

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Chollet, Derek H

Under Secretary of Defense for Policy, DoD - Department of Defense

Other Federal Government Positions Held During the Preceding 12 Months:

Counselor, US Department of State (1/2021 - Present)

Names of Congressional Committees Considering Nomination:

- Committee on Armed Services
-

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/ Chollet, Derek H [electronically signed on 06/20/2023 by Chollet, Derek H 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/ Thompson, Scott F, Certifying Official [electronically signed on 07/26/2023 by Thompson, Scott F in Integrity.gov]

Other review conducted by

/s/ Green, Jeffrey, Ethics Official [electronically signed on 07/26/2023 by Green, Jeffrey in Integrity.gov]

/s/ Green, Jeffrey, Screener [electronically signed on 07/26/2023 by Green, Jeffrey in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 08/02/2023 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The German Marshall Fund of the United States	Washington, District of Columbia	Non-Profit	Executive Vice President	2/2015	1/2021
2	University of Pennsylvania, Perry World House	Philadelphia, Pennsylvania	University/College	Visiting Fellow	9/2017	1/2021
3	Kissinger Center for Global Affairs, Johns Hopkins SAIS	Washington, District of Columbia	University/College	Senior Fellow	7/2020	1/2021
4	Beacon Global Strategies	Washington, District of Columbia	Strategic Consultancy	Advisor	2/2015	1/2021
5	Columbia University, Saltzman Institute of War and Peace Studies	New York, New York	University/College	Senior Research Scholar	3/2015	1/2021
6	Biden-Harris Transition Team	Washington, District of Columbia	Non-Profit	Agency Review Team Lead	10/2020	1/2021
7	DHC Consulting LLC (inactive)	Washington, District of Columbia	Sole proprietorship	sole proprietor	2/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA/SEP - DA Davidson	No			
1.1	American Funds Capital World Growth and Income Fnd A	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	American Funds EuroPacific Growth Fund A	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	American Funds The Growth Fund of America A	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	American Funds The Income Fund of America A	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	American SMALLCAP World Fund, Inc Class A Shares (SMCWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	The German Marshall Fund of the US 401K	No			
2.1	Principal LifeTime Hybrid 2035 Fund Class J Shares (PHJX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	Book -- The Middle Way(Oxford University Press) (value not readily ascertainable) - Published 2021	N/A		Rent or Royalties	None (or less than \$201)
4	Book -- The Long Game (PublicAffairs) (value not readily ascertainable) - published 2016	N/A		Rent or Royalties	None (or less than \$201)
5	Book - America Between the Wars (PublicAffairs) (value not readily ascertainable) - published 2008	N/A		Rent or Royalties	None (or less than \$201)
6	Book - The Road to the Dayton Accords (Palgrave Macmillan) (value not readily ascertainable) - published 2005	N/A		Rent or Royalties	None (or less than \$201)
7	Center for a New American Security defined contribution plan	No			
7.1	Vanguard Institutional Target Retirement 2060 Fund Institutional Class Shares (VILVX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The German Marshall Fund of the US	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor has not and will not make further contributions after my separation in January 2021.	2/2015
2	Center for a New American Security	Washington, District of Columbia	I will continue to participate in this defined contribution plan. The plan sponsor has not and will not make further contributions since my separation in January 2009.	2/2007

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The German Marshall Fund of the US See Endnote	Washington, District of Columbia	Executive Vice President
2	University of Pennsylvania Perry World House See Endnote	Philadelphia, Pennsylvania	Visiting Fellow

