

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Thompson, Diane

Senior Advisor to the Director, Bureau of Consumer Financial Protection

Report Year: 2022

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/ Thompson, Diane [electronically signed on 05/16/2022 by Thompson, Diane 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/ Vail, Amber, Certifying Official [electronically signed on 06/24/2022 by Vail, Amber in Integrity.gov]

Other review conducted by

/s/ Grant, Richard, Ethics Official [electronically signed on 06/13/2022 by Grant, Richard in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/24/2022

Data Revised 06/22/2022

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(06/22/2022, Vail, Amber): With filer's permission, I made some technical amendments to her report.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Trust #1	See Endnote	Godfrey, Illinois	Trust	Trustee (Unpaid)	5/2005	Present
2	Open Society Foundations		Washington, District of Columbia	Non-Profit	Leadership in Government Fellow	2/2020	1/2021
3	Ditech Holding Corporation Consumer Creditor Recovery Trust	See Endnote	, Delaware	Trust	Contractor	10/2019	Present
4	National Consumer Law Center		Washington, District of Columbia	Non-Profit	Of Counsel/ Contractor	7/2019	1/2021
5	Consumer Rights Regulatory Engagement and Advocacy Project		Washington, District of Columbia	The organization has no legal status or assets but is a d/b/a name to aggregate work I am doing.	Founder	2/2020	Present
6	David E. Kraus Revocable Trust		Takoma Park, Maryland	Trust	Trustee	6/2021	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard 500 Index (Traditional IRA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	Vanguard 500 Index (Roth IRA)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Ditech Holding Corporation Consumer Creditor Recovery Trust	N/A		contract income for services performed	\$29,280
4	National Consumer Law Center	N/A		contract payment for services rendered	\$3,059
5	Land of Lincoln 401(k) Plan	No			
5.1	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Land of Lincoln Legal Assistance Foundation	East St. Louis, Illinois	This is a traditional 401(k) retirement account established when I was employed at Land of Lincoln Legal Assistance. Neither Land of Lincoln nor myself are making any contributions to the plan or have made any contributions since 2007.	8/1994

