

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Fink, Dorothy A

Deputy Assistant Secretary for Office of Women's Health/OASH, Department of Health & Human Services

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/ Fink, Dorothy A [electronically signed on 06/24/2020 by Fink, Dorothy A in Integrity.gov] - Filer received a 45 day filing extension.

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/ Reed, Paul L, Certifying Official [electronically signed on 10/02/2020 by Reed, Paul L in Integrity.gov]

Other review conducted by

/s/ McClure, Chester, Ethics Official [electronically signed on 08/25/2020 by McClure, Chester in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 08/25/2020

Data Revised 06/29/2020

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(06/29/2020, McClure, Chester): Preliminary Review 6/29/2020
N/A	N/A	General	<p>(08/25/2020, McClure, Chester): Filer received 45-day filing extension. Certification delayed to confirm details of newly reported spousal holdings, employment, and then recent transactions.</p> <p>Filer joined OASH/OWH in December 2018. Due to timing of appointment, this is filer's first Annual Form 278. Spousal assets are initially included on this Form 278, based on marriage in February 2019. Filer confirmed all holdings of spouse's healthcare-related stock are below both the \$15,000 exemption level for a particular matter involving specific parties, and the \$25,000 exemption level for all affected parties based on sector, industry and product. Filer confirmed spouse held less than \$6,000 as of Dec. 2019 in any of the following: Biogen, Bristol Myers Squibb, Crispr Inc, Dexcom, United Health Group, Intuitive Surgical, Natera, Stryker, and Veeva. Filer advised to seek ethics guidance if a matter arises related to any of her or spouse's healthcare-related holdings to avoid any optics concerns. Filer and her spouse counseled to at a minimum maintain current healthcare holdings below exemption levels, and to abstain from acquiring any additional healthcare, pharmaceutical, medical device, health insurance, and health-related technology assets to avoid conflict of interest concerns. Filer should manage holdings based on guidance provided in her ethics agreement upon joining HHS. Transactions reported via Form 278-T. However, Realty Income Corp holding was entirely sold in Jan 2019 as part of compliance with initial ethics agreement, but inadvertently not included on a 278-T. No reportable outside positions. No ethics concerns except as noted for spousal assets above. Edits made upon filer guidance.</p> <p>Spouse employment (including clinical practice and research), fellowship, and honoraria are unrelated to filer's duties and create no ethics concerns.</p> <p>Filer must be recused from matters arising in her official duties related to NYU School of Medicine due to spousal employment. Filer has confirmed that NYU School of Medicine and Hospital for Special Surgery no longer manage or contribute to retirement plans. Thus, no on-going financial relationship/agreement for retirement plan participation.</p>

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	Alcoa Corp- AA	No	\$1,001 - \$15,000		None (or less than \$201)	
2	Arconic Inc- ARNC	No	\$1,001 - \$15,000		None (or less than \$201)	
3	Conono Phillips- COP	No	\$1,001 - \$15,000		\$201 - \$1,000	
4	Dominion Energy Inc- D	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
5	Glaxo PLC- GSK	See Endnote	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
6	Kraft Heinz Co- KHC	See Endnote	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
7	L Brands Inc- LB	See Endnote	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
8	Tandem Diabetes Inc- TNDM	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
9	Kinder Morgan Pfd- KMI A	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
10	Ford Motor Co- F	No	\$1,001 - \$15,000		None (or less than \$201)	
11	Adams Natural Resources Fund- PEO	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
12	Am FDS World G&I- CWGIX	Yes	\$15,001 - \$50,000		\$201 - \$1,000	

