

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

Filer's Information

Cohn Hutcheson, Robin M

Deputy Assistant Secretary for Safety Policy, Department of Transportation

Date of Appointment: 01/20/2021

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/ Cohn Hutcheson, Robin M [electronically signed on 02/18/2021 by Cohn Hutcheson, Robin M in Integrity.gov]

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

/s/ Carlson, Terence W, Certifying Official [electronically signed on 04/18/2021 by Carlson, Terence W in Integrity.gov]

Other review conducted by

/s/ Deavers, Lynn, Ethics Official [electronically signed on 03/31/2021 by Deavers, Lynn in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 04/12/2021

Data Revised 04/05/2021

Data Revised 03/29/2021

Data Revised 03/24/2021

Data Revised 03/22/2021

Data Revised 03/18/2021

Data Revised 03/17/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	City of Minneapolis		Minneapolis, Minnesota	Municipality	Director of Public Works	8/2016	1/2021
2	Family Trust #1		New York, New York	Trust	Co-Trustee	11/2012	Present
3	Family Trust #2		New York, New York	Trust	Co-Trustee	11/2012	Present
4	Family Trust #3		New York, New York	Trust	Co-Trustee	11/2012	Present
5	Family Trust #4		New York, New York	Trust	Co-Trustee	9/2017	Present
6	Family Trust #5		New York, New York	Trust	Co-Trustee	9/2017	Present
7	Family LLC #1		New York, New York	Corporation	Partial Owner	12/2012	Present
8	Family LLC #2		New York, New York	Corporation	Partial Owner	5/2014	Present
9	National Association of City Transportation Officials (NACTO)	See Endnote	New York, New York	Non-Profit	President / Vice President	1/2018	1/2021
10	Open Mobility Foundation		Washington, District of Columbia	Non-Profit	Board member	5/2019	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	City of Minneapolis	N/A		Salary	\$208,000
2	Minnesota Public Employees Retirement Association	See Endnote	Yes	\$50,001 - \$100,000	\$5,001 - \$15,000
3	ICMA Retirement 457: Vantagepoint MP Long Term Growth R5 (VPLGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	F and P Profit Sharing: Prudential Age Appropriate Moderate Goal Maker IncomeFlex Target Balanced Fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5	IRA #1 (Fidelity)				
5.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Fidelity Freedom 2030 Fund (FFEX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Utah Retirement Systems, defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	ICMA Retirement 457	Salt Lake City, Utah	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	5/2006
2	Utah Retirement Systems	Salt Lake City, Utah	I will continue to participate in this defined benefit plan.	10/2011
3	Fehr and Peers Profit Sharing	Walnut Creek, California	Profit sharing plan invested in mutual fund. Company does not contribute to it.	6/1997

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	City of Minneapolis	Minneapolis, Minnesota	Director of Public Works

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of Utah	N/A		salary	
2	3D4Medical Inc./Elsevier (The company produces an application for training medical students.)	N/A		salary, consulting fees	
3	Roth IRA				
3.1	T. Rowe Price New Horizons Fund (PRNHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	T. Rowe Price Retirement 2040 Fund (TRRDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	401a				
4.1	Fidelity Mid Cap Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	Fidelity 500 Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.3	Fidelity Extended Market Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	403b				
5.1	Fidelity Emerging Markets Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2	Fidelity Global ex U.S. Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	457b: Fidelity Small Cap Discovery Fund	Yes	\$15,001 - \$50,000		

