

Federal Reserve Bank Financial Disclosure Report (Form A)

Board of Governors
of the Federal Reserve System
Washington, DC 20551

FR 08-100-03

Federal Reserve Bank policy requires the reporting and publishing of this information, which will be reviewed to determine compliance with applicable Federal Reserve policies and federal laws.

Click [Detailed Instructions](#) for additional reporting information.

Report Type:	Annual
Year (Annual Report only):	2023
Date of Appointment/Separation:	01/09/2023

FILER'S INFORMATION

<u>Goolsbee</u>	<u>Austan</u>	<u>D</u>	<u>President and CEO</u>	<u>Chicago</u>
Last Name	First Name	MI	Position	Reserve Bank

I certify the statements I have made in this report are true, complete and correct to the best of my knowledge.

<u>Austan Goolsbee - NRAS User</u>	<small>Digitally signed by Austan Goolsbee - NRAS User Date: 2024.05.29 11:27:03 -05'00'</small>	<u>05/29/2024</u>
Filer Signature		Date (MM/DD/YYYY)

RESERVE BANK ETHICS OFFICER'S OPINION

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

<u>Katherine Hilton Schrepfer</u>	<u>Kathy Schrepfer - NRAS User2</u>	<small>Digitally signed by Kathy Schrepfer - NRAS User2 Date: 2024.05.29 11:32:22 -05'00'</small>	<u>05/29/2024</u>
Reviewing Official Name	Reviewing Official Signature		Date (MM/DD/YYYY)

BOARD DESIGNATED AGENCY ETHICS OFFICIAL'S OPINION

On the basis of information contained in this report and in consultation with the Reserve Bank's Ethics Officer, I conclude that the filer is in compliance with applicable ethics laws and policies (subject to any comments below).

<u>Sean Croston</u>	<u>SEAN CROSTON</u>	<small>Digitally signed by SEAN CROSTON Date: 2024.05.29 15:42:06 -04'00'</small>	<u>05/29/2024</u>
Board Designated Agency Ethics Official Name	Board Designated Agency Ethics Official Signature		Date (MM/DD/YYYY)

COMMENTS OF REVIEWING OFFICIALS

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PART 1. POSITIONS HELD OUTSIDE THE FEDERAL RESERVE SYSTEM

(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Report any positions that you held at any time during the reporting period (excluding positions within the Federal Reserve System). Reportable positions include those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any for-profit or non-profit organization (whether compensated or uncompensated).

Also report any position held by your spouse or domestic partner, child, parent or sibling with a domestic or foreign depository institution, its holding company (financial, bank or savings and loan) or a non bank affiliate; a company that owns a bank or savings and loan, a systemically important financial institution, a financial market utility, or primary government securities dealer; or any entity which, to your knowledge, does or seeks to do business with the Bank.

Select “None” if you do not have anything to report. Click [Part 1 Detailed Instructions](#) for additional reporting information and exceptions.

Filer’s Name: Austan Goolsbee

None (Nothing to report)

#	Organization Name	City/State	Organization Type	Position Held	Position Holder	From (MM/YYYY)	To (MM/YYYY)	
1	Lumina Foundation	Indianapolis, Indiana	Non-profit	Board member	Filer ▼	01/2015	present	-
2	University of Chicago Booth School of Business	Chicago, Illinois	University	Professor of Economics	Filer ▼	01/1995	present	-
3	Diversified Search Group	Chicago, Illinois	Corporation	Managing Director	Spouse/DP ▼	01/2021	03/2024	-
4	McKinsey and Co.	Los Angeles, CA	Corporation	Business Analyst	Child ▼	09/2022	06/2024	- +

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PART 2. FILER'S & SPOUSE'S OR DOMESTIC PARTNER'S EMPLOYMENT ASSETS & INCOME AND RETIREMENT ACCOUNTS

(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Report each source of your earned and other non-investment income over \$200 during the reporting period (e.g., salary, fees, partnership share and other business income, honoraria, scholarships, and prizes). For your spouse or domestic partner, report the source, exact value, and date of honoraria exceeding \$200, and report the source, but not the amount, of other earned or non-investment income exceeding \$1,000.

