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: 2020

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/ Lord, Ellen [electronically signed on 05/08/2020 by Lord, Ellen 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/ Thompson, Scott F, Certifying Official [electronically signed on 07/17/2020 by Thompson, Scott F in Integrity.gov]

Other review conducted by
/s/ Irvine, Dani, Ethics Official [electronically signed on 07/17/2020 by Irvine, Dani in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/23/2020 by Granahan, Megan in Integrity.gov]

Data Revised 07/15/2020

Data Revised 07/14/2020

Data Revised 07/08/2020

Data Revised 07/02/2020

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	See Endnote	Yes	$50,001 - $100,000		$1,001 - $2,500
2.2	DES - Wisdom Tree Small Cap Div		Yes	$15,001 - $50,000		$1,001 - $2,500
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		$201 - $1,000
2.5	CMNIX - Calamos Mkt Neutral INC I		Yes	$50,001 - $100,000		$5,001 - $15,000
2.6	CIHIX - CULLEN INTL HIGH DIVIDEND I		Yes	$50,001 - $100,000		$2,501 - $5,000

#	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		$2,501 - $5,000
2.9	U.S. Brokerage Account (Cash)	See Endnote	N/A	$100,001 - $250,000		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)	See Endnote	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		$2,501 - $5,000
2.14	FRANKLIN K2 ALT STRATEGIES FUND (FABZX)		Yes	$15,001 - $50,000		$1,001 - $2,500
2.15	HARTFORD GROWTH OPPS FUND (HGOIX)	See Endnote	Yes	$100,001 - $250,000		$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		$1,001 - $2,500
2.18	NEUBERGER BERMAN EQUITY INCOME FUND (NBHIX)		Yes	$100,001 - $250,000		$15,001 - $50,000
2.19	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)		Yes	$50,001 - $100,000		$5,001 - $15,000
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	See Endnote	Yes	$50,001 - $100,000		$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		$201 - $1,000
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	Apple Inc. - Common Stock		N/A	$15,001 - $50,000		None (or less than $201)
2	FTV - Fortive Corp		N/A	$1,001 - $15,000		None (or less than $201)
3	JP Morgan Chase & Co		N/A	$1,001 - $15,000	Dividends	$201 - $1,000
4	Merck & Co Inc		N/A	$1,001 - $15,000	Dividends	$201 - $1,000
5	Union Pacific Corp	See Endnote	N/A	$15,001 - $50,000		$201 - $1,000
6	Visa Inc		N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	EXG - Eaton Vance Tax Managed Dividend Fund		Yes	$15,001 - $50,000		$2,501 - $5,000
8	FTA - First Trust Large Cap Value		Yes	$50,001 - $100,000		$1,001 - $2,500
9	RSP - Invesco S&P Equal Weight	See Endnote	Yes	$100,001 - $250,000		$1,001 - $2,500
10	iShares S&P GSCI Commodity-Indexed Trust		Yes	$1,001 - $15,000		None (or less than $201)
11	iShares S&P MidCap 400 Growth Index		Yes	$50,001 - $100,000		$1,001 - $2,500
12	iShares S&P MidCap 400 Index	See Endnote	Yes	$100,001 - $250,000		$1,001 - $2,500
13	iShares Morningstar Small Value Index		Yes	$50,001 - $100,000		$1,001 - $2,500
14	NML - Neuberger Berman MLP Income Fund		Yes	$1,001 - $15,000		$201 - $1,000
15	VBK - Vanguard Small Cap Growth	See Endnote	Yes	$100,001 - $250,000		$201 - $1,000
16	AQMIX - AQR Managed Futures Strategy Fund		Yes	$15,001 - $50,000		$201 - $1,000
