

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Greisman, Lois C

Assoc Dir, Division of Marketing Practices, Bureau of Consumer Protection, Federal Trade Commission

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/ Greisman, Lois C [electronically signed on 04/25/2022 by Greisman, Lois C 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/ Pankey, Lorielle L, Certifying Official [electronically signed on 05/06/2022 by Pankey, Lorielle L in Integrity.gov]

Other review conducted by

/s/ Wong, Jeremy, Ethics Official [electronically signed on 05/03/2022 by Wong, Jeremy in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/03/2022

Data Revised 04/29/2022

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Conoco Phillips (COP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2	Phillips 66 (PSX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
3	Southern Co (SO) See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4	U.S. bank account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	U.S. bank account #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	BNY Mellon Municipal Bond Fund (DRTAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
7	BNY Mellon Opportunistic Municipal Securities Fund (DMBZX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
8	U.S. bank account #5 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	Wells Fargo 100% Treasury Money Market Fund - Class A (WFTXX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10	Wells Fargo Treasury Plus Money Market Fund - Class Inst (PISXX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Invesco S&P 500 Equal Weight ETF (RSP)	See Endnote	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
12	iShares Dow Jones U.S. Index Fund (IYY)	See Endnote	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
13	SPDR S&P 500 ETF Trust (SPY)	See Endnote	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
14	Vanguard Total STK MKT (VTI)	See Endnote	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
15	Vanguard 500 Index Fund (VOO)	See Endnote	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
16	U.S. bank account #43 (M cash/cd)		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
17	U.S. bank #44 (M cash/cd)		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
18	U.S. Brokerage Account #45 (cash)	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
19	U.S. Bank Account #46 (cash)		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
20	U.S. bank account #40 (M cash/cd)		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
21	U.S. bank account #41 (M cash/cd)		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
22	U.S bank account #42 (M cash/cd)		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
23	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	See Endnote	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
24	US Bank Account #63 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	US Bank account #64 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
26	US Bank account #65 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
27	US Bank account #66 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
28	US Bank account #67 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
29	US Bank account #70 (M cash/cd)	See Endnote	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
30	US Bank account #72 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
31	US Treasury Note Dec 30 2021	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
32	US Treasury Bill Dec 30 2021	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
33	US Treasury Bill Jun 16 2022 (++)	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
34	US Treasury Bill (--)	See Endnote	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000

