



United States
Department of
Agriculture

Office of Ethics

1400
Independence
Avenue, SW,
J.L. Whitten
Building
Room 347-W
Washington, DC
20250-2120

(202) 720-2251

February 25, 2021

Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, N.W., Suite 500
Washington DC 20005-3917

Dear Mr. Rounds:

The purpose of this letter is to forward an amendment and supplement to Thomas J. Vilsack's nominee public financial disclosure report, signed on January 4, 2021, and to his ethics agreement, signed on January 8, 2021. As you will see, in the attached correspondence, Secretary Vilsack informed me that he inadvertently omitted reporting that he served, in an uncompensated capacity, on the boards of two non-profit, section 501(c)(3) organizations (Feeding America and GenYOUth). He resigned from both positions effective February 23, 2021.

As the Designated Agency Ethics Official of the U.S. Department of Agriculture, I have reviewed the additional information provided in the amendment and supplemental disclosure. Based on my review of this amendment and supplemental disclosure, I continue to believe that Secretary Vilsack is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Stuart Bender

Stuart Bender
Designated Agency Ethics Official
and
Director
Office of Ethics
U.S. Department of Agriculture

Enclosures

February 25, 2021

Mr. Stuart Bender
Designated Agency Ethics Official
U.S. Department of Agriculture
J.L. Whitten Building
Room 347-W
1400 Independence Avenue, SW
Washington, DC 20250

Re: Amendment and Supplement to Financial Disclosure Report of Thomas J. Vilsack

Dear Mr. Bender:

The purpose of this letter is to correct inadvertent errors in the financial disclosure report that I signed on January 4, 2021. In my initial disclosure, I inadvertently omitted two uncompensated positions with two non-profit 501(c)(3) organizations. These corrections are noted below.

The items identified below are amended, as follows:

Part 1

#	Organization Name	City, State	Organization Type	Position Held	From	To
	Feeding America	Chicago, IL	Non-Profit 501(c)(3) Charitable Organization	Member, Board of Directors	5/2017 (est.)	Present
	GenYOUth	New York, New York	Non-Profit 501(c)(3) Charitable Organization	Member, Board of Directors	5/2017 (est.)	Present

While the amendment above reflects that I was a member of the boards of these two organizations on January 4, 2021 -- the date that I signed my disclosure report -- I have submitted my written resignations to Feeding America and to GenYOUth effective as of February 23, 2021. I understand that this amendment will be attached to my financial disclosure report and released upon request with that report.

Sincerely,

Thomas J. Vilsack

Thomas J. Vilsack



United States
Department of
Agriculture

Office of Ethics

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Room 347-W
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(202) 720-2251

January 14, 2021

Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, N.W., Suite 500
Washington DC 20005-3917

Dear Mr. Rounds:

I am enclosing an amendment and supplement to Thomas J. Vilsack's nominee public financial disclosure report, signed on January 4, 2021, and to his ethics agreement, signed on January 8, 2021. I have reviewed the additional information. Based on my review of this amendment and supplemental disclosure, I continue to believe that Mr. Vilsack is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Stuart Bender

Stuart Bender
Designated Agency Ethics Official
and
Director, Office of Ethics
U.S. Department of Agriculture

Enclosures

January 14, 2021

Mr. Stuart Bender
Designated Agency Ethics Official
U.S. Department of Agriculture
J.L. Whitten Building
Room 347-W
1400 Independence Avenue, SW
Washington, DC 20250

Re: Amendment and Supplement to Financial Disclosure Report of Thomas J. Vilsack

Dear Mr. Bender:

The purpose of this letter is to correct inadvertent errors in the financial disclosure report that I signed on January 4, 2021. In my initial disclosure, I disclosed the incorrect start date for my position with Purdue Pharma. I also inadvertently omitted an uncompensated position. These corrections are noted below.

The items identified below are amended, as follows:

Part 1

#	Organization Name	City, State	Organization Type	Position Held	From	To
3	Purdue Pharma	Stamford, Connecticut	Corporation	Court Appointed Monitor	2/2020	Present
	Ridge-Lane, LP (strategic advisory and venture development)	Washington, District of Columbia	Limited Partnership	Member, Board of Governors	1/2018 (est.)	Present

I have submitted my written resignation to Ridge-Lane, LP and it is effective as of January 14, 2021. I understand that this amendment will be attached to my financial disclosure report and released upon request with that report.

Sincerely,

Thomas J. Vilsack

Thomas J. Vilsack

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Vilsack, Thomas James

Secretary of Agriculture, Department of Agriculture

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Agriculture, Nutrition, and Forestry
-

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/ Vilsack, Thomas James [electronically signed on 01/04/2021 by Vilsack, Thomas James 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/ Bender, Stuart, Certifying Official [electronically signed on 01/08/2021 by Bender, Stuart in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 01/08/2021 by Rounds, Emory in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	United States Dairy Export Council	Arlington, Virginia	Non-Profit	CEO and President	2/2017	Present
2	Colorado State University	Ft. Collins, Colorado	University/College	Strategic Advisor to the Chancellor	7/2017	Present
3	Purdue Pharma	Stamford, Connecticut	Corporation	Court Appointed Monitor	2/2018	Present
4	Link and Associates	Des Moines, Iowa	Corporation	Political Consultant	7/2019	10/2020

