

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

Filer's Information

Levy, Joshua

United States Attorney - Massachusetts, Department of Justice - Executive Office for United States Attorneys

Other Federal Government Positions Held During the Preceding 12 Months:

First Assistant United States Attorney, District of Massachusetts, Department of Justice (1/2022 - Present)

Acting United States Attorney, District of Massachusetts, Department of Justice (5/2023 - Present)

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/ Levy, Joshua [electronically signed on 07/24/2023 by Levy, Joshua 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/ Lauria, Jolene A, Certifying Official [electronically signed on 10/31/2023 by Lauria, Jolene A in Integrity.gov]

Other review conducted by

/s/ Macklin, Jay, Ethics Official [electronically signed on 10/26/2023 by Macklin, Jay in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 11/03/2023 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Ropes & Gray	Boston, Massachusetts	Law Firm	Partner	7/2004	8/2021
2	Discovering Justice	Boston, Massachusetts	Non-Profit	Trustee	1/2009	5/2023
3	The Steppingstone Foundation	Boston , Massachusetts	Non-Profit	Board of Directors	5/2015	5/2023
4	Carroll School	Lincoln, Massachusetts	K-9 school for children with language based learning disabilities	Trustee	5/2011	5/2021
5	Friend 2007 Family Trust	Chicago, Illinois	Trust	Trustee	12/2007	Present
6	The Fisher Family 2022 Trust Agreement	New York, New York	Trust	Trustee	12/2022	Present
7	Eel Point 2012 Nominee Trust	New York, New York	Trust	Trustee	12/2021	Present
8	210 Eel Point Road Nominee Trust	New York , New York	Trust	Trustee	11/2021	Present
9	Massachusetts District Court's Criminal Justice Act Panel	Boston, Massachusetts	Non-Profit	Panel Member	10/2007	8/2021
10	Joshua S Levy 2010 Trust	Boston , Massachusetts	Trust	Trustee	4/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	John Hancock Fundamental Large Cap Core Fund Class A Shares (TAGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	John Hancock Funds II New Opportunities Fund Class A Shares (JASOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	IRA #2	No			
2.1	Fidelity Contrafund (FCNTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	RGIP, LP (private equity fund)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
4	Ropes & Gray 401K	No			
4.1	Neuberger Berman Core Bond Instl (NCRLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	Metropolitan West Total Return Bond Plan (MWTSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.3	Vanguard Wellesley Income Admiral (VWIAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.4	Edgewood Growth Instl (EGFIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.5	GQG Partners US Select Quality Equity Instl (GQEIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.6	SCHWAB FUNDS S&P 500 INDEX SELECT (SWPPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.7	Vanguard Value Index Adm (VVIAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.8	Artisan Intl Value Instl (APHKX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	WCM Focused International Growth Instl (WCMIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.10	Artisan International Small-Mid Instl (APHJX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.11	Driehaus Emerging Markets Instl (DIEMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.12	Vanguard Small Cap Value Index Adm (VSIAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.13	JPMorgan Hedged Equity I (JHEQX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.14	COHEN & STEERS FUNDS INST REALTY SHARES I (CSRIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.15	U.S. bank account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.16	U.S. Treasury Note	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.17	U.S. Treasury Bill	N/A	\$50,001 - \$100,000		None (or less than \$201)
5	R&G 401K (ROTH), 401(K)	No			
5.1	Edgewood Growth Instl (EGFIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	GQG Partners US Select Quality Equity Instl (GQEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Vanguard Value Index Adm (VVIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	Vanguard 500 Index Adm (VFIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Metropolitan West Total Return Bond Plan (MWTSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	Neuberger Berman Core Bond Instl (NCRLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	Vanguard Wellesley Income Admiral (VWIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	Artisan Intl Value Instl (APHKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	WCM Focused International Growth Instl (WCMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	JPMorgan Hedged Equity I (JHEQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Artisan International Small-Mid Instl (APHJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.12	Vanguard Small Cap Value Index Adm (VSIAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	Driehaus Emerging Markets Instl (DIEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.14	COHEN & STEERS FUNDS INST REALTY SHARES I (CSRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Rollover IRA	No			
6.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	U.S. Treasury Bonds	N/A	\$250,001 - \$500,000		None (or less than \$201)
6.3	Artisan International Small-Mid Fund Institutional Shares (APHJX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.4	Artisan International Value Fund Institutional Shares (APHKX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.5	Baird Chautauqua International Growth Fund Institutional Class Shares (CCWIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.6	Cohen & Steers Institutional Realty Shares, Inc (CSRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.7	Driehaus Emerging Markets Growth Fund Institutional Class Shares (DIEMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.8	Edgewood Growth Fund Institutional Class Shares (EGFIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.9	Fidelity 500 Index Fund (FXAIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.10	GQG Partners US Select Quality Equity Fund Institutional Class Shares (GQEIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.11	JPMorgan Hedged Equity Fund Class I Shares (JHEQX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.12	MetWest Total Return Bond Fund Plan Class Shares (MWTSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.13	Neuberger Berman Core Bond Fund Institutional Class Shares (NCRLX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.14	FPA Queens Road Small Cap Value Fund Institutional Class (QRSIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.15	Vanguard Value Index Fund Admiral Shares (VVIAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Ropes & Gray LLP	Boston, Massachusetts	401(k): I will continue to participate in this defined contribution plan. The plan sponsor has not made and will not make further contributions since my separation.	10/2004

