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

Filer's Information

Dorn, Alan

Chief Counsel, Region V, 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/ Dorn, Alan [electronically signed on 06/24/2020 by Dorn, Alan 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/ Hancock, Glenn R, Certifying Official [electronically signed on 07/02/2020 by Hancock, Glenn R in Integrity.gov]

Other review conducted by
/s/ Hancock, Glenn R, Ethics Official [electronically signed on 07/02/2020 by Hancock, Glenn R in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/02/2020

Data Revised 07/01/2020

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/01/2020, Hancock, Glenn R): Initial review completed 7/1/2020.

1. Filer's Positions Held Outside United States Government

None

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

None

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	jamf (Apple Device Management Solutions) -- Employment			Salary	
2	Voya Financial (jamf Retirement Plan)	No			
2.1	American Funds 2035 TDate R6 -- TRANSFERRED TO NORTHWESTERN MUTUAL INVESTMENT SERVICES IRA 10/24/2019	Yes	None (or less than $1,001)		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Northwestern Mutual Investment Services Brokerage Account (Spouse/SEP)	No			
3.1	Dodge & Cox Income Fund (DODIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.2	EuroPacific Growth Fund Class F-2 (AEPFX)	Yes	$1,001 - $15,000		None (or less than $201)
3.3	Fidelity Advisor Mid Cap II Fund (FIIMX) -- SOLD 3/18/2019	Yes	None (or less than $1,001)		None (or less than $201)
3.4	Fidelity Advisor New Insights Fund Class I (FINSX)	Yes	$1,001 - $15,000		None (or less than $201)
3.5	Oakmark International Fund Class I (OAKIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.6	Hartford World Bond Fund Class I (HWDIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.7	MFS Value Fund Class I (MEIIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.8	New World Fund Class F-2 (NFFFX)	Yes	$1,001 - $15,000		None (or less than $201)
3.9	Northern Small Cap Value Fund (NOSGX)	Yes	$1,001 - $15,000		None (or less than $201)
3.10	Pimco Income Fund Class P (PONPX)	Yes	$1,001 - $15,000		None (or less than $201)
3.11	T Rowe Price Real Estate (TRREX) -- SOLD 3/18/2019	Yes	None (or less than $1,001)		None (or less than $201)
3.12	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)	Yes	None (or less than $1,001)		None (or less than $201)
3.13	Deutsche Enhanced Commodity Strategy Fund (SKIRX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.14	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.15	Goldman Sachs International Small Cap Insights Fund (GICIX)	Yes	$1,001 - $15,000		None (or less than $201)
3.16	TIAA-CREF Bond Fund Advisor Class (TIBHX)	Yes	$1,001 - $15,000		None (or less than $201)
3.17	American Century Short Duration Inflation Protection Bond Fund (APOIX) -- PURCHASED 8/19/2019	Yes	$1,001 - $15,000		None (or less than $201)
3.18	Baron Asset Fund (BARIX) -- PURCHASED 3/18/2019	Yes	$1,001 - $15,000		None (or less than $201)
