

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

Filer's Information

Althen, William I.

Acting Chairman, Federal Mine Safety and Health Review Commission

Report Year: 2018

Other Federal Government Positions Held During the Preceding 12 Months:

Commissioner, Federal Mine Safety and Health Review Commission (8/2013 - 1/2017) See endnote

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/ Althen, William I. [electronically signed on 09/12/2018 by Althen, William I. in Integrity.gov] - Filer received a 90 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/ Sullivan, John T, Certifying Official [electronically signed on 10/31/2018 by Sullivan, John T in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/18/2019 by Apol, David in Integrity.gov]

Data Revised 10/31/2018

Data Revised 10/30/2018

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			None (or less than \$201)
1.1	BlackRock Liquidity Funds FedFund-Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Edgewood Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	iShares MSCI ACWI ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Tweedy, Brown Global Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	Vanguard Dividend Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Baird Intermediate Bond Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	Vanguard Short-Term Investment-Grade Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	U.S. Brokerage money market account (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank IRA #1 (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
2	U.S. bank IRA #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. bank account #3 (cash)	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
5	Genworth Financial, fixed annuity	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
6	Wash. Gas Light Co.	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	U.S. Brokerage Account		No			
7.1	Target Corp.	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.2	CVS Health Corp.		N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
7.3	Unilever N.V.		N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
7.4	Schlumberger Ltd.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.5	American International Group	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
7.6	Citigroup Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.7	CME Group Inc.		N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
7.8	Washington Federal	See Endnote	N/A	None (or less than \$1,001)	Interest Capital Gains	\$1,001 - \$2,500
7.9	Foundation Medicine Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.10	Illumina Inc.		N/A	\$15,001 - \$50,000		None (or less than \$201)
7.11	Merck & Co.	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
7.12	Novartis AG ADR		N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
7.13	Roche Holding AG	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
7.14	Alphabet Inc. CI A		N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.15	Apple Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.16	First Eagle Global Fund	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.17	Florida State Municipal Power	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
7.18	Florida State Board of Education bonds	See Endnote	N/A	\$15,001 - \$50,000	Interest Capital Gains	\$1,001 - \$2,500
7.19	SPDR Nuveen Bloomberg Barclays Short-Term Municipal Bond ETF	See Endnote	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
7.20	Buffalo Discovery Fund	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.21	GrubHub Inc..		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.22	Walt Disney Co.		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.23	CVS Health Corp.		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.24	Estee Lauder Cos.	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
7.25	Range Resources Corp.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.26	American International Group	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
7.27	Goldman Sachs Group Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.28	NASDAQ Inc.		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.29	Daifuku Co., Ltd.		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.30	Cognex Corp.		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.31	Microsoft Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.32	Ecolab Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.33	Verizon Communications Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.34	American Electric Power	See Endnote	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
7.35	Union Pacific Corp. bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.36	BB&T Corporation bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.37	CVS Health Corp. bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.38	Federal Realty Investment bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.39	Xilinx Inc. bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.40	Capital One Financial Corp. bonds	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
7.41	Univ. of North Carolina bonds	See Endnote	None (or less than \$1,001)	Interest Capital Gains	\$2,501 - \$5,000
7.42	Memphis Tennessee Center City Finance Rev. bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.43	District of Columbia Rev. bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.44	California State HSG FIN AGY Rev. bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.45	Amazon.com Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.46	Henrico County bonds	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
7.47	General Electric Co		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.48	ING Groep		N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
7.49	Range Resources Corp		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.50	East Stroudsburg bonds	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
7.51	First Eagle Global Fund	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.52	General Mills	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
7.53	Regeneron Pharmaceuticals Inc	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
7.54	Cyrusone REIT		N/A	\$1,001 - \$15,000		None (or less than \$201)
7.55	The Hiroshama Bank, Ltd.	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8	SEP-IRA		No			
8.1	Amazon.com Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.2	Spectra Energy	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.3	WGL Holdings, Inc.		N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.4	Vanguard Dividend Growth Funds		Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.5	Prince William Cty VA bonds	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.6	District of Columbia Rev bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
8.7	Scago Educational Facilities Corp. (South Carolina) bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.8	Halifax Florida Hosp & Med Ctr bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.9	Univ. of North Carolina bonds	See Endnote	N/A	None (or less than \$1,001) Capital Gains Interest	\$201 - \$1,000
8.10	Met Gov't Nashville TN	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
8.11	Rockland Cnty New York bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.12	Chesapeake Bay Virginia Transportation Revenue bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
8.13	Virginia State Public Bldg Auth General Obligation bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.14	Lancaster Cnty Pennsylvania Hosp Med Facilities bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.15	Montgomery Cnty Pennsylvania Indl Education Rev bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.16	Virginia State Commonwealth Transportation Rev bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.17	Fredericksburg Virginia Econ Dev Auth Med Facilities bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.18	Nike Inc. Cl B	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.19	Unilever N.V.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.20	Spectra Energy	See Endnote	N/A	None (or less than \$1,001) Dividends Capital Gains	\$201 - \$1,000
8.21	Citigroup Inc.		N/A	\$15,001 - \$50,000 Dividends	\$201 - \$1,000
8.22	CME Group Inc.		N/A	\$15,001 - \$50,000 Dividends	\$201 - \$1,000
8.23	Discover Financial Services, Inc.	See Endnote	N/A	None (or less than \$1,001) Dividends Capital Gains	\$201 - \$1,000
8.24	Washington Federal	See Endnote	N/A	None (or less than \$1,001) Dividends Capital Gains	\$201 - \$1,000
8.25	Foundation Medicine, Inc.		N/A	\$100,001 - \$250,000	None (or less than \$201)
8.26	Illumina Inc.		N/A	\$15,001 - \$50,000	None (or less than \$201)
8.27	Merck & Co.	See Endnote	N/A	None (or less than \$1,001) Dividends Capital Gains	\$201 - \$1,000
8.28	Novartis AG ADR		N/A	\$15,001 - \$50,000 Dividends	\$201 - \$1,000
8.29	Roche Holding AG	See Endnote	N/A	None (or less than \$1,001) Capital Gains Dividends	\$201 - \$1,000
8.30	Danaher Corp.		N/A	\$15,001 - \$50,000	None (or less than \$201)
8.31	Alphabet Inc. Cl A		N/A	\$15,001 - \$50,000 Dividends	\$201 - \$1,000
8.32	Apple Inc.		N/A	\$15,001 - \$50,000	None (or less than \$201)
8.33	AbbVie Inc.		N/A	None (or less than \$1,001) Interest Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.34	AMG Managers Bond Fund	See Endnote	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
8.35	Nuveen Symphony Floating Rate Income Fund	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
8.36	Estee Lauder Cos.	See Endnote	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.37	Grubhub Inc.		N/A	\$50,001 - \$100,000		None (or less than \$201)
8.38	Walt Disney Co.		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.39	Goldman Sachs Group Inc.		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.40	NASDAQ Inc.		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.41	Daifuku Co. Ltd.		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.42	Cognex Corp.		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.43	Microsoft Corp.		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.44	Ecolab Inc.		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.45	American Electric Power	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.46	Indiana State Fin Auth Environmental Improvement Rev bonds		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.47	Pennsylvania State Econ Dev Rev bonds		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.48	Pennsylvania State General Obligation bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
8.49	Skagit Cnty Washington Public Hosp Dev bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