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Brighthouse Variable Annuity		No	\$15,001 - \$50,000		None (or less than \$201)
13.1	Schroders Global Multi Asset Portfolio		Yes	\$1,001 - \$15,000		None (or less than \$201)
13.2	Brighthouse Balanced Plus Portfolio		Yes	\$15,001 - \$50,000		None (or less than \$201)
13.3	AQR Global Risk Balanced Portfolio		Yes	None (or less than \$1,001)		\$201 - \$1,000
14	Abbott Labs- ABT	See Endnote	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
15	General Electric Co- GE	See Endnote	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
16	Home Depot Inc- HD		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
17	Realty Income Corp- O	See Endnote	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
18	T Rowe Price- CAP-APP Fd PRWCX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
19	Vanguard Treasury Money Market- VUSSX		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
20	Transamerica – Hospital for Special Surgery 403b		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
20.1	Vanguard Institutional Target Retirement 2045 Fund (VITLX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
21	TIAA-CREF - NYU School of Medicine 403(b)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
21.1	TIAA-CREF annuity account	See Endnote	Yes	\$15,001 - \$50,000		
21.2	Vanguard Star Fund Investor Shares VGSTX		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
21.3	Vanguard Institutional Target Retirement 2045 Fund Institutional Shares VITLX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500	
21.4	Vanguard Dividend Growth Investor Shares VDIGX	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
21.5	Vanguard Extended Market Index Fund Admiral Shares VEXAX	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
22	Wal-Mart - WMT	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	Hospital for Special Surgery	See Endnote			Salary	\$9,372
24	FedEx Corp (FDX)	No	\$1,001 - \$15,000		None (or less than \$201)	
25	Intel Corp (INTC)	No	\$1,001 - \$15,000		\$201 - \$1,000	
26	Kohls Corp- KSS	No	\$1,001 - \$15,000		\$201 - \$1,000	
27	Lowes Companies, Inc- LOW	No	\$1,001 - \$15,000		\$201 - \$1,000	
28	Magna International Inc Class A -MGA	No	\$1,001 - \$15,000		\$201 - \$1,000	
29	Raytheon Technology-RTX	No	\$1,001 - \$15,000		None (or less than \$201)	
30	TJX Cos Inc (TJX)	No	\$1,001 - \$15,000		None (or less than \$201)	
31	Walt Disney Co (DIS)	No	\$1,001 - \$15,000		None (or less than \$201)	
32	Bed Bath & Beyond Inc (BBBY)	No	\$1,001 - \$15,000		None (or less than \$201)	
33	Vanguard NY Money Market- VYFXX	Yes	None (or less than \$1,001)		\$201 - \$1,000	

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Hospital for Special Surgery	New York, New York	I will not participate in employer-sponsored defined contribution option of this 403(b) plan after my separation.	3/2017
2	New York University School of Medicine	New York, New York	I will not participate in employer-sponsored defined contribution option of this 403(b) plan after my separation.	8/2014

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	New York University School of Medicine (Physician)	N/A		salary, bonus	
2	Paul and Daisy Soros Fellowship - 2019	N/A		Honorarium	\$1,375
3	Roth IRA First Republic Inv Mgt Moderate Growth FRIM	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4	TIAA/CREF-403B	Yes			
4.1	Vanguard Midcap	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Vanguard PRIMECAP	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	Vanguard Capital Opportunity	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	Vanguard Small-Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	TIAA Real Estate	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Vanguard Inflation Prot Sec	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Vanguard GNMA	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Vanguard Target 40	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	NYU School of Medicine Retiree Medical Savings Account	Yes			
5.1	TIAA-CREF Lifecycle 2040	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Individual Brokerage Account	No			
6.1	Alphabet Inc (GOOGL)	No	\$1,001 - \$15,000		None (or less than \$201)
6.2	Alteryx, Inc. (AYX)	No	\$1,001 - \$15,000		None (or less than \$201)
6.3	Amazon.com, Inc. (AMZN)	No	\$15,001 - \$50,000		None (or less than \$201)
6.4	Apple, Inc. (AAPL)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.5	Biogen Inc. (BIIB)	No	\$1,001 - \$15,000		None (or less than \$201)
6.6	Boeing Co (BA)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Bristol-Myers Squibb (BMY)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.8	Cosan Limited (CZZ)	No	\$1,001 - \$15,000		None (or less than \$201)
6.9	Costco Wholesale Corp. (COST)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.10	Coupa Software, Inc. (COUP)	No	\$1,001 - \$15,000		None (or less than \$201)
6.11	Crispr Therapeutics (CRSP)	No	\$1,001 - \$15,000		None (or less than \$201)
6.12	DexCom, Inc. (DXCM)	No	\$1,001 - \$15,000		None (or less than \$201)
6.13	Dynatrace Holdings LLC (DT)	No	\$1,001 - \$15,000		None (or less than \$201)
6.14	Intuitive Surgical, Inc. (ISRG)	No	\$1,001 - \$15,000		None (or less than \$201)
6.15	L3Harris Technologies, Inc. (LHX)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.16	McDonald's Corp. (MCD)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.17	Natera, Inc. (NTRA)	No	\$1,001 - \$15,000		None (or less than \$201)
6.18	NMI Holdings, Inc. (NMIH)	No	\$1,001 - \$15,000		None (or less than \$201)
6.19	NVIDIA Corp. (NVDA)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.20	Paycom Software, Inc. (PAYC)	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.21	salesforce.com, inc. (CRM)	No	\$1,001 - \$15,000		None (or less than \$201)
6.22	Stryker Corp. (SYK)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.23	Ubiquiti, Inc. (UI)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.24	UnitedHealth Group, Inc. (UNH)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.25	Veeva Systems, Inc. (VEEV)	No	\$1,001 - \$15,000		None (or less than \$201)
6.26	Visa, Inc. (V)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.27	Workday, Inc. (WDAY)	No	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

