Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Gawande, Atul

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

Other Federal Government Positions Held During the Preceding 12 Months:
None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations

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 [electronically signed on 05/16/2021 by Gawande, Atul 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 07/20/2021 by Ohlweiler, John in Integrity.gov]

Other review conducted by
/s/ Mason-Gale, Treyer A, Ethics Official [electronically signed on 07/19/2021 by Mason-Gale, Treyer A in Integrity.gov]

U.S. Office of Government Ethics Certification
/s/ Apol, David, Certifying Official [electronically signed on 07/26/2021 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	Brigham and Women's Hospital		Boston, Massachusetts	University/College	Fish Distinguished Professor of Surgery	7/2003	Present
2	Harvard Medical School		Boston, Massachusetts	University/College	Professor of Surgery	7/2003	Present
3	Harvard T.H. Chan School of Public Health		Boston, Massachusetts	University/College	Professor of Health Policy and Management	7/2003	Present
4	The New Yorker magazine		New York City, New York	Corporation	Staff Writer	6/1998	Present
5	Lifebox US		New York City, New York	Non-Profit	Chair of the Board	1/2014	Present
6	Lifebox UK		London, UK, Outside U.S.	Non-Profit	Chair of the Board	1/2011	Present
7	New America		Washington, District of Columbia	Non-Profit	Member of the Board of Directors	1/2009	Present
8	CIC Health		Cambridge, Massachusetts	Corporation	Member & Executive Chairman, Board of Managers	8/2020	Present
9	TCorp62018 LLC (d/b/a Haven)	See Endnote	Boston, Massachusetts	Corporation	Chief Executive Officer/Exec Chair	7/2018	2/2021
10	Ariadne Labs		Boston, Massachusetts	University/College	Chairman	6/2012	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brigham and Women's Hospital		N/A		Salary/Bonus	$182,491
2	The New Yorker magazine		N/A		Contract payments for articles written	$80,398
3	CIC Health [COVID-19 Testing and vaccination services], profits interest: 25% of profits over 0% hurdle rate	See Endnote	N/A	$1,000,001 - $5,000,000		None (or less than $201)
4	TCorp62018 LLC (d/b/a Haven) (Non-profit-seeking health care venture founded by AMZN/BRK/JPMC)		N/A		Salary/Bonus	$2,032,134
5	SEP-IRA		No			
5.1	Fidelity 500 Index Fund		Yes	$1,000,001 - $5,000,000		None (or less than $201)
5.2	FID L/T Treasury Bond Index Fund		Yes	$100,001 - $250,000		None (or less than $201)
6	Traditional IRA		No			
6.1	Fidelity 500 Index Fund		Yes	$50,001 - $100,000		None (or less than $201)
7	Atrius Healthcare 403(b)		No			
7.1	Vanguard Institutional Target Retirement 2030		Yes	$250,001 - $500,000		None (or less than $201)
8	North Dakota Strategic Planning Health Group - 08/11/2020		N/A		Honorarium	$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	"The Learning Curve", The New Yorker Magazine - January 28, 2002 (value not readily ascertainable) - republished by Hayden-McNeil Publishing in 2020	N/A		Rent or Royalties	$201 - $1,000
10	"The Learning Curve," The New Yorker Magazine- January 28, 2002 (value not readily ascertainable), republished by Xanedu Publishing (September 1, 2020)	N/A		Rent or Royalties	$201 - $1,000
11	"A Serious Illness Conversation Guide" (Mass General Brigham)(Value not readily ascertainable)	N/A		Licensing fee	$2,500
12	Massachusetts Hospital Association - 9/24/2020	N/A		Honorarium	$4,900
13	Fidelity Speaker Series - 10/28/2020	N/A		Honorarium	$52,500
14	Morgan Stanley Branch Managers Meeting - 10/27/2020	N/A		Honorarium	$70,000
15	Morgan Stanley Branch Managers Meeting - 01/28/2021	N/A		Honorarium	$70,000
16	Morgan Stanley Branch Managers Meeting - 05/13/2021	N/A		Honorarium	$70,000
17	"Being Mortal," film adaptation, Oh Brudder Productions (value not readily ascertainable)	N/A			None (or less than $201)
18	University of Virginia Medical Center Hour - 04/07/2021	N/A		Honorarium	$5,000
