

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

---

**Lord, Ellen**

Under Secretary of Defense for Acquisition and Sustainment, Department of Defense

Report Year: 2019

---

Other Federal Government Positions Held During the Preceding 12 Months:

Under Secretary of Defense for Acquisition, Technology & Logistics (8/2017 - 1/2018)

---

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/ Lord, Ellen [electronically signed on 06/04/2019 by Lord, Ellen in Integrity.gov] - Filer received a 31 day filing extension.**

---

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/ Irvine, Dani, Certifying Official [electronically signed on 08/20/2019 by Irvine, Dani in Integrity.gov]**

---

Other review conducted by

**/s/ Irvine, Dani, Ethics Official [electronically signed on 08/19/2019 by Irvine, Dani in Integrity.gov]**

---

U.S. Office of Government Ethics Certification

Data Revised 08/19/2019

---

## 1. Filer's Positions Held Outside United States Government

None

---

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Textron Inc., Defined Benefit Plan	No			
1.1	Textron Inc. Defined Benefit Plan (Qualified)	N/A	\$1,000,001 - \$5,000,000	Retirement payments (monthly)	\$7,644
1.2	Textron, Inc. Defined Benefit Plan (Non-Qualified)	N/A	\$1,000,001 - \$5,000,000	Retirement payments (monthly)	\$10,417
2	IRA #1	No			
2.1	IJH -ISHARES S&P MIDCAP 400 INDEX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.2	DES - Wisdom Tree Small Cap Div	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.3	AEPFX - American Funds EuroPac Growth	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.4	AQMIX -AQR MANAGED FUTURES STRATEGY I	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	CMNIX - Calamos Mkt Neutral INC I	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.6	CIHIX - CULLEN INTL HIGH DIVIDEND I	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	HIEMX - VIRTUS VONTOBEL EMRG MKT OPP I	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.8	PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.9	U.S. Brokerage Account (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.10	ISHARES S&P MIDCAP GR ETF (IJK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.11	VANGUARD SMALL GROWTH (VBK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.12	INVESCO EQ WGT S&P FUND (VADDX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.13	DOUBLELINE TOTAL RETURN FUND (DBLTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.14	FRANKLIN K2 ALT STRATEGIES FUND (FABZX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.15	HARTFORD GROWTH OPPS FUND (HGOIX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
2.16	HIGHLAND LONG SHORT EQUITY FUND (HEOZX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.17	IVY HIGH INCOME (IVHIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.18	NEUBERGER BERMAN EQUITY INCOME FUND (NBHIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.19	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.20	PRUDENTIAL SHORT TERM BOND FUND (PIFZX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Textron Inc. - Defined Benefit Plans	Providence, Rhode Island	I will continue to participate in both the qualified and non-qualified defined benefit plans.	1/1984

