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Supplemental Information

Whose ethics documents are available to request from OGE?

Approximately 26,000 executive branch employees file public financial disclosure reports. OGE is responsible for making the disclosures and related ethics documents available for about 1,000 of these individuals who occupy particularly sensitive positions.

You can request ethics documents from OGE for individuals who are:

(1) Presidentially appointed and Senate-confirmed;
(2) a Presidential or Vice Presidential candidate;
(3) a senior official at the White House;
(4) a Designated Agency Ethics Official.

You can also request copies of certificates of divestiture issued to anyone in the executive branch.

Whose ethics documents are available to request from executive branch departments and agencies?

If you are looking for the ethics documents of an individual who is NOT (1) Presidentially appointed and Senate-confirmed, (2) a Presidential or Vice Presidential candidate, (3) a senior official at the White House, or (4) a Designated Agency Ethics Official, you must submit a request to the agency that employs the individual.

To make a request for ethics documents to the individual's employing agency, submit this Form to the agency using the contact information on this **page**.

What documents can be requested?

You can use this Form to request copies of the financial disclosure reports and other records, as specified in the table below, of certain executive branch officials. These records are available under the Ethics in Government Act of 1978 ("the Act"), the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act), and OGE's implementing regulations. Copies of public financial disclosure reports (278e) and periodic transaction reports (278T) are available by request 30 days after the individual files the report.

Should I use the online system or fill out the PDF Form?

If you are requesting ethics documents from OGE, you should use the online system whenever possible. If you are unable to use the online system for your request, e-mail the PDF Form to 201forms@oge.gov or mail the PDF Form to:

U.S. Office of Government Ethics
250 E Street, SW., Suite 710
Washington DC 20024-3249

(Note: Currently OGE is unable to fill any request using the PDF Form that does not provide an email address for the requestor.)

If you are requesting ethics documents from another agency, you may fill out the PDF Form and submit it to the relevant agency using the contact information on this **page**. (Agencies may use other systems or forms to accept requests.)

You may also use the PDF Form to request certain other records from OGE, as specified in this table.

ETHICS DOCUMENTS	DESCRIPTION
Public Financial Disclosure Report (OGE Form 278e) – Candidate	Details the personal financial interests of the filer, the filer's spouse, and any dependent children. These reports are filed by candidates for the office of the President and Vice President.*
Public Financial Disclosure Report (OGE Form 278e) – New Entrant	Details the personal financial interests of the filer, the filer's spouse, and any dependent children. These reports are filed within 30 days of taking office.*
Public Financial Disclosure Report (OGE Form 278e) - Nominee	Details the personal financial interests of the filer, the filer's spouse, and any dependent children. These reports are filed at the time of nomination for Senate-confirmed positions.
Public Financial Disclosure Report (OGE Form 278e) - Annual	Details the personal financial interests of the filer, the filer's spouse, and any dependent children. These reports are filed by all public filers on May 15th of each year.*
Public Financial Disclosure Report (OGE Form 278e) – Termination	Details the personal financial interests of the filer, the filer's spouse, and any dependent children. These reports are filed by all public filers within 30 days of leaving a public filing position.*
Periodic Transaction Reports (OGE Form 278-T)	Provides information about the purchase, sale, or exchange of securities and similar assets throughout the year.*
Certificates of Divestiture	Allows an eligible person to defer paying capital gains on property sold to comply with conflict of interest requirements.
18 U.S.C. § 208(b)(1) & (b)(3) waivers	Waivers are available after deletion of any material withholdable pursuant to the Freedom of Information Act, 5 U.S.C. § 552 (see 18 U.S.C. § 208(d)(1)).
Cover Letters	There are two types of cover letters available: 1. Cover letters for approved public reporting waiver requests for certain special government employees who work less than 130 days in a calendar year. 2. Cover letters for approved gifts reporting waiver requests.
Ethics in Government Act qualified blind trust and qualified diversified trust instruments	Qualified blind trust and qualified diversified trust instruments (other than those provisions which relate to the testamentary disposition of the trust assets), the list of assets transferred to such trusts (and of assets sold in the case of a qualified blind trust), as well as, in the case of trust dissolution, the report thereon and the list of trust assets at that time, and the certificates of independence and compliance with respect to qualified trusts.
Other OGE Form 201 requests for access	Includes the name and required information provided by previous OGE Form 201 applicants.

* An agency may grant an extension of the filing deadline for "good cause shown," provided such extensions do not exceed 90 days (180 days for a filer serving in a combat zone).