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rental Home, Salt Lake City, UT	No		Rent or Royalties	\$15,001 - \$50,000
2	T. Rowe Price Communication and Tech Fund (PRMTX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3	T Rowe Price Mid-Cap Value Fund, Inc Class I Shares (RPMGX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4	T Rowe Price New Horizons Fund, Inc Class I Shares (PRNHX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5	Bank Account #1	No	\$15,001 - \$50,000		None (or less than \$201)
6	Bank Account #2	See Endnote	\$50,001 - \$100,000		\$201 - \$1,000
7	Family LLC #1				
7.1	ISHARES RUSSELL 2000 VALUE ETF (IWN)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.2	ISHARES RUSSELL 2000 GROWTH ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.3	ISHARES S&P 500 VALUE ETF (IVE)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.4	ISHARES S&P 500 GROWTH ETF (IVW)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.5	ISHARES MSCI EAFE ETF (EFA)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.6	ISHARES MSCI EMERGING MARKETS ETF (EEM)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.7	NEW YORK ST URBAN DEV CORP REV ST PERSONAL INCOME	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.8	EULESS TEX WTRWK & SWR SYS REV REV BDS 2013	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.9	N Y ST THRUWAY AUTH SECOND GENERAL HIGHWAY & BRIDGE TRUST FND BDS SER 2011A-1	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.10	NEW YORK CITY MUN WTR FIN AUTH WTR AND SWR SYS SECONG GENERAL RESOLUTION FISCAL 2011 SER HH	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.11	NEW YORK N Y GO BDS 2012F GO	N/A			None (or less than \$201)
7.12	GEORGIA ST GO BDS 2012 A GO	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.13	DORM AUTH OF THE ST OF NY ST PERS INCOME TAX REV RFDG BDS GENERAL PURPOSE SER 2012	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.14	NEW YORK N Y CITY TRANSITIONAL REV BDS 2013 S	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.15	NEW YORK ST TWY AUTH ST PERS I REV BDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.16	NEW YORK ST DORM AUTH ST PERS REV BDS 2012B	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.17	NEW YORK N Y CITY MUN WTR FIN AUTH WTR AND SWR SYS SECOND GEN RESOLUTION REV BDS FISCAL	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.18	NEW YORK N Y CITY TRANSITIONAL FUTURE TAX	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.19	NEW YORK N Y CITY TRANSITIONAL REV BDS 2018 S	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.20	JPMORGAN DEPOSIT ACCT A ADVISORY NON RET JPMC BK NA	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.21	ISHARES SELECT DIVIDEND ETF (DVY)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.22	ISHARES TRUST ISHARES INTERNATIONAL SELECT DIVIDEND ETF (IDV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.23	ISHARES CORE HIGH DIVIDEND ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.24	ISHARES TR ISHARES CORE DIVIDEND GROWTH ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.25	VANGUARD INDEX FUNDS VANGUARD HIGH DIVIDEND YIELD ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.26	FEDERATED HRMS STR VALUE DIV CL R6CL R6	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	Family LLC #2				
8.1	ISHARES RUSSELL 2000 VALUE ETF (IWN)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.2	ISHARES RUSSELL 2000 GROWTH ETF (IWO)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.3	ISHARES S&P 500 VALUE ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.4	ISHARES S&P 500 GROWTH ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.5	ISHARES MSCI EAFE ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.6	ISHARES MSCI EMERGING MARKETS ETF (EEM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.7	PORT AUTH N Y & N J FOR ISSUES CONSOLIDATED	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.8	NEW YORK N Y GO BDS 2012F GO	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.9	NEW YORK ST TWY AUTH SECOND GE TRUST FUND BDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.10	NEW YORK ST URBAN DEV CORP REV ST PERSONAL INCOME	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.11	NEW YORK N Y CITY TRANSITIONAL FUTURE TAX	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.12	GEORGIA ST GO BDS 2012 A GO	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.13	NEW YORK ST TWY AUTH ST PERS I REV BDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.14	AUSTIN TEX ELEC UTIL SYS REV REV REF BDS 2012	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.15	NEW YORK N Y GO BDS F-1 GO	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.16	NEW YORK N Y CITY MUN WTR FIN AUTH WTR AND SWR SYS SECOND GEN RESOLUTION REV BDS FISCAL	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.17	NEW YORK ST URBAN DEV CORP REV INCOME TAX REV	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.18	DISTRICT COLUMBIA INCOME TAX R REV BDS 2011 A	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.19	NEW YORK N Y CITY TRANSITIONAL REV BDS 2018 S	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.20	JPMORGAN DEPOSIT ACCT A ADVISORY NON RET JPMC BK NA	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Family Trust #3	No	\$1,000,001 - \$5,000,000	Dividends Interest	\$15,001 - \$50,000
9.1	Cash (USD)	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.2	ISHARES RUSSELL 2000 VALUE ETF (IWN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3	ISHARES RUSSELL 2000 GROWTH ETF (IWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.4	ISHARES S&P 500 VALUE ETF (IVE)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.5	ISHARES S&P 500 GROWTH ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.6	ISHARES MSCI EAFE ETF (EFA)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.7	ISHARES MSCI EMERGING MARKETS ETF (EEM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.8	N Y CITY TRANSITIONAL FIN AUTH FUTURE TAX SECURED BDS 2012F-1	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.9	NEW YORK N Y CITY TRANSITIONAL FUTURE TAX	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.10	NEW YORK ST ENVIRONMENTAL FACS REV BDS 2011B	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.11	NEW YORK N Y GO BDS 2012A- GO	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.12	GEORGIA ST GO BDS 2012 A GO	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.13	NEW YORK N Y CITY MUN WTR FIN SECOND GEN	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.14	NEW YORK N Y CITY TRANSITIONAL REV BDS 2013 S	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.15	NEW YORK ST DORM AUTH ST PERS REV BDS 2012B	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.16	TRIBOROUGH BRDG & TUNL AUTH N GEN REV BDS 2013C	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.17	NEW YORK ST URBAN DEV CORP REV INCOME TAX REV	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.18	ENERGY NORTHWEST WASH ELEC REV ELEC REV REF BDS 2016-A	N/A	\$50,001 - \$100,000		None (or less than \$201)
9.19	NEW YORK N Y CITY TRANSITIONAL BDS 2019 S	N/A	\$15,001 - \$50,000		None (or less than \$201)
9.20	JPMORGAN TAX FREE MONEY MARKET FUND INSTL SHARE (JTFXX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
10	Fidelity Investment Account				
10.1	Fidelity Government Cash Reserves (FDRXX)	No	\$1,001 - \$15,000		None (or less than \$201)
10.2	Fidelity Ariel Fund (ARGFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.3	Brown Advisory Sustain Growth Adv (BAWAX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10.4	Fidelity Advisor Diversified International Fund Class M Shares (FDIVX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.5	Fidelity Advisor Growth & Income Fund Class A Shares (FGRIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10.6	Fidelity Select Medical Technology & Devices (FSMEX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.7	CSX Corp. (CSX)	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Provident Funding	Mortgage (investment/rental property)	\$100,001 - \$250,000	2006	3.25	30

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	9	Vice President: January 2018 - January 2020 President: January 2020 - January 2021
2.	2	This account was closed and all funds returned to the plan after I departed my position with the City of Minneapolis because I did not meet the years of service requirement for vesting rights to the funds.
6.	6	This is the bank account solely for the rental income.

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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 the 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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 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. Failure to provide the requested information may result in separation, disciplinary action, or civil action. 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 a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) 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 this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. 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 ten 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, N.W., 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).
