

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

Filer's Information

Ellis, Margot

Deputy Assistant Administrator, E&E, U.S. Agency for International Development

Date of Termination: 04/30/2022

Other Federal Government Positions Held During the Preceding 12 Months:

Acting Assistant Administrator-Europe & Eurasia (1/2021 - Present) See endnote

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/ Ellis, Margot [electronically signed on 04/21/2022 by Ellis, Margot 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/ Mason-Gale, Treyer A, Certifying Official [electronically signed on 04/21/2022 by Mason-Gale, Treyer A in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(04/21/2022, Ellis, Margot): The filer agreed to update the reported information if it changes before or on the indicated termination date.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Eurasia Foundation	Washington, DC, District of Columbia	Non-Profit	Trustee	3/2022	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	United Nations, defined benefit plan	N/A	\$250,001 - \$500,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	United Nations	NY, New York	I will continue to participate in this defined benefit plan and will receive a monthly pension upon retirement.	2/2010

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	JPMorgan Chase & Co. (JPM)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
2	International Business Machines Corp. (IBM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
3	Wells Fargo Large Company Value Fund Class A Shares (WLCAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
4	Wells Fargo Advantage Growth Inv	Yes	None (or less than \$1,001)		None (or less than \$201)
5	Allspring/Wells Fargo Advantage Large Cap Core	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7	Lafayette FCU (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8	JP Morgan Chase & Co (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
9	Morgan Stanley (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10	Daimler AG (DAI)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
11	Residential real estate, New York, NY	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
12	AerCap Holdings N.V. (AER)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Airbus SE (EADSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Allergan Plc (AGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	AMC Networks Inc. (AMCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Axa S.A. ADR (AXAHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Banco Bilbao Vizcaya Argentaria S.A. (BBVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	BHP Group PlcSponsored (BBL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	Biogen Inc. (BIIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Broadcom, Inc. (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Carlsberg AS Sponsored Representing Class B Shares Denmark ADR(CABGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	CK Hutchison Holdings ADR (CKHUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	Copart, Inc. (CPRT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Cree, Inc. (CREE)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27	Crown Holdings, Inc. (CCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	Deutsche Post ADR (DPSGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	DNB ASA (DNHBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	Dolby Laboratories, Inc. (DLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	E.ON SE Sponsored ADR (EONGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	eBay, Inc. (EBAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	Engie S.A. ADR (ENGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	Fluor Corp. (FLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	Freeport-McMoRan, Inc. (FCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	HSBC Holdings plc (HSBC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	Intesa Sanpaolo SpA ADR (ISNPY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	Ionis Pharmaceuticals, Inc. (IONS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	Johnson Controls International Plc (JCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	Julius Baer Group ADR (JBAXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
41	Koninklijke Philips NV (PHG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	Lanebury Growth Capital Ltd (LLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	Liberty Interactive Qvc Sr A (QVCA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	Liberty Media Corp. Liberty SiriusXM (LSXMK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	Molson Coors Beverage Co. (TAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	National Oilwell Varco, Inc. (NOV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	Nucor Corp. (NUE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
48	Pentair Plc (PNR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	Roche Holdings AG Basel ADR (RHHBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	Koninklijke DSM N.V. (RDSMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	Royal Dutch Shell plc ADR Class A (RDSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
52	Schlumberger NV (SLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
53	Secom ADR Representing 1/4 Ordinary Shares (SOMLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
54	Skyworks Solutions, Inc. (SWKS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
55	Smith & Nephew plc (SNN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
56	TE Connectivity Ltd. (TEL)	N/A	None (or less than \$1,001)		None (or less than \$201)
57	TotalEnergies SE (TOT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	Twitter, Inc. (TWTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
59	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
60	West Fraser Timber Co. Ltd. (WFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	Western Digital Corp. (WDC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62	Emerging Markets Portfolio Advisor Class Shares (HLEMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
63	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64	Discovery, Inc. (DISCA)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
65	The Coca-Cola Co. (KO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
66	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
67	Motorola Solutions, Inc. (MSI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
68	Procter & Gamble Co. (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
69	KKPY		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
70	Seagate Technology Plc (STX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
71	ACS, Actividades de Construcción y Servicios, S.A. (ACSAY)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
72	AIA Group ADR (AAGIY)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
73	ArcelorMittal SA (MT)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
74	AutoZone, Inc. (AZO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
75	BAE Systems Plc ADR (BAESY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
76	Baidu Inc ADR (BIDU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
77	Beverly National Corp (BNV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
78	British American Tobacco PLC (BTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
79	Canadian Natural Resources Ltd (CNQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
80	Carrefour S A F Sponsored France ADR (CRRFY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
81	Carter's, Inc. (CRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
82	The Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
83	Deutsche Boerse ADR (DBOXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
84	Dolby Laboratories, Inc. (DLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
85	DXC Technology Co. (DXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
86	EssilorLuxottica Unsponsored ADR (ESLOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
87	Fast Retailing ADR (FRCOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
88	ImmunoGen, Inc. (IMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
89	Kellogg Co. (K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
90	Komatsu Ltd ADR (KMTUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
91	Lloyds Banking Group Plc (LYG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
92	Nuance Communications, Inc. (NUAN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
93	Panasonic Corporation ADR (PCRFY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
94	Seven and I Holdings ADR Representing 0.50 Ordinary Shares (SVNDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
95	Steel Dynamics, Inc. (STLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
96	Sumitomo Mitsui Financial Group, Inc. (SMFG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
97	Tata Motors Limited ADR (TTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
98	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
99	Vertex Pharmaceuticals, Inc. (VRTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
100	Westinghouse Air Brake Technologies Corp. (WAB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
101	Vanguard 500 Index ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
102	Israel Discount Bank Bonds	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
103	ACS, Actividades de Construcción y Servicios, S.A. (ACSAY)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
104	Analog Devices, Inc. (ADI)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
105	Armstrong World Industries, Inc. (AWI)	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
106	BASF SE (BASFY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
107	Baxter International, Inc. (BAX)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
108	Discovery, Inc. (DISCA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
109	Electronic Arts, Inc. (EA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
110	Lowe's Companies, Inc. (LOW)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
111	Murata Manufacturing ADR (MRAAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
112	SAP SE (SAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
113	Seagate Technology Plc (STX)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
114	iShares Morningstar Mid-Cap ETF (JKG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
115	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
116	Morgan Stanley - Money Market Account	See Endnote	N/A	Interest	\$201 - \$1,000
117	IRA	No			
117.1	Invesco Technology Fund Investor Class Shares (FTCHX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
117.2	Strategic Advisers Growth Fund (FSGFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
117.3	Strategic Advisers Small-Mid Cap Fund (FSCFX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
117.4	Vanguard S&P 500 Growth Index Fund ETF Shares (VOOG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
118	Adyen N V (ADYEV)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
119	AIA Group (AAGIY)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
120	Alibaba Group	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
121	LKQ Corp. (LKQ)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
122	Fiserv, Inc. (FISV)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
123	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
124	Public Storage (PSA)	N/A	\$1,001 - \$15,000	Capital Gains	\$5,001 - \$15,000
125	Raytheon Co. (RTN)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
126	Waste Management, Inc. (WM)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000

7. Transactions

None

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
Filer's Information	1	My position beginning in August 2016 was in USAID's Europe & Eurasia Bureau, not the Asia Bureau.
6.	116	Cash management Account (no underlying holdings)

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).