Report each asset related to your or your spouse's or domestic partner's business, employment, or other income-generating activities if the value of the asset at the end of the reporting period exceeded \$1,000 or if more than \$200 in income was received during the reporting period (e.g., equity in a business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, anticipated payments such as severance payments, deferred compensation, and intellectual property, such as book deals and patents).

Select "None" if you do not have anything to report. Click [Part 2 Detailed Instructions](#) for additional reporting information and exceptions.

Filer's Name: Austan Goolsbee

None (Nothing to report)

#	Description	Owner	Excepted Investment Fund (EIF)	Value	Income Type	Income Amount
1	Microeconomics, Worth Publishers/Macmillan Learning (value not readily ascertainable)	Filer	No		Rent or Royalties	\$50,001 - \$100,000
2	TIAA-CREF Lifecycle Index 2030 Fund (Diversified Search 401k)	Spouse / Domestic Partner	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Vanguard Balanced Index Fund VBIAX (Business Talent Group 401k)	Spouse / Domestic Partner	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Victory Funds Income Stock Fund (IRA--formerly named: USAA Income Stock Fund)	Spouse / Domestic Partner	Yes	\$250,001 - \$500,000		None (or less than \$201)
5	Business Talent Group (payout installment when former employer was acquired by Heidrick & Struggles)	Spouse / Domestic Partner	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6	Diversified Search Group	Spouse / Domestic Partner	No		Salary	
7	Ishares MSCI EAFE Value ETF EFV (Self-employment retirement accounts)	Filer	Yes	\$250,001 - \$500,000		None (or less than \$201)
8	Vanguard Index Fund S&P 500 ETF VOO (Self-employment retirement accounts)	Filer	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
9	Fidelity Government Cash Reserves FDRXX (Self-employment retirement accounts)	Filer	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	Ishares S&P Value ETF IVE (Self-employment retirement accounts)	Filer	Yes	\$50,001 - \$100,000		None (or less than \$201)
11	Vanguard Extended Market Index Fund VEMPX (U Chicago Retirement Plans)	Filer	Yes	\$250,001 - \$500,000		None (or less than \$201)
12	Vanguard Institutional Index Fund VIIIIX (U Chicago Retirement Plans)	Filer	Yes	\$250,001 - \$500,000		None (or less than \$201)
13	Vanguard Small-Cap Value Index Fund VSIIX (U Chicago Retirement Plans)	Filer	Yes	\$500,001 - \$1,000,000		None (or less than \$201)

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14	Vanguard Emerging Markets Stock Index Fund VEMIX (U Chicago Retirement Plans)	Filer ▼	Yes ▼	\$250,001 - \$500,000 ▼	▼	None (or less than \$201) ▼	-
15	Vanguard Small Cap Index Fund NAESX (National Bureau of Economic Research retirement account)	Filer ▼	Yes ▼	\$50,001 - \$100,000 ▼	▼	None (or less than \$201) ▼	-
16	University of Chicago (salary earned prior to starting date at the Chicago Fed)	Filer ▼	No ▼	▼	Salary ▼	\$7,584 ▼	- +

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PART 3. OTHER ASSETS AND INCOME

(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Report each asset held for investment or the production of income, not already reported in Part 2, that ended the reporting period with a value greater than \$1,000 or from which more than \$200 in income was received during the reporting period.

Select **"None"** if you do not have anything to report. Click [Part 3 Detailed Instructions](#) for additional reporting information and exceptions.

Filer's Name: Austan Goolsbee

None (Nothing to report)

#	Description	Owner	Excepted Investment Fund (EIF)	Value	Income Type	Income Amount
1	Fidelity Municipal Money Market FTEXX	Jointly Owned	Yes	\$250,001 - \$500,000		\$201 - \$1,000
2	Fidelity International Index Fund FSPSX	Jointly Owned	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3	Fidelity Small cap index fund FSSNX	Jointly Owned	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
4	Ishares core S&P 500 ETF IVV	Jointly Owned	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
5	Schwab Strategic US SMALL-CAP ETF SCHA	Jointly Owned	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
6	Schwab Strategic Intl Small Cap Equity ETF SCHC	Jointly Owned	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7	Schwab Strategic Emerging Mkts Equity ETF SCHE	Jointly Owned	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
8	Schwab US Large-Cap Value ETF SCHV	Jointly Owned	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
9	Ishares EAFE Small Cap ETF SCZ	Jointly Owned	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
10	SPDR Portfolio Developed World Ex-US ETF SPDW	Jointly Owned	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
11	Vanguard Small Cap Value ETF VBR	Jointly Owned	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
12	Vanguard Global Ex-US Real Estate Index FD ETF VNQI	Jointly Owned	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
13	Vanguard Index FDS Value ETF VTV	Jointly Owned	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
14	Fidelity Government MMMF SPAXX	Jointly Owned	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
15	Schwab Strategic Emerging Mkts Equity ETF SCHE	Dependent Child	Yes	\$1,001 - \$15,000		None (or less than \$201)

