

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

Filer's Information

Dickson, Stephen

Administrator, Federal Aviation Administration, Department of Transportation

Report Year: 2021

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/ Dickson, Stephen [electronically signed on 05/14/2021 by Dickson, Stephen 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/ Kaleta, Judith, Certifying Official [electronically signed on 06/23/2021 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/11/2021 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/28/2021

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	Schwab IRA				
1.1	BlackRock Strategic Income Instl (BSIIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.2	Schwab Money Market (SchwabCash)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	iShares MSCI MinValue USA ETF (USMV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.4	iShare MSCI USA Value Factor (VLUE)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.5	iShares Russell 1000 Growth Index (IWF)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
1.6	Vanguard Dividend Appreciation ETF (VIG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.7	Vanguard Total International Stock ETF (VXUS)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.8	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Schwab Roth IRA	No			
2.1	Schwab Money Market (SchwabCash)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	FEG DIRECTIONAL ACCS TEILIMITED LIABILITY CO DELAWARE	No		Capital Gains	\$15,001 - \$50,000
2.2.1	Darsana Fund LP (underlying holdings and income are not readily ascertainable)	No	\$50,001 - \$100,000		
2.2.2	Pennant Windward Fund, L.P. (underlying holdings and income are not readily ascertainable)	No	\$1,001 - \$15,000		
2.3	Vanguard Dividend Appreciation ETF (VIG)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
2.4	Vanguard Total Bond Market Index Admiral Shares (VBTLX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
3	Pension Benefit Guaranty Corporation, Delta Pilots Retirement Plan, Defined Benefit Plan (value not readily ascertainable) \$4,020.92 / month payable 10/1/2022	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Delta Air Lines	Atlanta, Georgia	Pursuant to my employment contract with Delta Air Lines, I am entitled to receive pension payments under the Delta Pilots Retirement Plan . The Plan is held in trust by the Pension Benefit Guarantee Corporation and PBGC will issue monthly pension payments on behalf of the Plan beginning on 10/1/2022.	2/1991
2	Delta Air Lines	Atlanta, Georgia	Pursuant to company policy, upon separation I am entitled to receive retired officer travel benefits, including a capped annual tax gross up	10/2018
3	Delta Air Lines	Atlanta, Georgia	Pursuant to company policy, upon separation the company will continue paying premiums for a term life insurance policy	10/2018

