

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

Filer's Information

Kaslow, David

(Preclearance) Director, Office of Vaccines Research and Review (OVRR), CBER, Department of Health & Human Services

Date of Appointment: 10/09/2022

Other Federal Government Positions Held During the Preceding 12 Months:

National Institute of Allergy and Infectious Diseases: NIAID/DIR/LMIV Scientific Advisory Board Member (1/2014 - 7/2022)

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/ Kaslow, David [electronically signed on 11/10/2022 by Kaslow, David 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/ Akbari, Asim, Certifying Official [electronically signed on 11/22/2022 by Akbari, Asim in Integrity.gov]

Other review conducted by

/s/ Taylor, Ebonie, Ethics Official [electronically signed on 11/21/2022 by Taylor, Ebonie in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 11/10/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	PATH	Seattle, Washington	Non-Profit	Chief Scientific Officer	3/2012	10/2022
2	Government of India	New Delhi, Outside U.S.	Government Associated	Member, COVID-19 Scientific Advisory Group	3/2020	5/2022
3	PATH	Seattle, Washington	Non-Profit	Head, Center for Vaccine Innovation & Access	3/2016	10/2022
4	Hilleman Laboratories	New Dehli, Outside U.S.	Corporation	Strategic Advisory Group	1/2019	6/2021
5	World Health Organization	Geneva, Outside U.S.	United Nations specialized agency	Chair, IVR/WHO Product Development for Vaccine Advisory Committee	1/2014	10/2022
6	World Health Organization	Geneva, Outside U.S.	United Nations specialized agency	Ex officio member, WHO SAGE Working Group on COVID-19 Vaccines	6/2020	10/2022
7	World Health Organization UNICEF	Geneva, Outside U.S.	United Nations specialized agency	Lead, Strategic Priority 7 (Research and Innovation) Working Group	1/2020	10/2022
8	The Lancet	London, Outside U.S.	Publisher	Member, Vaccines and Therapeutics Task Force	6/2020	10/2022

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
9	GSK Vaccines Institute for Global Health	Siena, Outside U.S.	Corporation	Member, Steering Committee	1/2020	7/2022
10	Strep A Vaccine Global Consortium (SAVAC)	Seoul, Outside U.S.	Consortium	Member, Executive Committee	7/2019	10/2022
11	Leducq Foundation	Boston, Massachusetts	Non-Profit	Group A Member, Strep Vaccine Scientific Advisory Board	9/2021	10/2022
12	Wellcome Trust	London, Outside U.S.	Trust	Chair, Correlate of Protection Workshop Organizing Committee	3/2022	10/2022
13	Consortia for HIV/AIDS Vaccine Development (CHAVD)	San Diego, California	NIAID-funded consortium	Member, Vaccine Advisory Committee	7/2019	10/2022
14	University of Washington	Seattle, Washington	University/College	External Advisor, Sexually Transmitted Infection Cooperative Research Center	6/2019	10/2022
15	Biden-Harris Presidential Transition Team	Washington, District of Columbia		Member, HHS Agency Review Team	11/2020	1/2021
16	US National Academies of Sciences, Engineering, and Medicine	Washington, District of Columbia	Non-Profit	Member, Influenza Vaccine Supply Chain & Distribution Committee	2/2021	11/2021

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
17	World Health Organization	Geneva, Outside U.S.	United Nations specialized agency	Co-Chair, Advisory Group on therapeutic HPV vaccines	7/2021	10/2022

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEP/IRA	No			
1.1	Growth Fund of America Class A Shares (AGTHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	New Perspective Fund Class A Shares (ANWPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Washington Mutual Investors Fund Class A Shares (AWSHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	PATH 401k Plan	No			
2.1	T Rowe Price Retirement 2025 Fund (TRRHX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3	Merck & Co. 401k Plan	No			
3.1	2025 RETIREMENT PF	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	ACTIVE US LARGE CAP EQUITY	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	ACTIVE US SMALL CAP EQUITY	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	US LARGE CAP EQUITY INDEX	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	VICAL Inc. 401k Plan	No			
4.1	Fidelity Freedom 2025 Fund (FFTWX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	Mercer Marketplace365+ Health Savings Plan	No			
5.1	Vanguard Target Retirement 2040 Fund Investor Class Shares (VFORX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	PATH	N/A		2021-10/2022 Salary	\$745,690
7	PATH	N/A		Accrued Leave	\$32,989

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	MERCK &CO	Rahway, New Jersey	I continue to participate in my former employer's independently managed defined contribution plan. The plan sponsor will not make further contributions after my separation.	2/1999
2	VICAL	San Diego, California	I no longer participate in my former employer's independently managed defined contribution plan. The plan sponsor has not made further contributions after my separation.	10/2001
3	PATH	Seattle, Washington	I continue to participate in my former employer's independently managed defined contribution plan. The plan sponsor will not make further contributions after my separation.	3/2012
4	PATH (Accrued Leave)	Seattle, Washington	I received a payment of \$32,988.80 for 160 hours of unused annual leave on 31 October 2022. No future payments are due or anticipated.	10/2022