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16	Ishares S&P Value ETF IVE	Dependent Child ▼	Yes ▼	\$1,001 - \$15,000 ▼	▼	None (or less than \$201) ▼	- +
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PART 4. FILER'S EMPLOYMENT AGREEMENTS AND ARRANGEMENTS
(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Report any agreements or arrangements that you had during the reporting period for the following: (1) continuing participation in an employee welfare or benefit plan maintained by a former employer; (2) leave of absence; (3) future employment; or (4) continuation of payments by a former employer (e.g., severance payments).

Select "None" if you do not have anything to report. Click [Part 4 Detailed Instructions](#) for additional reporting information and exceptions.

Filer's Name: Austan Goolsbee

None *(Nothing to report)*

#	Employer or Party	City/State	Status and Terms	Start Date (MM/YYYY)	
1	University of Chicago	Chicago, Illinois	On unpaid leave status as a tenured professor of economics for 2024 with the possibility of extension for another year on approval of the Provost as per University policy.	01/2023	-
2	(continued)		While I remain a faculty member, my children in college remain eligible for the Faculty Scholarship Plan, a benefit available to all tenure track faculty as per University policy.		-
3	University of Chicago	Chicago, Illinois	I continue to participate in the defined contribution retirement plan. The plan sponsor will not make contributions while I am on leave.	01/2023	-
4	National Bureau of Economic Research	Cambridge, Massachusetts	I continue to participate in this defined contribution retirement plan. The plan sponsor does not make contributions.	07/1998	- +

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PART 5. TRANSACTIONS

(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Report any purchase, sale, or exchange of real property or securities in excess of \$1,000 that was made by you, your spouse or domestic partner, or your dependent child during the reporting period. This Part is not required for New Filer reports.

Select "None" if you do not have anything to report. Click [Part 5 Detailed Instructions](#) for additional reporting information and exceptions.

Filer's Name: Austan Goolsbee

None (Nothing to report)

#	Description	Owner	Type	Date (MM/DD/YYYY)	Amount
1	Victory Funds Income Stock Fund (IRA) (Automatic dividend reinvestment--Quarterly)	Spouse / Domestic Partner ▼	Purchase ▼		\$15,001 - \$50,000 ▼ -
2	Vanguard Index Fund S&P 500 ETF VOO (Automatic dividend reinvestment--Quarterly)	Filer ▼	Purchase ▼		\$15,001 - \$50,000 ▼ -
3	Ishares MSCI EAFE Value ETF EFV (Automatic dividend reinvestment--Biannual)	Filer ▼	Purchase ▼		\$1,001 - \$15,000 ▼ -
4	Vanguard Extended Market Index Fund VEMPX (Automatic dividend reinvestment--Quarterly)	Filer ▼	Purchase ▼		\$1,001 - \$15,000 ▼ -
5	Vanguard Institutional Index Fund VIIIX (Automatic dividend reinvestment--Quarterly)	Filer ▼	Purchase ▼		\$1,001 - \$15,000 ▼ -
6	Vanguard Small-Cap Value Index Fund VSIIX (Automatic dividend reinvestment--Quarterly)	Filer ▼	Purchase ▼		\$15,001 - \$50,000 ▼ -
7	Vanguard Emerging Markets Stock Index Fund VEMIX (Automatic dividend reinvestment--Quarterly)	Filer ▼	Purchase ▼		\$1,001 - \$15,000 ▼ - +

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PART 6. LIABILITIES

(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Report liabilities over \$10,000 that you, your spouse or domestic partner, or your dependent child owed at any time during the reporting period. Select “None” if you do not have anything to report. Click [Part 6 Detailed Instructions](#) for additional reporting information and exceptions.

