

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Sonfield, Brian

Assistant General Counsel, General Law Ethics and Regulation, Department of the Treasury

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Sonfield, Brian [electronically signed on 04/21/2023 by Sonfield, Brian 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/ Vetter, Mark, Certifying Official [electronically signed on 05/31/2023 by Vetter, Mark in Integrity.gov]

Other review conducted by

/s/ Plessner, Brian, Ethics Official [electronically signed on 05/26/2023 by Plessner, Brian in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/31/2023

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	IRA #1	No			
1.1	Vanguard Dividend Growth Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	Vanguard Growth Index Fund Adm	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.3	Vanguard Global Min Vol Admiral	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$50,001 - \$100,000		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	IRA #2	No			
1.1	Vanguard Target Retirement 2040 Investor Cl	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Roth IRA #1	No			
2.1	Vanguard Target Retirement 2040 Investor Cl	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account # 1	No			
1.1	Vanguard Total Stock Mkt Indx Adm	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.2	Vanguard 500 Index Admiral Shares (VFIAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2	Brokerage Account #2	No			
2.1	U.S. Money Market Account #1	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	Alcon Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Novartis AG ADR	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.4	Invesco DWA Momentum ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Invesco QQQ Trust, Series 1	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.6	Invesco S&P 500 Equal Weight E	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.7	iShares Morningstar Mid CP ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.8	iShares Core S&P Small-Cap, ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.9	Vanguard Dividend Appreciation Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.10	Vanguard FTSE Emerging Markets	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.11	Maryland St Hlth Hghr Edl Facs Au Pkg Rv-John Hpkln	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.12	Puerto Rico Comwlth Pub Impt Ref	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
2.13	Maryland St Genl Oblig Second Ser B	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
2.14	Treasury bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3	Brokerage Account # 3	No			
3.1	U.S. Money Market Account # 2	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Blackrock Eqty Dividend Fund Instl	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.3	ClearBridge Large Cap Growth Fund Cl I	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
3.4	Edgewood Growth Fund Cl Inst	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.5	Fuller & Thaler Behvrl Small-Cap Eq Fd Cl Instl	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.6	ISH USD High Yield Corporate Bond ETF SH	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	iShares Russell 1000 Growth	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	iShares Russell 1000 Value	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.9	iShares U.S. Treasury Bond ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.10	iShares Tr Core MSCI EAF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.11	MFS Value Fd CI I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.12	Oakmark Intl Fd CI Adv	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.13	T Rowe Price Emerging Markets Stock Fd	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.14	Vanguard Intermediate-Term Corporate Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.15	Vanguard Mortgage-Backed Sec	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.17	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.18	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.19	Schwab US Small-Cap ETF (SCHA)	Yes	None (or less than \$1,001)		\$201 - \$1,000
3.20	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.21	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	PIMCO Investment Grade Credit Bond Fund Class I-2 Shares (PBDPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	Brokerage Account # 4	No			
4.1	U.S. Money Market Account # 3	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
4.2	Baltimore Cnty MD Go Metropolitan Dist Bds Jun15	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.3	Prince Georges Cnty MD Go Cons Pub Impt Lt C Jun13	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.4	Maryland CDA LCL Gvt Infrastr Ser A-2 Aug15	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.5	Maryland St CDA Dept HSG Cmty Local A OID AMBAC May05	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
4.6	Washington Subn San Dist MD Cons Pub Impt BDS May16	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.7	Baltimore Cnty MD Go Metropolitan Dist Mar17	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.8	Maryland St St and Local Facs Loan Go BdsMar17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.9	Anne Arundel Cnty MD Gen Impt Ref Bds Jun12	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
4.10	Washington Subn San Dist MD Cons Pub Impt Bds May16 (matures 6/1/29)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.11	Frederick Cnty MD Go Pub Facs Ref Bds Ser A Apr17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.12	Maryland St Go Bds OID Aug15	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.13	Maryland St Go Bds Jun16	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.14	Maryland St Hlth-Higher EFA RV May15	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.15	Invesco Divid Achievers (PFM)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.16	Invesco S&P 500 Quality	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.17	Invesco S&P 500 Equal Weight	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.18	iShares Core S&P Mid-Cap ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.19	iShares Tr Russell 2000	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.20	Montgomery Cnty Md Go Consolidated Pub Impt A Aug 20	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
4.21	SPDR S&P 500 ETF Trust	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.22	SPDR S&P 500 ETF Trust (SPY), open position for written call option; 200 shares, strike \$400, exp. 1/2023	N/A			None (or less than \$201)
4.23	SPDR S&P 500 ETF Trust (SPY), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.24	SPDR S&P 500 ETF Trust (SPY), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5	Maryland College Investment Plan (Portfolio 2027)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Maryland College Investment Plan (Portfolio 2024)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	UGMA/UTMA Account # 1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1	Vanguard 500 Index Admiral CI	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	UGMA/UTMA Account # 2	No			
8.1	Vanguard 500 Index Admiral CI	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	U.S. Bank Account # 1	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	U.S. Money Market Account #4	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	U.S. Credit Union Account # 1	N/A	\$100,001 - \$250,000		None (or less than \$201)
12	residential real estate (vacant lot), Chula Vista, CA	N/A	\$100,001 - \$250,000		None (or less than \$201)
13	U.S. Bank Account # 2	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	U.S. Bank Account # 3	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	SPDR S&P 500 ETF Trust (SPY), opened cash-secured written put option position: 200 shares, strike \$423, exp. 4/2022		01/13/2022	
2	Montgomery Cnty Md Go Consolidated Pub Impt Bds issued 8/5/20	Purchase	04/21/2022	\$50,001 - \$100,000
3	SPDR S&P 500 ETF Trust (SPY), opened cash-secured written put option position: 200 shares, strike \$400, exp. 7/2022		04/21/2022	