3.19	Principal Real Estate Securities Fund ((PIREX) -- PURCHASED 3/18/2019	Yes	$1,001 - $15,000		None (or less than $201)
3.20	Principal Global Multi Strategy Fund ((PSMIX) -- PURCHASED 3/18/2019	Yes	$1,001 - $15,000		None (or less than $201)
3.21	Goldman Sachs Absolute Return Tracker Fund (GJRTX) - PURCHASED 8/19/2019		$1,001 - $15,000		None (or less than $201)
4	Northwestern Mutual Investment Services Brokerage Account (Spouse/IRA)	No			
4.1	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)	Yes	$1,001 - $15,000		None (or less than $201)
4.2	Dodge & Cox Income Fund (DODIX)	Yes	$15,001 - $50,000		None (or less than $201)
4.3	EuroPacific Growth Fund Class F-2 (AEPFX)	Yes	$15,001 - $50,000		None (or less than $201)
4.4	Fidelity Advisor Mid Cap II Fund Class I (FIIMX) -- SOLD 3/18/2019	Yes	None (or less than $1,001)		None (or less than $201)
4.5	Oakmark International Fund Class I (OAKIX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	Hartford World Bond Fund Class I (HWDIX)	Yes	$1,001 - $15,000		None (or less than $201)
4.7	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX)	Yes	$1,001 - $15,000		None (or less than $201)
4.8	MFS Value Fund Class I (MEIIX)	Yes	$15,001 - $50,000		None (or less than $201)
4.9	New World Fund Class F-2 (NFFX)	Yes	$15,001 - $50,000		None (or less than $201)
4.10	Northern Small Cap Value Fund (NOSGX)	Yes	$1,001 - $15,000		None (or less than $201)
4.11	Pimco Income Fund Class I-2 (PONPX)	Yes	$1,001 - $15,000		None (or less than $201)
4.12	T Rowe Price Real Estate (TRREX) --SOLD 3/18/2019	Yes	None (or less than $1,001)		None (or less than $201)
4.13	TIAA-CREF Bond Fund Advisor Class (TIBHX)	Yes	$15,001 - $50,000		None (or less than $201)
4.14	Deutsche Enhanced Commodity Strategy Fund (SKIRX)	Yes	$1,001 - $15,000		None (or less than $201)
4.15	Goldman Sachs International Small Cap Insights Fund (GICIX)	Yes	$1,001 - $15,000		None (or less than $201)
4.16	Fidelity Advisor New Insights Fund (FINSX)	Yes	$15,001 - $50,000		None (or less than $201)
4.17	American Century Short Duration Inflation Protection Bond Fund (APOIX) -- PURCHASED 8/19/2019	Yes	$1,001 - $15,000		None (or less than $201)
4.18	Goldman Sachs Absolute Return Tracker Fund (GJRTX) -- PURCHASED 8/19/2019		$1,001 - $15,000		None (or less than $201)
4.19	Baron Asset Fund (BARIX) -- PURCHASED 3/18/2019	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.20	Principal Real Estate Securities Fund (PIREX) -- PURCHASED 3/18/19	Yes	$1,001 - $15,000		None (or less than $201)
4.21	Principal Global Multi Strategy Fund (PSMIX) -- PURCHASED 3/18/2019	Yes	$1,001 - $15,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northwestern Mutual Whole Life Insurance	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
2	U.S. bank account #1 (cash)	N/A	$100,001 - $250,000	Interest	$201 - $1,000
3	U.S. bank account #2 (cash)	N/A	$1,001 - $15,000	Interest	None (or less than $201)
4	U.S. bank account #3 (cash)	N/A	$100,001 - $250,000	Interest	$201 - $1,000
5	Northwestern Mutual Investment Services Brokerage Account	No			
5.1	Dodge & Cox Income Fund (DODIX)	Yes	$1,001 - $15,000		$201 - $1,000