Filer’s Name: Austan Goolsbee

None (Nothing to report)

#	Creditor Name	Debtor	Type	Amount	Year Incurred	Interest Rate	Term	More Favorable Terms?
1								

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PART 7. GIFTS

(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Report gifts totaling more than \$480 that you, your spouse or domestic partner, and your dependent children received from any one source during the reporting period. If more than one gift was received from a single source: (1) Determine the value of each item received from that source; (2) exclude each item valued at \$192 or less and (3) add the value of those items valued at more than \$192. If the total is more than \$480 then you must report each item valued at more than \$192. This Part is not required for New Filer reports.

Select "None" if you do not have anything to report. Click [Part 7 Detailed Instructions](#) for additional reporting information and exceptions.

Filer's Name: Austan Goolsbee

None (Nothing to report)

#	Source Name	City/State	Brief Description	Value
1				+

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PART 8. OTHER SITUATIONS

(Note: This is a public form; do not include account numbers, street addresses, or family member names.)

Reporting Requirement: Describe any other relationship or circumstance that you believe might constitute an actual or apparent conflict of interest. For example, if your father-in-law is the president of a company with which the Bank does business, you should report that in this section.

Select “None” if you do not have anything to report. Click [Part 8 Detailed Instructions](#) for additional reporting information.

Filer’s Name: Austan Goolsbee

None *(Nothing to report)*

Other Situations

Detailed Instructions

General Instructions

Federal Reserve Bank policy requires the reporting and publishing of this information, which will be reviewed to determine compliance with applicable Federal Reserve policies and federal laws. Falsification of information or failure to file or report information required to be reported may subject you to disciplinary action, including termination of employment.

Who Must File?

- President
- FRBNY First Vice President
- Any officer authorized to vote at an FOMC meeting

When to File/Reporting Period

New Filers: Complete promptly upon request of your Ethics Officer, but no later than 30 days after assuming a covered position.

Annual Filers: No later than May 15 annually.

Separation Filers: Complete within 30 days of the date that you no longer hold a position that requires the filing of this report ("covered position"). The reporting period begins on the end of the period covered by your previous filings and ends on the date that you no longer hold a covered position.

Extensions: In coordination with the Board Designated Ethics Officer, the Reserve Bank's Ethics Officer may grant you an extension of up to 45 days for good cause shown with the possibility of one additional extension of up to 45 days.

Where to File

With the Reserve Bank's Ethics Officer, or that person's delegee, at the Bank.

Scope of Disclosure

The extent of the reporting requirement is noted in each Part.

In addition to your individual financial information, you are required to report information concerning your spouse, domestic partner, and dependent children in several Parts of the Form A, and information regarding positions held by other individuals (your spouse, domestic partner, child, parent or sibling) in Part 1 of the form. However, no report is required with respect to your spouse or domestic partner if they are living separate and apart from you with the intention of terminating the marriage or providing for permanent separation.

There are other exceptions to the reporting of assets and income, transactions, and liabilities of a spouse, domestic partner, or dependent child, which are discussed in the instructions applicable to those subjects.

A basic premise of the financial disclosure requirements is that those having responsibility for review of reports filed must be given sufficient information by reporting individuals concerning the nature of their outside interests and activities so that an informed judgment can be made with respect to compliance with applicable conflict of interest laws and standards of conduct. Therefore, it is important that you carefully complete all required Parts of the Form A. This report is a safeguard for you as well as the Federal Reserve System, in that it provides a mechanism for determining actual or potential conflicts between your responsibilities as a Bank employee and your private interests and activities and allows you and the Bank to fashion appropriate protections against such conflicts when they first appear.

If, after reviewing your Form A, the Ethics Officer concludes that they need additional information from you, you will be so advised and are required to provide the requested information.

Part 1: Positions Held Outside the Federal Reserve System

Applicability

All filers complete Part 1.

Reporting Period

New Filer: Preceding two calendar years and current year to filing date.

Annual Filer: Preceding calendar year and current year to filing date.

Separation Filer: Current calendar year to separation date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed).

