

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

Filer's Information

Gawande, Atul A

Assistant Administrator, Bureau for Global Health, U.S. Agency for International Development

Report Year: 2023

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/ Gawande, Atul A [electronically signed on 05/01/2023 by Gawande, Atul A 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/ Ohlweiler, John, Certifying Official [electronically signed on 07/06/2023 by Ohlweiler, John in Integrity.gov]

Other review conducted by

/s/ Mason-Gale, Treyer A, Ethics Official [electronically signed on 06/20/2023 by Mason-Gale, Treyer A in Integrity.gov]

U.S. Office of Government Ethics Certification

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

Data Revised 06/20/2023

Data Revised 06/08/2023

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Brigham and Women's Physician Organization	See Endnote	Boston, Massachusetts	Non-Profit	Surgeon	7/2003	Present
2	Harvard Medical School	See Endnote	Boston, Massachusetts	University/College	Samuel O. Thier Professor of Surgery	7/2003	Present
3	Harvard T.H. Chan School of Public Health	See Endnote	Boston, Massachusetts	University/College	Professor of Health Policy and Management	7/2003	Present
4	CIC Health		Cambridge, Massachusetts	Corporation	Member & Executive Chairman, Board of Managers.	8/2020	1/2022
5	Ariadne Labs		Boston, Massachusetts	University/College	Chairman	6/2012	1/2022