5.2	EuroPacific Growth Fund Class F-2 (AEPFX)	Yes	$1,001 - $15,000		$201 - $1,000
5.3	Fidelity Advisor Mid Cap II (FIIMX) -- SOLD 3/18/19	Yes	None (or less than $1,001)		$1,001 - $2,500
5.4	Fidelity Advisor New Insights I (FINSX)	Yes	$15,001 - $50,000		$1,001 - $2,500
5.5	Oakmark International (OAKIX)	Yes	$1,001 - $15,000		$201 - $1,000
5.6	Hartford World Bond I (HWDIX)	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.7	John Hancock Disciplined Value Mid-Cap Fund Class I (JVMIX)	Yes	$1,001 - $15,000		$201 - $1,000
5.8	MFS Value Fund Class I (MEIIX)	Yes	$15,001 - $50,000		$201 - $1,000
5.9	New World Fund Class F-2 (NFFFX)	Yes	$1,001 - $15,000		$201 - $1,000
5.10	Northern Small Cap Value Fund (NOSGX)	Yes	$1,001 - $15,000		$201 - $1,000
5.11	PIMCO Income P (PONPX)	Yes	$1,001 - $15,000		$201 - $1,000
5.12	T. Rowe Price Real Estate (TRREX) -- SOLD 3/18/2019	Yes	None (or less than $1,001)		$1,001 - $2,500
5.13	Northwestern Mutual Investment Services General Money Market Fund Class B (cash account)	Yes	$1,001 - $15,000		None (or less than $201)
5.14	Deutsche Enhanced Commodity Strategy Fund Insitutional Class (SKIRX)	Yes	$1,001 - $15,000		$201 - $1,000
5.15	TIAA-CREF Bond Fund (TIBHX)	Yes	$1,001 - $15,000		$201 - $1,000
5.16	Goldman Sachs International Small Cap Fund (GICIX)	Yes	$1,001 - $15,000		$201 - $1,000
5.17	Baron Asset Fund (BARIX) -- PURCHASED 3/18/19	Yes	$1,001 - $15,000		$201 - $1,000
5.18	Principal Real Estate Securities Fund (PIREX) -- PURCHASED 3/18/2019	Yes	$1,001 - $15,000		$201 - $1,000
5.19	American Century Short Duration Inflation Protection Bond Fund (APOIX) -- PURCHASED 8/19/19	Yes	$1,001 - $15,000		$201 - $1,000
5.20	Goldman Sachs Absolute Return Tracker Fund (GJRTX) -- PURCHASED 10/7/2019		$1,001 - $15,000		$201 - $1,000
5.21	Principal Global Multi Strategy Fund (PSMIX) -- PURCHASED 10/7/2019	Yes	$1,001 - $15,000		$201 - $1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fidelity Advisor Mid Cap II Fund (FIIMX)	Sale	03/18/2019	$1,001 - $15,000
2	T Rowe Price Real Estate Fund (TRREX)	Sale	03/18/2019	$1,001 - $15,000
3	Baron Asset Fund (BARIX)	Purchase	03/18/2019	$1,001 - $15,000
4	Principal Real Estate Securities Fund (PIREX)	Purchase	03/18/2019	$1,001 - $15,000
5	American Century Short Duration Inflation Protection Bond (APOIX)	Purchase	08/19/2019	$1,001 - $15,000
6	Hartford World Bond Fund (HWDIX)	Sale	08/19/2019	$1,001 - $15,000
7	TIAA-CREF Bond Fund (TIBHX)	Sale	08/19/2019	$1,001 - $15,000
8	Goldman Sachs Absolute Return Tracker Fund (GJRTX)	Purchase	10/07/2019	$1,001 - $15,000
9	Principal Global Multi-Strategy Fund (PSMIX)	Purchase	10/07/2019	$1,001 - $15,000
10	SEP - Fidelity Advisor Mid-Cap II Fund (FIIMX)	Sale	03/18/2019	$1,001 - $15,000
11	SEP - T. Rowe Price Real Estate Fund (TRREX)	Sale	03/18/2019	$1,001 - $15,000
12	SEP - Baron Asset Fund (BARIX)	Purchase	03/18/2019	$1,001 - $15,000
13	SEP - Principal Real Estate Securities Fund (PIREX)	Purchase	03/18/2019	$1,001 - $15,000
14	SEP - Principal Global Multi-Strategy Bond Fund (PSMIX)	Purchase	03/18/2019	$1,001 - $15,000