Exceptions

Do not report the following: (1) positions held as part of your official duties with the Federal Reserve System; (2) positions with religious, social, fraternal, or political entities; (3) positions solely of an honorary nature; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

In addition, you do not need to report service as a member of an advisory board or committee if the following criteria are met: (1) the advisory board or committee is that of a non-profit or governmental organization; (2) your service is unpaid; (3) you have no fiduciary duties of the sort exercised by officers, directors, or trustees; and (4) your role does not involve sufficient supervision by the organization to create a common law employee-employer relationship.

Definition(s)

Depository Institution: a bank, credit union, savings and loan association, savings bank, or trust company.

Completing the Fields

Organization Name: Provide the name of the organization.

City/State: Provide the city and state in which the organization is located.

Organization Type: Describe the type of organization.

Position Held: Provide the title or a brief functional description of the position you held.

Position Holder: Provide the identity of the person who holds the position based on their relationship to you (e.g., “filer,” “spouse,” “domestic partner,” etc.).

From: Provide the month and year in which the position began.

To: Provide the month and year in which the position ended. If the position is still held, write “present.”

[Go to Part 1](#)

Part 2: Filer's & Spouse's or Domestic Partner's Employment Assets & Income and Retirement Accounts

Applicability

All filers complete Part 2.

Reporting Period

New Filer: Preceding calendar year and current year to filing date.

Annual Filer: Preceding calendar year.

Separation Filer: Current calendar year to separation date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed).

Exceptions

Do not include assets or income from employment by the Bank, the United States Government, or from any retirement system of the United States or the Federal Reserve System (including the Thrift Plan) or from social security. In addition, do not include assets that were acquired separately from your or your spouse's or domestic partner's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account) because you will report these assets in Part 3.

Definition(s)

Excepted Investment Fund: An excepted investment fund is an investment fund that is: (1) widely held; (2) either publicly traded or available or widely diversified; and (3) independently managed, meaning you neither exercise control nor have the ability to exercise control over the financial interests held by the fund. A fund is widely diversified if it does not have a stated policy of concentrating its investments in any industry, business, or single country other than the United States or bonds of a single state within the U.S.

Received: You have received income when you have the right to exercise control over the income regardless of whether you have taken actual possession.

Completing the Fields

Description: Provide a description sufficient to identify the asset or source being reported.

Owner: Identify the owner of the asset or income by selecting “Filer,” “Spouse/Domestic Partner” or “Jointly Owned.”

EIF: If you are reporting an investment vehicle that invests in assets of its own, you need to report each underlying asset that was individually worth more than \$1,000 at the end of the reporting period or from which more than \$200 in income was received during the reporting period. As an exception to this requirement, however, you do not need to report each underlying asset of an investment vehicle that qualifies as an excepted investment fund (EIF). Indicate whether your entry qualifies as an excepted investment fund.

Value: Report the value of an asset by selecting the appropriate category.

Income Type:

- (1) Income Less than \$201: Leave this field blank.
- (2) Asset Qualifies as an EIF: Leave this field blank.
- (3) Dividends, Interest, Capital Gains, or Rent or Royalties: Enter these types of income into the field.
- (4) Other Income: Provide an appropriate description (e.g., “salary”).

Income Amount:

- (1) Income Less than \$201: Select “None (or less than \$201).”
- (2) Asset Qualifies as an EIF: Select the category that corresponds to the total amount of income received during the reporting period.
- (3) Dividends, Interest, Capital Gains or Rent or Royalties: Select the category that corresponds to the total amount of income received during the reporting period.
- (4) Other Cases: Provide the exact amount of income received during the reporting period in the space provided.

The value and income amount fields include a category labeled “Over \$1,000,000.” You may use this category only for your spouse's or domestic partner's assets. Do not use this category for your assets or assets held jointly with your spouse or domestic partner.

[Go to Part 2](#)

Part 3: Other Assets and Income

Applicability

All filers complete Part 3.

Reporting Period

New Filer: Preceding calendar year and current year to filing date.

Annual Filer: Preceding calendar year.

Separation Filer: Current calendar year to separation date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed).

