

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Richmond, Geraldine

Under Secretary for Science and Energy, Department of Energy

Other Federal Government Positions Held During the Preceding 12 Months:

National Science Board member (12/2012 - Present)

Names of Congressional Committees Considering Nomination:

- Committee on Energy and Natural Resources
-

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/ Richmond, Geraldine [electronically signed on 04/13/2021 by Richmond, Geraldine 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/ Beard, Susan F, Certifying Official [electronically signed on 06/22/2021 by Beard, Susan F in Integrity.gov]

Other review conducted by

/s/ Gordon, Wayne P., Ethics Official [electronically signed on 06/22/2021 by Gordon, Wayne P. in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/23/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Oregon	Eugene, Oregon	University/College	Presidential Chair in Science and Professor of Chemistry	6/1985	Present
2	Sigma Xi the Scientific Honorary Research Society	Raleigh, North Carolina	Non-Profit	President Elect, President, Past President, Member of the Board of Directors	7/2019	Present
3	S. D. Kevan and G. L. Richmond revocable living trust	Eugene, Oregon	Trust	Co-trustee	2/1999	Present
4	Brown Science Foundation	San Diego, California	Non-Profit	Member of Science Advisory Board	1/2020	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Traditional IRA GR	No			
1.1	Schwab US REIT ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	VANGUARD FTSE EMERGING MKT ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3	VANGUARD SMALL CAP ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	VANGUARD VALUE ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.5	BRIDGE BUILDER CORE BOND	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.6	BRIDGE BUILDER CORE PLUS BOND	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.7	BRIDGE BUILDER INTL EQUITY	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.8	BRIDGE BUILDER LARGE GROWTH	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.9	BRIDGE BUILDER LARGE VALUE	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.10	BRIDGE BUILDER SMALL/MID GRW	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.11	BRIDGE BUILDER SMALL/MID VALUE	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.12	JPM EMERGING MARKETS EQUITY R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	JPM U.S. GOVT MNY MKT CAPITAL	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.14	MAINSTAY MACKAY HIGH YIELD CORPORATE BOND FUND R6	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.15	MFS EMERGING MARKETS DEBT R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	457 B Oregon Savings Plan	No			
2.1	Voya Lifepath 2025	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	403B University of Oregon Fidelity	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	VANG TOT BD MKT INST (VBTIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	METWEST TOT RTN BD P (MWT SX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3	American Beacon LG CAP VALUE R6 (AALRX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	VANG MIDCAP IDX INST (VMCIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.5	Calvert US Large Cap Core Responsible Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.6	AMG Times Square MID CAP GTH Z (TMDIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.7	FID CONTRAFUND K6 (FLCNX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	University of Oregon	No			
4.1	Oregon PERS defined benefit plan	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4.2	Oregon PERS - IAP defined contribution plan (retirement allocation fund)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5	University of Oregon	N/A		Salary 1/1/2020 - 4/13/2021	\$321,850
6	Dickson Prize from Carnegie Mellon University - February 11, 2020	N/A		Science Prize	\$46,000
7	Helen Murray Free Lectureship, Wooster College - February 6, 2020	N/A		Honorarium	\$4,000
8	Pomona College Robbins Lectures - February 24-28, 2020	N/A		Honorarium	\$22,043

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Brown Science Foundation Award Selection - 1/2020-1/2021	N/A		Honorarium for selection of the Brown Science Foundation Investigator Awards	\$10,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	University of Oregon 457 B Defined Contribution Plan	Eugene, Oregon	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions while I am on an unpaid leave of absence during my government service.	6/1985
2	403B University of Oregon Defined Contribution Plan	Eugene, Oregon	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions while I am on an unpaid leave of absence during my government service.	6/1985
3	University of Oregon PERS Defined Benefit Retirement Plan	Salem, Oregon	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions while I am on an unpaid leave of absence during my government service.	6/1985
4	University of Oregon PERS	Salem, Oregon	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions while I am on an unpaid leave of absence during my government service.	6/1985
5	Unviersity of Oregon	Eugene, Oregon	During my tenure at the Department of Energy, I will be on a leave of absence from the University of Oregon. I have the right to continue to participate in my health/dental plan provided that I pay both the employer and employee contributions.	6/1985