15	SEP -- American Century Short Duration Inflation Protection Bond Fund (APOIX)	Purchase	08/19/2019	$1,001 - $15,000
16	SEP -- Goldman Sachs Absolute Return Tracker Fund (GJRTX)	Purchase	08/19/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
17	SEP - Hartford World Bond Fund (HWDIX)	Sale	08/19/2019	$1,001 - $15,000
18	SEP - TIAA-CREF Bond Fund (TIBHX)	Sale	08/19/2019	$1,001 - $15,000
19	IRA - Baron Asset Fund (BARIX)	Purchase	03/18/2019	$1,001 - $15,000
20	IRA -- Principal Real Estate Securities Fund (PIREX)	Purchase	03/18/2019	$1,001 - $15,000
21	IRA -- Principal Global Multi Strategy Fund (PSMIX)	Purchase	03/18/2019	$1,001 - $15,000
22	IRA - Fidelity Advisor Mid Cap II Fund (FIIMX)	Sale	03/18/2019	$1,001 - $15,000
23	IRA -- T Rowe Price Real Estate Fund (TRREX)	Sale	03/18/2019	$1,001 - $15,000
24	IRA - American Century Short Duration Inflation Protection Bond Fund (APOIX)	Purchase	08/19/2019	$1,001 - $15,000
25	IRA - Goldman Saches Absolute Return Tracker Fund (GJRTX)	Purchase	08/19/2019	$1,001 - $15,000
26	IRA - Hartford World Bond Fund (HWDIX)	Sale	08/19/2019	$1,001 - $15,000
27	IRA - TIAA-CREF Bond Fund (TIBHX)	Sale	08/19/2019	$1,001 - $15,000
28	American Funds 2035 TDate R6 (Transferred from jamf Retirement Fund (Spouse) to Northwestern Mutual Investment Services IRA (Spouse) on 10/24/2019	Sale	10/24/2019	$15,001 - $50,000
29	IRA -- EuroPacific Growth Fund (AEPX)	Purchase	10/24/2019	$1,001 - $15,000
30	IRA - American Century Short Duration Inflation Protection Bond Fund (APOIX)	Purchase	10/24/2019	$1,001 - $15,000
31	IRA - Baron Asset Fund (BARIX)	Purchase	10/24/2019	$1,001 - $15,000
32	IRA - Dodge & Cox Income Fund (DODIX)	Purchase	10/24/2019	$1,001 - $15,000
33	IRA - Fidelity Advisor New Insights Fund (FINSX)	Purchase	10/24/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
34	IRA - Goldman Sachs International Small Caps Insight Fund (GICIX)	Purchase	10/24/2019	$1,001 - $15,000
35	IRA - Goldman Sachs Absolute Return Tracker Fund (GRTX)	Purchase	10/24/2019	$1,001 - $15,000
36	IRA - Hartford World Bond Fund (HWDIX)	Purchase	10/24/2019	$1,001 - $15,000
37	IRA - John Hancock Disciplined Mid Cap Fund (JVMIX)	Purchase	10/24/2019	$1,001 - $15,000
38	IRA - MFS Value Fund (MEIIX)	Purchase	10/24/2019	$1,001 - $15,000
39	IRA - New World Fund (NFFFX)	Purchase	10/24/2019	$1,001 - $15,000
40	IRA - Northern Small Cap Value Fund	Purchase	10/24/2019	$1,001 - $15,000
41	IRA - Oakmark International Fund (OAKIX)	Purchase	10/24/2019	$1,001 - $15,000
42	IRA -- Principal Real Estate Securities Fund (PIREX)	Purchase	10/24/2019	$1,001 - $15,000
43	IRA - Pimco Income Fund (PONPX)	Purchase	10/24/2019	$1,001 - $15,000
44	IRA - Principal Global Multi-Strategy Fund (PSMIX)	Purchase	10/24/2019	$1,001 - $15,000
45	IRA - Deutsche Enhanced Commodity Strategy Fund (SKIRX)	Purchase	10/24/2019	$1,001 - $15,000
46	IRA - TIAA-CREF Bond Fund (TIBHX)	Purchase	10/24/2019	$1,001 - $15,000

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 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.

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