Exceptions

Do not report any of the following: (1) a personal residence that you did not rent out during the reporting period; (2) retirement benefits from the United States Government or Federal Reserve System, including the Thrift Plan; (3) income from social security, veteran's benefits, and other similar United States Government benefits; (4) deposits in a single financial institution aggregating \$5,000 or less in money market accounts, certificates of deposit, savings accounts, checking accounts or other cash deposits (unless the income exceeded \$200); (5) shares in a single money market mutual fund aggregating \$5,000 or less (unless the income exceeded \$200); (6) loans made by you or your spouse or domestic partner to each other or to a parent, sibling, child, or grandchild; (7) interests of a spouse or domestic partner living separate and apart with the intention of terminating the marriage or providing for a permanent separation; (8) interests of a former spouse (or domestic partner) or a spouse (or domestic partner) from whom

you are permanently separated; and (9) payments from a spouse (or domestic partner) or former spouse (or domestic partner) associated with a divorce or permanent separation.

Definition(s)

Dependent Child: Your son, daughter, stepson or stepdaughter if such person is either: (1) unmarried, under age 21, and living in your household, or (2) is claimed as a dependent on your federal income tax return.

Completing the Fields

Complete these fields using the instructions from Part 2 with two exceptions:

- The value and income amount fields include a category labeled "Over \$1,000,000." You may also use this category for your spouse's, domestic partner's, or dependent child's assets. Do not use this category for your assets or assets held jointly with your spouse, domestic partner, or dependent child.
- The owner field also includes an option for "Dependent Child." Use this category for assets owned by your dependent child.

Example Assets to be Reported in this Part:

Items reported in this Part would include assets within non-retirement brokerage accounts, trusts, or college savings plans (529 plans), rental property, intellectual property, and stock options. Questions about reportable assets may be directed to your Ethics Officer.

[Go to Part 3](#)

Part 4: Filer's Employment Agreements and Arrangements

Applicability

All filers complete Part 4.

Reporting Period

New Filer: As of the date of filing.

Annual Filer: Preceding calendar year and current year to filing date.

Separation Filer: Current calendar year to separation date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed).

Exceptions

Do not report the following: (1) agreements and arrangements with the United States Government or Federal Reserve System, such as your participation in the Federal Employees Retirement System, the Civil Service Retirement System, or Federal Reserve System benefit plans; (2) agreements and

arrangements of your spouse or your domestic partner or your dependent children; and (3) if you are a New Filer, any agreement or arrangement that will end before you file your report.

Completing the Fields

Employer or Party: Provide the parties to the agreement or arrangement, other than yourself. In most cases, the other party will be your employer.

City/State: Provide the city and state of the other parties.

Status and Terms: Briefly describe the type of agreement or arrangement, its terms (in particular, the timing and form of any payments), and its current status.

Start Date: Provide the month and year in which the agreement or arrangement began. In many cases, this will be when you joined the employer or otherwise became eligible for coverage under the agreement or arrangement.

[Go to Part 4](#)

Part 5: Transactions

Applicability

Complete Part 5 if you are filing an Annual or Separation report. Otherwise, leave this Part blank.

Reporting Period

New Filer: N/A

Annual Filer: Preceding calendar year.

Separation Filer: Current calendar year to separation date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed).

Exceptions

Do not report the following: (1) a personal residence, unless the personal residence was rented out at any point during the reporting period; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, notes, and bonds; (4) Thrift Plan accounts; (5) an underlying asset held within an excepted investment fund, an excepted trust, or a qualified trust; (6) transactions that you already reported in your periodic transaction report; (7) transactions that occurred when you were not a Form A filer or an employee of the Federal Reserve System; (8) transactions that occurred solely by and between you, your spouse or domestic partner, and your dependent children; (9) interests of a spouse or domestic partner living

separate and apart with the intention of terminating the marriage/partnership or providing for a permanent separation; and (10) interests of a former spouse (or domestic partner) or a spouse (or domestic partner) from whom you are permanently separated.

Definition(s)

Dependent Child: Your son, daughter, stepson or stepdaughter if such person is either: (1) unmarried, under age 21, and living in your household, or (2) is claimed as a dependent on your federal income tax return.

Completing the Fields

Description: Provide the name of the asset.

Owner: Identify the owner of the asset by selecting "Filer," "Spouse/Domestic Partner," "Dependent Child," or "Jointly Owned."

Type: Specify the type of transaction as a purchase, sale, or exchange.

Date: Provide the month, day, and year of the transaction.

