

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

Filer's Information

Giroir, Brett Paul

Assistant Secretary for Health, Department of Health & Human Services

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Health, Education, Labor, and Pensions**
-

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/ Giroir, Brett Paul [electronically signed on 04/02/2017 by Giroir, Brett Paul 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/ Fischmann, Elizabeth, Certifying Official [electronically signed on 05/30/2017 by Fischmann, Elizabeth in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 05/30/2017 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/02/2017 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Health Science and Biosecurity Partners, LLC	See Endnote	College Station, Texas	Corporation	CEO	12/2015	Present
2	Texas A&M University Health Science Center	See Endnote	Bryan, Texas	University/College	Executive VP and CEO	10/2013	6/2015
3	University of North Texas Health Science Center	See Endnote	Fort Worth, Texas	University/College	Special Assistant to the President	1/2016	10/2016
4	Baylor College of Medicine		Houston, Texas	University/College	Adjunct Professor	7/2015	Present
5	Esperance Pharmaceuticals, Inc.		Houston, Texas	Corporation	Board Member	2/2016	Present
6	NonInvasix, Inc.		Houston, Texas	Corporation	Scientific Advisory Board	4/2016	Present
7	BrainCheck, Inc.		Houston, Texas	Corporation	Scientific Advisory Board	7/2015	Present
8	ViraCyte, LLC		New Brighton, Minnesota	Corporation	Consultant CEO	10/2016	Present
9	University of Texas MD Anderson Cancer Center		Houston, Texas	University/College	Scientific Advisory Board	4/2016	Present
10	University of Michigan A. Alfred Taubman Medical Research Institute		Ann Arbor, Michigan	University/College	Scientific Advisory Board	4/2016	Present
11	BioHouston		Houston, Texas	Non-Profit	Board Member	11/2009	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Texas A&M University Health Science Center	See Endnote	N/A		Retirement Distribution	\$118,846

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	University of North Texas Health Science Center	N/A		Salary	\$88,412
3	Traditional IRA	No			
3.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	Fidelity International Small Cap Fund (FISMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Fidelity China Region Fund (FHKCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Fidelity Diversified International Fund (FDIVX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	Fidelity International Capital Appreciation Fund (FIVFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Fidelity Small Cap Discovery Fund (FSCRX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.7	Fidelity Europe Fund (FIEUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.8	Fidelity Low Priced Stock Fund (FLPSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.9	Fidelity Real Estate Income Fund (FRIFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.10	Fidelity Leveraged Company Stock Fund (FLVCX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.11	Fidelity Select Energy Portfolio (FSENX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.12	Fidelity Select Health Care Portfolio (FSPHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.13	Fidelity Select Financial Services Portfolio (FIDSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	Fidelity Select Banking Portfolio (FSRBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.15	Fidelity Select Biotechnology Portfolio (FBIOX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.16	FMI International Fund (FMIJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.17	Oakmark International Investor Class Fund (OAKIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	Oakmark Equity & Income Investor Class Fund (OAKBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	Permanent Portfolio Class I (PRPFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.20	T Rowe Price European Stock Fund (PRESX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.21	Fidelity New Markets Income Fund (FNMIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.22	Fidelity Capital & Income Fund (FAGIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.23	Fidelity Total Bond Fund (FTBFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.24	Fidelity Strategic Income Fund (FSICX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.25	Double Line Total Return Bond Fund (DLTNX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.26	PIMCO Total Return Class D Fund (PTTDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.27	PIMCO Income Fund Class D Fund (PONDXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.28	TCW Total Return Bond Class N Fund (TGMNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.29	SPDR Gold Shares (GLD)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.30	Apple Inc (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.31	Bellicum Pharmaceuticals Inc (BLCM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.32	Cognizant Technology Solution Corp (CTSH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.33	Essa Pharma Inc (EPIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.34	Facebook (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.35	Soligenix Inc (SNGX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.36	Southwest Airlines Co (LUV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	SEP IRA	No			
4.1	US Brokerage Account (Cash Account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.2	Fidelity Balanced Fund (FBALX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Fidelity Low Priced Stock Fund (FLPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Fidelity Strategic Income Fund (FSICX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Health Science and Biosecurity Partners, LLC (independent consulting business)	N/A	None (or less than \$1,001)	This is my single member LLC through which I do all my consulting. This reflects income to the LLC, which is essentially income to me personally whether or not formally distributed	\$424,144