None

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	General Electric Co, Common stock	Sale	12/26/2018	\$1,001 - \$15,000
2	Glaxosmithkline, Common stock	Sale	02/06/2019	\$1,001 - \$15,000
3	L Brands Inc, Common stock	Sale	02/11/2019	\$1,001 - \$15,000
4	General Electric Co, Common stock	Sale	02/12/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
5	Tandem Diabetes Care, Inc. - Common Stock	Sale	02/08/2019	\$1,001 - \$15,000
6	Kraft Heinz Co., Common stock	Sale	02/12/2019	\$1,001 - \$15,000
7	Abbott Laboratories, Common stock	Sale	02/06/2019	\$15,001 - \$50,000
8	FedEx Corp	Purchase	05/10/2019	\$1,001 - \$15,000
9	Raytheon Company New	Purchase	05/10/2019	\$1,001 - \$15,000
10	Kohls Corp	Purchase	05/21/2019	\$1,001 - \$15,000
11	Lowe's Companies Inc	Purchase	05/23/2019	\$1,001 - \$15,000
12	Magna International Inc Class A	Purchase	05/16/2019	\$1,001 - \$15,000
13	Intel Corp	Purchase	05/20/2019	\$1,001 - \$15,000
14	TJX Cos Inc New	Purchase	05/29/2019	\$1,001 - \$15,000
15	Bed Bath & Beyond Inc. - Common Stock (BBBY)	Purchase	08/01/2019	\$1,001 - \$15,000
16	Walt Disney Co (DIS)	Purchase	09/16/2019	\$1,001 - \$15,000
17	AQR Global Risk Balanced Portfolio	Sale	08/28/2019	\$1,001 - \$15,000
18	Schroders Global Multi Asset Portfolio	Purchase	08/28/2019	\$1,001 - \$15,000
19	Vanguard NY Money Market- VYFXX	Sale	01/29/2019	\$15,001 - \$50,000
20	Vanguard Treasury Money Market- VUSSX	Purchase	01/29/2019	\$50,001 - \$100,000
21	Realty Income Corp- O	Sale	01/31/2019	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	5	Filer divested all of this stock as required by an ethics agreement via a sale on 02/06/19.
2.	6	Filer divested all of this stock as required by an ethics agreement via a sale on 02/12/19.
2.	7	Filer divested all of this stock as required by an ethics agreement via a sale on 02/11/19.
2.	8	Filer divested all of this stock as required by an ethics agreement via a sale on 02/08/19.
2.	14	Filer divested all of this stock as required by an ethics agreement via a sale on 02/06/19.
2.	15	Filer divested all of this stock as required by an ethics agreement via sales on 12/26/18 and 02/12/19.
2.	17	Filer divested all of this stock as required by an ethics agreement via a sale on 1/31/19.
2.	21.1	Employer and employee contributions to Employee Vesting Account.
2.	22	Filer confirmed value of Wal-Mart stock and advised to maintain value below the \$15,000 exemption level to avoid ethics concerns.
2.	23	Income received for services provided in 2018 prior to employment with HHS.

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).
