

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

Filer's Information

Esper, Mark T

Secretary of the Army, Department of the Army

Report Year: 2019

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/ Esper, Mark T [electronically signed on 05/15/2019 by Esper, Mark T 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/ Turner, Shelley, Certifying Official [electronically signed on 05/29/2019 by Turner, Shelley in Integrity.gov]

Other review conducted by

/s/ Baines, Margaret B, Ethics Official [electronically signed on 05/28/2019 by Baines, Margaret B in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/06/2019 by Granahan, Megan in Integrity.gov]

Data Revised 06/06/2019

Data Revised 05/26/2019

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 | Raytheon Company Deferred Compensation See Endnote | No | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 1.1 | PIMCO Total Return | Yes | | | None (or less than \$201) |
| 1.2 | Janus Balanced Fund | Yes | | | None (or less than \$201) |
| 1.3 | NTGI S&P 500 Equity Index Fund | Yes | | | None (or less than \$201) |
| 1.4 | Vanguard Institutional Total Stock Market Index Fund | Yes | | | None (or less than \$201) |
| 1.5 | NTGI Russell 2000 Index Fund | Yes | | | None (or less than \$201) |
| 1.6 | T.Rowe Price Institutional Small Cap Stock Fund | Yes | | | None (or less than \$201) |
| 1.7 | NGTI All Country World Index Fund | Yes | | | None (or less than \$201) |
| 2 | Raytheon Company 401K | No | | | |
| 2.1 | Vanguard Institutional Total Stock Market Index Fund | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 2.2 | Northern Trust S&P 500 Index Fund | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|-----------------------|-------------|---------------------------|
| 2.3 | Janus Balanced Fund | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 2.4 | T.Rowe Price Institutional Small Cap Stock Fund | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 3 | Roth IRA | No | | | |
| 3.1 | Fidelity 500 Index Investor Class | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.2 | Fidelity Core Accounts | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.3 | Fidelity MSCI Consumer Discretionary ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.4 | Fidelity MSCI Health Care Index ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4 | Rollover IRA | No | | | |
| 4.1 | Fidelity Contrafund | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 4.2 | Fidelity Government Money Market Fund | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|---|------------------------|---|--------|
| 1 | Raytheon Company Deferred Compensation Plan - Non-Qualified | Waltham, Massachusetts | The funds in my deferred compensation plan will begin paying out five years after my separation or retirement from Raytheon, beginning in the January following that separation or retirement, and in equal increments over a 10-year period. | 8/2011 |

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|-----------------------|------------------------|---|--------|
| 2 | Raytheon Company 401k | Waltham, Massachusetts | I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation. | 7/2010 |