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Ropes & Gray LLP	Boston , Massachusetts	Roth 401(k)I will continue to participate in this defined contribution plan. The plan sponsor has not made and will not make further contributions since my separation.	7/2004
3	Ropes & Gray LLP	Boston , Massachusetts	RGIP, LP: I currently participate in this investment program which is made available to all current partners and certain former partners of the firm. As soon as practical but no later than 90 days after my confirmation, I will divest my interest in RGIP, LP.	10/2004
4	Ropes & Gray LLP	Boston , Massachusetts	Partners Retirement Plan (PRP): I currently have an unvested potential future interest in this pension plan. I will be eligible to receive payments from this plan if I meet the standard terms required by Ropes & Gray to permit participation. Pursuant to my agreement with Ropes & Gray, my future participation is guaranteed as long as a I meet the standard requirements at the appropriate time.	10/2004

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Ropes & Gray	Boston, Massachusetts	Partner of Ropes & Gray for the first 8 months of 2021 (and prior years).
2	Medtronic	Minneapolis, Minnesota	Representation of Medtronic in government investigations
3	Sunovion Pharmaceuticals	Marlboro , Massachusetts	Representation of company in government investigations.
4	Vapotherm, Inc.	Exeter, New Hampshire	General government enforcement advice.
5	Akebia Therapeutics	Cambridge, Massachusetts	General government enforcement advice.
6	Allscripts	Chicago, Illinois	Representation of company in government investigations.

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
7	Avanos	Alphretta, Georgia	Representation of company in government investigations.
8	Mark Demichaelis	Wincheter, Massachusetts	General litigation advice
9	State Garden Inc.	Chelsea, Massachusetts	General litigation advice
10	Modernizing Medicine	Boca Raton, Florida	Representation of company in government investigations.
11	Ami Desai	New York , New York	Representation of company in government investigations.
12	Gordon Caplan	Grennwich, Connecticut	Representation of company in government investigations.
13	Regeneron Pharmaceuticals	Tarrytown, New York	Representation of company in government investigations in Central District of California.
14	Crystal Teixeira	Boston, Massachusetts	General litigation advice
15	Haemonetics Corporation	Boston, Massachusetts	Representation of company in government investigations.
16	Murty Vepuri	Philadelphia, Pennsylvania	Representation of company in government investigations.
17	CVS	Woonsocket , Rhode Island	Representation of company in government investigations.
18	Carroll School	Lincoln, Massachusetts	General litigation advice
19	Pfizer	New York, New York	Representation of company in government investigations.
20	Stamford Hospital	Stamford, Connecticut	General litigation advice
21	Vertex Pharmaceuticals	Boston, Massachusetts	General litigation advice

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
22	Stryker Corporation	Kalamazoo, Michigan	Representation of company in government investigations.
23	Joint Active Systems	Effingham, Indiana	Representation of company in government investigations.
24	Stephane Bancel	Cambridge, Massachusetts	Representation of company in government investigations.
25	Alexion Pharmaceuticals	Cambridge, Massachusetts	Representation of company in government investigations.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	iponder (mobile news brand)	N/A		consulting fees	
2	WBUR (radio station)	N/A		consulting fees	
3	Now This LLC (mobile news provider)	N/A		consulting fees	
4	IRA	No			
4.1	Fidelity Contrafund (FCNTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Accion Int'l Retirement 401(k)	No			
5.1	American Funds – EuroPacific Growth Fund Class R-5 Shares.	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	Voya MidCap Opportunities Fund Class	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Personal loan to family members	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
2	U.S. bank account (cash) #1	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
3	U.S. bank account (cash) #2	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	THE JOSHUA S LEVY 2010 TRUST, Trust	No			
4.1	Neuberger Berman Municipal Intermediate Bond Instl (NMNLX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4.2	Vanguard Int-Term Tax-Exempt Adm (VWIUX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.3	TEMPLE BETH ELOHIM MA BOND	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.4	Vanguard Wellesley Income Admiral (VWIAX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
4.5	Vanguard Short-Term Tax-Exempt Admiral (VWSUX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.6	GQG Partners US Select Quality Equity Instl (GQEIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.7	Vanguard 500 Index Adm (VFIAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.8	Edgewood Growth Instl (EGFIX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
4.9	Artisan Intl Value Instl (APHKX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.10	WCM Focused International Growth Instl (WCMIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.11	JPMorgan Hedged Equity I (JHEQX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.12	Artisan International Small-Mid Instl (APHJX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
4.13	Vanguard Small Cap Value Index Adm (VSIAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.14	Driehaus Emerging Markets Instl (DIEMX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.15	Fidelity Government Cash Reserves (FDRXX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.16	COHEN & STEERS INSTL REALTY SHARES (CSRIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.17	VANGUARD INDEX FDS VANGUARD GROWTH (VUG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.18	VANGUARD VALUE INDEX ADMIRAL (VVIAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.19	U.S. Treasury note	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
5	Inherited IRA	No			
5.1	American Funds Capital World Growth & Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	American Funds Capital Income Builder Class 4	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	General Electric Co. (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.5	Merck & Co Inc (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	MA U.Fund College Investing 529 Plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	MA Portfolio 2024 (Fidelity Index)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7	Puddlestompers, LLC (nature exploration for children)	N/A	\$250,001 - \$500,000	membership distribution	\$15,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase	Credit Card	\$50,001 - \$100,000	2022	20.24%	revolving
2	RGIP LP	Capital Commitment	\$100,001 - \$250,000	2004	N/A	On Demand

9. Gifts and Travel Reimbursements

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

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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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).
