Nominee Report | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001) (Updated July 2020)

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Peace, Breon

United States Attorney for the Eastern District of New York, Department of Justice - Executive Office for United States Attorneys

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

Committee on the Judiciary

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/ Peace, Breon [electronically signed on 05/10/2021 by Peace, Breon 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/ Lofthus, Lee, Certifying Official [electronically signed on 08/23/2021 by Lofthus, Lee in Integrity.gov]

Other review conducted by

/s/ Macklin, Jay, Ethics Official [electronically signed on 08/11/2021 by Macklin, Jay in Integrity.gov]

U.S. Office of Government Ethics Certification
/s/ Apol, David, Certifying Official [electronically signed on 08/27/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	ТО
1	Cleary Gottlieb Steen & Hamilton LLP	New York, New York	Law Firm	Partner	1/2007	Present
2	Office of the Appellate Defender	New York, New York	Non-Profit	Director	7/2018	Present
3	New York University School of Law	New York, New York	University/Colleg e	Trustee	10/2019	Present

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

DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
Cleary Gottlieb Steen & Hamilton LLP (law firm)	N/A		Partnership Share	\$4,000,786
Cleary Gottlieb Steen & Hamilton LLP (law firm) anticipated partnership share	N/A	\$250,001 - \$500,000		None (or less than \$201)
Cleary Gottlieb Steen & Hamilton LLP capital account	N/A	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
Cleary Gottlieb Steen & Hamilton LLP, cash balance pension plan	N/A	\$250,001 - \$500,000		None (or less than \$201)
Cleary Gottlieb Steen & Hamilton LLP (401k plan)	No			
Fidelity 500 Index (FXAIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
Fidelity Growth Company Commingled Pool	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
•	Cleary Gottlieb Steen & Hamilton LLP (law firm) Cleary Gottlieb Steen & Hamilton LLP (law firm) anticipated partnership share Cleary Gottlieb Steen & Hamilton LLP capital account Cleary Gottlieb Steen & Hamilton LLP, cash balance pension plan Cleary Gottlieb Steen & Hamilton LLP (401k plan) Fidelity 500 Index (FXAIX)	Cleary Gottlieb Steen & Hamilton LLP (law firm) Cleary Gottlieb Steen & Hamilton LLP (law firm) anticipated partnership share Cleary Gottlieb Steen & Hamilton LLP capital account Cleary Gottlieb Steen & Hamilton LLP, cash balance pension plan Cleary Gottlieb Steen & Hamilton LLP, cash N/A Cleary Gottlieb Steen & Hamilton LLP (401k No plan) Fidelity 500 Index (FXAIX) Yes	Cleary Gottlieb Steen & Hamilton LLP (law firm) Cleary Gottlieb Steen & Hamilton LLP (law firm) anticipated partnership share Cleary Gottlieb Steen & Hamilton LLP capital N/A \$1,000,001 - \$5,000,000 Cleary Gottlieb Steen & Hamilton LLP capital N/A \$1,000,001 - \$5,000,000 Cleary Gottlieb Steen & Hamilton LLP, cash N/A \$250,001 - \$500,000 Cleary Gottlieb Steen & Hamilton LLP (401k No plan) Fidelity 500 Index (FXAIX) Yes \$500,001 - \$1,000,000 Fidelity Growth Company Commingled Pool Yes \$1,000,001 -	Cleary Gottlieb Steen & Hamilton LLP (law firm) Cleary Gottlieb Steen & Hamilton LLP (law firm) anticipated partnership share Cleary Gottlieb Steen & Hamilton LLP capital account Cleary Gottlieb Steen & Hamilton LLP capital which shall be seen & Hamilton LLP, cash balance pension plan Cleary Gottlieb Steen & Hamilton LLP, cash balance pension plan Cleary Gottlieb Steen & Hamilton LLP (401k plan) Fidelity 500 Index (FXAIX) Yes \$500,001 - \$1,000,000 Fidelity Growth Company Commingled Pool Yes \$1,000,001 -

