

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

Filer's Information

CARSON, BENJAMIN

Secretary of HUD, Department of Housing and Urban Development

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/ CARSON, BENJAMIN [electronically signed on 05/17/2019 by CARSON, BENJAMIN 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/ Bohling, Gayle E, Certifying Official [electronically signed on 07/08/2019 by Bohling, Gayle E in Integrity.gov]

Other review conducted by

/s/ Cummings, Anthony W, Ethics Official [electronically signed on 07/03/2019 by Cummings, Anthony W in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 06/30/2019

Data Revised 06/28/2019

Data Revised 05/24/2019

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 | Kellogg Company | N/A | \$500,001 - \$1,000,000 | Dividends | \$15,001 - \$50,000 |
| 2 | IRA #1 | No | | | |
| 2.1 | Schwab Advisor Cash Reserves Fund - Premier Sweep Share | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2.2 | First Eagle Overseas A | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 2.3 | GS Fin Corp Medium Term Note | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 2.4 | Schwab Intl Index | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 2.5 | Invesco Convertible Securities A | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 2.6 | PIMCO Commodity Real Ret Strat A | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 2.7 | Openheimer Developing Markets A | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 2.8 | PIMCO Income A | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 2.9 | Stone Ridge High Yield Reinsurance Risk Premium | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------|-------------|---------------------------|
| 2.10 | USAA Short-Term Bond | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 2.11 | AIP Absolute Return Fund STS | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 2.12 | Allianz GI NFJ Small Cap Value | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 2.13 | American Century Mid Cap Value | Yes | \$100,001 - \$250,000 | | \$1,001 - \$2,500 |
| 2.14 | Baron Growth | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.15 | Deutsche Global Real Estate Securities | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 2.16 | Morgan Stanley Buffered Plus Structured Note | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 2.17 | Invesco Balanced-Risk Allc A | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.18 | U.S. bank Certificates of Deposit #1 | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 2.19 | JPMorgan Strategic Income Opps A | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 2.20 | Metropolitan West High Yield Bond | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 2.21 | Stone Ridge All Asset VRP | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 2.22 | Stone Ridge Reinsurance Risk Premium | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 2.23 | Undiscovered Mgrs Behavioral Value A | Yes | \$100,001 - \$250,000 | | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|-----------------------------|-------------------|---------------------------|
| 3 | American Business Collaborative, LLC (self employed passthrough entity for public speaking and book royalties) | | | | |
| 3.1 | Review & Herald Publishing Association - TITLE: Gifted Hands: The Ben Carson Story (Value not readily ascertainable) | N/A | | Rent or Royalties | \$5,001 - \$15,000 |
| 3.2 | American Business Collaborative, LLC 401k Plan | No | | | |
| 3.2.1 | Oppenheimer Developing Markets A | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.2.2 | Deutsche Global Real Estate Securities | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 3.2.3 | Undiscovered Mgrs Behavioral Value A | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 3.2.4 | Schwab Advisor Cash Reserves Fund - Premier Sweep Share | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 3.2.5 | Invesco Convertible Securities A | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 3.2.6 | PIMCO Commodity Real Ret Strat A | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 3.3 | HarperCollins Christian Publishing - TITLE: Think Big: Unleashing Your Potential for Excellence (Value not readily ascertainable) | N/A | | Rent or Royalties | \$1,001 - \$2,500 |
| 3.4 | HarperCollins Christian Publishing - TITLE: The Big Picture (Value not readily ascertainable) | N/A | | Rent or Royalties | \$1,001 - \$2,500 |
| 3.5 | HarperCollins Christian Publishing: TITLE: Take the Risk: Learning to Identify, Choose, and Live with Acceptable Risk (Value not readily ascertainable) | N/A | | Rent or Royalties | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-------|-------------------|---------------------------|
| 3.6 | HarperCollins Christian Publishing - TITLE: America The Beautiful: Rediscovering What Made This Nation Great (Value not readily ascertainable) | N/A | | Rent or Royalties | None (or less than \$201) |
| 3.7 | HarperCollins Christian Publishing - TITLE: You Have a Brain: A Teen's Guide to T.H.I.N.K. B.I.G. (Value not readily ascertainable) | N/A | | Rent or Royalties | \$1,001 - \$2,500 |
| 3.8 | Tyndale House Publishers, Inc. - TITLE: One Vote: Make Your Voice Heard (Value not readily ascertainable) | N/A | | Rent or Royalties | None (or less than \$201) |
| 3.9 | Penguin Group USA - TITLE: One Nation: What We Can All Do to Save America's Future (Value Not | N/A | | Rent or Royalties | None (or less than \$201) |
| 3.10 | Penguin Group USA - TITLE: A More Perfect Union: What We the People Can Do to Reclaim Our Constitutional Liberties (Value not readily a | N/A | | Rent or Royalties | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|--|--------------------------|--|--------|
| 1 | American Business Collaborative, LLC 401k Plan | West Palm Beach, Florida | I will continue to participate in this defined contribution plan. Neither I nor the plan sponsor have made contributions since my confirmation, nor will we. | 6/2013 |