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	University of Oregon	Eugene, Oregon	Professor
2	Pomona College	Claremont, California	Guest Lecturer
3	Brown Science Foundation	San Diego, California	Member of Advisory Board

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of California System	N/A		Salary for employment at Lawrence Berkeley National Laboratory	
2	457B University of California FIDELITY	No			
2.1	UC BOND FUND	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.2	UC SOCIAL EQUITY	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	UC PATHWAY 2020	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	UC GR CO FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.5	UC DOM EQ INDEX	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	UC EMRG MKTS EQUITY	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	UC REAL ESTATE FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	UC PATHWAY INCOME	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	403 B Fidelity University of California	No			
3.1	University of California (UC) Bond Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	UC Social Equity Stock	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3	UC Pathway 2020	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	UC GR CO Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	UC DOM EQ INDEX	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.6	UC EMRG MKTS EQUITY	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.7	UC REAL ESTATE FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.8	UC PATHWAY INCOME	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	403 B University of Oregon	No			
4.1	VANGARD TOT BD MKT INST	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.2	METWEST TOT TRN BD P (MWTSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	American Beacon LG CAP VALUE R6 (AALRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	VANG MIDCAP IDX INST (VMCIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	Calvert US Large Cap Core Responsible Index(CISIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	AMG Times Square Mid Cap Growth fund (TMDIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	FID CONTRAFUND K6 (FLCNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Traditional IRA	No			
5.1	SCHWAB US REIT ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	VANGUARD FTSE EMERGING MKT ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	VANGUARD SMALL CAP ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.4	VANGUARD VALUE ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	BRIDGE BUILDER CORE BOND	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.6	BRIDGE BUILDER CORE PLUS BOND	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.7	BRIDGE BUILDER INTL EQUITY	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.8	BRIDGE BUILDER LARGE GROWTH	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.9	BRIDGE BUILDER LARGE VALUE	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10	BRIDGE BUILDER SMALL/MID GRW	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.11	BRIDGE BUILDER SMALL/MID VALUE	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.12	JPM EMERGING MARKETS EQUITY R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.13	JPM U.S. GOVT MNY MKT CAPITAL	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.14	MAINSTAY MACKAY HIGH YIELD CORPORATE BOND FUND R6	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.15	MFS EMERGING MARKETS DEBT R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	Federal Credit Union #2 Savings and Checking Accounts (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
7	401A UC DCP	No			
7.1	UC Pathway Income-Blended Investments	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	UC TIPS Fund Bond Investments	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	University of California Defined Benefit Retirement Plan (Value not readily ascertainable)	N/A			None (or less than \$201)
9	University of California UCRP Defined Benefit Plan	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
10	University of Oregon PERS defined benefit plan	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
11	Oregon PERS-IAP defined contribution plan (retirement allocation fund)	Yes	\$100,001 - \$250,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	American Capital Wrld Growth and Income Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2	Franklin Rising Dividend Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
3	Conagra Brands Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4	Fortive Corp	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5	Parker Hanifin	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6	State Street Corp	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
7	Tractor Supply Co	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
8	Vontier	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9	IBM	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10	Franklin High Yield Tax-Free Income Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	Franklin OR Tax Free Income Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
12	Franklin Low Duration total Return Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
13	Franklin Federal Tax Free Income Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	American Corporate Bond Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	Franklin Total Return Fund	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
16	Aliant Energy LNT	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17	Ameren Corp. (AEE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
18	Broadcom Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19	Cisco Systems	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20	Danaher Corp	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
21	Deer & Co	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000
22	Duke Energy	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	Emerson Electric	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
24	Johnson and Johnson	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
25	Merck & Co., Inc. (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
26	Nextra Energy	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
27	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
28	Nutrien	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
29	Pfizer Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
30	Portland General Electric Co. (POR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
31	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000	
32	Salesforce.com, inc. (CRM)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)	
33	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$15,001 - \$50,000	
34	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	
35	U.S. Credit Union #1 Savings and Checking Account	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000	
36	Vodafone Group PLC	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
37	Wells Fargo & Company	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	36	Sold on 2/07/2020
6.	37	Sold on 5/28/2020

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).
