

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

## Filer's Information

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**Fajardo Orshan, Ariana**

United States Attorney for the Southern District of Florida, Department of Justice - Executive Office for United States Attorneys

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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 the Judiciary**
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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/ Fajardo Orshan, Ariana [electronically signed on 02/04/2018 by Fajardo Orshan, Ariana 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/ Lofthus, Lee, Certifying Official [electronically signed on 06/21/2018 by Lofthus, Lee in Integrity.gov]**

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Other review conducted by

**/s/ Macklin, Jay, Ethics Official [electronically signed on 06/15/2018 by Macklin, Jay in Integrity.gov]**

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/28/2018 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	State of Florida, Eleventh Judicial Circuit	Miami, Florida	State Government Position	Circuit Court Judge	6/2012	Present
2	Florida International University	Miami, Florida	University/College	Adjunct professor	1/2014	5/2016

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Diversified Equity Inv	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	State of Florida, defined benefit plan	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Vanguard International Growth Inv	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Vanguard Federal Money Market Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	State of Florida, Eleventh Judicial Circuit	N/A		Salary (Sum of 2017 and 2018 to date).	\$176,167
6	Florida International University	N/A		Salary	\$4,500
7	Florida International University (FIU) 401(a): Lincoln Stable Value Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Florida Deferred Compensation Plan:	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.1	T.Rowe Price Capital Apprec Trust Class A	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	T.Rowe Price Intl Value Equity	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.3	T.Rowe Price Small Cap Value	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
8.4	T. Rowe Price Growth Stock Trust A	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.5	T. Rowe Price US Mid-Cap Growth Eq Trust D	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.6	T.Rowe Price New Income Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.7	T.Rowe Price Spectrum Income Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.8	T. Rowe Price VALIC fixed Int Option	N/A	\$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	State of Florida	Tallahassee, Florida	I will continue to participate in this defined benefit plan.	8/1996
2	State of Florida Deferred Compensation Plan	Tallahassee, Florida	I will continue to participate in this deferred benefit plan. The plan sponsor will not make further contributions after separation.	9/2012
3	Florida International University Defined Contribution Plan	Miami, Florida	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	8/2016

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	State of Florida, Eleventh Judicial Circuit	Miami, Florida	Constitutionally elected judicial officer presiding in circuit court.
2	Florida International University	Miami, Florida	Adjunct professor