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 | Design-Build Institute of America | N/A | | Salary, bonus | |
| 2 | SEP-IRA | No | | | |
| 2.1 | Parnassus Core Equity Investor Class | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.2 | iShares Select Dividend ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.3 | iShares Core U.S. REIT | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2.4 | U.S. brokerage money market account | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3 | Roth IRA | No | | | |
| 3.1 | iShares U.S. Consumer Goods ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.2 | iShares Core High Dividend ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|-------------------------------------|-----|--------------------|-------------|---------------------------|
| 3.3 | U.S. Brokerage Money Market Account | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|-----------------------------|-------------------|---------------------------|
| 1 | Residential Real Estate, Davis WV | N/A | \$100,001 - \$250,000 | Rent or Royalties | \$5,001 - \$15,000 |
| 2 | U.S. bank accounts # 1 (Joint) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3 | U.S. bank accounts #2 (DC3) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4 | U.S. credit union accounts | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 5 | U.S. brokerage account #1 (F) | No | | | |
| 5.1 | Fidelity Government Money Market | Yes | None (or less than \$1,001) | | \$201 - \$1,000 |
| 5.2 | American Tax Exempt Bonds Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 5.3 | Fidelity Four In One Index | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 5.4 | Fidelity Select Software & IT Services Fund | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 5.5 | Fidelity Select Retail Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.6 | Fidelity Municipal Money Market Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------|-------------|---------------------------|
| 5.7 | Fidelity 500 Index Premium Class | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 5.8 | BMO Intermediate Tax Free Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.9 | Schwab Total Stock Market Index Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.10 | Vanguard Small Cap Index Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 5.11 | Vanguard 500 Index Fund | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 6 | U.S. brokerage account #2 (A) | No | | | |
| 6.1 | Invesco High Yield Municipal Fund | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 6.2 | Columbia Dividend Opportunity Fund | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 6.3 | Delaware Value Fund | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 6.4 | Delaware National High Yield Muni Bond Fund | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 6.5 | Fidelity Advisor Total Bond A | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 6.6 | Matthew 25 | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 6.7 | Metropolitan West Total Return Bond Fund | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.8 | Nuveen High Yield Muni Bond Fund | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 6.9 | Nuveen Limited Term Muni Bond Fund | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 6.10 | iShares S&P 500 Growth ETF | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------|-------------|---------------------------|
| 6.11 | iShares Core S&P Small Cap ETF | Yes | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |
| 6.12 | iShares International Select Dividend ETF | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 6.13 | Vanguard S&P 500 Index ETF | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 6.14 | iShares U.S. Preferred Stock ETF | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 6.15 | SPDR Nuveen S&P High Yield Muni Bond ETF | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 6.16 | Wisdom Tree Int'l Large Cap Dividend ETF | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 7 | IRA | No | | | |
| 7.1 | Yacktman Focused Fund | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 7.2 | U.S. brokerage money market account (cash) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.3 | FMI Large Cap Fund | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 7.4 | iShares Core S&P 500 ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7.5 | MFS International Value | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7.6 | iShares Russell 2000 Value ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.7 | iShares Russell Mid Cap Value ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.8 | iShares Russell Mid Cap Growth ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 7.9 | Wisdom Tree Int'l Large Cap Dividend ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.10 | iShares Core High Dividend ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7.11 | iShares Russell 2000 Growth ETF | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8 | Roth IRA | No | | | |
| 8.1 | U.S. brokerage money market account (cash) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 8.2 | Fidelity Low Priced Stock Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.3 | iShares Core High Dividend ETF | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9 | VA 529 Plan #1 (DC2) | No | | | |
| 9.1 | Stock Index Fund | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.2 | Moderate Growth Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.3 | Conservative Income Fund | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 10 | U.S. brokerage health savings account | No | | | |
| 10.1 | Fidelity Total Bond Fund | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 10.2 | U.S. brokerage cash account | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 11 | Optum Bank Health Savings Account (Cash Account) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 12 | VA 529 #2 (DC1) | No | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--------------------------|-----|--------------------|-------------|-------------------|
| 12.1 | Aggressive Growth Fund | Yes | \$1,001 - \$15,000 | | \$2,501 - \$5,000 |
| 12.2 | Conservative Income Fund | Yes | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|-----------------------|
| 1 | Raytheon Company Stock | Sale | 02/07/2018 | \$100,001 - \$250,000 |
| 2 | Vanguard REIT Index Fund | Sale | 11/12/2018 | \$15,001 - \$50,000 |
| 3 | Northern Trust All Country World Fund | Sale | 11/12/2018 | \$1,001 - \$15,000 |
| 4 | Northern Trust Aggregate Bond Index Fund | Sale | 11/12/2018 | \$1,001 - \$15,000 |
| 5 | PIMCO Total Return Fund | Sale | 11/12/2018 | \$15,001 - \$50,000 |
| 6 | Fidelity MSCI Consumer Discretionary ETF | Purchase | 12/29/2017 | \$1,001 - \$15,000 |
| 7 | Fidelity MSCI Health Care Index ETF | Purchase | 12/29/2017 | \$1,001 - \$15,000 |
| 8 | Powershares Dynamic Biotech & Genone ETF | Sale | 08/03/2017 | \$1,001 - \$15,000 |
| 9 | SPDR Series Trust S&P Oil and Gas Exploration and Production ETF | Sale | 08/03/2017 | \$1,001 - \$15,000 |
| 10 | Fidelity Select Biotechnology Fund | Sale | 12/26/2018 | \$15,001 - \$50,000 |
| 11 | Fidelity 500 Index | Purchase | 12/26/2018 | \$15,001 - \$50,000 |
| 12 | iShares Core U.S. REIT ETF | Sale | 12/31/2018 | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|-----------------------|
| 13 | Vanguard S&P 500 Index ETF | Purchase | 3/6/2018 | \$15,001 - \$50,000 |
| 14 | Lord Abbett Short Duration Fund | Sale | 4/30/2018 | \$50,001 - \$100,000 |
| 15 | iShares Core S&P 500 ETF | Purchase | 4/30/2018 | \$15,001 - \$50,000 |
| 16 | Hodges Small Cap Retail Fund | Sale | 4/30/2018 | \$15,001 - \$50,000 |
| 17 | iShares Russell 2000 Value ETF | Purchase | 4/30/2018 | \$1,001 - \$15,000 |
| 18 | iShares Russell 2000 Growth ETF | Purchase | 4/30/2018 | \$1,001 - \$15,000 |
| 19 | iShares Core High Dividend ETF | Purchase | 8/3/2017 | \$15,001 - \$50,000 |
| 20 | Fidelity Government Money Market Fund | Sale | 12/27/2018 | \$15,001 - \$50,000 |
| 21 | Northern Trust All Country World Fund | Sale | 12/26/2017 | \$1,001 - \$15,000 |
| 22 | Northern Trust Aggregate Bond Index Fund | Sale | 12/26/2017 | \$1,001 - \$15,000 |
| 23 | Vanguard S&P 500 Index ETF | Purchase | 12/31/2018 | \$1,001 - \$15,000 |
| 24 | Vanguard S&P 500 Index ETF | Purchase | 03/27/2018 | \$100,001 - \$250,000 |

8. Liabilities

| # | CREDITOR NAME | | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|---------------------|-------------|--------------------------------|-----------------------|---------------|------|----------|
| 1 | SunTrust Mortgage 1 | See Endnote | Mortgage on Personal Residence | \$100,001 - \$250,000 | 2005 | 4.99 | 30 years |

| # | CREDITOR NAME | | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|---------------------------|-------------|--------------------------------|-----------------------|---------------|-------|----------|
| 2 | SunTrust Mortgage 2 | See Endnote | Mortgage on Personal Residence | \$15,001 - \$50,000 | 2005 | 7.375 | 30 years |
| 3 | Wells Fargo Home Mortgage | | Mortgage on Personal Residence | \$250,001 - \$500,000 | 2012 | 2.875 | 15 years |

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|---|---|
| 2. | 1 | Employees elect to allocate their deferred compensation among established investment choices, which are used to determine account earnings or losses that would have been received if the deferred compensation amounts had actually been invested in those assets. Employees do not actually hold these investments. |
| 8. | 1 | My wife and I co-own this residence with another couple. |
| 8. | 2 | My wife and I co-own this residence with another couple. |

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. 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 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, NW., Washington, DC 20005-3917.

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