Amount: Report the amount of the transaction by selecting the appropriate category. You may use the "Over \$1,000,000" category only for transactions involving your spouse's, domestic partner's, or dependent child's assets. Do not use this category for your assets or assets held jointly with your spouse or domestic partner, or dependent child.

[Go to Part 5](#)

Part 6: Liabilities

Applicability

All filers complete Part 6.

Reporting Period

New Filer: Preceding calendar year and current year to filing date.

Annual Filer: Preceding calendar year.

Separation Filer: Current calendar year to separation date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed).

Exceptions

Do not report the following: (1) loans secured by a personal motor vehicle, household furniture, or appliances, provided that the loan does not exceed the item's purchase price; (2) revolving charge accounts, such as credit card accounts, provided that payment on the indebtedness is current; (3) personal liabilities owed to a spouse or domestic partner, parent, sibling, or child of yours, your spouse or domestic partner, or your dependent child; (4) liabilities of a spouse or domestic partner living separate and apart with the intention of terminating the marriage or providing for a permanent separation; (5) liabilities of a former spouse (or domestic partner) or a spouse (or domestic partner) from whom you are permanently separated; and (6) obligations arising from divorce

or permanent separation.

Definition(s)

Dependent Child: Your son, daughter, stepson or stepdaughter if such person is either: (1) unmarried, under age 21, and living in your household, or (2) is claimed as a dependent on your federal income tax return.

Completing the Fields

Creditor Name: Provide the name of the creditor/lending institution.

Debtor: Identify the person who owes the debt by selecting "Filer," "Spouse/Domestic Partner," "Dependent Child," or "Joint."

Type: Identify the type of liability.

Amount: Select the appropriate category of amount or value. For revolving charge accounts, use the value of the liability at the end of the reporting period. For all other liabilities, select the category that corresponds to the highest amount owed during the reporting period. You may use the "Over \$1,000,000" category only for your spouse's, domestic partner's, or dependent child's liabilities. Do not use this category for your liabilities or a joint liability for you and your spouse or domestic partner, or dependent child.

Year Incurred: Provide the year that the liability was incurred.

Interest Rate: Provide the interest rate. Describing the rate in reference to a prime rate, such as "prime + 1" is also sufficient.

Term: Specify in years or months the time that the loan allows for repayment. If applicable, you may write “on demand” or “revolving.”

More favorable terms?: Select “yes” if, to your knowledge, the

extension of credit was made on terms more favorable than those offered to a person not employed by the Bank. Otherwise, select “no.”

[Go to Part 6](#)

Part 7: Gifts

Applicability

Complete Part 7 if you are filing an Annual or Separation report. Otherwise, leave this Part blank.

Reporting Period

New Filer: N/A

Annual Filer: Preceding calendar year.

Separation Filer: Current calendar year to separation date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed).

Exceptions

Do not report the following: (1) anything received from a relative; (2) bequests and other forms of inheritance; (3) suitable mementos of a function honoring you (e.g., retirement party); (4) food, lodging, transportation, and entertainment or reimbursements provided by a foreign government within a foreign country or by the United States Government, the District of Columbia, or a State or local government; (5) food and beverages not consumed in connection with a gift of overnight lodging; (6) anything given to your spouse or domestic partner or dependent child totally independent of their relationship to you; (7) gifts in the nature of communications to your office,

such as subscriptions to newspapers and periodicals; (8) gifts of hospitality (food, lodging, entertainment) on the donor’s personal or family premises, as defined in 5 C.F.R. Part 2634; and (9) any gifts received when you were not an employee of the Federal Reserve System.

Definition(s)

Dependent Child: Your son, daughter, stepson or stepdaughter if such person is either: (1) unmarried, under age 21, and living in your household, or (2) is claimed as a dependent on your federal income tax return.

Completing the Fields

Source Name: Provide the identity of the source.

City/State: Provide the source’s city and state of business or residence.

Brief Description: Describe the nature of the item received. Although not required, it is helpful to specify your relationship to the source or note the basis on which you accepted the gift.

Value: Provide the fair market value of the gift(s).

[Go to Part 7](#)

Part 8: Other Situations

Applicability

All filers complete Part 8.

Reporting Period

New Filer: As of the date of filing.

Annual Filer: As of the date of filing.

Separation Filer: As of the date of filing.

[Go to Part 8](#)