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Orshan Law Group LLC, dba as Orshan, Spann & Fernandez-Mesa (Family law practice)	N/A	\$1,000,001 - \$5,000,000	Salary and Distributions	
2	Ameritrade IRA	No			
2.1	Schwab US Broad Market ETF	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.2	Vanguard REIT ETF	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.3	Vanguard Total Stock Market ETF	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.4	Morgan Stanley SR MED Term Note Index LNKD	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.5	AQR MNGD Futures Strategy I	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Blackrock STRAT INCM OPPTYS	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.7	DFA International Small Company Portfolio	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.8	Dodge & Cox Income fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.9	JP Morgan Strategic Income OPP FD I	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	Stone Ridge Reinsurance Risk Pre Interval	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.11	Stone Ridge ALT Lending Risk Prem	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.12	Thornburg LTD-Term INC INSTL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.13	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
3	Raymond James IRA	No			
3.1	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	ISHARES TR Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	ISHARES TR MSCI ACWI ETF (ACWI)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.4	iShares US Aerospace & Defense ETF (ITA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	POWERSHARES QQQ TRUST UNIT SERIES 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	POWERSHARES INDIA ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	SPDR Dow Jones Global Real Estate ETF (RWO) (Diversified real estate)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	SPDR S&P International Dividend ETF (DWX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.10	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.11	SPDR S&P MIDCAP 400 ETF TRUST (MDY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.12	WisdomTree Emerging Markets High Dividend ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Florida College Prepaid	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	Vanguard 529 - Nevada (Aggressive Growth Portfolio)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	U.S. credit union account (cash) #1	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
4	U.S. bank account (cash) #2	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
5	Ariana Fajardo Irrevocable Life Insurance Trust (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
6	Vanguard UTMA	No			
6.1	Vanguard Federal Money Market Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Vanguard Total Stock Market Index Investor CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	Art Colletcion	N/A	\$100,001 - \$250,000		None (or less than \$201)
8	Estate of Family Member	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	Real Estate 1 (Residential Property Miami, FL)	N/A	\$250,001 - \$500,000		None (or less than \$201)
10	Real Estate 2 (Vacation home in North Carolina)	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	Real Estate 3 (Condominium in Miami, FL)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Real Estate 4 (Coral Gables, FL)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
13	Real Estate 5 (Condominium in Miami Beach, FL)	N/A	\$250,001 - \$500,000		None (or less than \$201)
14	U.S. bank account (cash) #1	N/A	\$100,001 - \$250,000		None (or less than \$201)
15	U.S. bank account (cash) #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	U.S. bank account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
17	Ameritrade Investment Account	No			
17.1	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
17.2	BK PLC IPATH Pure BETA BROAD COMM ETN (BCM)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
17.3	ISHARES EDGE MSCI MIN VOL USA ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17.4	POWERSHARES S&P 500 QUALITY PORTFOLIO	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.5	POWERSHARES S&P 500 LOW VOLATILITY ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.6	SCHWAB US BROAD MARKET ETF	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
17.7	SPDR SERIES TRUST PORTFOLIO TOTAL STK MRKT ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.8	VANGUARD REIT ETF INDEX	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
17.9	VANGUARD CRSP US SMALL CAP VALUE IND ETF	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.10	JP Morgan Chase FINL CO LLC SR MED TERM NOTE SCRTY LNKD TO EMERGING MARKETS ETF - EEM	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
17.11	MORGAN STANLEY SR MED TERM NOTE INDEX LNKD TO S&P 500 INDEX - SPX	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
17.12	AMERICAN FUNDS EUROPACIFIC GROWTH F2 CL	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
17.13	AMERICAN FUNDS GROWTH FD OF AMERICA CL F2	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
17.14	AQR Managed Futures Strategy HV I Fund (QMHIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17.15	DFA INTERNATIONAL CORE EQU PTFL	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
17.16	DFA EMERGING MARKETS CORE EQUITY I	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17.17	DFA TAX MGD US MKTWIDE VAL PORT	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17.18	DOUBLELINE HILLER ENHANCED CAPE I	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17.19	HARBOR FD CAP APPRECIATN	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
17.20	JP MORGAN TAX AWARE REAL RETURN INSTL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.21	Tortoise MLP & Pipeline Fund I Institutional Class (TORIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17.22	STONE RIDGE REINSURANCE RISK PRE INTERVAL	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17.23	STONE RIDGE ALT LENDING RISK PREM	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.24	T. Rowe Price Summit Muni Intrmed Bond	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.25	THORNBURG LTD TRM MUN FD CL I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.26	VANGUARD LTD TERM TAX EXEMPT ADMIRAL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18	Raymond James Oppenheimer Global Fund Class C M/F (OGLCX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
19	Raymond James Brokerage Account	No			
19.1	U.S. brokerage account (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
19.2	ALL STATE CORPORATION	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.3	AMERICAN TOWER CORP NEW REIT (AMT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.4	APPLE INCORPORATED (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19.5	Becton Dickinson & Co (BDX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.6	Boeing Co (BA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19.7	Chevron Corp NEW (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19.8	COMCAST CORP NEW CLASS A (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.9	CYRUSONE INCORP REIT (CONE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19.10	DIGITAL RLTY TR INCORP REIT (DLR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.11	FACEBOOK INCORP CLASS A (FB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.12	FEDEX CORP (FDX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
19.13	Genesee & WYO Incorp Class A (GWR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.14	JP Morgan Chase & Co	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19.15	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19.16	Kratos Defense & Security Solutions Com New (KTOS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
19.17	Lockheed Martin Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.18	Microsoft Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19.19	MOHAWK INDUSTRIES INCORP	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19.20	NASDAQ CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.21	Nvidia Corp	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
19.22	OraSure Technologies, Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19.23	Phillip Morris International Incorp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.24	RPM INTERNATIONAL INCORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.25	Scotts Miracle Grow Co Class A	N/A	\$15,001 - \$50,000	Dividends	\$15,001 - \$50,000
19.26	Sempra Energy	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.27	Texas INSTRS INCORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.28	United Health Group Incorp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19.29	Vodafone Group PLC New Sponsored ADR	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19.30	Lazard Limited SHS A (Bermuda)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
19.31	Blackrock Utilts Infra&Pwr Oprtnt Trst (BUI)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
19.32	Blackrock Muniyield FD Incorp	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
19.33	Mainstay defined term mn opportunities fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
19.34	Alerian MLP ETF (AMLPE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
19.35	ISHARE TR CORE S&P MCP ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
19.36	PIMCO Short Term Municipal Bond Active ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
19.37	Powershares ETF Trust II INTL Corp BD Port NYSEARCA INC	Yes	\$1,001 - \$15,000		\$201 - \$1,000
19.38	SPDR Gold Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.39	SPDR INDEX SHS FUNDS S&P INTL DIVIDEND ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
19.40	Sector SPDR TR SBI INT-Energy	Yes	\$1,001 - \$15,000		\$201 - \$1,000
19.41	VANEC VECTORS HIGH-YIELD MUNICIPAL ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
19.42	Vanguard Small CAP Value ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.43	Vanguard Growth ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19.44	Wisdom Tree Emerging Markets Equity Income Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
19.45	Wisdom Tree Trust Emerging Markets Local Debt Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
19.46	Clark CNTY NV SCH DIST For Issues DTD Prior to 07/01/04	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
19.47	Little Rock AR SWR REV, SWR Constr BDS SER 2008	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Space Coast Credit Union	Mortgage on Personal Residence	\$50,001 - \$100,000	2008	4.85%	15 years
2	Space Coast Credit Union	Exercised Line of Credit	\$10,001 - \$15,000	2008	2.75%	variable
3	MOHELA	Student Loan	\$15,001 - \$50,000	1997	3.2%	30 years
4	CENLAR	Mortgage on Personal Residence	\$250,001 - \$500,000	2016	3.25%	30 years

## 9. Gifts and Travel Reimbursements

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

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### 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.

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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