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	PATH	Seattle, Washington	Head of Center for Vaccine Innovation and Access and Chief Scientific Officer PATH Essential Medicines

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA residual	No			
1.1	US Bank residual cash account	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	SDCERA, defined benefit plan	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	IRA Rollover	No			
3.1	Calvert Impact Capital Community Investment Note	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	BlackRock Systematic ESG Bond Fund Institutional Class Shares (BIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	TIAA-CREF Core Impact Bond Fund Institutional Class Shares (TSBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	iShares ESG MSCI EAFE ETF (ESGD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	iShares ESG MSCI EM ETF (ESGE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	iShares ESG MSCI USA ETF (ESGU)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.7	iShares MSCI USA ESG Select ETF (SUSA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Nuveen ESG Large-Cap Value ETF (NULV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Nuveen ESG Small-Cap ETF (NUSC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	Diamond Hill Short Duration Total Return Fund Class I Shares (DHEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	iShares Convertible Bond ETF (ICVT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	iShares Global Clean Energy ETF (ICLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.15	iShares US Infrastructure ETF (IFRA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Inherited IRA	No			
4.1	iShares ESG MSCI EAFE ETF (ESGD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	iShares ESG MSCI EM ETF (ESGE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	iShares ESG MSCI USA ETF (ESGU)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	iShares MSCI USA ESG Select ETF (SUSA)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	Nuveen ESG Large-Cap Value ETF (NULV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Nuveen ESG Small-Cap ETF (NUSC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	BlackRock Systematic ESG Bond Fund Institutional Class Shares (BIIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	TIAA-CREF Core Impact Bond Fund Institutional Class Shares (TSBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Calvert Impact Capital Community Investment Note 2.5%	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Diamond Hill Short Duration Total Return Fund Class I Shares (DHEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	iShares Convertible Bond ETF (ICVT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	iShares Global Clean Energy ETF (ICLN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	iShares US Infrastructure ETF (IFRA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank Account (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	US Credit Union Account (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	Brokerage WROS	No			
3.1	Fidelity Government Money Market Fund (SPAXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	Fidelity Pennsylvania Municipal Money Market Fund (FPTXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Fidelity 500 Index Fund (FXAIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4	US Bank Account #2 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	US Bank Account #3 (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6	Brokerage Account	No			
6.1	Cash Sweep Account	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.2	iShares ESG MSCI EAFE ETF (ESGD)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.3	iShares ESG MSCI EM ETF (ESGE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.4	iShares ESG MSCI USA ETF (ESGU)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.5	iShares Global Clean Energy ETF (ICLN)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.6	iShares MSCI USA ESG Select ETF (SUSA)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Nuveen ESG Large-Cap Value ETF (NULV)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.8	Nuveen ESG Small-Cap ETF (NUSC)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.9	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.10	Calvert Responsible Municipal Income Fund Class I Shares (CTTIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.11	Calvert Impact Capital Community Investment Note 2.5%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.12	iShares Convertible Bond ETF (ICVT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	iShares Edge MSCI Min Vol USA ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	Vanguard Short-Term Inflation-Protected Securities Index Fund ETF Class Shares (VTIP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.15	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	ScholarShare 529 account	No			
7.1	TIAA-CREF Equity Index Fund Institutional Class Shares (TIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	TIAA-CREF International Equity Index Fund Institutional Class Shares (TCIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	TIAA-CREF Bond Index Fund Institutional Class Shares (TBIIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.4	Vanguard Short-Term Inflation-Protected Securities Index Fund Institutional Class Shs (VTSPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	Vanguard High-Yield Corporate Fund Admiral Shares (VWEAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.6	TIAA-CREF Life Funding Agreement	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	ScholarShare 529 Z	No			
8.1	TIAA-CREF Equity Index Fund Institutional Class Shares (TIEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.2	TIAA-CREF International Equity Index Fund Institutional Class Shares (TCIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.3	TIAA-CREF Bond Index Fund Institutional Class Shares (TBIIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.4	Vanguard Short-Term Inflation-Protected Securities Index Fund Institutional Class Shs (VTSPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.5	Vanguard High-Yield Corporate Fund Admiral Shares (VWEAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.6	TIAA-CREF Life Funding Agreement	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Brokerage Account	No			
9.1	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.2	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.3	iShares Core S&P 500 ETF (IVV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.4	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.5	iShares National Muni Bond ETF (MUB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.6	VanEck Vectors High-Yield Municipal Index ETF (HYD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.7	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.8	Cash Sweep Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.9	iShares Core S&P US Value ETF (IUSV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10	TIAA-CREF	No			
10.1	TIAA-CREF Social Choice Equity Fund Retail Class Shares (TICRX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
10.2	TIAA-CREF Green Bond Fund Retirement Class Shares (TGRMX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	6908 Pacific Properties, LLC	No			\$100,001 - \$1,000,000
11.1	Commercial Real Estate (Fulton, MO)	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000

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

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).
