

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

Filer's Information

Sivaram, Varun

Lead for Innovation and Competitiveness; US/India, Office of Oceans and International Environmental and Scientific Affairs, Department of State

Date of Appointment: 01/20/2021

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Sivaram, Varun [electronically signed on 01/14/2021 by Sivaram, Varun 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/ Alexander, Mj, Certifying Official [electronically signed on 01/20/2021 by Alexander, Mj in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 02/17/2021

Data Revised 01/21/2021

Data Revised 01/20/2021

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Columbia University	New York, New York	University/College	Senior Research Scholar	5/2020	Present
2	ReNew Power	Gurugram, Outside U.S.	Corporation	Chief Technology Officer	9/2018	3/2020
3	Peridot Acquisition Corporation	Houston, Texas	Corporation	Director	9/2020	Present
4	Aventurine Partners	Houston, Texas	Corporation	Advisory Board Member	9/2020	Present
5	Energy for Growth Hub	Washington, District of Columbia	Non-Profit	Fellow	4/2020	Present
6	Camus Energy	San Francisco, California	Corporation	Advisor	7/2020	Present
7	Radia, Inc.	Boulder, Colorado	Corporation	Advisor	8/2020	Present
8	Lawrence Berkeley National Laboratory	Berkeley, California	National Laboratory	Consultant	10/2020	Present
9	International Energy Agency	Paris, Outside U.S.	Non-Profit	Consultant	3/2020	12/2020
10	Breakthrough Energy, LLC	Washington, District of Columbia	Corporation	Consultant	6/2020	9/2020
11	Bipartisan Policy Coalition	Washington, District of Columbia	Non-Profit	Consultant	1/2020	4/2020
12	Cravath, Swain, & Moore	New York, New York	Law Firm	Expert Witness	7/2018	1/2020

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	MIT Press	Cambridge, Massachusetts	University/College	Author	2/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Columbia University	N/A		Salary	\$122,000
2	ReNew Power (Renewable energy in India)	N/A		Salary/Bonus	\$335,854
3	ReNew Power, ESOP account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4	Peridot Acquisition Corporation (Clean energy technology)	N/A	\$250,001 - \$500,000		None (or less than \$201)
5	Energy for Growth Hub	N/A		Fellowship	\$5,000
6	Radia, Inc. (Clean energy)	N/A		Consulting Fees	\$5,000
7	International Energy Agency	N/A		Consulting Fees	\$10,000
8	Breakthrough Energy, LLC (Clean energy research and advocacy)	N/A		Consulting Fees	\$55,000
9	Bipartisan Policy Coalition	N/A		Consulting Fees	\$10,000
10	Cravath, Swain, & Moore (Law firm)	N/A		Consulting Fees	\$19,950
11	MIT Press	N/A		Book royalties	\$1,106
12	IRA	No			
12.1	ACTIVISION BLIZZARD INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.2	TESLA INC	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.3	WALT DISNEY CO HLDG CO	N/A	\$15,001 - \$50,000		None (or less than \$201)
12.4	DRAFTKINGS INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.5	AMAZON COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.6	VIACOMCBS INC CL B	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.7	ALPHABET INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.8	TAKE TWO INTERACTIVE SOFTWARE	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.9	MICROSOFT CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.10	JD COM INC SPON ADR CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.11	TENCENT HLDGS LTD UNSPON ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.12	ALIBABA GROUP HLDG LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.13	JOHNSON & JOHNSON	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.14	PFIZER INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.15	PROCTER & GAMBLE	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.16	CHARLES SCHWAB NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.17	AMERICAN EXPRESS CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.18	CHEVRON CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.19	AT&T INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.20	UNITEDHEALTH GP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.21	ANTHEM INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.22	MC DONALDS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.23	PEPSICO INC NC	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.24	VISA INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.25	UNILEVER PLC (NEW) ADS	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.26	RAYTHEON TECHNOLOGIES CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.27	ISHARES BARCLAYS 1-3 YR TSY BD	Yes	\$50,001 - \$100,000		None (or less than \$201)
12.28	INVESCO WILDERHILL CLEAN ENERG	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.29	SPDR GOLD TR GOLD SHS	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.30	SPDR S&P CHINA ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.31	VANGUARD INDEX FDS S&P 500 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.32	SPDR S&P 500 ETF TRUST	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.33	ISHARES EDGE MSCI MIN VOL USA	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.34	ALLIANZGI SHT DUR HIGH INC P	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.35	FEDERATED HERMES GOVT OBL AVR	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.36	PERFORMANCE TRUST STRAT BD I	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.37	PRINCIPAL SHORT TERM INC I	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.38	VOYA STRAT INC OPPPORT I	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.39	Cash	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	401K	No			
13.1	Vanguard Institutional Target Retirement 2055 Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	City of Los Angeles	No			
14.1	Morningstar Agg Tgt Risk TR USD	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	George Washington University	N/A		Lecturing at a Class	\$250
16	Beacon Global Advisors	N/A		Consulting	\$488
17	Lawrence Berkeley Laboratory	N/A		Consulting	\$3,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	ReNew Power	Gurugram, Outside U.S.	I relinquished my ESOP account when I left the company.	10/2020
2	City of Los Angeles	Los Angeles, California	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	1/2013