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	Vanguard Target Retirement 2035 Trust II	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.4	PIMCO total Return Fund Institutional Class (PTTRX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.5	T. Rowe Price Investment Contracts Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.6	Fidelity Extended Market Index Fund (FSMAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Cleary Gottlieb Steen & Hamilton LLP (anticipated accelerated retirement payment	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
7	CGSH FOF Investors, LLC (Investment Fund for partners and senior counsel of the firm)	ote No			
7.1	Raine Partner II LP	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.2	TOP III FOF, LP	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.3	Trident VI Affiliated Fund LP	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
7.4	ZenShin Core Technology Fund, LP	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	Northstar Equity Partners IV Limited	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.6	TPG Real Estate II FOF-QP, LP	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.7	TPG HF Equity (Axon)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.8	TPG Growth III FOF, L.P.	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.9	TPG Specialty Lending Europe I, LP	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.10	TPG Partners VII, LP	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.11	TICP CLO Partners II, LP	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Life insurance with Protective Life obtained through Cleary Gottlieb (Breon Peace - insured, universal	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Cleary Gottlieb Steen & Hamilton LLP	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive my final partnership share distribution, with a certain amount held back by the firm for tax reconciliation purposes. The partnership share distribution will will be calculated as of the date of my withdrawal, and any amounts withheld by the firm in excess of my tax liabilities will be refunded to me 28 months after my departure	1/2007
2	Cleary Gottlieb Steen & Hamilton LLP	New York, New York	Following my withdrawal from the firm, I will receive a refund of my capital account, with a certain amount held back by the firm for tax reconciliation purposes. The payment will be calculated as of the date of my withdrawal, and any amounts withheld by the firm in excess of my tax liabilities will be refunded to me 28 months after my departure	1/2007
3	Cleary Gottlieb Steen & Hamilton LLP	New York, New York	Following my withdrawal from the firm, the balance of the cash benefit plan may remain in the plan until age 65. No contributions will be made to the plan after I withdraw.	1/2013
4	Cleary Gottlieb Steen & Hamilton LLP	New York, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	9/1996

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
5	Cleary Gottlieb Steen & Hamilton LLP	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive an accelerated retirement benefit in a lump-sum payment. The total amount of the payment will be calculated as of the date of my withdrawal and the amount will be discounted for net present value.	1/2007

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Cleary Gottlieb Steen & Hamilton LLP	New York, New York	law firm partner
2	Pedro Faria	Sao Paulo, Outside U.S.	Legal services (client of Cleary Gottlieb)
3	Vitor Navarrete	Sao Paulo, Outside U.S.	Legal services (client of Cleary Gottlieb)
4	National Grid, plc	Brooklyn, New York	Legal services (client of Cleary Gottlieb)
5	Edward P. Garden	New York, New York	Legal services (client of Cleary Gottlieb)
6	Trian Partners, LLC	New York, New York	Legal services (client of Cleary Gottlieb)
7	PricewaterhouseCoopers AG	Zurich, Outside U.S.	Legal services (client of Cleary Gottlieb)
8	Ardea Partners LLC	New York, New York	Legal services (client of Cleary Gottlieb)
9	American Airlines	Fort Worth, Texas	Legal services (client of Cleary Gottlieb)
10	BBVA Compass (now BBVA USA)	Birmingham, Alabama	Legal services (client of Cleary Gottlieb)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
11	Banco Nacional de Desenvolvimento Economico e Social (BNDES)	Rio de Janeiro, Outside U.S.	Legal services (client of Cleary Gottlieb)
12	North American Interpipe, Inc.	Houston, Texas	Legal services (client of Cleary Gottlieb)
13	Daniel Valk (North American Interpipe, Inc.)	Houston, Texas	Legal services (client of Cleary Gottlieb)
14	Fadi Hrabi (North American Interpipe, Inc.)	Houston, Texas	Legal services (client of Cleary Gottlieb)
15	Grupo Argos S.A.	Barranquilla, Outside U.S.	Legal services (client of Cleary Gottlieb)
16	Sandra Seligman	Bloomfield Hills, Michigan	Legal services (client of Cleary Gottlieb)
17	Seth Meltzer	Bloomfield Hills, Michigan	Legal services (client of Cleary Gottlieb)
18	McLane Company, Inc.	Temple, Texas	Legal services (client of Cleary Gottlieb)
19	ArcelorMittal SA	Luxembourg, Outside U.S.	Legal services (client of Cleary Gottlieb)
20	Rothschild & Cie	Paris, Outside U.S.	Legal services (client of Cleary Gottlieb)
21	Lapmaster Group Holdings	Mount Prospect, Illinois	Legal services (client of Cleary Gottlieb)
22	Public Institution for Social Security (Kuwait)	Kuwait City, Outside U.S.	Legal services (client of Cleary Gottlieb)
23	ВНР	Melbourne, Outside U.S.	Legal services (client of Cleary Gottlieb)
24	Broken Hill Proprietary (USA)	Houston, Texas	Legal services (client of Cleary Gottlieb)
25	Whirlpool Corporation	Benton Harbor, Michigan	Legal services (client of Cleary Gottlieb)
26	HSBC Bank USA, N.A.	New York, New York	Legal services (client of Cleary Gottlieb)