19	"Being Mortal" (a documentary aired on WGBH)(value not readily ascertainable)	N/A		Rent or Royalties	$201 - $1,000
20	American College of Healthcare Executives - 03/22/2021	N/A		Honorarium	$52,500
21	Brigham and Women's Hospital 403(b)#1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.1	Vanguard Institutional Target Retirement 2030	Yes	$250,001 - $500,000		None (or less than $201)
22	Brigham and Women's Hosital 403(b) #2	No			
22.1	Vanguard Institutional Target Retirement 2030	Yes	$500,001 - $1,000,000		None (or less than $201)
23	"Better", Alpina Non-Fiction (value not readily ascertainable)	N/A		Rent or Royalties	$2,501 - $5,000
24	"Being Mortal", Cheers Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	$100,001 - $1,000,000
25	"Being Mortal", Uitgeverij Nieuwezijds (value not readily ascertainable)	N/A		Rent or Royalties	$1,001 - $2,500
26	"Being Mortal", Penguin Books/India (value not readily ascertainable)	N/A		Rent or Royalties	$2,501 - $5,000
27	"The Checklist Manifesto" Penguin Books/India (value not readily ascertainable)	N/A		Rent or Royalties	$1,001 - $2,500
28	"Being Mortal", Profile Books Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	$15,001 - $50,000
29	"Better" Henry Holt (value not readily ascertainable)	N/A		Rent or Royalties	$15,001 - $50,000
30	"Being Mortal", Objetiva Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	$2,501 - $5,000
31	"The Checklist Manifesto", Henry Holt value not readily ascertainable)	N/A		Rent or Royalties	$50,001 - $100,000
32	"Better", Profile Books Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	$201 - $1,000
33	"Being Mortal", Bookie (value not readily ascertainable)	N/A		Rent or Royalties	$5,001 - $15,000
34	"Complications" Henry Holt (value not readily ascertainable)	N/A		Rent or Royalties	$15,001 - $50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	"Being Mortal", Henry Holt (value not readily ascertainable)	N/A		Rent or Royalties	$100,001 - $1,000,000
36	"The Checklist Manifesto", Profile Books Ltd. (value not readily ascertainable)	N/A		Rent or Royalties	$5,001 - $15,000
37	"Complications", Profile Books Ltd. (value not readily ascertainable)	N/A			None (or less than $201)
38	"Better", Cheers Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	$5,001 - $15,000
39	"Complications", Cheers Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	$5,001 - $15,000
40	"Better", Woong Jin Publishing (value not readily ascertainable)	N/A		Rent or Royalties	$2,501 - $5,000
41	"The Checklist Manifesto", Cheers Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	$15,001 - $50,000
42	"Being Mortal", Janis Roze (value not readily ascertainable)	N/A			None (or less than $201)
43	"Being Mortal", Misuzu Shobo (value not readily ascertainable)	N/A		Rent or Royalties	$2,501 - $5,000
44	"Complications", Misuzu Shobo (value not readily ascertainable)	N/A		Rent or Royalties	$201 - $1,000
45	"Better", Woong Jin Publishing (value not readily ascertainable)	N/A		Rent or Royalties	$201 - $1,000
46	"Being Mortal", Lindhardt og Ringhof (value not readily ascertainable)	N/A		Rent or Royalties	$201 - $1,000
47	"The Checklist Manifesto", Domingo Publishing (value not readily ascertainable)	N/A		Rent or Royalties	$201 - $1,000
48	"The Checklist Manifesto", Valor Editions (value not readily ascertainable)	N/A		Rent or Royalties	$2,501 - $5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49	"Being Mortal", Commonwealth Publishing Company (value not readily ascertainable)	N/A		Rent or Royalties	$201 - $1,000
50	American Veterinary Medical Association (anticipated honorarium, July 30, 2021)	N/A	$1,001 - $15,000		None (or less than $201)
51	Claremont McKenna College (anticipated honorarium, September 13, 2021)	N/A	$100,001 - $250,000		None (or less than $201)
52	American Society for Clinical Pathology (anticipated honorarium, October 27, 2021)	N/A	$15,001 - $50,000		None (or less than $201)
53	Domino Data Lab, MLOps Leadership Summit (anticipated honorarium, November 11, 2021)	N/A	$100,001 - $250,000		None (or less than $201)