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Columbia University	New York, New York	
2	ReNew Power	Gurugram, Outside U.S.	
3	International Energy Agency	Paris, Outside U.S.	
4	Breakthrough Energy, LLC	Washington, District of Columbia	
5	Bipartisan Policy Coalition	Washington, District of Columbia	
6	Cravath, Swaine, & Moore	New York, New York	
7	MIT Press	Cambridge, Massachusetts	
8	Solarplaza	Rotterdam, Outside U.S.	

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
9	Terrapinn	London, Outside U.S.	
10	Dutch New Energy Research	Amsterdam, Outside U.S.	

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Global Press Institute	N/A		salary	
2	Pierre Elliott Trudeau Foundation	N/A		consulting fees	
3	Global Press Institute	No			
3.1	Vanguard Total Stock Market	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	VTMGX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	VEMAX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	VBTLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	VGSLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	VTABX	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ISHARES GLOBAL CLEAN ENERG ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	SPDR PORTF SHORT TERM TREA ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	SCHWAB INTL EQUITY ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	VANGUARD INDEX FDS S&P 500 ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	VANGUARD FTSE EMERGING MARKETS	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	SCHWAB US BROAD MARKET ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	SPDR S&P CHINA ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	SPDR GOLD TR GOLD SHS	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	ISHARES BARCLAYS 1-3 YR TSY BD	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	VANGUARD TTL STK MKT ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	SCHWAB US DVD EQUITY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	ISHARES EDGE MSCI MIN VOL USA	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	ISHARES US TREASURY BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	ISHARES CORE MSCI EMERGING	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	VANGUARD EXTENDED MKT ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	SPDR NUVEEN BBG BARCLAYS MUN B	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	VANGUARD TAX-EXEMPT BOND ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	ISHARES S&P 500 VAL ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	ISHARES NAT MUN BN ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	VANGUARD DIVIDEND APPRECIATION	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	VANGUARD TOTAL STK MKT IDX ADM	Yes	\$15,001 - \$50,000		None (or less than \$201)
22	VANGUARD TOTAL INTL ST IDX ADM	Yes	\$15,001 - \$50,000		None (or less than \$201)
23	VANGUARD TOTAL BD MKT INDX ADM	Yes	\$1,001 - \$15,000		None (or less than \$201)
24	PRINCIPAL SHORT TERM INC I	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	TRANSAMERICA INTERMED MUNI I	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	BNY MELLON HI YLD MUNI BD I	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	INVESCO ENV FOCUS MUNI Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	TESLA INC	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	WALT DISNEY CO HLDG CO	N/A	\$15,001 - \$50,000		None (or less than \$201)
30	VIACOMCBS INC CL B	N/A	\$15,001 - \$50,000		None (or less than \$201)
31	APPLE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	CHARLES SCHWAB NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	ALPHABET INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	AMERICAN EXPRESS CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	TAKE TWO INTERACTIVE SOFTWARE	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	AMAZON COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	MICROSOFT CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	JD COM INC SPON ADR CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	TENCENT HLDGS LTD UNSPON ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	ACTIVISION BLIZZARD INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	JOHNSON & JOHNSON	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	ALIBABA GROUP HLDG LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	PFIZER INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	NVIDIA CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	PROCTER & GAMBLE	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	SALESFORCE.COM,INC.	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	AT&T INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
48	MC DONALDS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	PEPSICO INC NC	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	UNITEDHEALTH GP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	ANTHEM INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
52	CHEVRON CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
53	VISA INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
54	UNILEVER PLC (NEW) ADS	N/A	\$1,001 - \$15,000		None (or less than \$201)
55	RAYTHEON TECHNOLOGIES CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
56	CARRIER GLOBAL CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
57	OTIS WORLDWIDE CORP	N/A	None (or less than \$1,001)		None (or less than \$201)
58	NETFLIX INC	N/A	None (or less than \$1,001)		None (or less than \$201)
59	VIATRIS INC	N/A	None (or less than \$1,001)		None (or less than \$201)
60	US bank (Cash Acct)	N/A	\$250,001 - \$500,000		None (or less than \$201)
61	Crosslink Crossover Fund VII	Yes	\$100,001 - \$250,000		None (or less than \$201)
62	US bank (Cash Account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
63	US bank (Cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)

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

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).