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	"Method of treatment and bioassay involving macrophage migration inhibitory factor (MIF) as cardiac-derived myocardial depressant factor," Patent #8,747,843 (value not readily ascertainable)	See Endnote	N/A		None (or less than \$201)
7	"Macrophage migration inhibitory factor as a marker for cardiovascular risk," Patent #7,445,886 (value not readily ascertainable)	See Endnote	N/A	Rent or Royalties	\$1,001 - \$2,500
8	Esperance Pharmaceuticals Inc. vested Stock Options	See Endnote	N/A	\$15,001 - \$50,000	None (or less than \$201)
9	Esperance Pharmaceuticals Inc. Stock Options: 25,000 unvested shares, strike \$0.34, vest 2/26/2018, exp. 2/26/2028 (value not readily ascertainable)	See Endnote	N/A		None (or less than \$201)
10	BrainCheck, Inc. vested Stock Options	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)
11	BrainCheck, Inc., Stock Options (value not readily ascertainable): 16,620 unvested shares, strike \$0.04, vest 638 shares per month, exp. 10/30/2026	See Endnote	N/A		None (or less than \$201)
12	NonInvasix, Inc. Stock Options (value not readily ascertainable): 21,399 vested shares, strike \$1.08, exp. 2027	See Endnote	N/A		None (or less than \$201)
13	NonInvasix, Inc. Stock Options (value not readily ascertainable): 21,399 unvested shares, strike \$1.08, vest 1783 shares per month, exp. 2027	See Endnote	N/A		None (or less than \$201)
14	ViraCyte, LLC (Biotech Start Up for Treatment of Infectious Diseases) Profits Interest (value not readily ascertainable)	See Endnote	N/A		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Health Science and Biosecurity Partnes, LLC	College Station, Texas	This is my personal single member LLC. It will remain inactive while I am in my HHS position. There will be no outstanding fees when I assume the HHS position.	12/2015
2	Esperance Pharmaceuticals Inc.	Houston, Texas	I will divest my vested stock options. I will forfeit my unvested stock options.	2/2016
3	NonInvasix, Inc.	Houston, Texas	I will divest my vested stock options. I will forfeit my unvested stock options.	10/2016
4	BrainCheck, Inc.	Houston, Texas	I will divest my vested stock options. I will forfeit my unvested stock options.	2/2016
5	ViraCyte, LLC	New Brighton, Minnesota	I will divest my vested profits interest in the company. I will forfeit my unvested profits interest in the company.	10/2016

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Texas A&M University Health Science Center	Bryan, Texas	Served as Executive VP and CEO. Provided leadership for 5 Colleges, faculty health care providers, and staff.
2	University of North Texas Health Science Center	Fort Worth, Texas	Served as Special Assistant to the President to lead the development and initial implementation of a State of Texas Funded Patient Safety Institute.
3	Health Science and Biosecurity Partners, LLC	College Station, Texas	This is my personal, single member LLC. All my consulting and board duties are performed through this LLC
4	ViraCyte, LLC	Houston, Texas	Through my LLC, I served as a consultant CEO planning strategy, clinical trials, and fund raising.
5	A. Alfred Taubman Medical Research Institute	Ann Arbor, Michigan	Through my LLC, served as a member of the scientific advisory board.
6	Esperance Pharmaceuticals	Houston, Texas	Through my LLC, I served as a member of the board of directors, and I also did additional strategic planning as a consultant through Pillsbury Winthrop Shaw Pittman LLP.
7	MITRE Corporation	McLean, Virginia	MITRE is an FFRDC. Through my LLC, I served as a consultant to Chair the Veterans Choice Act Blue Ribbon Panel as part of MITRE's contract for this assessment.