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	5/2021
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	5/2021
3	Brigham and Women's Hospital	Boston, Massachusetts	I will take an unpaid, two-year leave of absence from my faculty position	5/2021
4	CIC Health	Cambridge, Massachusetts	Upon resignation, I will retain my profits interest in this entity: 18.75% is vested and 6.25% is unvested, for a total of 25% once it is completely vested. My unvested portion will vest upon an objective determination that, by June 30, 2022, CIC Health has exceeded the financing threshold to allow it to expand its domestic vaccination program.	8/2020
5	Atrius Healthcare	Boston, Massachusetts	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	7/2003

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
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	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
8	Ariadne Labs	Boston, Massachusetts	I will take an unpaid, two-year leave of absence from my position as Chairman.	5/2021

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Brigham and Women's Hospital	Boston, Massachusetts	Surgeon, researcher , and teacher.
2	The New Yorker magazine	New York City, New York	Contract staff writer.
3	TCorp62018 LLC (d/b/a Haven)	Boston, Massachusetts	CEO and Chairman of the Board of Directors.
4	Fidelity Investments	Boston, Massachusetts	Appearance in their speaker series
5	Morgan Stanley	New York City, New York	Speaking at a series of manager conferences
6	American College of Healthcare Executives	Chicago, Illinois	Keynote address for annual meeting

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Isabella Stewart Gardner Museum	N/A		salary	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
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		None (or less than $201)
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	$100,001 - $250,000		$1,001 - $2,500
2.2	Fidelity Disciplined Equity Fund (FDEQX)	Yes	$15,001 - $50,000		$201 - $1,000
2.3	Fidelity Massachusetts Municipal Income Fund (FDMMX)	Yes	$50,001 - $100,000		$1,001 - $2,500
2.4	Fidelity Fund (FFIDX)	Yes	$100,001 - $250,000		$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Fidelity Municipal Income Fund (FHIGX)	Yes	$15,001 - $50,000		$201 - $1,000
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		$201 - $1,000
2.9	Fidelity International Index Fund (FSPSX)	Yes	$15,001 - $50,000		$201 - $1,000
2.10	Fidelity Banking Portfolio (FSRBX)	Yes	$100,001 - $250,000		$201 - $1,000
2.11	Fidelity 500 Index Fund (FXAIX)	Yes	$500,001 - $1,000,000		$5,001 - $15,000
3	Brokerage Account 2	No			
3.1	Fidelity Growth Company Fund (FDGRX)	Yes	$1,000,001 - $5,000,000		$15,001 - $50,000
3.2	Fidelity Massachusetts Municipal Income Fund (FDMMX)	Yes	$250,001 - $500,000		$2,501 - $5,000
3.3	Fidelity Mid-Cap Stock Fund (FMCSX)	Yes	$500,001 - $1,000,000		$5,001 - $15,000
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	$500,001 - $1,000,000		$2,501 - $5,000
4	Brokerage Account 3	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	Fidelity Blue Chip Growth Fund (FBGRX)	Yes	$100,001 - $250,000		$1,001 - $2,500
4.2	Fidelity Disciplined Equity Fund (FDEQX)	Yes	$15,001 - $50,000		$201 - $1,000
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		$1,001 - $2,500
4.5	Fidelity Municipal Income Fund (FHIGX)	Yes	$15,001 - $50,000		$201 - $1,000
4.6	Fidelity Europe Fund (FIEUX)	Yes	$15,001 - $50,000		$201 - $1,000
4.7	Fidelity Magellan Fund (FMAGX)	Yes	$15,001 - $50,000		$201 - $1,000
4.8	Fidelity Brokerage and Investment Management Portfolio (FSLBX)	Yes	$15,001 - $50,000		$201 - $1,000
4.9	Fidelity Health Care Portfolio (FSPHX)	Yes	$50,001 - $100,000		$1,001 - $2,500
4.10	Fidelity International Index Fund (FSPSX)	Yes	$100,001 - $250,000		$1,001 - $2,500
4.11	Fidelity 500 Index Fund (FXAIX)	Yes	$500,001 - $1,000,000		$5,001 - $15,000
4.12	Fidelity Money Market Fund (SPRXX)	Yes	$1,001 - $15,000		None (or less than $201)
5	Brokerage Account 4	No			
5.1	Fidelity Massachusetts Municipal Money Market Fund (FDMXX)	Yes	$1,001 - $15,000		None (or less than $201)
5.2	Fidelity 500 Index Fund (FXAIX)	Yes	$50,001 - $100,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	Fidelity Government Money Market Fund (SPAXX)	Yes	$15,001 - $50,000		None (or less than $201)
6	Massachusetts 529 Plan	No			
6.1	Fidelity MA College Portfolio (529)	Yes	$50,001 - $100,000		None (or less than $201)
6.2	Fidelity MA Bank Deposit Portfolio (529)	Yes	$100,001 - $250,000		None (or less than $201)
7	NH 529 Plan	No			
7.1	Fidelity NH College Portfolio Index Fund (529)	Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	9	CEO through May 2020. Executive Chair May 2020-Feb 2021.
2.	3	18.75% of profits interest has vested. Remaining 6.25% interest is unvested as of May 16, 2021.

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).