### 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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	U.S. brokerage account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	IEI - ISHARES 3-7 YR TREASURY BD ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	IVW - ISHARES S&P 500 GRWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4	IVE - ISHARES S&P 500 VAL ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.5	IJK - ISHARES S&P MID-CAP 400 G ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	IJJ - ISHARES S&P MID-CAP 400 V ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	DGCIX - Delaware Corp Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	CNSDX - INVESCO CONVERT SECURITIES Y	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.9	LIFFX - Lord Abbett Inflation Focused	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	GAFYX - NATIXIS ASG GLOBAL ALTERNAT Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	TGBAX - Templeton Global Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.12	RSDYX - VICTORY INCORE LOW DUR BD Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	IGLIX - Voya Global Real Estate	Yes	\$1,001 - \$15,000		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	MUAIX - MS Ultra Short Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Apple Inc. - Common Stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3	Biogen Idec Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	FTV - Fortive Corp	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5	General Mills Inc	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6	Gilead Sciences, Inc. - Common Stock	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
7	JP Morgan Chase & Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Merck & Co Inc	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9	The Priceline Group Inc. - Common Stock	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10	Union Pacific Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	Visa Inc	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
12	EXG - Eaton Vance Tax Managed Dividend Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
13	FTA - First Trust Large Cap Value	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
14	RSP - Invesco S&P Equal Weight	See Endnote	Yes	\$100,001 - \$250,000	\$1,001 - \$2,500
15	iShares S&P GSCI Commodity-Indexed Trust	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	iShares S&P MidCap 400 Growth Index	Yes	\$50,001 - \$100,000		\$201 - \$1,000
17	iShares S&P MidCap 400 Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
18	iShares Morningstar Small Value Index	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
19	NML - Neuberger Berman MLP Income Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20	BOND - Pimco Active Bond	Yes	\$1,001 - \$15,000		\$201 - \$1,000
21	VWO - Vanguard Emerging Mkts	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
22	VBK - Vanguard Small Cap Growth	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	AQMIX - AQR Managed Futures Strategy Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	FABZX - Franklin K2 Alternative Strategies Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
25	MEURX - Franklin European Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
26	Hartford Growth Opportunities I	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
27	HEOZX - Highland Long Short Equity fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
28	IVHIX - Ivy High Income	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
29	NBHIX - Neuberger Berman Equity Income Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
30	Prudential Short-Term Corporate Bd Z	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
31	T. Rowe Price Japan	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
32	PRNHX - T. Rowe Price New Horizons Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
33	T. Rowe Price Summit Municipal Intm	N/A	\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000
34	T. Rowe Price Tax-Free Income Inv	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
35	T. Rowe Price Tax-Free Shrt-Interm	Yes	\$15,001 - \$50,000		\$201 - \$1,000
36	PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
37	U.S. brokerage account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
38	INVESCO EQUAL WGT S&P FUND (VADDX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
39	CALAMOS MKT NEUTRAL FUND (CMNIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
40	CULLEN INTL HIGH DIV FUND (CIHIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
41	DOUBLELINE TOTAL RETURN FUND (DBLTX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
42	AMERICAN EUROPAC GROWTH FUND (AEPFX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
43	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
44	VIRTUS VONTOBLE EMG MKTS FUND (HIEMX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
45	IVW- iShares Growth S&P 500	Yes	\$100,001 - \$250,000		\$201 - \$1,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	General Mills Inc (GIS)	Sale	10/30/2018	\$1,001 - \$15,000
2	Booking Holdings (BKNG) (Priceline)	Sale	10/30/2018	\$1,001 - \$15,000
3	FIRST TRUST LRG CAP VALUE AL (FTA)	Sale	04/09/18	\$1,001 - \$15,000
4	DOUBLELINE TOTAL RETURN I (DBLTX)	Sale	04/09/18	\$1,001 - \$15,000
5	HARTFORD GROWTH OPPORT I (HGOIX)	Sale	04/09/18	\$1,001 - \$15,000
6	PRUDENTIAL TOTAL RETURN BD Z (PDBZX)	Sale	04/09/18	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	TROWE PRICE SUMMIT MUN INTM (PRSMX)	Sale	04/09/18	\$15,001 - \$50,000
8	VIRTUS NWFLT MLTSEC SHTM BDI (PIMSX)	Sale	04/09/18	\$15,001 - \$50,000
9	ISHARES S&P MIDCAP 400 INDEX (IJH)	Purchase	06/29/18	\$15,001 - \$50,000
10	WISDOMTREE US SMALLCAP DIV FND (DES)	Purchase	06/29/18	\$15,001 - \$50,000
11	VANGUARD SM CAP GROWTH ETF (VBK)	Purchase	06/29/18	\$1,001 - \$15,000
12	CALAMOS MARKET NEUTRAL INC I (CMNIX)	Purchase	06/29/18	\$1,001 - \$15,000
13	PGIM TOTAL RETURN BOND Z (PDBZX)	Sale	10/30/18	\$1,001 - \$15,000
14	VANGUARD SM CAP GROWTH ETF (VBK)	Sale	10/30/18	\$1,001 - \$15,000
15	NEUBERGER BERMAN EQ INC INS (NBHIX)	Sale	10/30/18	\$1,001 - \$15,000
16	ISHARES S&P MID-CAP 400 G ETF (IJK)	Sale	10/30/18	\$1,001 - \$15,000
17	PIMCO ACTIVE BOND ETF (BOND)	Sale	10/30/18	\$1,001 - \$15,000
18	T ROWE PRICE TAX FREE INCOME (PRTAX)	Sale	10/30/18	\$15,001 - \$50,000
19	IVY HIGH INCOME I (IVHIX)	Sale	10/30/18	\$15,001 - \$50,000
20	VANGUARD FTSE EMERGING MARKETS (VWO)	Sale	10/30/18	\$15,001 - \$50,000
21	AMERICAN EUROPACIFIC GRW (AEPFX)	Sale	10/30/18	\$15,001 - \$50,000
22	HARTFORD GROWTH OPPORT I (HGOIX)	Sale	10/30/18	\$15,001 - \$50,000
23	VIRTUS NWFLT MLTSEC SHTM BD I (PIMSX)	Sale	10/30/18	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
24	INVESCO EQUAL WGHTD S&P 500 Y (VADDX)		Sale	10/30/18	\$50,001 - \$100,000
25	ISHARES S&P 500 GRWTH ETF (IWW)		Purchase	11/21/18	\$100,001 - \$250,000
26	HARTFORD GROWTH OPPORT I (HGOIX)		Sale	11/21/18	\$100,001 - \$250,000
27	APPLE (AAPL)	See Endnote	Sale	12/13/18	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Morgan Stanley Home Loans	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2018	3.60%	30 years (7 year fixed rate)

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	14	Name change from Guggenheim S&P Equal Weight
7.	27	DONATED 30 SHARES

# 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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 three 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, NW., 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).

---