OGE Form 201

Request an Individual's Ethics Documents

To Supplemental Information

I. Application

1. Your name (required):

1a. Your mailing address or email address (required):

1b. Your telephone number:

2. Your occupation (required):

3. Is this application for or on behalf of any other person or organization (required)? ○ Yes ○ No

3a. If yes, provide the name and address of the person or organization (required):

4.Type of applicant: ○ News media ○ Member of the public ○ Public interest group ○ Private organization ○ Government ○ Other

5. Name of individual(s) whose documents are requested (use the continuation page if needed):

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5a. A copy of the most recent OGE 278e will be provided unless you specify below which documents (with time period) that you are requesting. *(e.g. Nominee report and 20XX annual report filed by the above individual; 18 U.S.C. § 208(b)(1) waivers issued to the above individual(s) from 1/1/20XX-present; All 278T reports filed by the listed individual(s) during February 20XX)*

6. Indicate how you wish to receive your response: ○ By email (at the email address listed above)

○ By mail (at the address listed above)

I am aware that in completing this official government form that any intentionally false or misleading statement, certification, or response provided in this form is a violation of law punishable by a fine or imprisonment, or both, under 18 U.S.C. § 1001. Pursuant to section 105(c) of the Ethics in Government Act of 1978, as amended, as amended (5 U.S.C. § 13107(c)), and 5 C.F.R. § 2634.603(f) of the implementing OGE regulation, it is unlawful for any person to obtain or use a report:

(1) for any unlawful purpose;
(2) for any commercial purpose, other than by news and communications media for dissemination to the general public;
(3) for determining or establishing the credit rating of any individual; or
(4) for use, directly or indirectly, in the solicitation of money for any political, charitable, or other purpose.

The U.S. Attorney General may bring a civil action against any person who obtains or uses a report for any such prohibited purpose as set forth above. The court may assess against such a person a penalty in any amount not to exceed $25,132. Such remedy shall be in addition to any other remedy available under statutory or common law.

7. Applicant's Signature: **Date:**

II. Notice of Action

☐ Your request does not comply with the requirements of the statute. Please complete Part I of this Form and return so we may complete your request.

☐ Your request requires you to pay a fee in the following amount before it will be processed:

(When fees are required, make out a check payable to the U.S. Treasury and send it to the executive branch agency processing this request Form.)

Agency Use Only (Optional)

○ Filled ○ Not Filled

Date Received:

Additional Notes:

A. Privacy Act Statement

Sections 105 and 402(b)(1) of the Ethics in Government Act, as amended (5 U.S.C. §§ 13107 and 13122(b)(1)) and 5 C.F.R. § 2634.603 authorize the solicitation of the information requested in this form. The primary use of the information on this form is to permit officials of the recipient agency to consider and process requests for inspection or receipt of copies of the OGE Form 278e Executive Branch Personnel Public Financial Disclosure Report and OGE Form 278-T Periodic Transaction Report, or other covered records to which you seek access. Furnishing the requested information is voluntary. However, failure to furnish this information will result in the recipient agency's inability to allow access to, or to provide a copy/copies of, the financial disclosure report(s) or other record(s) requested. Information on the form itself may be publicly disclosed pursuant to a proper request under section 105(b) of the Ethics in Government Act (5 U.S.C. § 13107(b)) or as otherwise authorized by law. Additional disclosures of the information on this form may be made pursuant to the routine uses set forth in the OGE/GOVT-1 Privacy Act system of records:

(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 reliefflegislation;

(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;

(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 OGE Governmentwide system of records;

(10) on the OGE Website and to any person, department or agency, any written ethics agreements filed with OGE by an individual nominated by the President to a position requiring Senate confirmation;

(11) on the OGE website and to otherwise disclose to any person, including other departments and agencies, any certificate of divestiture issued by the Office of Government Ethics, pursuant to 26 U.S.C. 1043;

(12) on the OGE website and to otherwise disclose to any person, including other departments and agencies, any waiver issued by the President or the President's designee of the restrictions contained in Executive Order 13770 "Ethics Commitments by Executive Branch Appointees" (January 28, 2017) or any superseding Executive order;

(13) to appropriate agencies, entities, and persons when: (1) the agency maintaining the records suspects or has confirmed that there has been a breach of the system of records; (2) the agency maintaining the records has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the agency (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons 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 (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

See also OGE/GOVT-1 Executive Branch Personnel Public Financial Disclosure Reports and Other Name-Retrieved Ethics Program Records.

B. Public Burden Information

Public burden reporting for this collection of information is estimated to take approximately ten minutes per response, including time for reviewing instructions, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Program Counsel, U.S. Office of Government Ethics, Suite 750, 250 E Street, SW., Washington DC 20024-3249. **Do not** file this form with this official; rather, file it with the appropriate office of the executive branch department or agency from which you are seeking access to a financial disclosure report or other covered records.

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, 3209-0002, is displayed here and in the upper right-hand corner of the front page of this OGE Form 201).

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Continuation Page

Name of individual(s) whose documents are requested (continued)

A copy of the most recent OGE 278e will be provided unless you specify below which documents (with time period) that you are requesting. *(e.g. Nominee report and 20XX annual report filed by the above individual; 18 U.S.C. § 208(b)(1) waivers issued to the above individual(s) from 1/1/20XX-present; All 278T reports filed by the listed individual(s) during February 20XX)*