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	United States Dairy Export Council	N/A		Salary	\$833,000
1.1	United States Dairy Export Council	N/A		Housing Allowance	\$30,228
2	Colorado State University	N/A		Salary	\$75,000
3	Purdue Pharma	N/A		Court-Appointed Monitor Fees	\$145,625
4	Link and Associates (a political consulting firm)	N/A		Consulting Fees	\$92,500
5	Iowa Powerball Winnings	N/A		Lottery Winnings	\$150,000
6	Iowa Public Employment System (Defined Benefit Plan. Value not readily ascertainable.)	N/A		Retirement Income (annual)	\$36,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	IRA #1	No			
7.1	U.S. Money Market Account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.2	Invesco Corporate Bond Fund (ACCHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	Columbia Mortgage Opportunities Fund Institutional 2 Class (CLMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	Columbia Overseas Value Fund (COSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.5	DFA Global Real Estate (DFGEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.6	Eaton Vance Short Duration (EILDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.7	Federated Hermes Kaufmann Small Cap (FKAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.8	Fidelity Advisor International Small Cap (FIXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.9	Fidelity Advisor International Capital Appreciation (FCPIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.10	Fidelity Real Estate Index Fund (FSRNK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.11	Fidelity Midcap Index (FSMDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.12	John Hancock Disciplined Value (JVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.13	Lord Abbett Short Duration (LDLFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.14	Pimco International Bond Fund (PFUPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.15	Pimco Long Term Real Return (P RTPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.16	Principal Midcap (PCBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.17	Vanguard Long Term Government Bond Index Fund -- Admiral Class (VLGSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.18	Victory Sophus Emerging Markets (RSENX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	UDIA Thrift and Savings Plan (401K)	No			
8.1	Dodge and Cox Income Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.2	Fidelity US Bond Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.3	Principal Div Real Asset	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.4	Fidelity 500 Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.5	T. Rowe Price Large Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.6	DFA US Large Cap Val	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Paine Schwartz Partners -- 11/20/2020	N/A		Honorarium	\$10,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Iowa Public Employment Retirement System	Des Moines, Iowa	I will continue to participate in this defined benefit plan.	1/1993

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	UDIA Thrift and Savings Plan (401K)	Arlington, Virginia	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	1/2017
3	United States Dairy Export Council	Arlington, Virginia	I receive a housing reimbursement which will cease upon my resignation from this employer.	1/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	United States Dairy Export Council	Arlington, Virginia	CEO and President
2	Colorado State University	Denver, Colorado	Strategic Advisor to the Chancellor
3	Link and Associates	Des Moines, Iowa	Political Consultant
4	Purdue Pharma	Stamford, Connecticut	Court Appointed Monitor
5	Paine Schwartz Partners	New York, New York	Speaking fee

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Colorado State University	N/A		Salary	
2	Iowa Public Employee Retirement System (Defined Benefit Plan. Value Not Readily Ascertainable)	N/A		Retirement Income	
3	IRA #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Columbia Overseas Value Fund (COSXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Eaton Vance Short Duration (EILDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Fidelity MidCap Index Fund (FSMDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	John Hancock Disciplined Value Mid Cap (JVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Principal Midcap Fund (PCBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Farmland (rented), Davis County, Iowa	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
2	Brokerage Account #1	No			
2.1	Touchstone Mid Cap Value Fund (TCVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Virtus Vontobel Emerging Markets Opportunities Fund (HIEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Lazard US Equity Concentrated Portfolio Fund (LEVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Metropolitan West Total Return Bond Fund (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Champlain Small Company Fund (CIPNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	JP Morgan Small Cap Equity Fund (VSEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	PIMCO Emerging Markets Bond Fund (PEBIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.8	Aberdeen Emerging Markets Fund (ABEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Credit Suisse Commodity Return Strategy Fund (CRSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Eaton Vance Income Fund of Boston Fund (EIBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	Edgewood Growth Fund (EGFIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	Goldman Sachs Financial Square Treasury Instruments Fund (FTIXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Hartford Mid Cap Fund (HF MIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.14	American Funds Washington Mutual Investors Fund (WMFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Lazard International Equity Portfolio Fund (LZIEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Brokerage Account #2	No			
3.1	U.S. Brokerage Money Market Account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Invesco Corporate Bond Fund Class Y (ACCHX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	Columbia Mortgage Opportunities Fund Institutional 2 Class (CLMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Columbia Overseas Value Fund (COSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	DFA Global Real Estate (DFGEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Baird Brokerage Fund	No			
4.1	U.S. Bancorp (USB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.2	Marion IA Urban RENEW SER D B/E Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	State Univ IA Rev RFDG Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	State Univ IA Univ Rev Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.5	University NORTH IA Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.6	State Univ IA Rev Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.7	State Univ IA Rev Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.8	Iowa High Ed Ln Auth Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.9	Coralville IA Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.10	University North IA Rev Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.11	State Univ IA Athletic Rev Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.12	Invesco QQQ	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	Vanguard Growth VUG	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	U.S. bank (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	U.S. bank (Certificates of Deposit)		N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
7	New York Life (whole life insurance policy)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8	USDA Conservation Reserve Program (CRP)	See Endnote	N/A		CRP rental payments	\$14,726
9	USDA Regional Conservation Partnership Program - Environmental Quality Incentives Program (RCPP EQIP)	See Endnote	N/A		RCPP-EQIP one time payment.	\$11,039

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

PART	#	ENDNOTE
6.	8	USDA's Conservation Reserve Program pays a yearly rental in exchange for farmland owners removing environmentally sensitive land from agricultural production or planting species that will improve environmental quality. This payment concerns the farmland property identified in Part 6, Item 1.
6.	9	One time payment for the creation of a pond on farmland to conserve ground and surface water and increase soil health. This one-time payment concerns the farmland property identified in Part 6, Item 1.

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.

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