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	SPDR S&P 500 ETF Trust (SPY), closed position for cash-secured written put option (opened on 1/13/22)		04/14/2022	
5	SPDR S&P 500 ETF Trust (SPY)	Purchase	07/18/2022	\$50,001 - \$100,000
6	SPDR S&P 500 ETF Trust (SPY), opened written call option position: 200 shares, strike \$400, exp. 10/22		07/18/2022	
7	SPDR S&P 500 ETF Trust (SPY), opened written call option position; 200 shares, strike \$400, exp. 1/23		10/25/2022	
8	T Rowe PriceEmerging Markets Stock Fund (PRMSX)	Purchase	01/25/2022	\$1,001 - \$15,000
9	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Purchase	01/25/2022	\$1,001 - \$15,000
10	iShares Russell 1000 Growth ETF (IWF)	Purchase	02/09/2022	\$1,001 - \$15,000
11	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	02/09/2022	\$1,001 - \$15,000
12	T Rowe PriceEmerging Markets Stock Fund (PRMSX)	Purchase	02/09/2022	\$1,001 - \$15,000
13	PIMCO Investment Grade Credit Bond Fund Class I-2 Shares (PBDPX)	Purchase	02/09/2022	\$1,001 - \$15,000
14	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	02/09/2022	\$1,001 - \$15,000
15	iShares Russell 1000 Value ETF (IWD)	Sale	02/09/2022	\$1,001 - \$15,000
16	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Sale	02/09/2022	\$1,001 - \$15,000
17	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Sale	02/09/2022	\$1,001 - \$15,000
18	iShares Russell 1000 Growth ETF (IWF)	Purchase	05/13/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
19	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	05/13/2022	\$1,001 - \$15,000
20	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Purchase	05/13/2022	\$1,001 - \$15,000
21	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Purchase	05/13/2022	\$1,001 - \$15,000
22	PIMCO Investment Grade Credit Bond Fund Class I-2 Shares (PBDPX)	Purchase	05/13/2022	\$1,001 - \$15,000
23	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Purchase	05/13/2022	\$1,001 - \$15,000
24	iShares Russell 1000 Value ETF (IWD)	Sale	05/13/2022	\$1,001 - \$15,000
25	iShares Core MSCI EAFE ETF (IEFA)	Sale	05/13/2022	\$1,001 - \$15,000
26	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	05/13/2022	\$1,001 - \$15,000
27	Fuller & Thaler Behavioral Small-Cap Equity Fund Institutional Class Shares (FTHSX)	Sale	05/13/2022	\$1,001 - \$15,000
28	MFS Value Fund Class I Shares (MEIIX)	Sale	05/13/2022	\$1,001 - \$15,000
29	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Sale	05/13/2022	\$1,001 - \$15,000
30	BlackRock Equity Dividend Fund Institutional Shares (MADVX)	Sale	05/13/2022	\$1,001 - \$15,000
31	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Purchase	07/14/2022	\$1,001 - \$15,000
32	iShares US Treasury Bond ETF (GOVT)	Purchase	07/14/2022	\$1,001 - \$15,000
33	Schwab US Small-Cap ETF (SCHA)	Sale	07/14/2022	\$1,001 - \$15,000
34	SPDR Bloomberg Barclays 1-3 Month T-Bill ETF (BIL)	Sale	07/14/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	Vanguard Russell 1000 Growth Index Fund ETF Shares (VONG)	Purchase	09/28/2022	\$1,001 - \$15,000
36	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Sale	09/28/2022	\$1,001 - \$15,000
37	ClearBridge Large Cap Growth Fund Class I Shares (SBLYX)	Sale	09/28/2022	\$1,001 - \$15,000
38	Vanguard Mortgage-Backed Securities Index Fund ETF Class Shares (VMBS)	Purchase	10/12/2022	\$1,001 - \$15,000
39	iShares US Treasury Bond ETF (GOVT)	Purchase	10/12/2022	\$1,001 - \$15,000
40	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Purchase	10/12/2022	\$1,001 - \$15,000
41	Vanguard Intermediate-Term Corporate Bond Index Fund ETF Class Shares (VCIT)	Sale	10/12/2022	\$1,001 - \$15,000
42	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Sale	12/19/2022	\$1,001 - \$15,000
43	SPDR S&P 500 ETF Trust (SPY), closed position for cash-secured written call option (opened on 7/18/22)		10/21/2022	

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

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).