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Hostetter Strent LLC	N/A		Law firm partner distribution	
2	RLVR IRA (DA DAVIDSON BROKERAGE)	No			
2.1	Invesco Developing Markets CL Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Blackrock Equity Dividend Instl CL	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Buffalo Discovery Instl CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	American Funds EuroPacific Growth CL F2	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	Templeton Instl Foreign Smaller Companies Advisor CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Fidelity Series Total Market Index Fund (FCFMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.7	Fidelity Small Cap Index Fund (FSSNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	Fidelity Mid Cap Index Fund (FSMDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.9	Fidelity Total International Index Fund (FTIHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.10	Oakmark Intl Instl CL	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.11	MFS Intl New Discovery CL I	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	PIMCO Commodity Real Return Strategy Instl CL	Yes	None (or less than \$1,001)		None (or less than \$201)
2.13	ALLSPRING Special Midcap value INSTL CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	JPMorgan Large Cap Growth Fund Class I Shares (SEEGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	HostetterStrent 401K (Nationwide)	No			
3.1	CohenStrs Real Estate Sec Inst (CSDIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	American Funds New World Fund, Inc Class R6 Shares (RNWGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Vngrd Intl Gr Adml(VWILX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	Nationwide Geneva SmCapGr Inst Svc (NWKDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	Vic Syc Estblshd Val I (VEVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	JPM Eq Inc R5 (OIERX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.7	ClearBridge LgCap Gr I (SBLYX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.8	Baird Cor Pls Bd Inst	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.9	Putnam Growth Opportunities Fund Class Y Shares (PGOYX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.10	Federated Hermes Inst HiYldBd Inst (FIHBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Hostetter Strent LLC Capital Account	N/A	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank #1 (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2	US Bank #2 (cash)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
3	LCH 529 - Virginia	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	American Funds Capital World Growth and Income 529A (CWIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	American Funds Europacific Growth Fund 529A (CEUAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	American Funds The Growth Fund of America 529A (CGFAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	American Funds New World Fund 529A (CNWAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	American Funds SMALLCAP World Fund 529A (CSPAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.6	American Funds Washington Mutual Investors Fund 529A (CWMAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	ACH 529 - Virginia	No			
4.1	American Funds Capital World Growth and Income 529A (CWIAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	American Funds New Perspective Fund 529A (CNPAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	American Funds New World Fund 529A (CNWAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	American Funds SMALLCAP World Fund 529A (CSPAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Family Trust	No			
5.1	Federated Hermes US Treasury Cash Reserves #125	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	Clearbridge Large Cap Growth Fund CL I SBLY X (LSITX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	Bank of America, Dividend Income Common Trust Fund DICTF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	Bank of America, Large Cap Core Common Trust Fund LCCCTF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.5	Bank of America, Large Cap Core with Income Focus Common Trust Fund (LCCIFCTF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.6	T Rowe Price Blue Chip Growth Fund CL I (TBCI X)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.7	Vanguard S&P 500 ETF (VOO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.8	IShares Core S&P Midcap ETF (IJH)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.9	Bank of America, Midcap Core Common Trust Fund (MCCCTF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.10	Bank of America, Midcap Growth Common Trust Fund (CTFGE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.11	Bank of America, Midcap Value Common Trust Fund (MIDVAL)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.12	I Shares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.13	Bank of America, Small Cap Core Common Trust Fund (SCCCTF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.14	Bank of America, Small Cap Growth Leaders Common Trust Fund (FTSC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.15	Bank of America, Small Cap Value Common Trust Fund (SMVAL)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.16	Bank of America, International Focused Equity Common Trust Fund (IFEQCTF)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.17	Vanguard FTSE Developed Markets ETF (VEA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.18	Bank of America, Emerging Markets Stock Common Trust Fund (EMSCTF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.19	Derek Hall Chollet Note DTD	See Endnote	N/A	Interest	\$201 - \$1,000
5.20	Vanguard FTSE Emerging Markets ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.21	Bank of America, Tax Exempt Common Trust Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.22	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.23	Principal MidCap Fund Class R-6 Shares (PMAQX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.24	iShares National Muni Bond ETF (MUB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.25	PGIM Short-Term Corporate Bond Fund Class R6 Shares (PSTQX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	US Bank #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	US Bank #4 (LCH) (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
8	US Bank #5 (LCH) (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
9	US Bank #6 (ACH) (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
10	US Bank #7 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	LCH Roth IRA	No			
11.1	Capital Group Global Growth Equity ETF Share Class (CGGO)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	DA Davidson Joint Investment Account	N/A			
12.1	American Funds Capital World Growth & Income Fund CL A (CWGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	American Funds New Perspective CL A (ANWPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	TOD account - DA Davidson	No			
13.1	American Funds EuroPacific Growth Fund Class C Shares (AEPCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.2	American Funds Washington Mutual Investors Fund Class A Shares (AWSHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	DA Davidson TOD Account #1	No			
14.1	Invesco High Yield Municipal Fund Class Y Shares (ACTDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	DA Davidson TOD Account #2	No			
15.1	iShares Russell Mid-Cap ETF (IWR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.2	SPDR Series Trust S&P 600 Small Cap ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.3	Vanguard S&P 500 Growth Index Fund ETF Shares (VOOG)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
15.4	Invesco Oppenheimer Developing Markets Fund Class Y Shares (ODVYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.5	American Funds EuroPacific Growth Fund Class F2 Shares (AEPFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.6	Fidelity Total Intl Index Instl Premium CL (FTIHX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.7	Oakmark Intl Instl CL (OANIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.8	Pimco Commodity Real Return Strategy Instl CL (PCRIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
15.9	Templeton Instl Foreign Smaller Companies Advisor CL (TFSCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.10	MFS International New Discovery CL (MWNIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	ACH 529 - NEBRASKA	See Endnote	No		
16.1	All Equity Static D	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.2	Growth Static D	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	PennyMac	Mortgage on Personal Residence	\$250,001 - \$500,000	2020	2.75	30 years
2	Next Mark Credit Union	Exercised Line of Credit	\$100,001 - \$250,000	2020	6.75	20 years
3	Family Trust	See Endnote	Derek Hall Chollet Note DTD	2012	2.68	30 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
4.	1	Final Paycheck was January 2021
4.	2	Final Paycheck was in January 2021
6.	5.19	This reflects a one-time loan made by the trust to me in 2012 (for a downpayment on our house). The principal balance and any accrued interest will be due and payable on the 20th day of May 2042 ("maturity date") or the death of Derek Hall Chollet's mother, whichever occurs first.
6.	16	THIS ACCOUNT IS FROM MY FATHER, RAYMOND CHOLLET, FOR MY DAUGHTER.
8.	3	This is loan made in 2012 from the Family Trust. The principal balance and any accrued interest will be due and payable on the 20th day of May 2042 ("maturity date") or the death of Derek Hall Chollet's mother, whichever occurs first."

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).