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	Schwab IRA	No			
1.1	Vanguard Dividend Appreciation (VIG)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.2	BlackRock Strategic Income Instl (BSIIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.3	Schwab Money Market (SchwabCash)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	iShares Edge MSCI USA Value Factor ETF (VLUE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2	Schwab Roth IRA	No			
2.1	BlackRock Strategic Income Opportunities Inv A (BASIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.2	Schwab Money Market (SchwabCash)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	iShares MSCI USA Value (VLUE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	US Bank Money Market Account (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
3	Schwab Brokerage	No			
3.1	BlackRock Strategic Income Instl (BSIIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.2	iShares MSCI Min Vol USA ETF (USMV)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
3.3	Schwab Money Market (SchwabCash)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	Vanguard Dividend Appreciation (VIG)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.5	Vanguard Total International Stock Index (VXUS)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.6	iShares Edge MSCI USA Value Factor ETF (VLUE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.7	iShares S&P 100 ETF (OEF)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
3.8	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4	Schwab Brokerage	No			
4.1	BlackRock Strategic Income Instl (BSIIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.2	iShares Russell 1000 Growth (IWF)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
4.3	Schwab Money Market (SchwabCash)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	Vanguard Interm-Term Tax-Exempt Admiral (VWIUX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
4.5	VANGUARD DIV GROWTH FD INVESTOR SHRS (VDIGX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.6	PRIMECAP ODYSSEY GROWTH (POGRX)	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
4.7	Vanguard FTSE Emerging Markets (VWO)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.8	Vanguard Total International Stock ETF (VXUS)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.9	Vanguard Small-Cap Index Fund ETF Shares (VB)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
5	Ovation Alternative Income Fund, LP	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
6	Ardent Financial Fund II, LP	No	\$15,001 - \$50,000	Dividends Capital Gains Interest	\$5,001 - \$15,000
6.1	AFF II Wilmington, LLC (commercial real estate loans)	N/A			
6.2	AFF II Portland, LLC (commercial real estate loans)	N/A			
6.3	AFF II Knoxville, LLC (commercial real estate loans)	N/A			
6.4	AFF II Charity, LLC (commercial real estate loans)	N/A			
6.5	AFF II Downtown, LLC (commercial real estate loans)	N/A			
6.6	AFF II Wall Street, LLC (commercial real estate loans)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	AFF II Hank, LLC (commercial real estate loans)	N/A			
6.8	AFF II Clemson House, LLC (commercial real estate loans)	N/A			
6.9	AFF II Port Royal, LLC (commercial real estate loans)	N/A			
6.10	AFF II Beaumont, LLC (commercial real estate loans)	N/A			
6.11	AFF II Lark, LLC (commercial real estate loans)	N/A			
6.12	AFF II South Village, LLC (commercial real estate loans)	N/A			
6.13	AFF II Cane Bay, LLC (commercial real estate loans)	N/A			
7	Flock Financial Fund, LLC Promissory Note 12%	No	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
8	Porter House Investors, LLC	No			
8.1	Commercial real estate, Jacksonville, FL	N/A	\$50,001 - \$100,000		None (or less than \$201)
9	Monteagle - East Fork Fund, LLC	No			
9.1	Undeveloped land, Dekalb County, AL	N/A	\$50,001 - \$100,000		None (or less than \$201)
10	Residential real estate, Key West, FL	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
11	Big Hill Partners LLC	No			
11.1	Undeveloped land, Chatham County, NC	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Diversified HP 2016 Investors (QP) LLC	No	\$100,001 - \$250,000		None (or less than \$201)
12.1	1104 Prospect Redevelopment LLC	No			
12.1.1	Commercial real estate, Cleveland, OH	N/A			
12.2	West Duval Towers LLC	No			
12.2.1	Commercial real estate, Jacksonville, FL	N/A			
12.3	Financial Planning Center LP	No			
12.3.1	Commercial real estate, New Orleans, LA	N/A			
12.4	Olympia Newco LLC	No			
12.4.1	Commercial and residential real estate, New Haven, CT	N/A			
12.5	384 Peachtree LLC	No			
12.5.1	Commercial real estate, Atlanta, GA	N/A			
12.6	Midtown Associates LLC	No			
12.6.1	Commercial real estate, Asheville, NC	N/A			
13	HP15 Opportunity Fund LLC	No	\$100,001 - \$250,000	Rent or Royalties	\$1,001 - \$2,500
13.1	Downunder Columbia LLC	No			