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 | American Business Collaborative, LLC | | | Salary | |
| 1.1 | HarperCollins Christian Publishing: Title: America The Beautiful: Rediscovering What Made This Nation Great (value not readily ascertainable) | N/A | | Rent or Royalties Dividends | None (or less than \$201) |
| 1.2 | American Business Collaborative, LLC 401k Plan | | | | |
| 1.2.1 | First Eagle Overseas | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 1.2.2 | PIMCO Income | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 1.2.3 | Schwab Intl Index | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 1.2.4 | Invesco Convertible Securities Fund | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 1.2.5 | Schwab Advisor Cash Reserves Fund - Premier Sweep Share | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 1.3 | Schwab Money Market | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2 | IRA #1 | | | | |
| 2.1 | Stone Ridge All Asset VRP | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.2 | JP Morgan Strategic Income Opps | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------|-------------|---------------------------|
| 2.3 | USAA Short-Term Bond | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 2.4 | Metropolitan West High Yield Bond | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 2.5 | Invesco Convertible Securities A | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.6 | Stone Ridge Reinsurance Risk Premium | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 2.7 | Invesco Balanced-Risk Allc A | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.8 | Allianz GI NFJ Small Cap Value | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.9 | American Century Mid Cap Value | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.10 | Baron Growth | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.11 | Undiscovered Mgrs Behavioral Value A | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.12 | First Eagle Overseas | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.13 | Schwab Intl Index | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 2.14 | Oppenheimer Developing Markets A | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2.15 | Deutsche Global Real Estate Securities | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.16 | PIMCO Commodity Real Ret Strat A | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|----------------------|-------------|---------------------------|
| 2.17 | GS Fin Corp Medium Term Note | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.18 | Morgan Stanley Buffered Plus Structured Note | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.19 | U.S. Bank Certificates of Deposit #1 | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 2.20 | Schwab Advisor Cash Reserves Fund - Premier Sweep Shares | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-------------|---------------------------|-------------------|---------------------------|
| 1 | Pruco Life Insurance Co. Variable Annuity | No | | | |
| 1.1 | AST Advanced Strategies Portfolio | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 2 | Schwab Advisor Cash Reserves Fund - Premier Sweep Share | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 3 | U.S. bank Certificates of Deposit #3 | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 4 | Stone Ridge US Variance Risk Premium Master Fund | Yes | \$250,001 - \$500,000 | | None (or less than \$201) |
| 5 | Schwab Advisor Cash Reserves Fund - Premier Sweep Share | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 6 | Quiet Valley Farm (Upperco, MD) | See Endnote | \$100,001 - \$250,000 | Rent or Royalties | \$2,501 - \$5,000 |
| 7 | American Funds New Perspective Fund (529 Plan) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------|-------------|---------------------------|
| 8 | Deutsche Bank Note | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 9 | Thornburg Ltd Term Muni | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 10 | U.S. Bank Certificates of Deposit #2 | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 11 | U.S. Bank Account #1 (cash) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 12 | U.S. Bank Account #2 (cash) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 13 | HSBC USA Note | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 14 | Costco Wholesale | N/A | \$250,001 - \$500,000 | | \$201 - \$1,000 |
| 15 | Floreat Infrastructure, LLC | No | \$100,001 - \$250,000 | | None (or less than \$201) |
| 15.1 | Carlyle Global Infrastructure Opportunity Fund, L.P | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 15.2 | Cash | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|---|---|----------|------------|-----------------------|
| 1 | Costco Wholesale Corporation - Common Stock | Purchase | 09/10/2018 | \$100,001 - \$250,000 |
| 2 | Costco Wholesale Corporation - Common Stock | Purchase | 09/14/2018 | \$100,001 - \$250,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|---|----------|------------|-----------------------|
| 3 | Costco Wholesale Corporation - Common Stock | Purchase | 10/05/2018 | \$100,001 - \$250,000 |
| 4 | Costco Wholesale Corporation - Common Stock | Purchase | 12/14/2018 | \$100,001 - \$250,000 |
| 5 | HSBC USA Note | Purchase | 10/23/2018 | \$100,001 - \$250,000 |
| 6 | PIMCO Income | Purchase | 01/11/2018 | \$15,001 - \$50,000 |
| 7 | Schwab Intl Index | Purchase | 12/11/2018 | \$50,001 - \$100,000 |
| 8 | Harbor International Inst | Sale | 12/10/2018 | \$50,001 - \$100,000 |
| 9 | Harbor international inst | Sale | 12/10/2018 | \$15,001 - \$50,000 |
| 10 | Harbor International Inst | Sale | 12/10/2018 | \$15,001 - \$50,000 |
| 11 | Schwab Intl Index | Sale | 12/11/2018 | \$15,001 - \$50,000 |
| 12 | Harbor International Inst | Sale | 12/10/2018 | \$100,001 - \$250,000 |
| 13 | Schwab Intl Index | Purchase | 12/11/2018 | \$100,001 - \$250,000 |

8. Liabilities

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|---------------|--------------------------------|-----------------------|---------------|------|------|
| 1 | Flagstar Bank | Mortgage on Personal Residence | \$100,001 - \$250,000 | 2011 | 4.0 | 10 |

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|---|---|
| 6. | 6 | Rental income received from granting use of a section of farmland on residence. |

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.

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).