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
27	Morgan Stanley		New York, New York	Legal services (client of Cleary Gottlieb)
28	Vale S.A.		Rio de Janeiro, Outside U.S.	Legal services (client of Cleary Gottlieb)
29	Ontario Teachers' Pension Plan		Toronto, Outside U.S.	Legal services (client of Cleary Gottlieb)
30	Citigroup Corporate Finance		New York, New York	Legal services (client of Cleary Gottlieb)
31	BNP Paribas, S.A.	See Endnote	Paris, Outside U.S.	Legal services (client of Cleary Gottlieb)
32	BGL BNP Paribas S.A.		Luxembourg, Outside U.S.	Legal services (client of Cleary Gottlieb)
33	BNP Paribas Securities Services Luxembourg		Luxembourg, Outside U.S.	Legal services (client of Cleary Gottlieb)
34	BNP Paribas Arbitrage S.N.C.		Paris, Outside U.S.	Legal services (client of Cleary Gottlieb)
35	BNP Paribas Bank & Trust Cayman Limited		George Town, Outside U.S.	Legal services (client of Cleary Gottlieb)
36	BNP Paribas (Suisse)		Geneva, Outside U.S.	Legal services (client of Cleary Gottlieb)
37	BNP Paribas US Wholesale Holdings, Corp.		New York, New York	Legal services (client of Cleary Gottlieb)
38	HSBC Bank Brasil		Sao Paulo, Outside U.S.	Legal services (client of Cleary Gottlieb)
39	HSBC Bank Australia Limited		Sydney, Outside U.S.	Legal services (client of Cleary Gottlieb)
40	The Hongkong and Shanghai Banking Corporation (HSBC) Singapore		Singapore, Outside U.S.	Legal services (client of Cleary Gottlieb)
41	HSBC Group Management Services Limited		London, Outside U.S.	Legal services (client of Cleary Gottlieb)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
42	HSBC Bank plc	London, Outside U.S.	Legal services (client of Cleary Gottlieb)
43	HSBC Holdings PLC	London, Outside U.S.	Legal services (client of Cleary Gottlieb)
44	Banco Bilbao Vizcaya Argentaria (BBVA)	Madrid, Outside U.S.	Legal services (client of Cleary Gottlieb)
45	SBLA Advisers Corp.	Miami, Florida	Legal services (client of Cleary Gottlieb)

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Equal Justice Initiative (403b plan)	No			_
1.1	Vanguard Institutional Target Retirement 2025 Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Cleary Gottlieb Steen & Hamilton LLP (401k plan)	No			
2.1	Fidelity Growth Company Commingled Pool	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.2	Vanguard Target 2030	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank #1 (cash)	N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	U.S. bank #2 (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
3	U.S. bank #3 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
4	UTMA Brokerage account	No			
4.1	Vanguard Federal Money Market Fund (VMFXX) (Settlement fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Vanguard LifeStrategy Conservative Growth Fund Investor Shares (VSCGX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.3	Vanguard LifeStrategy Moderate Growth Fund Investor Shares (VSMGX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5	Brokerage Account - Vanguard	No			
5.1	Vanguard Federal Money Market Fund (VMFXX) (Settlement Fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Vanguard LifeStrategy Moderate Growth Fund Investor Shares (VSMGX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7	Vanguard Cash Reserves Money Market Fund Investor Shares (VMMXX)	Yes	\$1,000,001 - \$5,000,000		\$201 - \$1,000
8	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9	Vanguard Target Retirement 2030 Fund Investor Class Shares (VTHRX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
10	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Vanguard Target Retirement 2035 Fund Investor Class Shares (VTTHX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Cenlar		Mortgage on Personal Residence	\$500,001 - \$1,000,000	2013	3.375%	30 years
2	CGSH FOF Investors, LLC	See Endnote	Capital commitment	\$50,001 - \$100,000	2014	N/A	On demand

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
2.	7	Income amount reflects all of 2020 with a 2021 estimate up to the filing date. This fund was sold subsequent to the filing date.

PART	#	ENDNOTE
4.	31	This includes work for New York; Jersey, Channel Islands: and Dublin, Ireland branches.
8.	2	This capital commitment no longer exists following the sale of the corresponding fund at Part 2, Line 7.

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).