3. Filer's Employment Agreements and Arrangements

None

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

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

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #11 (cash/cd)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2	Virginia ST Go BDS SER A-2 OID	See Endnote	N/A	Interest	\$1,001 - \$2,500
3	VIRGINIA COLLEGE BLDG BONDS REV A OID Nov11	See Endnote	N/A	Interest	\$2,501 - \$5,000
4	VIRGINIA COMWLTH TRANSN BRD BONDS Rev Cap Oid May 11	See Endnote	N/A	Interest	\$2,501 - \$5,000
5	ALEXANDRIA VA CAP IMPT Oid Prf 21 BONDS	See Endnote	N/A	Interest	\$2,501 - \$5,000
6	ALEXANDRIA VA CAP IMPT Oid July 11 BONDS	See Endnote	N/A	Interest	\$1,001 - \$2,500
7	VIRGINIA ST RES AUTH INFRASTRUCTURE BONDS Rev Ser B	See Endnote	N/A	Interest	\$2,501 - \$5,000
8	CHESTERFIELD CNTY VA PUB IMPT BONDS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
9	SCHLUMBERGER LTD COMMON STOCK (SLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	VIRGINIA ST HSG DEV AUTH Non Amt Non Ace BONDS		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
11	AXCELIS TECHNOLOGIES COMMON STOCK (ACLS)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
12	BSQUARE CORP COMMON STOCK (BSQR)		N/A	\$1,001 - \$15,000		None (or less than \$201)
13	COCA COLA CO. (KO)		N/A	\$1,001 - \$15,000		None (or less than \$201)
14	VIRGINIA COMWLTH TRANS BONDS Rev A Rf Oid		N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
15	U.S. brokerage account #1 (cash)		N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
16	U.S. brokerage account #18 (cash)		N/A	\$250,001 - \$500,000		None (or less than \$201)
17	RXEOB.COM, LLC PARTNERSHIP		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
18	SPDR S&P 500 Trust ETF (SPY)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
19	U.S. bank account #29 (W cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
20	U.S. bank account #30 (W cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
21	U.S. bank account #31 (W cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
22	U.S. bank account #32 (W cash/cd)		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
23	U.S.bank account #33 (W cash/cd)		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
24	Albemarle Cnty VA Sch 5 Pct 6/01/2021	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	Virginia Beach VA Go Pub BDS SER B APR 15		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
26	VA ST PSA SPL Sch Auth Oblig Prince Willyt		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27	Virginia St Pub Sch Auth Sch Fing Sch A St GTD		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
28	Fairfax Cnty Va Pub Impt BDS SER A Mar15		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
29	U.s. bank ccount #50(W cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
30	U.S. bank account # 54 (M cash/cd)		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
31	U.S. bank account # 55		N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
32	U.S. bank account #57 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
33	U.S. bank account #59 (M cash/cd)		N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
34	U.S. bank account #60 (M cash/cd)		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
35	Nixon Peabody, cash balance pension plan	See Endnote	N/A	\$500,001 - \$1,000,000	Retirement Payments (monthly)	\$9,000
36	US Bank account #62 (M cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
37	US bank account #78 (F cash/cd)	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
38	US bank account #79 (M cash/cd)	See Endnote	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39	US bank account #80 (cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
40	US bank account # 81 (cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
41	US bank account #83 (cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
42	US bank account #84 (cash/cd)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
43	NY Life Ins Co Ins Prods Fixed Annuity II	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
44	US bank account #86 (cash/cd)	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	ConocoPhillips (COP)		Sale	12/02/2021	\$15,001 - \$50,000
2	Virginia ST Go BDS SER A-2 OID	See Endnote	Sale	06/01/2021	\$50,001 - \$100,000
3	VIRGINIA COLLEGE BLDG BONDS REV A OID Nov11	See Endnote	Sale	09/01/2022	\$100,001 - \$250,000
4	VIRGINIA COMWLTH TRANSN BRD BONDS Rev Cap Oid May 11	See Endnote	Sale	05/17/2022	\$100,001 - \$250,000
5	ALEXANDRIA VA CAP IMPT Oid Prf 21 BONDS	See Endnote	Sale	07/15/2021	\$100,001 - \$250,000
6	ALEXANDRIA VA CAP IMPT OID July 11 BONDS	See Endnote	Sale	07/15/2021	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
7	VIRGINIA ST RES AUTH INFRASTRUCTURE BONDS Rev Ser B	See Endnote	Sale	10/01/2021	\$50,001 - \$100,000
8	Albemarle Cnty VA Sch 5 Pct 6/01/2021	See Endnote	Sale	06/01/2021	\$50,001 - \$100,000
9	NY Life Ins Co Ins Prods Fixed Annuity II		Purchase	02/11/2021	\$50,001 - \$100,000
10	iShares Edge MSCI USA Momentum Factor ETF (MTUM)	See Endnote	Purchase	07/21/2021	\$15,001 - \$50,000
11	Invesco S&P 500 Equal Weight ETF (RSP)	See Endnote	Purchase	01/12/2021	\$50,001 - \$100,000
12	iShares Dow Jones US ETF (IYY)	See Endnote	Purchase	01/12/2021	\$100,001 - \$250,000
13	SPDR S&P 500 ETF Trust (SPY)	See Endnote	Purchase	01/12/2021	\$100,001 - \$250,000
14	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	See Endnote	Purchase	07/21/2021	\$50,001 - \$100,000
15	Vanguard 500 Index Fund ETF Shares (VOO)	See Endnote	Purchase	07/21/2021	\$100,001 - \$250,000
16	Invesco S&P 500 Equal Weight ETF (RSP)		Sale	10/18/2021	\$1,001 - \$15,000
17	iShares Dow Jones US ETF (IYY)		Sale	10/18/2021	\$1,001 - \$15,000
18	SPDR S&P 500 ETF Trust (SPY)		Sale	10/18/2021	\$1,001 - \$15,000
19	Vanguard 500 Index Fund ETF Shares (VOO)		Sale	10/18/2021	\$1,001 - \$15,000
20	Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)		Sale	10/18/2021	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	3	The value of this asset was misreported on the CY2020 report. The current value is correct, and there was minimal change in value for this asset.
2.	11	Combining with other same asset below. No change in value.
2.	12	Combined with Ishares Dow Jones below and increase in value.
2.	13	Added to this SPDR S&P 500 below and increase in value
2.	14	Added to it same asset below Vanguard Total, and increase in value.
2.	15	Added same asset listed below, Vanguard 500 and increased in value.
2.	18	Increase in value.
2.	23	Multiple purchases of same in 2021, all included in this asset and increasing value.
2.	24	acq 9/24/19 Redeemed 10/4/21
2.	25	Acq 9/24/19 Redeemed 10/7/21
2.	26	acq 9/24/19 Redeemed 3/30/21

PART	#	ENDNOTE
2.	27	acq 9/24/19 Redeemed 3/29/21
2.	28	acq 9/24/19 Redeemed 3/29/21
2.	29	acq 7/8/19
2.	30	acq 2/26/19 Redeemed 3/8/21
2.	31	Bought and redeemed in 2021
2.	32	Bought and redeemed in 2021
2.	33	acq 6/22/21
2.	34	acq 6/22/21
6.	2	Redeemed 6/1/21
6.	3	Bond split on 7/6/20: one part due 9/21; the other in 2023. Redeemed 9/1/21
6.	4	Redeemed 5/17/21
6.	5	Redeemed 7/15/21
6.	6	Redeemed 7/15/21
6.	7	Redeemed 10/1/21
6.	11	Increase in value
6.	19	Redeemed 6/14/21
6.	20	Redeemed 6/1/21
6.	21	Redeemed 6/1/21
6.	24	Redeemed 6/1/21
6.	29	Redeemed 6/15/21

PART	#	ENDNOTE
6.	32	Redeemed 8/9/21
6.	35	Inherited, no part 3 entry required
6.	36	acq 9/24/19 Redeemed 1/7/21
6.	37	acq 6/28/19
6.	38	acq 1/27/20
6.	39	acq 1/27/20 Redeemed 1/29/21
6.	40	acq 1/17/20 Redeemed 1/27/21
6.	41	acq 1/27/20 Redeemed 1/29/21
6.	42	acq 1/27/20 Redeemed 1/29/21
6.	43	acq 2/11/21
6.	44	acq 7/8/21
7.	2	Redeemed 6/1/21
7.	3	Redeemed 9/1/21
7.	4	Redeemed 5/17/21
7.	5	Redeemed 7/15/21
7.	6	Redeemed 7/15/21
7.	7	Redeemed 10/1/21
7.	8	Redeemed 6/1/21
7.	10	Multiple purchases
7.	11	Multiple purchases

PART	#	ENDNOTE
7.	12	Multiple purchases
7.	13	Multiple purchases
7.	14	Multiple purchases
7.	15	Multiple purchases

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).
