

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

Filer's Information

Apol, David

General Counsel, Office of Government Ethics

Report Year: 2020

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/ Apol, David [electronically signed on 05/14/2020 by Apol, David 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/ Kane-Piasecki, Cheryl, Certifying Official [electronically signed on 06/10/2020 by Kane-Piasecki, Cheryl in Integrity.gov]

Other review conducted by

/s/ Kane-Piasecki, Cheryl, Ethics Official [electronically signed on 06/10/2020 by Kane-Piasecki, Cheryl in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/12/2020

Data Revised 06/10/2020

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	Morgan Stanley Account (IRA)	N/A	\$50,001 - \$100,000		\$201 - \$1,000
1.1	Invesco Diversified Dividend A (LCEAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Invesco Global Core Equity (AWSAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Putnam Voyager (PVOMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Morgan Stanley Cash Acct.	N/A	\$1,001 - \$15,000		None (or less than \$201)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Apple 401k				
1.1	BlackRock LifePath 2020 Investor A	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	Fidelity Contra Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3	Vanguard Extended Market Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Dodge and Cox International Stock Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	IRA	No		Interest	\$5,001 - \$15,000
2.1	iShares TIPS Bond ETF	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.2	Deer Park Total Return (DPFNX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	US Cash Reserve Account	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	Georgetown University			Salary	
4	Fairfax County			Election worker stipend	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Managed Equity Account	No	\$5,000,001 - \$25,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
1.1	Alger Capital App. (ALARX)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
1.2	Sterling Capital Equity Income (BEGIX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.3	Barron Real Estate Fund (BREIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.4	Cambair Opportunity Investor (CAMOX)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
1.5	Diamond Hill Long/Short Fund DHLSX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.6	ISHARES MSCI Emerging Mkts (EEM)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.7	iShares MSCI EAFE Index (EFA)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.8	Goldman Sachs High Yd Muni (GHYIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.9	ISHARES Cohen & Steers REIT (ICF)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.10	IShares Core S & P Mid Cap (IJH)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.11	IShares Core S&P 500 (IVV)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.12	IShares Russell 2000 (IWM)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.13	Invesco Oppenheimer Dev Mkts Fd (ODVIX) (previously ODVYX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.14	Pimco All Asset Inst (PAAIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.15	Riverpark/Wedgewood (RWGFX)	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
1.16	Wasatch Emerging Markets Small Cap (WAEMX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.17	WCM Focused Intl Growth Fd (WCMIX)	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
1.18	U.S. brokerage cash account	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
1.19	Deer Park Total Return (DPFNX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.20	Athena Behavior Tactical (previously Value Fund (ATVIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.21	William Blair Macro Allocation Fund (WMCIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.22	IShares TR EFE Sm I Cap Fd ((SCZ)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.23	Driehaus Intn'l Small Cap Growth (DRIOX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.24	ASG Managed Futures Strategy (ASFYX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.25	Touchstone Small Cap Core Inst (TSFIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
2	Tax Free Bond Account	No	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
2.1	COLORADO ST BLDG EXCELLENT SCHS TODAY	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	FAIRFAX CNTY VA INDL DEV AUTH REV REV BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.3	FAIRFAX CNTY VA ECONOMIC DEV AUTH	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.4	FOLEY ALA GO WTS SER. 2014	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.5	FRISCO TEX CTFS OF OBLIG SER. 2013	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
2.6	GRAND RIVER DAM AUTH OKLA REV REV BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.7	HAMPTON VA REF PUB IMPT BDS SER. Afi	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.8	ILLINOIS FIN AUTH REV REV BDS MEMORIAL	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.9	JEA FLA WTR & SWR SYS REV REV BDS SER.	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.10	LAKE CNTY ILL FST PRESV DIST GO REF	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
2.11	LEESBURG VA GO REF BDS SER. 2014	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.12	LOUDOUN CNTY VA GO PUB IMPT BDS SER	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.13	MIAMI-DADE CNTY FLA SPL OBLIG CAP ASSET	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.14	NEBRASKA PUB PWR DIST REV REV BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.15	NEW YORK ST DORM AUTH ST PERS INCOME	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.16	NORFOLK VA GO REF BDS 2010 SER G	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.17	OSAGE SCH LAKE OZARK MO GO SCH BDS SER. C	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.18	POQUOSON VA GO REF BDS SER. 2012	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.19	RICHMOND VA GO BDS SER. 2009A	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