17	FABZX - Franklin K2 Alternative Strategies Fund		Yes	$100,001 - $250,000		$201 - $1,000
18	MEURX - Franklin European Fund		Yes	$15,001 - $50,000		$201 - $1,000
19	Hartford Growth Opportunities I	See Endnote	Yes	$250,001 - $500,000		$15,001 - $50,000
20	HEOZX - Highland Long Short Equity fund		Yes	$50,001 - $100,000		$2,501 - $5,000
21	IVHIX - Ivy High Income		Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22	NML - Neuberger Berman MLP & Energy Fund		Yes	$1,001 - $15,000		$201 - $1,000
23	Prudential Short-Term Corporate Bd Z		Yes	$100,001 - $250,000		$2,501 - $5,000
24	T. Rowe Price Japan		Yes	$15,001 - $50,000		$201 - $1,000
25	PRNHX - T. Rowe Price New Horizons Fund		Yes	$15,001 - $50,000		$1,001 - $2,500
26	T. Rowe Price Summit Municipal Intm		N/A	$50,001 - $100,000	Capital Gains	$1,001 - $2,500
27	T. Rowe Price Tax-Free Shrt-Interm		Yes	$15,001 - $50,000		$201 - $1,000
28	PIMSX - Virtus Newfleet Multi-Sector Short Term Bond Fund		Yes	$100,001 - $250,000		$2,501 - $5,000
29	U.S. brokerage account (cash)	See Endnote	N/A	$15,001 - $50,000		None (or less than $201)
30	INVESCO EQUAL WGT S&P FUND (VADDX)		Yes	$50,001 - $100,000		$2,501 - $5,000
31	CALAMOS MKT NEUTRAL FUND (CMNIX)		Yes	$100,001 - $250,000		$1,001 - $2,500
32	CULLEN INTL HIGH DIV FUND (CIHIX)		Yes	$50,001 - $100,000		$2,501 - $5,000
33	DOUBLELINE TOTAL RETURN FUND (DBLTX)		Yes	$50,001 - $100,000		$2,501 - $5,000
34	AMERICAN EUROPAC GROWTH FUND (AEPFX)		Yes	$250,001 - $500,000		$5,001 - $15,000
35	PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)		Yes	$100,001 - $250,000		$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
36	VIRTUS VONTOBLE EMG MKTS FUND (HIEMX)	Yes	$100,001 - $250,000		$1,001 - $2,500
37	IVW- iShares Growth S&P 500	Yes	$100,001 - $250,000		$201 - $1,000
38	NBHIX – Neuberger Berman Equity Income Fund.	Yes	$250,001 - $500,000		$15,001 - $50,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	MS Ultra Short Income Fund (MUAIX)	Sale	04/12/2019	$1,001 - $15,000
2	Biogen Idec Inc. - Common Stock (BIIB)	Sale	06/11/2019	$1,001 - $15,000
3	Gilead Sciences, Inc. - Common Stock (GILD)	Sale	06/11/2019	$1,001 - $15,000
4	Hartford Growth Opportunities I (HGOIX)	Purchase	01/02/2019	$100,001 - $250,000
5	iShares S&P 500 Growth Index (IVW)	Sale	01/02/2019	$100,001 - $250,000
6	Prudential Total Return Bond Z (PDBZX)	Sale	04/15/2019	$1,001 - $15,000
7	Virtus NWFLT MLTSEC SHTM BD I (PIMSX)	Sale	04/15/2019	$1,001 - $15,000
8	AQR MNGD FUTURES STRAT I (AQMIX)	Sale	04/15/2019	$1,001 - $15,000
9	Franklin Mutual European Z (MEURX)	Sale	06/11/2019	$1,001 - $15,000
10	AQR MNGD FUTURES STRAT I (AQMIX)	Sale	06/11/2019	$1,001 - $15,000
11	iShares Morningstar SML CP VAL (JKL)	Sale	06/11/2019	$1,001 - $15,000
12	Highland Long Short Equity (HEOZX)	Sale	07/01/2019	$1,001 - $15,000
13	PGIM Short-Term Corp Bond (PIFZX)	Sale	07/01/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
14	American Europacific Grw F2 (AEPFX)	Sale	07/01/2019	$1,001 - $15,000
15	T. Rowe Price Summit Municipal Intm (PRSMX)	Sale	07/01/2019	$1,001 - $15,000
16	T. Rowe Price Tax-Free Shrt-Interm (PRFSX)	Sale	07/01/2019	$1,001 - $15,000
17	Neuberger Berman EQ INC INS (NBHIX)	Sale	07/01/2019	$1,001 - $15,000
18	Calamos Market Neutral Inc I (CMNIX)	Sale	07/01/2019	$1,001 - $15,000