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	Sqool Techs, LLC	N/A	\$1,001 - \$15,000	Business income	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Kickstarter Trangeek Movie (value not readily available)	N/A			None (or less than \$201)
3	Putnam Variable Annuity:	No			
3.1	Putnam VT Sustainable Leaders Fund (PNOPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	Putnam VT Global Equity (PEQBX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Vanguard 500 Index Fund Admiral Shares (Roth IRA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	Traditional IRA - Certificate of Deposit	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Merrill Retirement Account:	No			
6.1	Blackrock Capital (MAFGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Blackrock Global (MDLOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.3	Money Market Account - Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Vanguard International Growth Fund (VWIGX) - Roth IRA	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Vanguard 500 Index Fund Admiral (VFIAX) - Traditional IRA	Yes	\$250,001 - \$500,000		None (or less than \$201)
9	Amer Funds Investment Co of America A (AIVSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	Amer Funds SMALLCAP World A (SMCWX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11	Faith Matters	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Evergreen Heights Land Trust:	No	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
1.1	Residential Real Estate (Jersey County, Illinois)	N/A			
1.2	Farmland (Jersey County, Illinois)	N/A			
2	Vanguard 500 Index Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	Vanguard Long-Term Investment Grade Funds (VWETX & VWESX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4	Adobe Systems Inc	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	AEE Ameren Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6	Heartland Express Stock (HTLD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7	Hershey Corp (HSY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8	Lindsay Corp Stock (LNN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Microsoft stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Paychex, Inc. - Common Stock	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
11	Southwest Airlines (LUV)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Stryker Corp. (SYK)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
13	Target Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14	Zebra Technologies Corp Class A	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	(FMAGX) Fidelity Magellan	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
16	(FOCPX) Fidelity OTC Portfolio	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
17	(FSPTX) Fidelity Select Technology	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
18	(FSUTX) Fidelity Select Utilities Growth Portfolio	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
19	(FOSFX) Fidelity Overseas	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	TIAA-CREF IRA:	No			
20.1	TIAA Traditional	N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
20.2	CREF stock R3	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
21	IRA T.Rowe Price (inherited):	No			
21.1	T. Rowe Price New Horizons	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
21.2	(PRNEX) New Era	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
22	(TWCGX) American Century Growth Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	(BRWIX) AMG Managers Bradywine Class S		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
24	(OAKMX) Oakmark Fund Class I		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
25	Touchstone Focused Fund Class Y Shares (TFFYX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
26	T Rowe Price Science & Technology Fund, Inc (PRSCX)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
27	T. Rowe Price Emerging Markets Bond Fund		Yes	\$1,001 - \$15,000		\$201 - \$1,000
28	Vanguard 500 Index (child 2)		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
29	Vanguard Long-term Investment Grade Fund Investor Shares (child 2)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
30	Vanguard 500 Index (child 1 education savings)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
31	Vanguard Long Term Investment Grade (child 1 education savings)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
32	Vanguard 500 Index (child 2 education savings)	See Endnote	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
33	Whole Life Insurance - Country Financial		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
34	IRA Fidelity (inherited):		No			
34.1	(FSELX) Fidelity Select Semiconductors		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
34.2	(FCNTX) Fidelity Contra Fund		Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
34.3	(FMAGX) Fidelity Magellan		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	Aflac Stock	N/A	\$1,001 - \$15,000		\$201 - \$1,000
36	Illinois Bright Start 529:	No			
36.1	Index Equity Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
36.2	Index Fixed Income Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
36.3	Index Equity Portfolio	Yes	\$100,001 - \$250,000		None (or less than \$201)
36.4	Index Fixed Income Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
36.5	Blended Equity Portfolio	Yes	\$50,001 - \$100,000		None (or less than \$201)
37	U.S. Treasury Bond MTD 2036 DTD 2006-02-15	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
38	Vanguard 500 Index (inherited IRA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
39	Vanguard 500 Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
40	Vanguard International Growth Fund Investor	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
41	Vanguard Short-Term Investment Grade Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
42	U.S. bank #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	U.S. bank #2 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
44	Touchstone Large Cap Focused A (SENCX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
45	Vanguard Federal Money Market (VMFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	Vanguard 500 Index Admiral Shares (VFIAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
47	U.S. bank #3 (cash/CD)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
48	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
49	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
50	CVS Health Corp. (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	12 shares of Alphabet Inc Cl A (Googl)	Sale	02/19/2021	\$15,001 - \$50,000
2	12 shares of Alphabet Inc Cl C (Goog)	Sale	02/19/2021	\$15,001 - \$50,000
3	Vanguard 500 Index Fund Admiral Shares (VFIAX) multiple	Purchase	09/28/2021	\$15,001 - \$50,000
4	Vanguard International Growth Fund Admiral Shares (VWILX)	Purchase	12/15/2021	\$1,001 - \$15,000
5	Vanguard Long-Term Investment-Grade Fund Admiral Shares (VWETX)	Sale	07/07/2021	\$1,001 - \$15,000
6	Vanguard Long-Term Investment-Grade Fund Admiral Shares (VWETX) (multiple)	Purchase	05/04/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Fidelity Magellan Fund (FMAGX) multiple	Purchase	05/07/2021	\$15,001 - \$50,000
8	Fidelity Series Overseas Fund (FSOSX)	Purchase	12/03/2021	\$1,001 - \$15,000
9	Fidelity OTC Portfolio (FOCPX) multiple	Purchase	09/10/2021	\$15,001 - \$50,000
10	Fidelity Select Technology ((FSPTX) multiple	Purchase	04/09/2021	\$15,001 - \$50,000
11	Fidelity Utilities Portfolio (FSUTX)	Purchase	12/17/2021	\$1,001 - \$15,000
12	Fidelity Contrafund (FCNTX)	Sale	12/13/2021	\$50,001 - \$100,000
13	Fidelity Magellan Fund (FMAGX)	Sale	12/14/2021	\$1,001 - \$15,000
14	TIAA Traditional (L9947EU-4)	Sale	12/10/2021	\$1,001 - \$15,000
15	CREF (M9947EU-2)	Sale	12/20/2021	\$15,001 - \$50,000
16	TIAA (L9945EU-8)	Sale	12/10/2021	\$15,001 - \$50,000
17	T Rowe Price New Era Fund, Inc (PRNEX)	Purchase	12/15/2021	\$1,001 - \$15,000
18	T Rowe Price New Era Fund, Inc (PRNEX)	Sale	12/10/2021	\$1,001 - \$15,000
19	T Rowe Price New Horizons Fund, Inc (PRNHX)	Purchase	12/15/2021	\$50,001 - \$100,000
20	T Rowe Price New Horizons Fund, Inc (PRNHX)	Sale	12/10/2021	\$50,001 - \$100,000
21	Touchstone Large Cap Focused Fund Class A Shares (SENCX) multiple	Purchase	12/09/2021	\$1,001 - \$15,000
22	American Century Growth Fund Investor Class Shares (TWCGX)	Purchase	12/07/2021	\$15,001 - \$50,000
23	AMG Managers Brandywine Fund Class I Shares (BRWIX) multiple	Purchase	03/24/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	T Rowe Price Science & Technology Fund, Inc (PRSCX)	Purchase	12/15/2021	\$1,001 - \$15,000
25	Oakmark Fund Investor Class Shares (OAKMX)	Purchase	12/16/2021	\$1,001 - \$15,000
26	Bright Start Index Equity Portfolio (multiple)	Sale	08/23/2021	\$1,001 - \$15,000
27	Bright Start Equity Portfolio (multiple)	Sale	01/25/2021	\$50,001 - \$100,000
28	Touchstone Focused Fund Class Y Shares (TFFYX) (multiple)	Purchase	12/09/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	American Express	See Endnote	Credit Card	\$15,001 - \$50,000	2021		30 days

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	1	This trust's assets are reported in Part 6, Lines 1-1.2.
1.	3	Contractor for the Ditech Holding Corporation Consumer Creditor Recovery Trust.

PART	#	ENDNOTE
6.	30	Cash Distribution of \$11057.72.
6.	32	Cash payments of \$8547.95
8.	1	No APR for this charge card.

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).