13.1.1	Commercial real estate, Columbia, SC	N/A			
13.2	Municipal Light Plant LLC	No			
13.2.1	Commercial real estate, Columbus, OH	N/A			
13.3	Asheville Foundry Inn LLC	No			
13.3.1	Commercial real estate, Asheville, NC	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.4	Blue Venterra LP	No			
13.4.1	Commercial real estate, Louisville, KY	N/A			
13.5	Mast Asheville RE LLC	No			
13.5.1	Commercial real estate, Asheville, NC	N/A			
13.6	Sumter LLC	No			
13.6.1	Commercial real estate, Columbia, SC	N/A			
13.7	CLM Properties LLC	No			
13.7.1	Commercial real estate, Columbia, SC	N/A			
13.8	2101 Superior Avenue LLC	No			
13.8.1	Commercial real estate, Cleveland, OH	N/A			
13.9	2125 Superior Holding LLC	No			
13.9.1	Commercial real estate, Cleveland, OH	N/A			
13.10	2130 Superior Avenue LLC	No			
13.10.1	Commercial real estate, Cleveland, OH	N/A			
13.11	40 N French Broad LLC	No			
13.11.1	Commercial real estate, Asheville, NC	N/A			
14	Lookout Creek Mining Company LLC	No			
14.1	Undeveloped land, Dekalb County, AL	N/A	\$100,001 - \$250,000		None (or less than \$201)
15	Kissinger Acquisitions, LLC	No			
15.1	Undeveloped land, Pike County, Missouri	N/A	\$50,001 - \$100,000		None (or less than \$201)
16	Greer Building, LLC	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Commercial Real Estate, Buncombe County, NC		\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	01/09/2020	\$15,001 - \$50,000
2	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	01/09/2020	\$100,001 - \$250,000
3	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	01/09/2020	\$15,001 - \$50,000
4	Semper MBS Total Return Fund Institutional Class Shares (SEMMX)	Sale	03/27/2020	\$250,001 - \$500,000
5	iShares S&P 100 ETF (OEF)	Purchase	04/03/2020	\$250,001 - \$500,000
6	Semper MBS Total Return Fund Institutional Class Shares (SEMMX)	Sale	04/09/2020	\$250,001 - \$500,000
7	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	04/16/2020	\$15,001 - \$50,000
8	DFA US Large Cap Value (DFLVX)	Sale	04/16/2020	\$15,001 - \$50,000
9	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Purchase	04/16/2020	\$1,001 - \$15,000
10	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	04/16/2020	\$15,001 - \$50,000
11	EvermoreGlobal Value Fund Institutional Class Shares (EVGIX)	Sale	04/16/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	REMS International Real Estate Value-Opportunity Fund Institutional Class Shares (REIFX)	Sale	04/16/2020	\$50,001 - \$100,000
13	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Sale	04/16/2020	\$250,001 - \$500,000
14	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Purchase	04/16/2020	\$250,001 - \$500,000
15	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	04/16/2020	\$500,001 - \$1,000,000
16	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Sale	04/16/2020	\$500,001 - \$1,000,000
17	PRIMECAP Odyssey Growth Fund (POGRX)	Sale	04/16/2020	\$250,001 - \$500,000
18	iShares Russell 1000 Growth ETF (IWF)	Purchase	04/16/2020	\$250,001 - \$500,000
19	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Purchase	04/16/2020	\$100,001 - \$250,000
20	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	04/16/2020	\$100,001 - \$250,000
21	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	04/16/2020	\$15,001 - \$50,000
22	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	04/16/2020	\$100,001 - \$250,000
23	DFA US Large Cap Value (DFLVX)	Sale	04/16/2020	\$100,001 - \$250,000
24	Vanguard Total World Stock Index Fund ETF Class Shares (VT)	Sale	04/16/2020	\$50,001 - \$100,000
25	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	04/16/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
26	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	05/04/2020	\$15,001 - \$50,000
27	iShares Edge MSCI Min Vol USA ETF (USMV)	Purchase	05/04/2020	\$15,001 - \$50,000
28	World REMS International Real Estate (REIFX)	Sale	05/14/2020	\$50,001 - \$100,000
29	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	05/14/2020	\$50,001 - \$100,000
30	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	06/01/2020	\$250,001 - \$500,000
31	iShares Edge MSCI Min Vol USA ETF (USMV)	Sale	06/01/2020	\$250,001 - \$500,000
32	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	06/01/2020	\$1,001 - \$15,000
33	iShares Edge MSCI Min Vol USA ETF (USMV)	Sale	06/01/2020	\$1,001 - \$15,000
34	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Purchase	07/29/2020	\$50,001 - \$100,000
35	Vanguard Small-Cap Index Fund ETF Shares (VB)	Purchase	08/20/2020	\$50,001 - \$100,000
36	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	08/20/2020	\$1,001 - \$15,000
37	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	10/30/2020	\$50,001 - \$100,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

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

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