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CIC Health [20% profits interest]	See Endnote	N/A	\$1,000,001 - \$5,000,000	Capital Gains	Over \$5,000,000
2	SEP-IRA		No			
2.1	Fidelity 500 Index Fund		Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
2.2	FID L/T Treasury Bond Index Fund		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Traditional IRA	No			
3.1	Fidelity 500 Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Atrius Healthcare 403(b)	No			
4.1	Vanguard Institutional Target Retirement 2030	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5	Brigham and Women's Hospital 403(b)	No			
5.1	Vanguard Institutional Target Retirement 2030	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
6	American Veterinary Medical Association - July 30, 2021	N/A		Honorarium	\$125,000
7	Claremont McKenna College - September 13, 2021	N/A		Honorarium	\$150,000
8	American Society for Clinical Pathology - October 27, 2021	N/A		Honorarium	\$35,000
9	Domino Data Lab, MLOps Leadership Summit - November 11, 2021	N/A		Honorarium	\$150,000
10	Brigham and Women's Physician Organization	N/A		Salary (May 2021 to final paycheck June 2022)	\$90,173
11	BWPO Prof Staff Plan	See Endnote	No		
11.1	Vanguard Target Retirement 2030 Fund Investor Class Shares (VTHR)	Yes	\$250,001 - \$500,000		None (or less than \$201)
12	"How Minds Change" (value not readily ascertainable)	See Endnote	N/A		
12.1	"How Minds Change," Henry Holt (value not readily ascertainable)	N/A		Rent or Royalties	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.2	"How Minds Change," Spoleczny Instytut Wydawniczy Znak	N/A		Rent or Royalties	\$1,001 - \$2,500
12.3	"How Minds Change," Cheers	N/A		Rent or Royalties	\$50,001 - \$100,000
12.4	"How Minds Change," Domingo	N/A		Rent or Royalties	\$1,001 - \$2,500
12.5	"How Minds Change," Companhia Das Letras	N/A		Rent or Royalties	\$5,001 - \$15,000
12.6	"How Minds Change," Uitgeverij Nieuw Amsterdam	N/A		Rent or Royalties	\$2,501 - \$5,000
13	"Failure and Rescue" (New Yorker article - value not readily ascertainable), Tophatmonocle	N/A		Rent or Royalties	\$1,001 - \$2,500
14	"Hellhole" (New Yorker article - value not readily ascertainable), MacMillan	N/A		Rent or Royalties	\$2,501 - \$5,000
15	"Better" (value not readily ascertainable)	N/A			
15.1	"Better" Henry Holt (value not readily ascertainable)	N/A		Rent or Royalties	\$15,001 - \$50,000
15.2	"Better", Profile Books Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	\$15,001 - \$50,000
15.3	"Better," Cheers (value note readily ascertainable)	N/A		Rent or Royalties	\$2,501 - \$5,000
15.4	"Better," Misuzu Shobo	N/A		Rent or Royalties	\$201 - \$1,000
16	"Being Mortal" (value not readily ascertainable)	N/A			
16.1	"Being Mortal," film adaptation, Oh Brudder Productions (value not readily ascertainable)	See Endnote	N/A	Rent or Royalties	\$100,001 - \$1,000,000
16.2	"Being Mortal", Uitgeverij Nieuwezijds (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.3	"Being Mortal", Penguin Books/India (value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
16.4	"Being Mortal", Profile Books Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	\$15,001 - \$50,000
16.5	"Being Mortal", Objetiva Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
16.6	"Being Mortal", Bookie (value not readily ascertainable)	N/A		Rent or Royalties	\$2,501 - \$5,000
16.7	"Being Mortal", Henry Holt (value not readily ascertainable)	N/A		Rent or Royalties	\$100,001 - \$1,000,000
16.8	"Being Mortal", Slovart (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
16.9	"Being Mortal", Misuzu Shobo (value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500
16.10	"Being Mortal", Commonwealth Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
16.11	"Being Mortal," Carobna Knjiga	N/A		Rent or Royalties	\$201 - \$1,000
16.12	"Being Mortal," Einaudi Editore	N/A		Rent or Royalties	\$1,001 - \$2,500
16.13	"Being Mortal," Wdawnictwo Czarne	N/A		Rent or Royalties	\$2,501 - \$5,000
17	"Complications" (value not readily ascertainable)	N/A			
17.1	"Complications" Henry Holt (value not readily ascertainable)	N/A		Rent or Royalties	\$15,001 - \$50,000
17.2	"Complications", Profile Books Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	\$2,501 - \$5,000
17.3	"Complications", Cheers Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.4	"Complications", Misuzu Shobo (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
17.5	"Complications," Business Media LLC			Rent or Royalties	\$201 - \$1,000
17.6	"Complications," Domingo	N/A		Rent or Royalties	\$1,001 - \$2,500
17.7	"Complications," Magnum	N/A		Rent or Royalties	\$201 - \$1,000
17.8	"Complications," Commonwealth Publishing	N/A		Rent or Royalties	None (or less than \$201)
18	"The Checklist Manifesto" (value not readily ascertainable)	N/A			
18.1	"The Checklist Manifesto" Penguin Books/India (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
18.2	"The Checklist Manifesto", Henry Holt value not readily ascertainable)	N/A		Rent or Royalties	\$50,001 - \$100,000
18.3	"The Checklist Manifesto", Profile Books Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	\$5,001 - \$15,000
18.4	"The Checklist Manifesto", Cheers Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	\$50,001 - \$100,000
18.5	"The Checklist Manifesto", Domingo Publishing (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
18.6	"The Checklist Manifesto", Valor Editions (value not readily ascertainable)	N/A		Rent or Royalties	\$2,501 - \$5,000
18.7	"The Checklist Manifesto," Spoleczny Instytut Wydawniczy Znak	N/A		Rent or Royalties	\$2,501 - \$5,000
18.8	"The Checklist Manifesto," GMT Editores	N/A		Rent or Royalties	\$2,501 - \$5,000
18.9	"The Checklist Manifesto," Shinyusha Co	N/A		Rent or Royalties	\$201 - \$1,000
18.10	"The Checklist Manifesto," Alpina	N/A		Rent or Royalties	\$201 - \$1,000
18.11	"The Checklist Manifesto," Modan	N/A		Rent or Royalties	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	AARP - September 2021	N/A		Honorarium	\$50,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Harvard Medical School	Boston, Massachusetts	I will take an unpaid, two-year leave of absence from my faculty position	1/2022
2	Harvard T.H. Chan School of Public Health	Boston, Massachusetts	I will take an unpaid, two-year leave of absence from my faculty position	1/2022
3	Brigham and Women's Hospital	Boston, Massachusetts	I will take an unpaid, two-year leave of absence from my faculty position	1/2022
4	Atrius Healthcare	Boston, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	7/2003
5	Brigham and Women's Hospital	Boston, Massachusetts	I will continue to participate in this defined contribution plan. No contributions will be made during my leave of absence.	7/2003
6	Brigham and Women's Hospital	Boston, Massachusetts	I will continue to participate in this defined contribution plan. No contributions will be made during my leave of absence.	7/2003
7	Harvard Medical School	Boston, Massachusetts	On leave from Jan 4, 2022	/
8	Harvard T.H. Chan School of Public Health	Boston, Massachusetts	On leave from January 4, 2022	/
9	Ariadne Labs	Boston, Massachusetts	Resigned as chairman, effective Jan 4, 2022	/
10	CIC Health	Cambridge, Massachusetts	Resigned as Executive Chair and Member of Board of Managers December 31, 2021	8/2020

