

CERTIFICATION OF ETHICS AGREEMENT COMPLIANCE Senate Confirmed Presidential Appointee		
1. Appointee's Information	a. Appointee's Name: Rahul Gupta	to be completed by OGE
	b. Position Title: Director, National Drug Control Policy	to be completed by OGE
	c. Agency: Office of National Drug Control Policy (ONDCP)	to be completed by OGE
	d. Date Ethics Agreement Signed: July 16, 2021	to be completed by OGE
	e. Date Confirmed: October 28, 2021	to be completed by OGE
	f. Due Date for Certification of Ethics Agreement Compliance: January 26, 2022	to be completed by OGE
2. Resignations	<i>I completed all of the resignations indicated in my ethics agreement before I assumed the duties of my current government position.</i>	☒ Yes ☐ No ☐ N/A
3. Divestitures	a. <i>I have completed all of the divestitures indicated in my ethics agreement. I also understand that I may not repurchase these assets during my appointment without OGE's prior approval.</i>	☒ Yes ☐ No ☐ N/A
	b. <i>I have filed a periodic transaction report, or periodic transaction reports, (OGE Form-T) to disclose the completion of these agreed upon divestitures.</i>	☒ Yes ☐ No ☐ N/A Filing Date(s) of OGE Form 278-T Report(s): February 2, 2022
4. Managed Accounts	<i>If I have a managed account or use the services of an investment professional, I have notified the manager or professional of the limitations indicated in my ethics agreement. In addition, I am continuing to monitor purchases.</i>	☐ Yes ☐ No ☒ N/A
5. Interim Recusals	<i>I complied with my interim recusal obligations pending the divestitures required by my ethics agreement.</i>	☒ Yes ☐ No ☐ N/A

6. Recusals (Note: These factual statements describe the appointee's current status. They are not intended to modify ethics agreement commitments or create new recusal obligations.)	a. I will continue to recuse from particular matters in which I know I have a <u>personal</u> or <u>imputed</u> financial interest directly and predictably affected by the matter, unless I receive a waiver or qualify for a regulatory exemption.	☒ Yes ☐ No
	b. I am recusing from particular matters in which any former employer or client I served in the past year is a party or represents a party, unless I have been authorized under 5 C.F.R. § 2635.502(d).	☒ Yes ☐ No ☐ N/A
	c. I am recusing from particular matters in which any former employer or client I served in the two years prior to my appointment is a party or represents a party, unless I have received a waiver under Exec. Order 13989.	☒ Yes ☐ No ☐ N/A
7. Waivers and Authorizations (Consult with your agency's DAEO if uncertain under what authority a waiver or authorization was granted.)	a. I received a waiver pursuant to 18 U.S.C. § 208. If yes, indicate the date of the waiver and indicate the financial interest covered by the waiver.	☐ Yes ☒ No Date: Financial interest:
	b. I received a waiver pursuant to Executive Order 13989. If yes, indicate the date of the waiver and the subject of the waiver (i.e., applicable paragraph of the ethics pledge, parties, particular matters, specific issue areas, as applicable).	☐ Yes ☒ No Date: Subject:
	c. I received an authorization pursuant to 5 C.F.R. § 2635.502(d). If yes, indicate date of authorization and identify the covered person(s) as to whom you have been authorized (e.g., former employer, former client, spouse's employer, spouse's current client, etc.).	☐ Yes ☒ No Date: Covered person(s):
	d. I received a waiver pursuant to 5 C.F.R. § 2635.503(c). If yes, indicate the date of the waiver and identify the former employer or payer.	☐ Yes ☒ No Date: Former employer or payer:

8. Payments, Accelerations, or Divestitures Required to be Completed Prior to Entering Government Service	Mark this box if not applicable:	a. If I committed that I would forfeit a financial interest or payment, unless it was received or accelerated prior to my assumption of the duties of the government position:	☒ I received it (or it was accelerated) <u>prior to</u> my assumption of the duties of the position. ☐ I received it (or if was accelerated <u>after</u> my assumption of the duties of the position. ☐ I forfeited it.		
9. Requirements for Regular Appointees	I have completed my initial ethics briefing, pursuant to 5 C.F.R. § 2638.305. If you are a Special Government Employee (SGE) or career Foreign Service Officer (FSO), select N/A. I have signed the ethics pledge pursuant to Executive Order 13989. If you are a SGE or career FSO or previously signed the pledge, select N/A.		☒ Yes ☐ No ☐ N/A ☒ Yes ☐ No ☐ N/A		
10. Additional Ethics Agreement Requirements	to be completed by OGE	to be completed by appointee I am complying with these requirements as described in the adjacent box. ☐ Yes ☐ No ☒ N/A			
11. Comments of Appointee	1. Currently in process of communicating with March of Dimes regarding any dues for for additional services rendered as Chief Science Officer. These communications are about payments for services I rendered prior to my confirmation as Director of National Drug Control Policy. 2. Settled amounts from law firms on expert cases to be paid out in early 2022.				
Any intentionally false or misleading statement or response provided in this certification is a violation of law punishable by a fine or imprisonment, or both, under 18 U.S.C. § 1001.					
I certify that the information I have provided is complete and accurate.		Appointee's Signature: <i>Edw. Am...</i>	Date: 2/2/2022		