19	Virtus Vontobel EMRG MKT OPP (HIEMX)	Sale	07/01/2019	$1,001 - $15,000
20	Prudential Total Return Bond Z (PDBZX)	Sale	07/01/2019	$1,001 - $15,000
21	Virtus NWFLT MLTSEC SHTM BD (PIMSX)	Sale	07/01/2019	$1,001 - $15,000
22	Hartford Growth Opportunities I (HGOIX)	Sale	07/01/2019	$1,001 - $15,000
23	Franklin K2 ALTRNTV STRTGS ADV (FABZX)	Sale	07/01/2019	$1,001 - $15,000
24	Invesco S&P 500 Equal Weight E (RSP)	Sale	07/01/2019	$1,001 - $15,000
25	Doubleline Total Return (DBLTX)	Sale	07/01/2019	$1,001 - $15,000
26	iShares Morningstar SML CP VAL (JKL)	Sale	07/01/2019	$1,001 - $15,000
27	First Trust LRG CAP Value AL (FTA)	Sale	07/01/2019	$1,001 - $15,000
28	iShares S&P MIDCAP 400 Index (IJH)	Sale	07/01/2019	$1,001 - $15,000
29	Vanguard Small-Cap Growth ETF (VBK)	Sale	07/01/2019	$1,001 - $15,000
30	iShares S&P Mid-Cap 400 G ETF (IJK)	Sale	07/01/2019	$1,001 - $15,000
31	Neuberger Berman EQ INC INS (NBHIX)	Sale	07/16/2019	$1,001 - $15,000
32	Virtus NWFLT MLTSEC SHTM BD I (PIMSX)	Sale	08/28/2019	$1,001 - $15,000
33	Highland Long Short Equity Z (HEOZX)	Sale	09/06/2019	$1,001 - $15,000
34	PGIM Short-Term CORP Bond Z (PIFZX)	Sale	09/06/2019	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
35	American Europacific GRW F2 (AEPFX)	Sale	09/06/2019	$1,001 - $15,000
36	T. Rowe Price Summit Municipal Intm (PRSMX)	Sale	09/06/2019	$1,001 - $15,000
37	Neuberger Berman EQ INC INS (NBHIX)	Sale	09/06/2019	$1,001 - $15,000
38	Calamos Market Neutral INC I (CMNIX)	Sale	09/06/2019	$1,001 - $15,000
39	Prudential Total Return Bond Z (PDBZX)	Sale	09/06/2019	$1,001 - $15,000
40	Virtus NWFLT MLTSEC SHTM BD I (PIMSX)	Sale	09/06/2019	$1,001 - $15,000
41	Hartford Growth Opportunities I (HGOIX)	Sale	09/06/2019	$1,001 - $15,000
42	Franklin K2 ALTRNTV STRTGS ADV (FABZX)	Sale	09/06/2019	$1,001 - $15,000
43	Invesco S&P 500 Equal Weight E (RSP)	Sale	09/06/2019	$1,001 - $15,000
44	First Trust LRG CAP Value AL (FTA)	Sale	09/06/2019	$1,001 - $15,000
45	iShares S&P Mid-Cap 400 Index	Sale	09/06/2019	$1,001 - $15,000
46	Vanguard Small-Cap Growth ETF (VBK)	Sale	09/06/2019	$1,001 - $15,000
47	iShares S&P Mid-Cap 400 G ETF (IJK)	Sale	09/06/2019	$1,001 - $15,000
48	American Europacific GRW F2 (AEPFX)	Sale	12/06/2019	$1,001 - $15,000
49	T. Rowe Price Summit Municipal Intm (PRSMX)	Sale	12/06/2019	$1,001 - $15,000
50	Neuberger Berman EQ INC INS (NBHIX)	Sale	12/06/2019	$1,001 - $15,000
51	Hartford Growth Opportunities I (HGOIX)	Sale	12/06/2019	$1,001 - $15,000
52	Neuberger Berman MLP and Energy (NML)	Sale	12/06/2019	$1,001 - $15,000
53	Invesco S&P 500 Equal Weight E (RSP)	Sale	12/06/2019	$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
2.	2.1	Transaction listed in Section 7
2.	2.9	No transaction//market fluctuation
2.	2.11	Transaction listed in Section 7
2.	2.15	Transaction listed in Section 7
5.	1.3	Transaction listed in Section 7
6.	5	No transaction//market fluctuation
6.	9	Name change from Guggenheim S&P Equal Weight
6.	12	Transaction listed in Section 7
6.	15	Transaction listed in Section 7
6.	19	Transaction listed in Section 7

PART	#	ENDNOTE
6.	29	No transaction//market fluctuation

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 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. 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).