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	Isabella Stewart Gardner Museum	N/A		Wages	
2	Traditional IRA	No			
2.1	Fidelity 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Roth IRA	No			
3.1	Fidelity 500 Index Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	SEP-IRA	No			
4.1	Fidelity 500 Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Simon and Schuster (Audio Book: "Pimsleur Italian Language Course – Levels 1 and 2")(value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
2	Brokerage Account 1	No			
2.1	Fidelity Blue Chip Growth Fund (FBGRX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.2	Fidelity Disciplined Equity Fund (FDEQX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.3	Fidelity Massachusetts Municipal Income Fund (FDMMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	Fidelity Fund (FFIDX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
2.5	Fidelity Municipal Income Fund (FHIGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Fidelity Europe Fund (FIEUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.7	Fidelity Magellan Fund (FMAGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.8	Fidelity Brokerage and Investment Management Portfolio (FSLBX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.9	Fidelity International Index Fund (FSPSX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.10	Fidelity Banking Portfolio (FSRBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.11	Fidelity 500 Index Fund (FXAIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
3	Brokerage Account 2	No			
3.1	Fidelity Growth Company Fund (FDGRX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Fidelity Massachusetts Municipal Income Fund (FDMMX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.3	Fidelity Mid-Cap Stock Fund (FMCSX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
3.4	Fidelity Long-Term Treasury Bond Index Fund (FNBGX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
3.5	Fidelity 500 Index Fund (FXAIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
3.6	Fidelity Government Money Market Fund (SPAXX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
4	Brokerage Account 3	No			
4.1	Fidelity Blue Chip Growth Fund (FBGRX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.2	Fidelity Disciplined Equity Fund (FDEQX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.3	Fidelity Massachusetts Municipal Income Fund (FDMMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Fidelity Fund (FFIDX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.5	Fidelity Municipal Income Fund (FHIGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	Fidelity Europe Fund (FIEUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	Fidelity Magellan Fund (FMAGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.8	Fidelity Brokerage and Investment Management Portfolio (FSLBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.9	Fidelity International Index Fund (FSPSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.10	Fidelity 500 Index Fund (FXAIX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4.11	Fidelity Government Money Market Fund (SPAXX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5	Massachusetts 529 Plan (Child 2)	No			
5.1	Fidelity MA Bank Deposit Portfolio (529)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	MA 529 Plan (Child 1)	No			
6.1	Fidelity MA Bank Deposit Portfolio Fund (529)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	MA 529 Plan (Child 3)	No			
7.1	MA College Portfolio (529)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8	Brokerage Account 4	See Endnote	No		
8.1	Fidelity 500 Index Fund (FXAIX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
8.2	Fidelity Government Money Market Fund (SPAXX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
9	NH 529 plan (Child 3)	No			
9.1	NH College Portfolio (529)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Fidelity Health Care Portfolio (FSPHX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fidelity Health Care Portfolio (FSPHX)	Sale	03/01/2022	\$50,001 - \$100,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	1	Two year leave of absence
1.	2	Two year leave of absence
1.	3	Two year leave of absence
2.	1	I have committed to donate all income from CIC Health to charity. \$5.27M donated thus far.
2.	11	Previously listed as BWH 403B #2
2.	12	Book contracted in 2021 prior to confirmation. Work suspended Jan 4, 2022.
2.	16.1	Movie option and fees for Being Mortal
6.	8	Account to hold CIC Health income (for transfer to charitable fund after taxes/expenses)

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).
