/18	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
97	NEW YORK N Y 4.3% 08/01/20	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
98	NEW YORK N Y 4.3% 08/01/2019	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
99	NEW YORK N Y CITY TRANSITIONAL 4.75% 1/15/38	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
100	Metropolitan Trans Auth NY 5% Due 11/15/37	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
101	NEW YORK N Y CITY MUN WTR FIN 5.5% 06/15/36	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
102	NEW YORK N Y CITY MUN WTR FIN 5.5% 06/15/37	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
103	METROPOLITAN TRANS AUTH N Y R 5% 11/15/2033	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

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

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of 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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