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
8	Kirchner Group	Gadsden, Alabama	Through my LLC, served as a consultant for biotechnology and academic enterprise strategy.
9	Texas Medical Center	Houston, Texas	Through my LLC, served as a consultant advisor to the TMC Health Policy Institute and the TMC Innovation Institute.
10	Pillsbury Winthrop Shaw Pittman LLP	Houston, Texas	Through my LLC, I served as a scientific and technical consultant to biotech start-ups receiving legal services from Pillsbury.
11	Bellicum Pharmaceuticals	Houston, Texas	Provided consulting services through my LLC on behalf of Pillsbury Winthrop Shaw Pittman LLP.
12	Intendet Holdings	Houston, Texas	Provided consulting services through my LLC on behalf of Pillsbury Winthrop Shaw Pittman LLP.
13	NonInvasix, Inc.	Houston, Texas	Served on Scientific Advisory Board
14	BrainCheck, Inc.	Houston, Texas	Served on Scientific Advisory Board

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Traditional IRA	No			
1.1	Fidelity Government Cash Reserves (FDRXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
1.2	Fidelity Diversified International Fund (FDIVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Fidelity ContraFund (FCNTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Fidelity Puritan Fund (FPURX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Roth IRA	No			
2.1	Fidelity Diversified International Fund (FDIVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Fidelity Contrafund (FCNTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Fidelity Puritan Fund (FPURX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Brokerage Account	No			
1.1	Fidelity Government Money Market Fund (SPAXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	Fidelity Small Cap Enhanced Index Fund (FCPEX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Fidellity ContraFund (FCNTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Fidelity Europe Fund (FIEUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	Fidelity Balanced Fund (FBALX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.6	Fidelity Low Priced Stock Fund (FLPSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.7	Fidelity OTC Portfolio (FOCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	Fidelity Select Materials Portfolio (FSDPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	Fidelity Intermediate Municipal Income Fund (FLTMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.10	Fidelity Municipal Money Market Fund (FTEXX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.11	Bellicum Pharmaceuticals Inc (BLCM)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.12	NeuStar Inc Class A (NSR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Oasis Petroleum Inc Com (OAS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.14	Whole Foods Market Inc (WFM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	US Bank Account (Cash Account)	See Endnote	\$100,001 - \$250,000		None (or less than \$201)
3	Mass Mutual Variable Life Insurance Policy	No			
3.1	Oppenheimer Global Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	T Rowe Price Mid Cap Growth Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	MML Managed Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	MML Equity Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	BrainCheck Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)

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
1.	1	This entity is sole proprietorship and the vehicle for consulting activities of Dr. Giroir.
1.	2	Also Professor in Colleges of Medicine and Engineering.
1.	3	Led development and strategy for UNTHSC Institute for Patient Safety
2.	1	This was a lump sum distribution. I have no continuing retirement plan with Texas A&M University.
2.	6	I was the inventor on several patents held by the University of Texas System / State of Texas. Annually, I receive a royalty check based on what the State of Texas receives.
2.	7	I was the inventor on several patents held by the University of Texas System / State of Texas. Annually, I receive a royalty check based on what the State of Texas receives.
2.	8	Stock Option Plan for Directors.
2.	9	Stock Option Plan for Directors.
2.	10	Stock Option Plan for Advisors.
2.	11	Stock Option Plan for Advisors.
2.	12	Stock Option Plan for Advisors.
2.	13	Stock Option Plan for Advisors.
2.	14	I have a "profits interest" in the company currently at 0.6% of all profits that would be over \$10 million base value. This interest is of no value at the present time since there are no profits above the set base value.
6.	2	Family checking and savings accounts.

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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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.

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