2.20	SALT RIVER PROJ ARIZ AGRIC IMPT & PWR	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.21	UNIVERSITY VA UNIV REVS GEN REV PLEDGE	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.22	VIRGINIA ST RES AUTH CLEAN WTR REV	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
2.23	VIRGINIA ST RES AUTH INFRASTRUCTURE REV	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.24	VIRGINIA ST PUB SCH AUTH SCH FING REF	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2.25	US bank money market acct	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2.26	PENNSYLVANIA ST GO BDS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.27	CONNECTICUT ST SPL TAX OBLIG REV	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
2.28	UPPER OCCOQUAN SEW AUTH VA	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.29	BROWARD CNTY FLA SCH BRD	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.30	REGIONAL TRANSN AUTH ILL GO BDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.31	NEW MEXICO ST SEVERANCE TAX	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.32	MIAMI -DADE CNTY FLA GO REF BDS	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.33	TYLER TEX INDPT SCH DIST	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.34	MISS ST UNIV EDL BLDG CORP REV BD	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.35	FAIRFAX CNTY VA GO BDS SER	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.36	ARLINGTON CNTY VA INDL DEV AUTH REV	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.37	HAMPTON ROADS VA TRANS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.38	ALEXANDRIA VA GO REF BDS SER. 2017	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.39	NEW MEXICO FIN AUTH REV BDS SER. 2017	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
2.40	MIAMI-DADE CNTY FLA TRAN SYS SALES	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
2.41	FLORIDA ST BRD ED LOTTERY REV REF BDS	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.42	RICHMOND VA GO PUB IMPT REF BDS SER. +	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.43	VIRGINIA COMMONWEALTH TRANSN BRD	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.44	MARICOPA CNTY ARIZ INDL DEV AUTH HOSP +	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
2.45	CONNECTICUT ST GO BDS SER. 2019	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.46	CHESTERFIELD CNTY VA GO PUB IMPT BDS	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
2.47	UNITED STATES TREAS NTS NOTE	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
2.48	PALM BEACH CNTY FLA HEALTH FACS AUTH +	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
2.49	SUGAR LAND TEX 4B CORP SALES TAX REV +	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
3	US Bank Accounts	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
4	US Bank Savings Acct	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
5	Columbia Global Equity Value Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	JP Morgan Strategic Income Fund (JSOCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Gabelli Asset Fund (GABAX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
8	Deutsche Global Int'l Fund (SCOBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	Janus Global Research (JANWX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	Janus Research Fund (JNRFX) (previously identified as Janus Fund)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	Vanguard Intermediate Tax Exempt Bond Fd	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Vanguard Windsor II Fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
13	Virginia College Prepaid Savings Plan	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	America Funds VCSP Money Market fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
15	Northwest Mutual Whole Life Policy	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16	US Savings Bonds	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	CONNECTICUT ST GO BDS SER. 2019 A 05.00000% 04/15/2024	Purchase	04/11/2019	\$50,001 - \$100,000
2	UNITED STATES TREAS NTS NOTE	Sale	09/25/2019	\$50,001 - \$100,000
3	PALM BEACH CNTY FLA HEALTH FACS AUTH 05.00000% 08/15/2027 HOSP REV BDS BAPTIST HEALTH SOUTH FLORIDA SER. 2019	Purchase	09/25/2019	\$50,001 - \$100,000
4	SUGAR LAND TEX 4B CORP SALES TAX REV	Purchase	10/16/2019	\$50,001 - \$100,000
5	MARICOPA CNTY ARIZ INDL DEV AUTH HOSP 05.00000% 09/01/2029 REV BDS See Endnote	Purchase	12/06/2018	\$100,001 - \$250,000
6	ASG MANAGED FUTURES STRATEGY FUND	Purchase	01/15/2019	\$500,001 - \$1,000,000
7	TOUCHSTONE SMALL CAP FUND CL I +	Purchase	01/15/2019	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
8	ISHARES RUSSELL 2000 ETF	Sale	01/16/2019	\$250,001 - \$500,000
9	DRIEHAUS INTERNAT'L SMALL CAP GROWTH	Purchase	01/23/2019	\$250,001 - \$500,000
10	ISHARES TR EAFE SML CP ETF	Sale	01/24/2019	\$250,001 - \$500,000
11	RIVERPARK/WEDGEWOOD RETAIL	Sale	12/11/2019	\$1,000,001 - \$5,000,000
12	UNITED STATES TREAS NTS NOTE	Purchase	07/29/2019	\$50,001 - \$100,000
13	Blackrock Lifepath Index 2020	Sale	11/15/2019	\$100,001 - \$250,000
14	Blackrock Lifepath Index Retirement Account	Purchase	11/15/2019	\$100,001 - \$250,000
15	Chesterfield County VA Go Pub Impt Bds	See Endnote	07/23/2019	\$100,001 - \$250,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
7.	5	Settlement date: 1/3/19
7.	15	Error was discovered when filing my annual report. Late fee paid.

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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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).