7. Transactions

None

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
Filer's Information	1	Named Acting Chairman of the Commission in January 2017.
6.	7.1	No longer owned.
6.	7.5	No longer owned.
6.	7.8	No longer owned.

PART	#	ENDNOTE
6.	7.11	No longer owned
6.	7.13	No longer owned
6.	7.16	No longer owned.
6.	7.17	No longer owned
6.	7.18	No longer owned
6.	7.19	No longer owned
6.	7.20	No longer owned
6.	7.24	No longer owned.
6.	7.26	No longer owned
6.	7.34	Purchased in December 2016, sold in Jan. 2017, due to conflict posed by ownership of two lignite mines, so no longer owned. I did not participate in a particular matter affecting American Electric Power.
6.	7.41	No longer owned
6.	7.46	No longer owned
6.	7.50	No longer owned.
6.	7.51	No longer owned
6.	7.52	No longer owned
6.	7.53	No longer owned
6.	7.55	No longer owned
6.	8.2	No longer owned
6.	8.9	No longer owned
6.	8.20	No longer owned
6.	8.23	No longer owned.

PART	#	ENDNOTE
6.	8.24	No longer owned
6.	8.27	No longer owned
6.	8.29	No longer owned
6.	8.34	No longer owned
6.	8.35	No longer owned
6.	8.36	No longer owned
6.	8.45	Purchased in December 2016, sold in Jan. 2017, due to conflict posed by ownership of two lignite mines, so no longer owned. I did not participate in a particular matter affecting American Electric Power.

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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